



St AMBROSE
UNIVERSITY

MOUNT MERCY
UNIVERSITY

EDUCATION TOGETHER

Preface

This is your personal copy of the Universal Handbook for faculty and administrative staff at St. Ambrose University. This Handbook is intended to provide general guidance concerning the University's employment policies, work rules, and employee benefits. This Handbook is not a contract of employment with the University. There are additional handbooks that include policies applicable to faculty and administrative staff including the Faculty Handbook and Staff Handbook. The policies in this Universal Handbook are in addition to the policies set forth in those Handbooks. Employees are required to comply with all Handbooks that apply to them.

The University reserves the right to revise this Handbook as appropriate, at any time and without any advance notice, and to implement any changes in policy even if they are not communicated in this Handbook.

It is the policy of this University that all administrative staff employees are employed on an at-will basis, which means that these employees may voluntarily end their employment at any time, and these employees may be terminated by the University at any time, for any reason, and without any advance notice. Any statements, verbal or written, to the contrary, unless in writing and signed by the University's President and the employee, are disavowed by the University, not enforceable, and should not be relied upon by any employee.

This Universal Handbook replaces certain policies that were previously set forth in other handbooks and manuals, including certain policies that were previously set forth in the Faculty Handbook and Staff Handbook. This Universal Handbook applies contemporaneously with the current Faculty Handbook and Staff Handbook. This Universal Handbook is an informational guide for all present and future faculty and administrative staff employees of the University. There are some notations in this Universal Handbook regarding policies applicable to students, and the purpose of those references is for a complete policy reference, but this Universal Handbook is not otherwise applicable to students.

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Universal Handbook for Faculty & Administrative Staff

1.0 The University Organization And Governance

1.1 History

The institution of higher education known today as St. Ambrose University was established for young men in 1882 by the first bishop of Davenport, the Most Reverend John McMullen, D.D. Classes were held in two rooms at the old St. Marguerite’s School. Rev. A.J. Schulte served as the first president of St. Ambrose. The school was moved to the Locust Street Campus in 1885, when the central unit of the present Ambrose Hall was built. That same year, St. Ambrose was incorporated as “a literary, scientific and religious institution.” The articles of incorporation stated: “No particular religious faith shall be required of any person to entitle him to admission to said seminary.” By the turn of the century a clearer division was being made between the high school program and the college program. In 1908 the name of the institution was officially changed to “St. Ambrose College” to more clearly reflect the emergent reality. Night school classes were inaugurated in 1924, and the first session of summer school was held in 1931. From the outset St. Ambrose tended toward its present broad liberal arts program involving Catholics of all vocations and young people of all faiths.

St. Ambrose College became a co-educational institution in April 1968, with the announcement that Women would be admitted as full-time students in all academic departments of the University. Earlier women had enrolled in the late afternoon and evening courses, constituting in the decade of the 1940s the “Women’s Division of St. Ambrose College.” In 1977, St. Ambrose began offering its first master’s degree program, and in 1998 its first doctoral program. In 1987, St. Ambrose College became St. Ambrose University at the direction of the Board of Trustees. St. Ambrose University is accredited by and a member of the Higher Learning Commission (www.hlcommission.org; [800.621.7440](tel:800.621.7440) / [312.263.0456](tel:312.263.0456); info@hlcommission.org).

Mount Mercy University is a coeducational University offering undergraduate and graduate programs in the liberal arts and professional fields. Founded by the Sisters of Mercy of the Americas, Cedar Rapids Regional Community, it began in 1928 as a junior college in response to the need for such an institution to serve women, both lay and religious. It functioned as a junior college and was accredited as such in 1932 by the North Central Association of Colleges and Secondary Schools and was approved by the Department of Public Instruction of Iowa for the certification of elementary teachers. In 1957, the baccalaureate degree program was begun. The University has been accredited since 1960 by the North Central Association of Colleges and Secondary Schools as a four-year, degree-granting institution.

In 1962, Mount Mercy College was separately incorporated and, in 1968, the all-religious Board of Directors of the College, cognizant of the sweeping changes taking place in American higher education, voted unanimously to transfer the corporate and legal powers for the operation of Mount Mercy to a self-perpetuating Board of Trustees, at least three of whom were to be Sisters of Mercy. Many of the lay members of the Board had previously served on an advisory board.

Although ownership was transferred to the new corporation, the Sisters of Mercy continued their sponsorship.

Early in 1969, the Board of Trustees gave approval to coeducation at Mount Mercy. The move had been recommended by faculty and staff following a year-long institutional analysis.

In 2006, when the Sisters of Mercy implemented a process of re-organization to utilize their human and financial resources more efficiently, sponsorship of Mercy colleges and universities was legally transferred from the Sisters of Mercy to the Conference for Mercy Higher Education.

In 2007, the Board of Trustees approved the institution's first graduate programs, a Master of Business Administration and two Master of Arts in Education, one with an emphasis in Special Education and the second with an emphasis in Reading. In 2010, the Board approved two additional graduate programs: a Master of Arts in Marriage and Family Therapy and a Master of Science in Nursing. In 2014, the Board approved a Master of Arts in Criminal Justice and a Master of Arts in Strategic Leadership. Adding to the University academic portfolio, the Board approved doctoral programs in Nursing Practice (DNP) and a Ph.D. in Marriage and Family Therapy 2018 with the first doctoral graduates in 2020.

In 2010, recognizing that Mount Mercy had evolved into an institution that offered diverse academic opportunities for traditional, transfer, accelerated and graduate students, including graduate programs and international study partnerships, the Board of Trustees gave approval to re-designate Mount Mercy College as Mount Mercy University, which was formalized on August 23, 2010.

In June 2025, St. Ambrose University became the parent company of Mount Mercy University, marking the first step in a federally mandated two-step process for institutional consolidation. Under this structure, Mount Mercy continued its operations while aligning governance and leadership under St. Ambrose University. The second step of the process, anticipated for the summer of 2026 following federal approval, will officially merge the two institutions into a single federally recognized university. At that time, Mount Mercy University will be renamed the Mount Mercy Campus of St. Ambrose University, reflecting both its proud history and its integration into a unified institution committed to advancing Catholic higher education.

1.2 Catholic Identity

At the core of St. Ambrose University and Mount Mercy University lies a profound and vibrant Catholic identity, deeply influenced by the life and teachings of Jesus Christ who inspired our respective namesakes, St. Ambrose of Milan and Catherine McAuley who founded the Sisters of Mercy.

As a Catholic university community, we joyfully embrace the call to explore faith both individually and in the context of community. Through worship, shared rituals, and collaborative learning, we cultivate a community of belonging that draws us ever closer to God and one another.

Inspired by the life, death, and resurrection of Jesus Christ, we seek to reveal God's love in all we do. We ardently explore faith and rigorously exercise reason, holding them together in dialogue to deepen our understanding of God, creation, and the human person.

We anchor our actions in the belief that all life is sacred and begin from a position of faith in the God-given goodness of every individual. Grounded in Catholic Social Teaching, we strive always to "will the good" of the other.

In welcoming and celebrating all people, we foster a community where every person can discover sacredness within themselves and within others. In this spirit, we carry forward a living Catholic tradition that unites mercy, courage, justice, wisdom, and service with academic excellence and transformative education.

1.3 Mission

As an inclusive, Catholic university rooted in the diocesan tradition of St. Ambrose of Milan and the Mercy charism of Catherine McAuley, we are a community of learners who welcome people of all beliefs to join us in the pursuit of knowledge, faith, and justice. We empower learners to act courageously, to seek wisdom through faith and reason, to work for justice, and to lead lives of service and compassion.

The mission is lived in an atmosphere that fosters mutual respect, belonging, and excellence in student-centered teaching and learning. Through a rich integration of the liberal arts, professional and pre-professional programs, and a distinctive core curriculum, we promote reflective judgment, strategic communication, purposeful living, and the common good.

We facilitate learning, scholarship, and service through quality instruction and mentoring, preparing students for meaningful lives of leadership and service in their communities and the world. With an enduring commitment to the sacred dignity of every person, we strive for excellence in accomplishing our mission through our interdependent goals of academic excellence, compassionate service, justice-seeking, and lifelong learning.

The university offers baccalaureate and graduate degrees through the doctoral level, as well as non-degree and lifelong learning programs that meet the diverse needs of our students. These offerings are delivered on our campuses in Davenport and Cedar Rapids, across the State of Iowa, and through collaborative partnerships around the world.

Specific institutional mission statements:

St. Ambrose University

An inclusive, Catholic, and diocesan community of learners, St. Ambrose University empowers all Ambrosians to act courageously, to seek wisdom through faith and reason, to work for justice, and to lead lives of service.

Mount Mercy University:

Mount Mercy is a Catholic University which provides student-focused education in the spirit of the Sisters of Mercy and welcomes people of all beliefs to join our community in pursuit of baccalaureate and graduate education and compassionate service to those in need. Mount Mercy promotes reflective judgment, strategic communication, the common good, and purposeful living through a core curriculum, liberal arts and professional majors and student development programs.

1.4 Vision

St. Ambrose University will be a vibrant, sustainable, and learner-focused model for Catholic higher education, preparing individuals from all walks of life to lead lives characterized by courage, wisdom, justice, service, and mercy.

1.5 Values

COURAGE: We act courageously and lead with integrity in the face of challenges. We also seek truth and justice. Courage prepares us to embrace the intersection of faith and reason, to be open to new ideas while remaining true to our core values and supporting the dignity of each person.

WISDOM: We seek wisdom as a way to develop the whole person. We demonstrate a willingness to learn from others, about others, and with others. Wisdom grows from humility and empowers us to become life-long learners. Wisdom prepares us to make ethical decisions, challenge our assumptions, learn from our experiences, and guide our actions.

JUSTICE: We work for justice and advocate for equality. We labor for the common good to improve the condition of humankind. We respect the dignity of all living things and walk

in solidarity with the vulnerable. Our work seeks to empower people to more fully reach their human potential.

SERVICE: We instill a sense of responsibility and caring that calls us to serve the common good. Love animates our generous and merciful service to one another, our communities, our environment, and our work. We use our God-given gifts and talents to serve the wider community.

MERCY: We instill mercy through love, compassion, and justice for others. Mercy provides the foundation of our lives and of our relationships with one another. Through mercy we extend hospitality to all, providing an inclusive space for intellectual and spiritual growth. Mercy helps us develop compassionate, ethical leaders who responds to the needs of society.

1.6 Governance

The Legal Corporation

The final institutional authority at St. Ambrose University is lodged in a self-perpetuating board of trustees. It delegates the conduct of administration to the President, the conduct of teaching and research to the faculty under the concurrent authority of the President. The board consists of no more than thirty-five (35) trustees. The officers of the Corporation include the Co-Chairs of the board, the president of the University, two vice chairs, a secretary/ and a treasurer. Ex-officio non-voting members of the corporation are Faculty Assembly Chair, Staff Assembly President, Student Government Association President, Graduate Student Government Association President, Alumni Association Presidents of both St. Ambrose University and Mount Mercy University, a Mount Mercy Campus Board President, and a representative of the priests of the Diocese of Davenport.

The term of office of an elected voting member of the board is three years, with possibility of re-election. The board bears full responsibility for the University as a corporate entity, approves all major changes in its educational program, is concerned with its expansion and development, and chooses or removes the President of the University after due consultation with representatives of the University community. It also addresses the financial matters of the university and is responsible for approving the budget.

2.0 Employee Employment And Definitions

2.1 Equal Employment Opportunity Policy

It is the policy of the University to provide equal opportunity in all terms and conditions of employment and education for all faculty, staff and students. The intent of this Policy is to prohibit discrimination (including sexual harassment) and to promote the full realization of equal employment opportunity in all faculty, staff and student aspects of the University.

The University will provide equal opportunities for all qualified individuals and will promote the full realization of equal opportunity through positive programs. This Policy of equal employment opportunity applies to all individuals in every aspect of education, employment policy and practice.

The University is an Equal Opportunity Employer and provides that employment, salaries

and access to education are determined and maintained on a basis that does not discriminate against any employee or applicant for employment on the basis of age, color, physical or mental disability, national origin, race, religion, creed, sex, military or veteran status, sexual orientation, gender identity, pregnancy, genetic information, or any other protected category under applicable local, state or federal law. The University reserves the right to impose qualifications based on religion if a bona fide occupational qualification is reasonably necessary for position at issue or the operation of the University.

This Policy will be communicated to all applicants and employees in various ways including, but not limited to, those set out in section 3.1.

Procedure for Reporting Violations. Any employee or applicant who believes there has been a violation of this Policy should immediately report the violation to the Associate Vice President for Human Resources. If the Associate Vice President for Human Resources is not available or is responsible for the conduct being reported, the violation should immediately be reported to the Director of Compliance.

Investigation. Any report of a violation of this Policy will be investigated thoroughly and promptly. Any investigation will be conducted in a manner as determined appropriate by the University for the specific situation. Confidentiality will be maintained to the extent it is consistent with an effective investigation. If an investigation confirms a violation of this Policy, corrective action will be taken by the University as deemed appropriate under the circumstances, which may include discipline up to and including termination of the person found to have violated this Policy.

Retaliation is Prohibited. No form of retaliation (or “getting even”) will be taken against any employee or applicant who reports a violation of this Policy. It is a violation of this Policy to take any adverse action against any employee or applicant who reports a violation of this Policy, cooperates in any way with an investigation of an alleged violation of this Policy, or files a complaint with the EEOC or state or local commission. Any retaliatory conduct of this nature will not be tolerated. If an employee believes they have experienced or witnessed any retaliation should immediately report the violation to the Associate Vice President for Human Resources. If the Associate Vice President for Human Resources is not available or is responsible for the conduct being reported, the violation should immediately be reported to the Director of Compliance.

2.2 Employee Selection Procedures

The University’s employee selection procedures aim to provide the most qualified applicant for each available position. The University’s future prosperity depends to a large extent on the hiring decisions made at all levels today. These guidelines and more detailed procedures can be found in the Staff and Faculty Handbook.

Any offer of employment is contingent upon the applicant’s ability to comply with Department of Homeland Security regulations establishing their identity and right to work. Applicants are required to complete an I-9 form and provide proof of their identity and their ability to work in this country.

Background Checks. The University is responsible for safeguarding the resources of the University through a variety of methods, including effective pre-employment and employment practices.

Candidates may be informed that their offer of employment with the University is contingent on the successful completion of a background check. In addition, if an

employee seeks to change positions within the University, they are considered a candidate and a background check may be required. The University may use a third party to conduct background checks.

Candidates will be required to sign an authorization for a background check. Candidates that provide false or misleading information in their application and/or authorization may be eliminated from any further consideration. Candidates are expected to provide accurate and complete information and candidates may not omit any material information.

The information that may be gathered during a background check includes, but is not limited to, the following illustrative examples:

- Address history
- Criminal history (including sex offender history)
- Credit reports
- Educational and licensure records
- Driving records
- Civil court filings

All background checks will be conducted in compliance with the federal Fair Credit Reporting Act (FCRA), and all other applicable local, state and federal laws and regulations. Applicants and employees will be informed of their rights to receive a copy of certain documents including “investigative consumer reports.”

Having adverse information, including a criminal history or conviction, does not automatically preclude a candidate’s eligibility for employment. The nature and seriousness of the offense, the date of the offense, surrounding circumstances, and the relevance of the offense to the specific position at issue will be considered by the University.

In the event issues are raised during the background check that impact the hiring decision, the University will revoke the offer of employment or transfer. In addition, the University will revoke an offer of employment if there is a finding of falsification, misrepresentation, or omission of facts on any documentation submitted by a candidate.

The results of background checks will be maintained in confidential files in the Applicant Tracking System (ATS).

Applicants convicted of felonies may be hired after considerations of the nature and seriousness of the offense, the date of the offense, the surrounding circumstances, and the relevance of the offense to the specific position at the University, but this will only be done with the written approval of the Associate Vice President for Human Resources and the concerned department head. Employee selection managers and human resources representatives should remember that the University does not ask any applicant whether they have been arrested, questioned, detained or otherwise held in police custody. The University reserves the right to thoroughly explore and consider conviction records in consideration of the position the applicant is seeking with the University.

Employees with Disabilities. In accordance with the Rehabilitation Act of 1973, the Americans with Disabilities Act of 1990, the ADA Amendments Act of 2008, and applicable state laws, the University strives to make its application, hiring and work environment accessible to all. The University will provide accommodations to qualifying individuals, and applicable federal and state laws govern these determinations. If you believe you need an accommodation, you should notify your supervisor or the Human Resources Department. The University will consider requests for accommodations, but

accommodations that would impose an undue hardship on the University cannot be made. In all cases, information regarding an employee's disability will be kept in the strictest of confidence and only shared with employees with a need to know the information.

Required Disclosure of Other Proposed Employment and Business Activities. The University requires that applicants for employment disclose at the time at which an offer of employment is tendered by the University any outside employment or business activity that the applicant expects to continue if they accept employment with the University. The University may determine that such outside employment or business activities are incompatible with employment at the University either because the required time commitment will significantly and negatively impact their ability to perform their University job or because the business or activity could significantly damage the University's reputation. The University reserves the right to retract offers of employment when an applicant discloses outside employment or business activities that it deems incompatible with full-time employment at the University. Full-time employees of the University are expected to comply with the University's Outside Employment And Conflict Of Commitment Policy. Employees who fail to disclose outside employment or business activities at the time of hire risk discipline, up to and including termination of employment.

Hiring of Relatives. The University may hire relatives of current employees. However, relatives may not work in a manager-subordinate relationship. For purposes of this Policy, "relative" means spouse, mother or father, son or daughter, and brothers or sisters. The University may employ relatives for temporary positions, or offer summer employment to employees' children. Any relative hired by the University must meet all selection standards and fulfill all job qualifications.

2.3 Accommodations For Applicants And Employees With Disabilities

In compliance with applicable laws, it is the policy of the University to make the hiring and application process, as well as the work environment, accessible to all. The applicable legal standards govern determinations regarding whether an individual is "disabled." If you believe you are disabled and in need of an accommodation, you should notify the Associate Vice President for Human Resources who will review and respond to your request. If an employee qualifies as "disabled" and a reasonable accommodation is readily available, it will be implemented. If an accommodation is not readily ascertainable, there will be an interactive discussion with the applicant or employee and other required resources. The applicant or employee requesting the accommodation may be required to provide information from a health care provider substantiating the need for the requested accommodation. In all cases, information regarding any disability will be kept in the strictest of confidence and will only be shared with individuals with a need to know the information.

While the University will consider an applicant or employee's specific request for an accommodation, the University reserves the right to offer its own effective reasonable accommodation instead of the applicant or employee's specific request. The University will not make an accommodation that would pose an undue hardship on the University.

Procedure for Reporting Violations. If at any time an employee feels there has been a violation of this Policy, they should immediately report the violation to the Associate Vice President for Human Resources. If the Associate Vice President for Human Resources is not available, or if the employee feels that the Associate Vice President for Human Resources has engaged in the violation being reported, the employee should immediately report the violation to the Director of Compliance.

Investigation. Any report of a violation of this Policy will be investigated thoroughly and promptly. Any investigation will be conducted in a manner as determined appropriate by the University for the specific situation. Confidentiality will be maintained to the extent it is consistent with an effective investigation. If an investigation confirms a violation of this Policy, corrective action will be taken by the University as deemed appropriate under the circumstances, which may include discipline up to and including termination of the person found to have violated this Policy.

Retaliation is Prohibited. No form of retaliation (or “getting even”) will be taken against any employee or applicant who reports a violation of this Policy. It is a violation of this Policy to take any adverse action against any employee or applicant who reports a violation of this Policy, cooperates in any way with an investigation of an alleged violation of this Policy, or files a complaint with the EEOC or state or local commission. Any retaliatory conduct of this nature will not be tolerated. If an employee or applicant believes that they have experienced or witnessed any retaliation after making a report under this Policy that should be immediately reported as outlined above.

Employees or applicants with questions regarding this Policy should contact the Associate Vice President for Human Resources.

2.4 Religious Accommodation

The University is dedicated to the religious diversity of all our employees and applicants for employment. Employees and applicants for employment may request an accommodation for their bona fide religious beliefs. If a reasonable accommodation is readily available, the request will be approved and the accommodation implemented. If an accommodation is not readily ascertainable, the matter will be pursued further through an interactive process with the employee or applicant and possible assistance from appropriate resources.

The University will consider the employee’s or applicant’s specific request for an accommodation; the University reserves the right to offer its own effective reasonable accommodation. Accommodations that would impose an undue hardship on the University cannot be made. Any employee or applicant seeking a religious accommodation should contact the Associate Vice President for Human Resources or the Director of Compliance.

The University reserves the right to decline accommodations and require qualifications based on religion if religion is a bona fide occupational requirement of the position at issue or is reasonably necessary for the operation of the University.

Procedure for Reporting Violations. If at any time an employee or applicant feels there has been a violation of this Policy, they should immediately report the violation to the Associate Vice President for Human Resources. If the Associate Vice President for Human Resources is not available or has engaged in the violation being reported, the employee or applicant should immediately report the violation to the Director of Compliance.

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2.5 Employee Classification

For purposes of compensation, employment and other Human Resources matters, it is necessary to classify employees. The terms which denote these categories will be used throughout this Handbook. Additional information regarding benefits is available upon request from the Human Resources Department. Employees should also direct any questions regarding compensation to the Human Resources Department.

Wherever used, their meaning will be as follows:

Regular Employee. An employee who is hired with an expected tenure of 90 days or longer. Such employees may be further classified as full-time or part-time employees.

Full-time. An employee who is scheduled to work a minimum of 32 hours per week on a 10, 11, or 12-month basis. Such employees are eligible for all University benefits provided they meet the requirements specified in the individual benefit plans.

Part-time. An employee who is scheduled to work less than 32 hours per week (1664 hours per year) and more than 20 hours per week (1040 hours per year) on a 12-month basis. Part-time employees are eligible for some University benefits as described in the benefits section (5.0).

Full-time Faculty. A contract employee of the University who teaches a full-time load that is equivalent to 12 credits or a combination of credits and administrative responsibilities. Such employees are eligible for all University benefits provided they meet requirements specified in the individual benefit plans.

Part-time Faculty. A contract employee of the University who teaches less than the average full-time load. Such employees are eligible for a limited amount of University benefits provided they meet the requirements specified in the individual benefit plans.

Adjunct Faculty. A contract employee who may teach one to two courses a semester on a temporary basis, depending on the department’s needs. Such employees are eligible for a limited amount of University benefits provided they meet the requirements specified in the individual benefit plans.

Introductory Employee. An employee, either part-time or full-time during the first 90 days of employment, whose benefits are based on the initial date of employment after satisfactorily completing the introductory work period. Introductory employees are not eligible for bonuses or wage increases which might occur during their introductory period. The introductory period can be extended up to an additional 60 days.

Temporary Employee. An employee who is engaged in work full-time or part-time, with the understanding that their employment will be terminated as of a specific date or upon completion of a specific assignment. Temporary employees are not eligible for University benefits of any kind. At the end of 90 days this temporary status will be reviewed by the vice president of the area involved to extend the temporary status, terminate the status or change the status to regular full or part-time employment. After initial review, the temporary status will be reviewed monthly.

Exempt (Salaried) and Non-Exempt (Hourly) Employees. The Fair Labor Standards Act, as amended, is a federal law, administered by the U. S. Department of Labor, which specifies wage and overtime requirements for employees considered to be non-exempt from its provisions. Employees who are not covered by the law, as determined by the type of work they perform and/or their earnings level, are considered to be exempt from its provisions. Generally, an exempt employee is a person who holds an executive, administrative or professional position and includes teachers, computer employees, outside sales employees, or highly compensated employees and who spend their time on duties that require the exercise of independent judgment and discretion. The final decision as to whether an employee is to be considered exempt or non-exempt rests with the Associate Vice President for Human Resources.

2.6 Orientation Program

It is University policy to acquaint new employees with their duties and make them feel a part of the University as quickly as possible. It is the duty of the Human Resources Department to acquaint new employees with the University's benefit programs and regulations regarding absences, illness, etc. It is the responsibility of the new employee's immediate supervisor to instruct the new employee in their job responsibilities, and to introduce the new employee as appropriate. The Human Resources Department also serves to assist with new employee's general introduction to campus life and resources. This Handbook will be used to acquaint the new employee with University history and operations in addition to University policies that employees need to know about. The Human Resources Department will distribute and explain this Handbook to new employees, and will answer the new employee's questions regarding the material in it. Any employee with questions regarding this Handbook or University policies should contact the Human Resources Department.

Mentor Program The Mentor Program strives to foster a cooperative network among full-time staff, as well as to cultivate a sense of community on campus. For more information, see the Staff Handbook section 2.2.

3.0 Employee Policies

3.1 Employee Privacy

The University firmly believes in respect for the rights and dignity of each employee. The University sets forth as its goal the protection and enhancement of the individual employee's right to privacy. To achieve this goal, the University adopts these principles:

- The University will request and retain only that information required for business and/or legal purposes.
- The principal guideline for gathering such personal information will be a business "need to know."
- The University will protect the confidentiality of all personal information in its

records and files.

- The University guarantees the right of each employee to correct inaccurate information by providing documentation, and to express disagreement with information in their records.
- The University will strictly limit the internal availability of personal information to those University officials with a “need to know.”
- The University will refuse, except in specific circumstances, to release personal information to outside sources without the employee’s written approval. Exceptions are limited to simple employment verification and legal requirements, such as responding to a subpoena.
- The University requires each employee to strictly adhere to these policies and practices. Violations are subject to appropriate disciplinary action.
- All information and data collected or developed by the University related to cost, utilization, outcomes, quality and financial performance during the term of the following policies: health, dental, healthcheck360, disability, life, workmen’s compensation or vision, shall be used solely for the purpose of fulfilling the duties as plan administrator and/or sponsor of the benefits and shall not be disclosed or otherwise made available to any entity or person except those employees or agents who have a legitimate need to have knowledge of the information. The University agrees to maintain the confidentiality of all information and to adopt any safeguards necessary to ensure that such information remains confidential.
- Administrators in the following positions are acknowledged to have a legitimate need to know certain information relating to insurance as described above: Vice President for Finance, Associate Vice President for Human Resources, and Human Resource Generalist. Depending on the specific circumstances, other University officials may also have a “need to know” this information.

Collection and Retention of Personal Information. St. Ambrose University will gather all necessary information directly from the employee, except for references required on a job application and performance evaluations by supervisors.

St. Ambrose University will follow the requirements of equal employment opportunity laws and other federal regulations regarding the collection of information from job applicants and employees.

St. Ambrose University will rely on legally acceptable methods of hiring job applicants.

Human Resources File. St. Ambrose University and the Mount Mercy campus maintain Human Resources files that contain only appropriate information. The University maintains any employee medical information received for required employment reasons in a separate confidential medical file. Appropriate information categories for the Human Resources files are determined by the Associate Vice President for Human Resources within strict limits. They include, but are not limited to:

- Employment application information, including application form, reference checklists and forms, I-9 eligibility documents, interviewers’ reports and test reports.
- All written performance evaluations. (Staff only)
- Letters of commendation or other recognition of excellent performance.
- All notices of suspension, disciplinary action or termination.

Inappropriate Personal Information. St. Ambrose University will not collect or retain the following information in Human Resources files:

- Lists of hobbies or outside activities unless supplied voluntarily by the employee on the employment application.
- Birth certificates, or other personal documents for which the University has no business need to know.
- Information on an employee's credit worthiness and financial standing or the like, unless directly related to the employee's job duties.

Supervisor's Personal Records. The University suggests that the information about an employee which a supervisor may keep in their possession and maintained as confidential may include:

- One year's attendance record. (Staff only)
- Most recent performance evaluation. (Staff only)
- Notes, memos or documents relating to an employee's job performance since the last performance evaluation.

Review and Deletion of Information. The Human Resources Department will periodically review each employee's Human Resources file and the information contained in it. Information determined to be inappropriate or outdated will be removed from the file at the discretion of the Human Resources Department.

University Officials' Access to Employee Records. Access to employee personal information is prohibited to other employees with the following exceptions:

- Human Resources Department representatives authorized by the Associate Vice President for Human Resources. They must have a business need to know.
- The direct superior of an employee's supervisor with a legitimate need to know, such as review of performance evaluations or discussion of enhanced job opportunities for the concerned employee.
- The University's legal counselors who have a business need to know as determined by the Associate Vice President for Human Resources.

Employee Access to Human Resources Files. Any employee may choose to see their personnel file and should make that request to the Human Resources Department.

Employee Access Requests. An employee's request to see their personnel file should be granted as soon as possible.

- The employee has the right to inspect their file and request a single copy of each page.
- A representative of the University has the right to be present during the employee's review of their file.
- No employee is allowed to remove any item from their Human Resources file. If an employee disagrees with any information, they must immediately notify a Human Resources Representative. The employee may request a correction, a deletion, or write a statement of disagreement with any item in the file, but a Human Resources Representative must be present when the correction, deletion or disagreement is placed in the file.

Disclosure of Employee Information. All requests for information about a current, retired or terminated employee must be referred to the Associate Vice President for Human Resources, who will obtain the written consent of the individual before releasing any information contained in a current or former employee's file to an outside source. Exceptions to this rule include:

- Disclosure to prospective employers of dates of employment, final title or position and job location.
- With an employee's permission, the general accounting office and Human Resources Department may release a five-year employment and salary history.
- Duly authorized and served requests from law enforcement agencies, including investigations, summonses, subpoenas, judicial orders, and in response to legal proceedings.

Communication of Privacy Policies. The University will take every opportunity to publicize its privacy policies and practices to employees. These methods include, but are not limited to:

- Publication of basic policies and practices in the Universal Handbook and Staff Handbook.
- Discussion during new employee orientation programs.
- Detailed discussion as part of management training programs.
- Dissemination to the general public.

Protection of Confidentiality. The Associate Vice President for Human Resources in conjunction with the offices of campus security, information technology, and general accounting must have as a primary goal the development of proper computer and physical systems to protect the confidentiality of employee records and files. The Director of Campus Security and the Director of Information Technology have special responsibilities to make these systems as secure as possible.

The Associate Vice President for Human Resources has a special responsibility to develop a departmental structure which strictly limits Human Resources employees' access to records other than those for which they have a business need to know.

3.2 Business Travel Expenses

Employees who are required to travel on official University business will be reimbursed at current rates available on the general accounting web page for the following types of expenses:

Out-of-Town Travel

Current per diem rates are published on the General Accounting share point page.

It is understood employees attending an event/conference will on occasion be asked to attend a dinner that exceeds the per diem rates published on the General Accounting share point page. In these instances, the employee will be allowed to charge their actual expense. In this instance this expense will require the approval of the employee's dean/department head and the Vice President for Finance. This will only be allowed once per trip and on rare occasions.

Employees attending conferences will only be allowed to claim meals not included as a part of the conference. As an example, if a conference provides breakfast and lunch, an employee will be allowed to claim dinner and incidentals only. All employees attending a conference will be required to submit a copy of the registration form that shows what is included at the conference if they wish to receive reimbursement for their meals.

Lodging—reasonable rates according to area.

Use of personal car—mileage at IRS maximum rate.

Use of personal car—mileage or gasoline.

Use of rental car—University contracted company. Please see General Accounting webpage for rental car procedures.

Other forms of transportation - fares

In-Town Travel

Use of University car—gasoline.

Use of personal car-mileage at IRS maximum rate. This excludes travel within Davenport or Cedar Rapids city limits.

Receipts. Itemized receipts must be presented to the general accounting office for all University-related expenses, except for meals per diem.

Reimbursement Rates. Reimbursement rates are subject to change. Check with the General Accounting Office for current rates.

3.3 Animal Policy

General Policy

The University's general policy is that individuals are not permitted to bring animals to University buildings or grounds. However, the University complies with the Americans With Disabilities Act of 1990, the ADA Amendments Act of 2008, and applicable state laws with respect to employees with disabilities. The University strives to make its application, hiring and work environment accessible to all, and the University will make exceptions to its animal policy when necessary to provide a reasonable accommodation to a qualified individual with a disability. In addition, there are certain exceptions to this Policy for laboratory/therapy animals as defined below.

Service Animals

A service animal is defined, for purposes of this Policy, as an animal that has been individually trained to do work or perform tasks for the benefit of an individual with a disability. Illustrative examples include service animals that guide individuals with impaired vision, and service animals that alert individuals to an impending seizure.

Requests for the Use of Service Animal

Requests for the use of a service animal as an accommodation of a disability must be submitted to the Associate Vice President for Human Resources. The submission must include information as to how the service animal accommodates the employee's disability. See also Sections 2.2 and 2.3.

Employee Responsibilities Regarding Service Animal

- The service animal must be vaccinated and licensed as required by law and local

ordinance, and the employee must provide a copy of the proof of vaccinations for the service animal with documentation signed by a licensed veterinarian.

- The employee bringing a service animal to work is responsible for the safety, health, behavior and actions of the service animal at all times.
- The University will provide an area where the service animal can be taken outside to relieve itself, and will also coordinate with the employee's work breaks to provide an opportunity for the employee to take the service animal outside to relieve itself.
- The employee is responsible for proper disposal of waste from the service animal, and any other cleanup relating to the service animal.
- In public or common spaces, the employee must keep the service animal on a leash/lead or crated at all times; wandering off leash is not permitted.
- Reasonable behavior is expected from the service animal, and issues with behavior by the service animal will be addressed with the employee. If a service animal is disruptive or aggressive, the employee may be asked to remove the service animal from the University premises. In addition, if improper behavior happens repeatedly, the employee may be instructed not to bring the service animal on the University premises until the issues have been addressed and the behavior has been corrected.

Access to University Property

An approved service animal is allowed to work with the employee in all University areas. However, the service animal may not be allowed in spaces that may be considered unsafe for the service animal or persons using the area. Such areas may include, but are not limited to: medical facilities, labs, mechanical rooms, or similar areas where the service animal's presence may constitute a danger or fundamental alteration of the program or activity conducted in that area.

Laboratory/Therapy Animals

Laboratory/Therapy animals are defined, for the purpose of this Policy, as animals that are a part of a specific classroom experience and which will be used to further student's educational understanding or used to sustain other animals used in scientific study. These animals, under the direction of licensed mental health professionals employed by the University, are also used for therapeutic purposes on site at the Olsen Family Clinic or in public spaces. The approval for the uses and maintenance of laboratory/therapy animals must be obtained from the Chief Academic Officer prior to an animal being brought to campus or the purchase of the animals. Animals shall not be allowed to run at large on campus, left unattended or unleashed on campus property.

Questions/Reports

Employees seeking an accommodation, have questions about this Policy, or who believe this Policy has not been followed should contact the Human Resources Department at humanresources@sau.edu, or (563) 333-6364.

3.4 Cell Phone

Personal Cellular Phones

While at work employees are expected to exercise the same discretion in using personal cellular phones as is expected for the use of University phones. Excessive personal calls during the workday, regardless of the phone used, can interfere with employee productivity and be distracting to others, and such conduct is prohibited. Employees are

encouraged to make any personal calls on non-work time where possible and to ensure that friends and family members are aware of University policy.

The University will not be liable for the loss of personal cellular phones brought into the workplace. Cell phones shall be turned off or set to silent or vibrate mode during meetings, conferences and in other locations where incoming calls may disrupt normal workflow.

Company-Provided Cellular Phones

Where job or business needs demand immediate access to an employee the University may issue a business cell phone to an employee for work-related communications.

Employees in possession of University equipment such as cellular phones are expected to protect the equipment from loss, damage or theft. Upon resignation or termination of employment, or at any time upon request, the employee may be asked to produce the phone for return or inspection. In addition, the University has the right to inspect, monitor, and access any information on any cellular phone that is used for any University business. Employees do not have any expectation of privacy in any cellular phones the University issues to them.

Safety Issues for Cellular Phone

All employees are expected to follow applicable state or federal laws or regulations regarding the use of cell phones at all times. The University is not responsible for any employee who fails to comply with state, federal or other regulations relating to the use of cell phones.

Employees whose job responsibilities include regular or occasional driving and who are issued a cell phone for business use are expected to refrain from using their phone while driving – use of a cell phone while driving is not required by the University. Safety must come before all other concerns. Texting and the use of a cell phone for any other reason is also prohibited while driving.

Employees who are charged with traffic violations or violations of any laws or regulations resulting from the use of their cell phone while driving will be solely responsible for all liabilities that result from such actions.

Video or Audio Recording Devices

The use of camera phones, PDA's or other audio or video recording capable devices within the University may constitute not only an invasion of employees' personal privacy, but may breach confidentiality of University trade secrets or other protected information. Therefore, the non-business use of camera or other video-capable recording devices within the University is ordinarily prohibited without the express prior permission of senior management and of the person(s) present at the time. This prohibition is specifically applicable to restrooms and locker rooms. A video or audio device used for business purposes is permissible.

Discipline for Violations

Any employee who violates any section of this Policy is subject to discipline up to and including termination of employment.

3.5 Chosen Name

The University recognizes that as a community many of its members use names other than their legal names to identify themselves. As long as the use of this chosen name is not for the purposes of misrepresentation, the University acknowledges that a "chosen

name" can and should be used wherever possible in the course of University business and education.

It is the policy of the University that any student, active or retired faculty or staff member, or alumni may choose to identify themselves within the University's information system (Colleague) with a chosen name in addition to the person's legal name. It is further understood that the person's chosen name shall be used in as many University communications and reporting measures as possible, acknowledging the instances when the use of a legal name is required or the University's data enterprise system limits such use. The legal last name must be used in all circumstances.

The individual is free to determine the chosen name they want to be known by in the University's information systems. However, inappropriate use of the chosen name policy (including but not limited to avoiding a legal obligation or misrepresentation) may be cause for denying the request.

Who Can Set a Chosen Name?

Because chosen names are set using the University's data enterprise system (Colleague), only those individuals with access can set chosen names. As such, students must notify the Office of the Registrar of a chosen name by completing the Name Change form on the Registrar's webpage (<http://www.sau.edu/academics/academic-resources/registrar/policies>) or share point page

List of Instances Where "Chosen Name" Will Likely Be Used:

- Class rosters
- Advising rosters
- Student Planning Advising software
- Proximity Card (school ID)
- Alumni communications
- Advancement communications
- Email addresses
- University mailings
- University press releases

Chosen Names FAQ

Can any member of the University community request a chosen name?

Any student, active or retired faculty or staff member, or alumni may choose to identify themselves within the University's information system (Colleague) with a chosen name in addition to the person's legal name.

How do I set a chosen name?

Students and Employees (both retired and active) may complete the Name Change form on the Registrar's share point page (<http://www.sau.edu/academics/academic-resources/registrar/policies>).

Alumni may complete the Name Change form on the Alumni webpage (<http://www.sau.edu/alumni/connect/update-your-information>)

Can I set my chosen name to whatever I want?

Yes, but the University reserves the right to deny or remove a chosen name if it is used inappropriately or in a way that is not authentic or in the spirit of dignity and worth of the University's core values of diversity and integrity.

Can I use my chosen name for everything at the University?

No. Your legal name will continue to be used in business processes that require use of the legal name, such as for financial aid, payroll records, contracts, and transcripts.

How do I correct or change my legal name for University systems?

Please contact the Human Resources Department at 563-333-6364 between the hours of 8am - 4:30pm Monday through Friday.

How do I put my chosen name on my Proximity Card (ID)?

Please visit the Security Service Desk between the hours of 8am - 4:30pm Monday through Friday.

How do I use my chosen name for my email address?

Please contact the IT helpdesk at 563-333-6368 on the SAU campus or submit a service desk ticket.

3.6 Lactation Policy

Lactation Breaks

The University will provide a reasonable amount of break time to accommodate employees desiring to express breast milk for their infant child for one year after the child's birth, in accordance with and to the extent required by applicable law. If an employee is not completely relieved from duty, time used to pump breast milk at work must be paid. If employees are provided with paid breaks, an employee who expresses milk during a break must be compensated in the same way that other employees are compensated for break time. During any unpaid break, the employee will be completely relieved from performing any job duties. The frequency and duration of breaks needed to express milk will likely vary depending on factors related to the nursing employee and the child.

The St. Ambrose campus has designated a private area in the Bride's Room located in the Chapel for lactation breaks, which is private and free from intrusions. The Bride's Room has an attached bathroom with a sink. The Mount Mercy campus designated private area is in the library study room #5, which is private and free from intrusions. Employees may also use their private office, if applicable and if that is the employee's preference. Please consult Human Resources with questions regarding this Policy, or issues with taking lactation breaks. Employees should advise Human Resources or their supervisor if they need break time for this purpose, and advance notice is requested so the proper arrangements can be made. Employees will not be discriminated against or retaliated against for exercising their rights under this Policy, and any employee who believes that has occurred should report the issue to Human Resources.

3.7 Documentation And Retention Policy

Purpose:

The purpose of this Policy is to establish internal guidelines for retaining and disposing of documentation to ensure legal compliance, operational efficiency, and the secure management of information within the University. This Policy is not an exhaustive list and each department should be familiar with the appropriate retention period specific to their respective area. As with all policies, this Policy may be revised at any time subject to the sole discretion of the University, and this Policy does not create any third-party rights.

Scope:

This Policy applies to all employees and departments that handle documentation within the organization, including digital and physical records, and the scope of the information to be retained will be determined by each department.

Retention Periods:

- **Employee Records:** Retain for 7 years after the separation of employment and as required during any claim or legal proceeding.
- **Employee Applicant Records:** Retain for 3 years from the application date and as required during any claim or legal proceeding.
- **Financial Documents:** Retain for 7 years to comply with legal and tax requirements.
- **Operational Documents:** Retain for 5 years or as long as the document is relevant to current operations.
- **Legal Documents:** Retain for a minimum of 10 years or longer as required by specific legal obligations and/or pending legal proceedings.
- **Health & Safety Records:** Retain for 5 years, or as required by applicable regulations.

Storage:

- **Digital Documents:** Must be stored in secure, encrypted systems with regular backups. Access is restricted to authorized personnel.
- **Physical Documents:** Should be stored in locked cabinets or secure locations, accessible only to authorized personnel.

Disposal:

Documents that are no longer needed or have reached the end of their retention period must be disposed of securely:

- **Digital Documents:** Permanent deletion through secure erasure methods.
- **Physical Documents:** Shredding or other methods that ensure complete destruction.

Review and Compliance:

This Policy will be reviewed annually to ensure compliance with applicable laws and University needs.

3.8 Political Activity Policy

Policy Statement

St. Ambrose University is a 501(c)(3) charitable organization and will not participate or intervene in political campaign activities in support of, or in opposition to, any candidate for public office. Under IRS rules and regulations, the University is prohibited from the following activities:

- Endorsing candidates.
- Making campaign contributions.
- Engaging in fundraising.
- Statements of position (verbal or written) made on behalf of the University in favor or in opposition to any candidates for public office.
- Making partisan comments in official University publications or at official functions.

- Becoming involved in any other activities that might be beneficial or detrimental to any candidate, including activities that encourage individuals to vote for or against a candidate based on nonpartisan criteria.
- Host a debate or forum showing for or against a certain candidate.

To this end, the University seal, logos and name will not be used on any materials intended to support, or be in opposition to, a political campaign. This includes solicitation of funds and utilization of in-kind resources such as, but not limited to, University letterhead, phone lines, e-mail accounts, voicemail systems, duplication machines, computers, fax machines and direct mail and other materials.

With respect to political and election processes, the University will host, and provide venue for, activities that endorse the engagement of citizens in their right to vote. At all times, the University will seek to present a “sufficiently full and fair exposition of the pertinent facts,” as expected by IRS code. The goal through University initiatives will be to foster an environment for individuals to form educated and independent opinions or conclusions.

Employees of the University may not state orally or in writing that they are speaking on behalf of the University when expressing support for or opposition to a political candidate. This prohibition is not intended to restrict free expression on political matters by employees speaking for themselves, as individuals, nor is it intended to prohibit employees from speaking about important issues of public policy. When addressing such issues, employees will take care to clarify personal opinion and to clearly indicate their comments are personal and not intended to represent the views of the University.

In addition:

- No University or employee office may be used as a return mailing address for the solicitation of funds for political campaigns on behalf of or against any candidate for public office.
- University web pages may not be used on behalf of or against any candidate for public office.
- Employees may not perform tasks in any way related to a political campaign for public office in their capacity as a University employee, nor should any employee be coerced to engage in any type of political activities, including monetary contributions.
- If employees choose to participate in political activity in their individual capacity, such political activity must be performed outside of normal work hours, during a leave of absence without pay taken with the University’s approval or within ordinary work hours, if the time is charged to paid time off to which the employee is entitled.

Overview of Policy Implementation Procedures

Under the Internal Revenue Code, all Section 501 (c)(3) organizations are prohibited from participation or intervention in political campaign activities in support for, or in opposition to, candidates. Organizations that violate this ban are subject to revocation of their tax exemption. They also risk the imposition of excise tax penalties on the organization itself as well as on organization managers who approve the making of expenditures for impermissible political purposes.

Definition of terms

A “candidate for public office” is an individual who offers to be a contestant for an elective public office, whether such office is national, State or local. Section 501 (c)(3) defines

participation in a political campaign as including the publishing or distribution of statements. IRS regulations further provide that publication or distribution of written or printed statements or the making of oral statements on behalf of or in opposition to a candidate constitute intervention in a political campaign and are prohibited. Absolutely no payments may be made to support candidates and political campaigns.

Permissible Activities

Candidate Debates and Forums

The University may host or sponsor forums for candidate debates without those activities constituting impermissible political activities. In general, the University must ensure a fair and neutral forum and provide equal time to all qualified candidates. The following factors should be followed to ensure that a debate is a permissible political activity:

- (1) The debate should include all legally qualified candidates for the contested office.
- (2) The debate topics should cover a broad range of issues, not just those issues of importance to the University.
- (3) The questions presented to the candidates should be composed by an independent, non-partisan group. Such a group could include members of the University, the media, and community leaders.
- (4) A moderator should be selected by the University and his or her role should be limited to ensuring that the debate ground rules are followed. The moderator should refrain from commenting on the candidates' statements in a way that demonstrates approval or disapproval of their ideas.
- (5) The debate should begin and end with a clear statement to the effect that the views presented are those of the candidates and not of the University.

Student Newspaper Endorsements

The student newspapers may publish editorials that oppose or endorse specific legislation and/or candidates for political office without endangering the University's tax exemption. The newspaper must state clearly that the views reflected are those of the student editors and not the University. For the content to be permissible, neither the University's administration nor faculty may exercise any control over the newspaper's editorial content. The content and editorial decisions of the student newspaper will remain in the hands of the students, and a statement to this effect should be printed in every issue of the newspaper.

Advertising

The campus radio station and newspaper may accept paid political advertising by candidates as long as the following guidelines are followed. The acceptance of the advertising must be made on the same basis, and at the same customary and usual rate, as other non-political advertising and the advertisements should be preceded by a statement that they are paid advertising and not reflective of the University's views. Ads should be solicited in a fair manner according to established guidelines, and equal time should be given to all candidates who wish to use the broadcast medium for paid political advertising.

Student Groups

The University will allow student groups to form and be recognized that support political perspectives and inform the voting process. Examples might be the College Republicans

or Young Democrats. Student groups exist for the purpose of contributing to the educational environment. At no time will a student group be authorized to speak on behalf of the University and the presence of such organization should not be construed as such. Rather, as with creating an open campus for dialogue we view these organizations, and student leadership thereof, as critical to our learning environment.

Any student group inviting a particular candidate to campus must gain approval from the University and will be responsible, jointly with the campaign or speaker, for all expenses associated with the use of University space for such candidate appearances. The ability to cover such expenses must be demonstrated prior to final approval for space usage.

Use of Institutional Facilities

The University is often viewed as a quasi-public forum, and candidates for public office may be invited to, or may seek permission to visit, the campus to make public appearances in connection with their campaigns. If a candidate uses a campus visit as an occasion to make a campaign speech, the University should make it clear that the institution does not support or oppose the candidate in all promotional materials related to the event, and should state the disclaimer again when introducing the candidate at a public forum. The University should also ensure that there is absolutely no political fundraising at the event.

If a candidate is invited to speak at a University event in his or her capacity as a political candidate, all candidates must be provided an equal opportunity to participate. In determining whether candidates are given an equal opportunity to participate, the nature of the event to which each candidate is invited will be considered, in addition to the manner of the presentation. For example, if the University invites one candidate to speak at its well-attended annual event, but invites the opposing candidate to speak at a sparsely attended meeting, the University will likely have violated the political campaign prohibition.

Persons who are candidates for public office may also be invited to speak at campus in their individual capacities. For example, an incumbent state governor running for re-election, who is also an alumna of the University, may be invited to speak in their capacity as an alumna without the activity constituting an impermissible political activity. During the speech, no reference should be made to the person's status as a candidate for public office nor should any campaign activity occur in concurrence with the speech. Any promotional material related to the speech should make clear that the person is appearing in their capacity as an alumna, without any mention of their candidacy for re-election.

The University may make its facilities available to individuals or groups who wish to use them to conduct political campaign activities. The University should ensure that all facilities are made available to political groups on the same basis as to other non-political groups or individuals. If rents and fees are normally charged, they should also be charged at the same usual and customary rate to the political group or candidate. No preferential treatment should be given. The University should neither promote nor endorse any political event held by an outside organization on its campus. The University should also require the candidate or organization holding the event to read a statement at the start of the event that the use of the University's facilities in no way constitutes an endorsement by the institution of the candidate or the organization. The University should also make sure that the facilities are equally available to all candidates and political parties. (See section below on Guidelines for Candidates Appearing on Campus for more information.)

Voter Registration on Campus

The University may wish to provide a forum for on-campus voter registration, either under its own auspices or under the sponsorship of other organizations. Allowing or conducting voter registration on campus does not constitute impermissible political campaign activities so long as the drive is conducted in a non-partisan and fair manner. The Federal Election Commission has provided guidance on how to conduct a non-partisan voter registration campaign. Its regulations require that either all candidates or no candidates be named, that all or no party affiliations be given, and all persons interested in registering be permitted to do so regardless of their party preference.

The University should not give preferential treatment to particular groups seeking to conduct voter registration drives on campus.

Other Voter Education

Organizations on the University campus may wish to engage in other forms of voter education, such as the dissemination of voter guides and incumbent voting records. Both voter guides and voting records may be permissible forms of political activity if certain guidelines are followed. In general, voting records and responses to candidate questionnaires may be distributed if done so without editorial comment and if they cover a broad range of issues. However, formats that “evidence a bias” toward a certain candidate or that cover only a narrow range of issues may constitute impermissible voter education activities.

Political Signs

The University generally allows political signs in personal offices and residence hall rooms as long as they are in good taste and not offensive. Signs may not be placed in common areas, on the outside of buildings, including facing out from office or classroom windows, or on the grounds. This is to avoid any suggestion that the University is endorsing a candidate. Individuals living in campus owned houses may not place signs on their lawns.

Attribution of Individual Activities to Section 501 (c)(3) Organizations

A source of concern for the University is how to ensure the participation by a member of the institutional community (a faculty member, a student organization, or a senior University official) is not attributed to the institution itself.

University employees cannot make partisan comments in official organization publications or at official functions of the organization. Employees may serve as advisors to candidates, and may even run for office themselves. Where such participation is undertaken solely in an individual capacity, without making any use of the resources of the institution, the activity should not be attributed to the institution for purposes of the prohibition on political campaign participation.

Any employee who participates in a political campaign must notify the campaign in writing (with a copy to the University) that such participation is in his or her individual capacity. The University should retain its copy of the letter in its files. The employee should seek, to the extent possible, to minimize any references to his or her position with the University by the campaign.

Procedure for Appearances on Campus

Any political candidate or group who wants to visit campus must call the Students Activities Office (563-333-6023) no less than 72 hours before arrival and make arrangements for a visit. University facilities will not be accessible during designated University holidays unless approved in advance by the President's Cabinet. The University must ensure a fair and neutral forum and provide equal time to all qualified candidates and therefore reserves the right to decline any visit if such neutrality cannot be achieved. The University and candidate/group must include a statement that the use of the University's facilities in no way constitutes an endorsement by the University of the candidate, the organization or views of either.

Following approval of any visit, the Assistant Vice President for Student Services & Engagement will notify the appropriate campus Director of Security/Public Safety and the Communications & Marketing office, as well as other campus personnel who may need to be informed of the speaker. The Communications & Marketing office will publish a short notice about candidate appearances and will clearly include a statement that the use of the University's facilities in no way constitutes an endorsement by the University of the candidate, organization or views of either.

Candidates will not be allowed to go into academic buildings, the libraries, computer laboratories or dormitories to distribute campaign literature. If a candidate wants to sit at a table and greet people, the Rogalski Center will be the designated location at the St. Ambrose campus, and the Graduate Center is the designated location at the Mount Mercy campus. Arrangements must be made in advance through the appropriate campus Events Coordinator.

3.9 Revision Procedure

The Human Resources Committee will review this Universal Handbook every three years and at any other time deemed necessary by the Associate Vice President for Human Resources and/or the President.

The University, at the discretion of the President, reserves the right to review and amend or change any policy contained herein at any time with or without notice.

4.0 Standards Of Conduct

4.1 Business Ethics

All members of the University community, including faculty, exempt and non-exempt administrative staff should conduct themselves in an honorable and just manner. Employee's personal lives and business actions should reflect compatibility with the heritage and mission of the University as well as accepted ethical and business practices. At no time should an employee bring undue scandal, adverse publicity or harm to another person, organization or group. A failure to comply with this Policy may result in disciplinary action up to and including termination of employment (see Sections 3.5 and 3.6 of the Staff Handbook and 3.4.6 of the Faculty Handbook).

4.2 Prohibition Against Discrimination, Harassment, And Retaliation

It is the policy of the University to provide a workplace free from discrimination and harassment. We require that everyone comply with this Policy. The University will not tolerate discrimination or harassment and considers harassment and discrimination

misconduct that is subject to discipline up to and including immediate termination of employment. The University also complies with the requirements of Title IX of the 1972 Education Amendments, Section 504 of the Rehabilitation Act of 1973, as amended, Title VII, and all other applicable federal, state, and local laws see the full Title IX Policy and how reports of any violations of that Policy should be made, click here: <https://sau.edu/media/content-assets/pdfs/title-ix/SAU-Title-IX-Policy.pdf>.

As used in this Policy, harassment consists of unwelcome conduct, whether verbal, physical or visual, that is based on an individual's age, color, physical or mental disability, national origin, race, religion, creed, sex, military or veteran status, sexual orientation, gender identity, pregnancy, genetic information or any other protected category under applicable local, state or federal law. religion, or any other status that is protected by state, federal, or local laws (throughout this Policy these are referred to as "protected status"), and that (a) has the purpose or effect of creating an intimidating, hostile or offensive work environment; or (b) has the purpose or effect of unreasonably interfering with an individual's work performance; or (c) otherwise adversely impacts an individual's employment opportunities. Some examples of what may be considered harassment, which are illustrative and not exhaustive, include the following:

Verbal Harassment: Repeated sexual innuendos; racial or sexual epithets; derogatory slurs; name calling; propositions; threats; certain suggestive or insulting sounds that are oriented to an employee's protected status; or jokes and graphic comments about an employee's protected status.

Visual/Non-Verbal Harassment: Derogatory posters; cartoons or drawings; suggestive objects or pictures; unwanted love letters or notes; leering; or obscene gestures.

Physical Harassment: Unwanted physical contact including touching, interference with an individual's normal work movement, pinching, patting, grabbing, or brushing against another employee; or assaulting another employee.

This Policy applies to all employees and applicants for employment. In addition, this Policy applies to students and outside vendors.

Procedure for Reporting Violations. Any individual who believes that they have witnessed or has been subjected to discrimination or harassment should immediately report the incident to the Associate Vice President for Human Resources. If the Associate Vice President for Human Resources is not available, or is responsible for the conduct that violates this Policy, the employee should report the incident to the Director of Compliance. Do not allow an inappropriate situation to continue by not reporting it, regardless of who is creating the situation. All employees are responsible to help ensure that discrimination and harassment are not tolerated, and all employees should report any harassment that they know about.

Investigation. Any report of a violation of this Policy will be investigated thoroughly and promptly. Any investigation will be conducted in a manner as determined appropriate by the University for the specific situation. Confidentiality will be maintained to the extent it is consistent with an effective investigation. If an investigation confirms a violation of this Policy, corrective action will be taken by the University as deemed appropriate under the circumstances, which may include discipline up to and including termination of the person found to have violated this Policy.

Retaliation is Prohibited. No form of retaliation (or "getting even") will be taken against

any employee or applicant who reports a violation of this Policy. It is a violation of this Policy to take any adverse action against any employee or applicant because the employee or applicant reports an incident of harassment or discrimination under this Policy, cooperates in any way with an investigation of an alleged incident of harassment or discrimination, or files a complaint with the EEOC or state or local commission. Any retaliatory conduct of this nature for these incidents will not be tolerated. Any employee or applicant who believes that they have experienced or witnessed any retaliation after making a report under this Policy should immediately report such conduct as outlined above.

Employees or applicants with questions regarding this Policy should contact the Associate Vice President for Human Resources or the Director of Compliance.

4.3 Prohibition Against Sexual Harassment And Retaliation

It is the Policy of the University to provide a workplace free from discrimination and harassment, and in particular sexual harassment is prohibited. We expect that everyone will comply with this Policy prohibiting sexual harassment. Employees who fail to comply with this Policy will be subject to discipline as appropriate under the circumstances, which may include discipline up to and including immediate termination of employment. The University also complies with the requirements of Title IX of the 1972 Education Amendments, Section 504 of the Rehabilitation Act of 1973, as amended, Title VII, and all other applicable federal, state, and local laws see the full Title IX Policy and how reports of any violations of that Policy should be made, click here: <https://sau.edu/media/content-assets/pdfs/title-ix/SAU-Title-IX-Policy.pdf>.

For the purposes of this Policy, sexual harassment is defined as unwelcome sexual advances, requests for sexual favors, and other verbal, visual or physical conduct of a sexual nature when:

- 1) Submission to such unwelcome conduct is made either explicitly or implicitly a term or condition of an individual's employment;
- 2) Submission to or rejection of such unwelcome conduct by an individual is used as a basis for employment decisions affecting an individual (i.e., promotion, demotion, and transfer); or
- 3) Such unwelcome conduct has the purpose or effect of unreasonably interfering with an employee's work performance or creating an intimidating, hostile or offensive working environment.

In particular, sexual harassment is improper conduct based on sex, whether directed towards a person of the opposite or same sex, and the following are brief examples, not exhaustive lists, of sexual harassment:

- Explicit sexual propositions;
- Sexual innuendo or jokes that are based on sex (jokes of this nature in e-mail format are also expressly prohibited);
- Repeated unwanted sexual flirtations, advances, or propositions;
- Sexually oriented teasing, practical jokes;
- Physical contact, which may include: blocking movement, touching, pinning, pinching, patting, brushing, or poking another employee's body; or

- Treating people differently, even in non-sexual ways, solely because of their gender.

Procedure for Reporting Violations. Any employee or applicant who believes that they have witnessed or have been subjected to sexual harassment should immediately report the incident to the Associate Vice President for Human Resources. If the Associate Vice President for Human Resources is not available, or is responsible for the conduct that violates this Policy, the employee or applicant should report the incident to the Director of Compliance. Do not allow an inappropriate situation to continue by not reporting it, regardless of who is creating the situation. All employees are responsible to help assure that sexual harassment is not tolerated, and all employees and applicants should report any sexual harassment that they know about.

Investigation. Any report of a violation of this Policy will be investigated thoroughly and promptly. Any investigation will be conducted in a manner as determined appropriate by the University for the specific situation. Confidentiality will be maintained to the extent it is consistent with an effective investigation. If an investigation confirms a violation of this Policy, corrective action will be taken by the University as deemed appropriate under the circumstances, which may include discipline up to and including termination of the person found to have violated this Policy.

Retaliation is Prohibited. No form of retaliation (or “getting even”) will be taken against any employee or applicant who reports a violation of this Policy. It is a violation of this Policy to take any adverse action against any employee or applicant because the employee or applicant reports an incident of sexual harassment under this Policy, files a complaint with the EEOC or state or local commission, or cooperates in any way with an investigation of an alleged incident of sexual harassment. Any retaliatory conduct of this nature will not be tolerated. If an employee or applicant believes that they have experienced or witnessed any retaliation after making a report under this Policy, that should be immediately reported to the Associate Vice President for Human Resources. If the Associate Vice President for Human Resources is not available, or is responsible for the conduct that violates this Policy, the employee or applicant should report the incident to the Director of Compliance.

Employees or applicants with questions regarding this Policy should contact the Associate Vice President for Human Resources or the Director of Compliance.

4.4 Grievance Policy

It is the University’s goal to provide a professional and respectful working environment for all employees. This is achieved by developing and maintaining cooperative working relationships among employees based on mutual respect and understanding. The University recognizes the need for a procedure that allows employees to call attention to work-related matters (i.e., as defined below) that they feel need correction. The following procedure may be used for resolving such work-related problems.

A grievance is defined as an alleged violation by the University of its established policies and/or practices with respect to wages, hours, conditions of work, or other issue related to the University’s alleged misapplication of its policies or procedures. This grievance process does not apply to any alleged violations of the following University policies: Equal Employment Opportunity Policy, Accommodations For Applicants And Employees With Disabilities, Religious Accommodations, Prohibition Against Discrimination, Harassment, And Retaliation, Prohibition Against Sexual Harassment And Retaliation, and

Whistleblowing. In addition, this grievance process does not cover any alleged violations or claims that come within the University policy, Compliance with Title IX, Equal Opportunity, Harassment and Nondiscrimination. Employees or applicants with any of these issues must follow the reporting procedures set forth in the applicable policies, and if there are any questions they should contact the Associate Vice President for Human Resources.

Informal Procedure. Faculty members should follow the informal grievance procedures found in the faculty handbook. Staff should discuss complaints with the appropriate designee. Normally, for staff this is the staff member's supervisor. If the supervisor is the subject of the grievance, then the staff member should consult with their supervisor's supervisor or the Associate Vice President for Human Resources. In most circumstances an informal grievance will not be considered timely unless it is presented within 30 days from the date of the occurrence.

After receiving a complaint, the appropriate designee will discuss the matter with all parties involved, individually or collectively, in an attempt to resolve the matter. The time limit for a resolution to be reached through informal proceedings will be 30 days from the date the designee receives the complaint. If the complainant is not satisfied with the results of these informal efforts, they may use the formal procedure. Employees are encouraged to come forward with issues, and there will be no retaliation against any employee for reporting an informal grievance.

Formal Procedure. It is the employee's right to formally make their grievances known. Any employee who feels a grievance is just and has not been satisfactorily resolved using the informal procedure is encouraged to make use of this formal procedure. There will be no retaliation against any employee for making a formal grievance, and in no way will an employee's standing or job be placed in jeopardy due to the filing of a formal grievance. A formal complaint against a faculty member should follow the formal grievance procedures specifically set forth in the Faculty Handbook. A formal complaint against a staff member will be filed in writing with the Associate Vice President for Human Resources. If the basis of the complaint is found valid, immediate steps will be taken to correct the matter as determined appropriate within the discretion of the University.

Formal procedures should be initiated in a timely manner following the alleged issue generating the grievance. In most circumstances a formal grievance will not be considered timely after 30 days from the termination of the informal resolution procedure. A formal grievance form can be obtained in the Human Resources Department or the Human Resources SharePoint page. Using this formal grievance form, the complainant shall describe the pertinent facts and circumstances of the grievance, the alleged incident(s), the date(s) of occurrence, the persons allegedly involved, and the policy, or regulation allegedly violated, misapplied, or misinterpreted. The complainant shall also specify the relief that they seek.

Step One.

Absent other circumstances or scheduling issues, generally within three working days of receiving a formal grievance, the Associate Vice President for Human Resources will meet with all parties involved and the supervisor to discuss the problem. These meetings may be held jointly or separately at the discretion of the Associate Vice President for Human Resources. The Associate Vice President for Human Resources will present their decision in writing to the employee in a personal meeting that is generally held within ten working days of the date of the written grievance, absent other circumstances or

scheduling issues. A copy of the decision will be forwarded to all parties involved, the supervisor, the appropriate vice president and to the University President.

Step Two.

If either the employee filing the grievance or the employee named in the grievance is not satisfied with the resolution offered by the Associate Vice President for Human Resources, either party has the right to submit a written request to the Associate Vice President for Human Resources for review of the grievance by the Staff Grievance Committee, hereafter referred to as 'the Committee' within three working days of the date of the decision reached in Step One. The Associate Vice President for Human Resources or designee will convene the Committee, comprised of staff employees selected by the Staff Assembly President and approved by the University President.

Four people from the list of the Committee will be selected by the Associate Vice President for Human Resources or designee. The Chair of the Committee will be one of the representatives on the Committee from the employee group to which the complainant belongs (e.g., exempt, or non-exempt) and will be named by the Associate Vice President for Human Resources. The Chair does not have voting rights. No member of the Committee may be in the same department or have a conflict of interest to any party of the grievance.

The Associate Vice President for Human Resources, or designee, will provide a formal notice of the hearing (with date, time, and procedures) to the parties involved; they will distribute documents related to the grievance to the Committee and any other relevant parties.

Within 10 working days of distributing the grievance documents, absent scheduling or other issues, the Committee will hold a hearing with the employee who has filed the grievance, the employee against whom the grievance has been lodged, and any other witnesses or relevant parties. All parties have the right to be present during any oral statements considered by the Committee and have access to relevant information presented.

Each side will be provided with time to present opening and closing statements and submit any information that supports their claim. Parties are responsible for providing and explaining relevant evidence to the Committee. The Committee may elect not to review evidence that is unexplained or appears irrelevant.

Each party shall have the right to question witnesses. Committee members have the right to ask questions during the hearing. The Committee Chair will determine if a particular line of questioning is relevant.

Each party is responsible for providing their own witnesses.

Each party has the right to have any one person present as an advisor of their choice throughout the hearing. Advisors are permitted to advise and counsel their respective parties but are not permitted to argue the case or question witnesses.

The formal rules of evidence applicable to judicial proceedings shall not apply in the review session. The Committee may receive such evidence as a reasonable person would

consider reliable in making important decisions. Each member of the Committee will have one vote with the exception of the Chair (who does not have a vote).

Within five working days of the conclusion of the hearing and absent other circumstances or scheduling issues, the Committee will prepare and submit to the Associate Vice President for Human Resources a written summary of the hearing. This summary will include their determination of whether University policy was violated, misinterpreted, or misapplied and, if so, how the grievant was adversely affected. A courtesy copy of the Committee's decision will be provided to each party by the Associate Vice President for Human Resources.

Step Three.

Either party has the right to appeal the findings of the Committee within three working days after the Committee's decision. A three-member panel of the Committee, designated by the Associate Vice President for Human Resources, who were not involved in the grievance previously will consider all appeal requests. Any party may appeal, but appeals are limited to the following:

- A procedural error or omission occurred that significantly impacted the outcome of the hearing (e.g., substantial bias, material deviation from established procedures, etc.)
- To consider new evidence, unknown or unavailable during the original hearing that could substantially impact the original finding or sanction. A summary of this new evidence and its potential impact must be included.

The appeals panel of the Committee will review the appeal request(s). The original finding and sanction/responsive actions will stand if the appeal is not received within 3 working days or is not based on the grounds listed above, and such decision is final. When any party requests an appeal, the other party (parties) will be notified of the appeal. The party requesting the appeal must show that the grounds for an appeal have been met, and the other party or parties may maintain that the grounds have not been met, or that additional grounds are met. The original finding and actions are presumed to have been decided reasonably and appropriately.

If the appeal panel finds that at least one of the grounds has been met, and moves forward to consider the appeal, additional principles governing the hearing of appeals include the following:

- Appeals decisions by the appeal panel are to be deferential to the original decision, making changes to the finding only where there is clear error and to the sanction/responsive action only if there is a compelling justification to do so.
- Appeals are confined to a review of the written documentation or record of the original hearing, and pertinent documentation regarding the grounds for appeal. The appeal panel will determine whether the new evidence materially alters the facts or circumstances that led to the original decision.
- Sanctions/responsive actions imposed are implemented immediately unless the Associate Vice President for Human Resources or designee stay their implementation in extraordinary circumstances, pending the outcome of the appeal.
- The Associate Vice President for Human Resources will normally, after conferring with the appeals panel, render a written decision on the appeal to all parties within 2-3 business days from the hearing of the appeal, and depending on schedules or other issues.

- All parties should be informed of whether the grounds for an appeal are accepted and the results of the appeal decision.
- Once an appeal is decided, the outcome is final: further appeals are not permitted.

Retaliation against any complainant making a good faith complaint under the policies of the University, or retaliation against witnesses assisting in an investigation of a complaint, is expressly prohibited.

Retaliatory words or behavior that punish or threaten to punish a complainant for making a complaint under the policies of the University or witnesses assisting in the investigation of a complaint are strictly prohibited, and any employee who engages in such conduct is subject to discipline up to and including termination of employment.

Discharging, threatening, or otherwise discriminating or retaliating against an employee regarding the employee's terms and conditions of employment because the employee makes or is about to make a good faith complaint is prohibited, and any employee who engages in such conduct is subject to discipline up to and including termination of employment.

Any employee who feels they are a victim of retaliation should immediately bring their concerns to the attention of their supervisor/Chair, the vice president in charge of their department, or the Human Resources Department. Any reported allegation of retaliation will be promptly investigated by the University, and appropriate actions will be taken against any individuals who have engaged in any retaliation up to and including termination of employment.

There is no retaliatory violation if the action by the employer or another individual occurred for separate and legitimate reasons.

4.5 Alcohol And Drugs

The purpose of this Policy is to work toward the prevention of substance abuse in the University community. The use of illicit drugs is prohibited by this Policy. All employees are required to obey all state, federal and local laws and regulations regarding the prohibition of illicit drugs and the rules regarding use of alcohol on campus, on University property, or as part of any University sponsored events. A University sponsored event for purposes of this Policy is an event that is directly organized and/or sponsored by the University. Employees who violate state, federal or local drug or alcohol laws are subject to criminal prosecution; and employees who violate University policies are subject to institutional sanctions up to and including termination of employment. In addition, improper use or abuse of prescription drugs or alcohol can seriously injure the health of employees, impair the performance of their responsibilities and endanger the safety and well-being of fellow employees, students and members of the general public.

University employees must fully comply with all laws of the State of Iowa, including those regarding the possession and consumption of alcohol on University property and as part of a University sponsored event. The following are specific provisions: no University employee may dispense or give alcohol to a person under the age of 21 or to anyone visibly intoxicated; no University employee may permit the possession or consumption of alcohol by a person under the age of 21 or by anyone visibly intoxicated; and no University employee one under the age of 18 may dispense alcoholic beverages.

Employees over the age of 21 may consume alcoholic beverages (in compliance with

Iowa law) at certain official University functions on University property or part of a University sponsored event, only where the consumption of alcohol is authorized by University officials.

Consumption of alcohol, intoxication, or the misuse of alcohol while on the job is prohibited.

Illegal drugs are not permitted on campus or at any location at which University business is conducted. This means all employees are absolutely prohibited from unlawfully manufacturing, distributing, possessing or using controlled substances in the workplace, on University property, or at a University sponsored event.

Following is a partial illustrative list of controlled substances that are barred from use by University policy and applicable laws: heroin, morphine, cannabis (marijuana, hashish), stimulants (cocaine, amphetamines), depressants (tranquilizers), hallucinogens (PCP, LSD, "designer drugs").

Any employee convicted of violating a criminal drug statute in the workplace must inform the University of such conviction (including pleas of guilty or nolo contendere) within five days of the conviction occurring. Failure to so inform the University will result in severe disciplinary action, up to and including termination for the first offense.

For employees convicted of violating a criminal drug or alcohol statute in the workplace, the University reserves the right, within its discretion, to offer participation in an approved rehabilitation or drug abuse assistance program as an alternative to discipline, with the employee required to participate satisfactorily as a condition of continued employment. However, it is the University's position that these resources are best used voluntarily before workplace problems occur, and that is encouraged. If an employee fails to voluntarily seek help and engages in misconduct that results in a violation of any University policy, the employee will be subject to discipline for the policy violation up to and including termination of employment.

Violations of alcohol or drug policies shall result in appropriate disciplinary action up to and including termination of employment. If the use or abuse of drugs and/or alcohol threatens to cause disorder or danger to the members of the University community, others, or campus property, appropriate action will immediately be taken. The discipline issued will be in the discretion of the University and in accordance with University policies and procedures.

If the University becomes aware that an employee is having issues with substance abuse, it may offer evaluation and subsequent treatment and require completion and proof of completion of treatment as a condition of continued employment. It is the responsibility of the employee to cooperate in their treatment. Discipline up to and including termination of employment may occur if the individual does not meet acceptable job performance standards, or if the individual violates the drug or alcohol policies of the University.

The University will accommodate employees in accordance with applicable laws. Strict confidentiality will be maintained, to the fullest extent possible, in all matters related to referral and treatment.

The University encourages employees who have substance abuse problems to seek help through the Employee Assistance Program (EAP), which is a confidential short-term counseling service provided by the University and offered as part of the benefits package. This counseling service is for a variety of issues including substance abuse. For more

information contact the Human Resources Department.

4.6 Tobacco-Free Environment

In consideration of the health, safety and comfort of all University students, employees and visitors, and in compliance with Iowa state law (Iowa Code Chapter 142D, "The Smoke Free Air Act"), the use of any form of tobacco including electronic or e-cigarettes is prohibited in or on any property owned by the University.

This Policy prohibits smoking and the use of any form of tobacco in, but is not limited to, all of the following: residential housing, offices, classrooms, student residences, lounges, hallways, dining facilities, rest rooms, entryways and enclosed areas owned by the University.

This Policy prohibits smoking and the use of any form of tobacco on, but is not limited to, all of the following: University grounds including parking lots, athletic fields, and any other outdoor area under the control of the University.

Smoking and the use of any form of tobacco is prohibited at all times in University-owned or leased vehicles. Smoking is prohibited inside any vehicle, whether University-owned or privately-owned, located on school grounds.

Smokers are required to properly dispose of any tobacco materials before entering any campus property or the grounds. No ashtrays or smoking receptacles will be available on campus.

The sale of tobacco products is prohibited on campus.

All applicants for employment and students will be advised of the Tobacco-Free Policy.

Employees and students who want help curbing their use of tobacco may obtain literature and smoking cessation assistance from the University Human Resources Department or Health Services Office.

All students, employees and visitors share responsibility for adhering to and enforcing the Policy.

Anyone in violation of Iowa law may be subject to the state's regulation, enforcement and civil penalties.

Any employee who observes another employee smoking in an area where smoking is prohibited should immediately notify their supervisor or the Human Resources Department. Any employee who violates the No Smoking Policy will be subject to discipline, up to and including termination. Violations of this may also be reported to the Smoke free Air Act Hotline by calling 1-888-944-2247 or visiting <https://smokefreeair.iowa.gov>.

The University shall not discharge, refuse to employ, or retaliate in any way against an employee, prospective employee, or student for exercising their rights under Iowa Code Chapter 142D, "The Smoke Free Air Act," including the right to register a complaint or prosecution of a claim. Any employee, prospective employee or student who feels they may have been retaliated against for exercising their rights under this Policy should promptly report the matter to the Human Resources Department.

4.7 Conflict Of Interest

This Policy applies to all individuals who exercise authority over the activities of the University including specifically, the President, Vice Presidents, Deans, Department Heads, Department Chairs and Directors and any other individuals who procure goods or services on behalf of the University or approve expenditure of University funds (hereinafter collectively referred to in this Policy as “employees”).

Definitions

A *business relationship* is one in which an employee or a member of their family as defined below serves as an officer, director, manager, employee with supervisory authority, partner, trustee, or owner of more than a 35% interest of an organization that does business with the University.

A *conflict of interest* refers to a situation in which an individual’s financial, professional, or other personal considerations may directly or indirectly affect, or have the appearance of affecting, an individual’s professional judgment in exercising any University duty or responsibility, including the conduct or reporting of research. Typically, a conflict of interest may arise when an individual has the opportunity or appears to have the opportunity to influence the University’s business, administrative, academic, patient care, research, or other decisions in ways that could lead to financial, professional, or personal gain or advantage of any kind, whether or not the value is readily ascertainable. Some common examples that present conflicts of interest are those that involve the hiring or retention of employees, suppliers and contractors, utilizing University resources, sharing confidential University information or one’s use of work time.

Family includes a spouse, parents, siblings, children, or any other relative or person not previously identified if such relative or person resides in the same household as the employee.

It is the policy of the University that its employees conduct the affairs of the University in accordance with the highest ethical, legal and moral standards. All decisions and actions of the University’s employees are to be made in a manner that advances the best interests of the University. The integrity of the University must be protected at all times and the responsibility of all employees to act in the best interest of the University must be evident in both actions and appearance. A conflict of interest, or the appearance of a conflict of interest, exists when the personal or family interests of the University’s employees are or could be perceived to be inconsistent or interfere with the best interests of the University. This also includes applying the time and effort for which they are compensated, and the use of University resources towards the best interest of the University.

To avoid a real or perceived conflict between an employee’s or their families’ personal or professional interests and the University’s interests, an employee must not be in a position to make a decision for the University if their personal, professional or family interests may be directly influenced or affected by the outcome.

The University’s employees are responsible for their conduct under this Policy. A list of rules or examples cannot provide direction for all of the many and varied circumstances that may arise. In the case of questionable circumstances, employees should consult their direct supervisor for help.

When employees identify a conflict of interest, or a potential conflict of interest, they should communicate this in writing to the University’s Vice President of Finance. Based on the

size and type of conflict or potential conflict of interest, the Vice President of Finance may engage the President's Cabinet or the University's Audit Committee for counsel. The Vice President for Finance will then determine whether, or under what conditions, the activity or business relationship will be allowed.

The decisions of the Vice President of Finance may be appealed to the University's President in writing, unless the conflict or potential conflict of interest is at the Presidential level. In this case the decision should be appealed to the Chair of the University's Audit Committee. The decision of the President or the Audit Committee is final.

In addition to giving notice for a conflict of interest or a potential conflict of interest, all key employees of the University (President, Vice Presidents, Deans and Directors) will be required to complete a Conflict of Interest Questionnaire on an annual basis. These questionnaires will be reviewed by the University's Vice President for Finance who will approve or disapprove of situations or relationships where conflict exists. These decisions may also be appealed as noted above.

Use of University stationary and logo. The official stationary of the University may not be used for outside business, personal, or political activities of employees. It is also not appropriate for employees to use the name of the University or any of its symbols, trademarks or identifying symbols in printed materials outside the scope of University business and employees are prohibited from the use of such items for matters intended to endorse or promote individual enterprises or enhance their personal gain. Any exceptions must be approved in writing by the University's President and Vice President for Finance. Failure to adhere to this requirement may subject the employee to disciplinary action up to and including termination.

Use of University facilities and equipment. University materials, facilities and equipment must not be used for personal reasons or for personal interests. This does not include situations where employees are renting or using facilities or equipment through proper University channels. All other appeals for the use of University facilities, equipment and materials should be communicated in writing to the Vice President for Finance.

Employees who do not comply with this Policy are subject to disciplinary action, up to and including termination of employment.

4.8 Whistleblowing

The purpose of this Policy is to encourage all trustees, faculty, staff and students (hereinafter collectively referred to in this Policy as "Individuals") of the University, acting in good faith, to report violations of University policy, violations of federal, state, and local laws and regulations and/or financial wrongdoing. Individuals who report such misconduct will also be protected from retaliation as a result of reporting their concerns.

Financial wrongdoing is defined as suspected violations of law, external regulations or University policy of a financial nature or misuse of University resources. Such violations may include, but are not limited to, theft or inappropriate use of cash or other University property, falsification of hours worked for payroll purposes and inappropriate spending of cash through the accounts payable process. The Policy is not intended and may not be used for such issues as personal or employment grievances, general compensation and benefit complaints, or opinions on policy.

Individuals who have identified suspected noncompliance with University policies, violations of federal, state and local laws and/or financial wrongdoing should inform the

Vice President of Human Resources. If the Vice President of Human Resources is not available or is the person who engaged in the conduct being reported, the issue should be reported to the Director of Compliance. Students should address their concerns to the Associate Vice President of Human Resources. Trustees should direct all concerns to the Chair of the University's Audit Committee or the Chairman of the Board of Trustees.

Although the University encourages Individuals to report concerns as outlined above, there are times when an Individual may feel it is necessary to report a concern outside of the traditional reporting mechanism. In this case and in any instance where an Individual has concerns related to the University President, Vice Presidents, or members of the Board of Trustees, they should send a confidential e-mail to: auditcommittee@sau.edu. This mailbox is only accessible to the University's Audit Committee.

Retaliation Prohibited. Individuals who communicate their concerns in good faith shall not be subject to retaliation, including harassment or any adverse employment, academic or educational consequence. Individuals may not directly or indirectly use or attempt to use the official authority or influence of their position for the purpose of interfering with the right of an Individual to make a disclosure of concern to the University. Any Individual who retaliates or threatens to retaliate against another Individual as a result of their disclosure of a particular concern under this Policy is subject to disciplinary action by the University, including termination of employment or expulsion. Any Individuals who believe they have been retaliated against after making good faith reports should immediately report the alleged retaliation to the Associate Vice President for Human Resources.

False Allegations. Individuals who give information they know to be false will be subject to appropriate disciplinary action by the University, including termination of employment or expulsion.

Confidentiality. Whistleblower concerns may be communicated on a confidential basis. Such concerns will be kept confidential to the extent possible, consistent with the need to investigate the claim and comply with any applicable laws. The whistleblower should generally not discuss allegations outside of the reporting and investigation process set forth in this Policy so that the University has the opportunity to conduct a full investigation.

Note: If an individual self-discloses their identity directly or indirectly through their own actions outside of the official investigation process, the University is not obligated to maintain confidentiality.

4.9 Conduct In The Workplace

It is the University's policy that employees maintain a working environment that encourages mutual respect, promotes civil and congenial relationships among employees and is free from all forms of harassment and violence.

Procedures

Employees are expected to conduct themselves in an appropriate manner as determined by policy. Employees are responsible for maintaining their work area in a neat and professional manner.

The University encourages a congenial work environment of respect and professionalism. The University prohibits employees from engaging in disorderly conduct or intentionally harming or threatening to harm other employees, students, vendors, visitors or property belonging to any of these parties. This prohibition includes but is not limited to intentional acts such as:

- Physically harming others.
- Verbally abusing others.
- Using intimidation tactics and making threats.
- Sabotaging another's work, for example, altering wording on a word document without employee's knowledge or changing the language in an email.
- Stalking others.
- Making malicious, false and harmful statements about others.
- Publicly disclosing another's private information.

Employees are responsible for assuring the security of University confidential/proprietary material in their possession and similarly maintaining the security of University-provided equipment. Employees concerned for the security of their work area or equipment must inform their supervisor of such concerns.

The University reserves the right to search any University owned property at any time. If the University suspects illegal or prohibited conduct by an employee, the University may contact law enforcement.

The University may take disciplinary action against employees whose conduct violates this or other University policies and practices. The employee should consult the department supervisor and/or the Associate Vice President for Human Resources on such matters.

For discussion of weapons in the workplace, please see the University's Weapons In The Workplace Policy. For discussion of harassment, please see the Prohibition Against Discrimination, Harassment, And Retaliation Policy and the Prohibition Against Sexual Harassment And Retaliation Policy set forth in this Universal Handbook.

4.10 Outside Employment And Conflict Of Commitment

Please note that the following applies to individuals who are employed full-time by the University. All employees are required to disclose to the University any outside employment or business activities that the employee proposes to engage in while employed with the University. The University must approve any proposed outside employment or activities in advance, and the University has the full discretion to approve or deny any outside employment or business activity. No employee will be permitted to engage in any outside employment, business activities or other external activities, either paid or unpaid, that the University determines interferes with their primary obligation and commitment to their employment with the University. Employees cannot engage in any outside employment or business activities that create a conflict of interest with the University, and employees cannot engage in outside employment or business activities that could damage the University's reputation. If the University approves an employee's outside employment or activities, the employee must evaluate and arrange their external commitments to avoid compromising their ability to carry out their employment obligations to the University. The University will not approve any outside employment or business activities that negatively affect an employee's job performance, attendance, availability to their supervisor or students, or any other aspect of the employee's employment with the University.

This Policy applies to all employees and includes any outside employment and business activities including teaching at another institution, clinical work, or any other outside employment or business activities. Any outside employment or business activities requires prior written approval of the employee's supervisor, or, where applicable, the Department

Chair, College Dean, and Chief Academic Officer or other appropriate Vice President. Employees who are approved for outside employment or business activities must keep all University information confidential. Employees cannot use any University resources for approved outside employment or business activities which includes, but is not limited to, use of University email, letterhead, logo, office products, computer or internet resources, or University work time.

For employees who have a written employment contract with the University, portions of this Policy do not apply when the employee is not actively under contract with the University. For example, an employee with a nine-month employment contract with the University is not considered under contract for the three months they are not under contract with the University, and the employee is free to engage in other employment or business activities during that three-month period. However, employees not under contract are still expected to refrain from engaging in employment or business activities that could damage the University's reputation. Similarly, employees cannot use University resources in support of outside employment or business activities at any time, which includes when the employee is not under contract with the University.

Any employee who fails to disclose outside employment or business activities, or engages in outside employment or business activities that the University finds are in violation of this Policy or not in the best interest of the University, is subject to discipline up to and including immediate termination of employment. In addition, any employee who uses University resources for outside employment or business activities is subject to discipline up to and including immediate termination of employment.

4.11 Gifts From External Parties To Employees

Employees in certain positions have the ability to influence procurement and contractual decisions. Employees in these positions have a particular responsibility to avoid situations that will constitute a conflict of interest, or have the appearance of a conflict of interest. No such employee shall pursue their own interest at the expense of the University.

A conflict of interest can occur when a personal interest interferes with the independent judgment required by employees in order to perform their duties and responsibilities in the best interests of the University. This Policy is intended to establish a minimum standard for all University employees.

The acceptance of significant material gifts or special favors (defined as \$200 in value or higher) by an employee of the University from anyone doing business with, or soliciting business from, the University is not permitted. The only exceptions to this are minor gifts and token courtesies that do not place, or do not have the appearance of placing, the recipient under any obligation when making decisions on the University's behalf.

When an employee is offered a gift or hospitality, they should discuss the offer with their direct supervisor. However, University employees can accept the following:

- A plaque or an award;
- Items of insignificant value that are commonly given to everyone (e.g. key chains, T-shirts, coffee mugs or bags);
- Informational materials that are commonly given by vendors to everyone (e.g. booklets, audio or video tapes);
- Goodwill exchange gifts when University officials are on a mission abroad or visiting other domestic institutions or when officials from other institutions visit the University. Because the refusal of a gift could offend the hosting officials, such gifts can be accepted. If the

gifts are of significant value (i.e. greater than \$200) they become the property of the University and should be discussed with the employee's direct supervisor; Business meals with a prospective vendor or at professional meetings and conferences are allowed if the University gains from such attendance and if the value of the meal does not exceed \$200. Examples would include investigations of a vendor's capability to service the University, review of new product or facility, and when individuals perceive that continuing discussions with a vendor through mealtime has merit. Repetitive mealtime meetings should be discouraged. Meals associated with pure entertainment, where University business is not discussed, are not considered business meals; Gifts of social entertainment, if the value of the entertainment is less than \$200 per person and the gift does not obligate the employee; and Gifts of food or drink delivered to the University, provided the food and drink is less than \$200 and is shared with members of the University community.

4.12 Minors On Campus Policy

Purpose

The University welcomes minors who visit the University and participate in activities and programs held by University Sponsoring Units and on University property. To provide for appropriate supervision of minors who are involved in University-sponsored activities and programs, and programs held by third parties/sponsoring units on University property, this Policy sets forth rules to be followed. In addition to the rules set forth below, all minor visitors are subject to general University policies, including conduct policies, and any applicable federal, state, and local laws. This Policy does not apply to general, public events where parents/guardians are invited/expected to provide supervision of minors on University property, or to events where parents/guardians and teachers are explicitly required to accompany their children. The requirements under this Policy vary depending on the specific activity at issue, and the age of the minor.

Definitions As Used In This Policy:

Minor: A person, under the age of eighteen (18) years.

University Facilities: Facilities owned by, or under the exclusive control of, the University.

Programs: Programs and activities offered by various academic or administrative units of the University, or by non-University groups using University facilities. This includes but is not limited to workshops, sport camps, academic camps, conferences, pre-enrollment visits, and other similar activities.

Sponsoring Unit: The academic or administrative unit of the University which offers a program, or gives approval for a third party to use University facilities and/or housing for a program.

Authorized Adult: Individuals, age 18 and older, paid or unpaid, who interact with, supervise, chaperone, or otherwise oversee minors in program activities, recreational, and/or residential facilities. This includes but is not limited to faculty, staff, volunteers, graduate and undergraduate students, interns, employees of temporary employment agencies, and independent contractors/consultants. The Authorized Adult role may include positions such as counselors, chaperones, coaches, instructors, etc. This definition does not include temporary guest speakers, presenters, and other individuals who have no direct contact with program participants other than short term activities supervised by Authorized Adults. Authorized Adults are considered to be mandated

reporters as defined by Iowa law. Further guidance on reporting child abuse for the University employees is provided in the Child Abuse Reporting Policy.

For the full Policy, please go to: SharePoint/Employee Resources/Compliance/Compliance Document Library.

4.13 Child Abuse Policy

The purpose of this Policy is to encourage and require any report of child abuse to appropriate authorities. The University seeks at all times to protect the welfare of minors on its campus. This includes minors who are on the University's campus or participating in off-campus University-sponsored programs. The Policy is intended to be interpreted broadly, and any uncertainty about whether to report a potential violation or potential abuse should be resolved in favor of making a report.

Who Must Report

This Policy requires anyone, including any employee who, in the scope of their employment responsibilities, examines, attends, counsels, or treats a child, to report suspected physical or sexual abuse of a child to the appropriate authorities. A report should be made to both the University's Security Department and to law enforcement within 24 hours. All University employees, including but not limited to, faculty, staff, coaches, student employees, and administrators are required to report any suspected abuse. If you are not sure whether you are required to report, this Policy encourages you to err on the side of caution and report the suspected abuse. You do not need to have proof that the abuse has occurred in order to report.

All reporters must report child abuse when they see, know about, or reasonably suspect the abuse of a child. A report should be made within 24 hours after becoming aware of the suspected abuse. This includes reporting any type of abuse of a child, including physical or sexual abuse. For the purposes of this Policy, the following definitions apply:

- "Child" means any person under the age of 18 years.
- "Physical Abuse" means non-accidental acts or admissions that cause, or fail to prevent, physical injury to a child.
- "Sexual Abuse" means the commission of a sexual offense according to Iowa law, including rape, sexual assault, molestation, incest, indecent exposure, or exploitation of a child in a manner in which the child is used for gratification or sexual enjoyment of another person.

Procedures

In the event of an emergency, first call 9-1-1.

Suspected abuse must be reported to both: (1) The University's Security Department, Davenport: 563-333-6104, or Mount Mercy Campus 319-363-1323 x1234 (2) the Davenport or Cedar Rapids Police Department: Davenport: 563-326-7979 / Cedar Rapids: 319-286-5491.

When making a report of child abuse under this Policy, the reporter shall provide the following information to the best of their knowledge:

- The name of the alleged victim;
- The name of the alleged perpetrator;
- Time and date of the incidents being reported;
- Location where the incidents occurred; and
- Any additional information known about the abuse.

Mandatory Reporters

It is possible that some reporters, as well as others who interact with minors, who are on the University's campus or participating in off-campus University-sponsored programs, may be Mandatory Reporters of child abuse under Iowa Code § 232.69. These individuals have additional responsibilities to report all forms of child abuse as described in Iowa Code § 232.68(2). Pursuant to § 232.69, Mandatory Reporters must report suspected abuse to the Department of Human Services. Child abuse should be reported to the Department of Human Services by calling the toll-free child abuse reporting hotline 24 hours/day, 1-800-362-2178.

The University encourages everybody, including those who are not Mandatory Reporters under Iowa Code § 232.69, to report all forms of child abuse to the Department of Human Services in addition to reporting to the University's Security Department and the appropriate city police department under this Policy.

Prohibition on Retaliation

Consistent with Iowa law, the University will not tolerate any retaliation against any employee who makes a good faith report of child abuse pursuant to this Policy. If an employee believes retaliation has occurred, they must immediately report that to the Associate Vice President for Human Resources.

4.14 Solicitations And Sales By Employees

In order to minimize personal inconvenience and interference with orderly operations, no employee shall sell, solicit, or promote subscriptions, pledges, memberships, or other types of support for any drives, campaigns, courses, organizations other than those sponsored by the University.

4.15 Family Educational Rights And Privacy Act (FERPA)

The Family Educational Rights And Privacy Act (FERPA) is a federal law that affords parents the right to have access to their children's education records, the right to seek to have the records amended, and the right to have some control over the disclosure of personally identifiable information from the education records. When a student turns 18 years old, or enters a postsecondary institution at any age, the rights under FERPA transfer from the parents to the student ("eligible student"). The FERPA statute is found at 20 U.S.C. § 1232g and the FERPA regulations are found at 34 CFR Part 99.

Disclosure to school officials with legitimate educational interests is permitted. A school official is a person employed by the University in an administrative, supervisory, academic or research, or support staff position (including security personnel and health staff); a person or company with whom the University has contracted (such as an attorney, auditor, or collection agent); a person serving on the Board of Trustees; or a student serving on an official committee (such as a disciplinary or grievance committee) or assisting another school official in performing his or her tasks. A school official has a legitimate educational interest if the official needs to review an education record to fulfill his or her professional responsibilities.

At its discretion, the University may provide directory information to non-institutional persons or organizations in accordance with the provisions of the Act. Students are notified annually of their FERPA rights and given the opportunity to request that their directory information not be disclosed.

Information Security Plan

St. Ambrose University expects that employees of the University understand and comply with Federal Trade Commission rules that require institutional policies that protect the financial information of its students. While employees are already bound by the provisions of the Family Educational Rights And Privacy Act (FERPA), these safeguarding rules are an outcome of the Gramm-Leach-Bliley (GLB) Act of 2000 and require the administrative, technical and physical safeguarding of customer information.

Any area that suspects or is subject to a breach of this Plan should report such behavior to Human Resources immediately. Individuals breaching confidentiality as outlined in the Plan will be subject to disciplinary action up to and including termination.

5.0 Benefits

5.1 Employee Assistance Program

Benefit eligible employees have access to two Employee Assistance Programs (EAP). One is through Personal Assistance Services (PAS) and the other is through MetLife.

www.paseap.com

The EAP is responsible for the operation of the program. Consultation is available to all employees and their families on a voluntary basis. EAP offers diagnostic assessment and counseling for any personal and/or family problems.

A professionally trained counselor will return calls to the 24-hour hot-line number and discuss the problem confidentially. An employee's use of the EAP program is voluntary and confidential.

The hot-line number is: 800-356-0845.

5.2 Pension Plan

Employees who are under 65 years of age, and not previously covered under any other retirement plan, to which the University contributes, with the exception of Social Security, are eligible to participate in the pension fund. (Eligibility is defined as a minimum of 1000 work hours per year.)

Each eligible employee is permitted to make taxed & tax deferred pension fund contributions, up to a maximum determined by federal guidelines. The University will match up to seven percent of the employee's annual base salary.

Matching employer contributions will be 100% vested after 24 months of service. Previous employment with a post-secondary institution accredited by the Higher Learning Commission or a similar accreditation shall be credited as months of service for vesting purposes.

5.3 Social Security

All employees are required to participate in the Federal Old Age and Survivor's Insurance Program provided for in the Social Security Act, and the University will make the appropriate deductions from employee wages.

5.4 Worker's Compensation

All employees are covered under Worker's Compensation insurance.

If an employee is injured or has an illness from performing their job responsibilities, they need to report this injury or illness to their supervisor/chair immediately but no later than 24 hours. An employee's failure to timely report an injury may result in a loss of benefits.

An employee's immediate supervisor/chair must complete an incident report for an employee injury within 48 hours. The original report should be forwarded to the Director of Health Services or if not available to the Human Resources Department within this time frame.

5.5 Medical And Dental Insurance And COBRA

All full-time employees are eligible to join the medical group insurance plan and/or the dental insurance plan, provided they work a minimum of 30 hours per week for health and 32 hours a week for dental. Eligible employees may enroll in the plans at the time of initial employment, open enrollment or when a major life change has occurred, such as marriage, birth or adoption of a child, divorce, death of a spouse, loss of a spouse's job, or loss of spouse's insurance coverage. Medical plan options include single, employee + child(ren), or family coverage. Dental plan options include single, single plus one or family coverage. The University currently pays a minimum of 3/4 of the monthly charge for medical insurance coverage, and 1/2 the monthly charge for dental insurance coverage. The employee pays the remainder of the cost through monthly payroll deductions. The Summary Plan Description is available at the Human Resources Department. As with all benefits, this benefit is subject to change at any time at the sole discretion of the University.

Employees who separate from their employment may be eligible for continuing coverage in accordance with the provisions of the Consolidated Omnibus Budget Reconciliation Act of 1985 (COBRA) as amended. Employees who are terminated for "gross misconduct" as legally defined, are not eligible for COBRA benefits. Terminated employees will receive information regarding COBRA. The University will comply with COBRA and its requirements and provisions, including those provisions that permit cancellation of comparable coverage before the end of their 18-month period outlined above. For further information, contact the Human Resources Department.

5.6 Vision Insurance

All full-time employees are eligible to join the vision insurance plan, provided they work a minimum of 32 hours per week. Eligible employees may enroll in the vision insurance plan at the time of initial employment. They may also opt to join or terminate coverage during the yearly open enrollment period, which is publicized by the Human Resources Department and generally coincides with the start of the new calendar year. The employee pays the entire monthly charge for single, single plus one or family coverage. The Summary Plan Description is available at the Human Resources Department. As with

all benefits, this benefit is subject to change at any time at the sole discretion of the University.

5.7 Long-Term Disability

Disability insurance is provided by the University in conjunction with Social Security benefits. The amount of insurance is 60 percent of basic monthly earnings not to exceed the maximum monthly benefit, less other income benefits. The maximum monthly benefit is **\$10,000**.

The Long-Term Disability Plan includes a conversion privilege which allows eligible terminating employees the option of continuing long-term disability coverage with no requirement of medical underwriting. To be eligible to convert, the employee must have been covered on this long-term disability plan for a minimum of 12 months. For further information concerning this benefit, contact the Human Resources Department. As with all benefits, this benefit is subject to change at any time at the sole discretion of the University.

5.8 Life Insurance

All full-time employees participate in the term life insurance program in the amount of \$50,000. Summary Plan Descriptions are available from the Human Resources Department.

Qualified full-time employees may purchase additional supplemental term insurance. See the Human Resources Department for further information.

Dependent and spouse insurance coverage is also available. See the Human Resources Department for further information.

Life insurance under the basic plan is canceled as of the first of the month following the date of termination or resignation. Supplemental life coverage can be continued after termination at the employee's expense and with the employee's required follow up actions. As with all benefits, this benefit is subject to change at any time at the sole discretion of the University.

5.9 Training And Development

The University encourages every employee to improve their education and skills and to take steps to achieve personal and/or career goals.

Tuition Remission

Tuition remission benefits may apply to an employee, employee spouse or eligible children, based upon the following criteria.

For purposes of all University tuition remission benefits, eligible children are defined in accordance with FAFSA guidelines, as being 23 years of age or younger. At age 24 a child is considered independent and is no longer eligible for tuition remission benefits.

Any person wishing to use the tuition remission benefit who does not have an undergraduate degree must be formally accepted as a degree-seeking student. The student is then eligible to participate in all federal and state grant programs. A person has

one semester (if needed) to submit the appropriate paperwork to the admissions office in order to become degree-seeking.

No tuition remission will be granted for undergraduate studies unless timely application for financial aid, using a FAFSA, has been made to all federal grant or state aid programs (e.g., Iowa Tuition Grant for Iowa residents). The University's priority deadline for financial aid is March 15, and any employees seeking to use the tuition remission benefit for themselves or family members are strongly encouraged to complete all financial aid forms by that date. All aid received will be used to offset tuition grants. Application forms, deadlines and other information may be obtained from the financial aid office.

The student must meet terms of satisfactory progress in order to maintain their tuition remission benefit. This requirement is imposed by federal and state regulations, and full details of this Policy may be obtained from the financial aid office.

Second grade options are included in the tuition remission benefit but not to exceed 12 credits during a student's eligibility period. Any class that is failed after using the maximum allowed of retakes must be covered at the student's expense. Eligible children will be required to sign a grade report request to be sent to their parent(s).

In no case will tuition reimbursement be applied to studies completed before an employee's date of hire.

A full-time employee is limited to taking nine credit hours per semester or summer term, and only three of the nine hours are allowed per term during regular work hours, which also requires advance supervisory approval.

No courses taken by the employee can interfere with the employee's work assignments at the University. At all times, work will take precedence over coursework. With the supervisor's permission, an employee may come in early or stay over to compensate for lost time.

Tuition charges for undergraduate coursework will be remitted for eligible children of a full-time employee who dies while in the service of the University, provided the deceased was employed for a minimum of three years.

After three years of service, a priest may request undergraduate tuition remission for an immediate family relative: to include brothers, sisters, nieces, nephews or parents. A total of two relatives of each priest may benefit from this program during his period of active service to the University.

Tuition remission benefits are available to employees who are non-degree seeking. An employee is limited to one class at a time. This option is not available to the employee's spouse or child.

Tuition Remission Benefit Amount

Contingent upon University guidelines, the amount of the tuition benefit for an employee, employee spouse or eligible children, is based upon the following criteria.

A full-time employee may be given 100 percent remission of tuition for undergraduate or master's coursework at the University. The use of this benefit for master's for faculty will be determined by the employee's Department Chair in consultation with and approved by the appropriate Dean. The use of this benefit for master's for staff will be determined by

their immediate supervisor in consultation with and approved by the appropriate Vice President. Enrollment in graduate courses under the graduate tuition remission benefit is permitted solely on a space-available basis. Employees may not displace full-paying students, and graduate tuition remission will not be approved for courses that are fully enrolled with full-paying students.

The maximum number of credits covered in an academic year for master's is limited to 6 credits fall, 6 credits spring, and 3 credits summer.

Graduate coursework exceeding these limits is not eligible for tuition remission and may not be taken under this benefit.

Spouses and eligible children of full-time employees may receive 100 percent remission of tuition on undergraduate coursework.

Spouses of full-time employees may receive fifty (50) percent remission on tuition at St. Ambrose or Mount Mercy Campus. They must be degree seeking. According to IRS guidelines, any tuition for graduate coursework in excess of \$5,250 in a calendar year will be taxed and deducted from the employees' payroll.

An employee with 20 or more years of full-time service may, upon resignation or retirement, be given 50 percent tuition remission for undergraduate coursework at the University. This benefit would apply to the employee, spouse and eligible children existing at the time of resignation or retirement.

For purposes of determining the amount of tuition benefit for an employee, employee spouse or eligible children, a full-time employee is defined as an employee scheduled to work 2080 hours per year.

Full-time employees scheduled to work less than 2080 hours per year and part-time employees may receive tuition remission for themselves, spouses or eligible children on a pro-rated basis. Such employees should consult with the Human Resources Department to determine their eligibility and the amount of tuition remission benefit.

There will be a limit of two (2) half tuition remissions per cohort for the Speech Pathology, Physician Assistant, and Marriage and Family Therapy Program. This applies to employees and applicable spouses. If more than two apply and are qualified, those with the greatest longevity in terms of employment at the University will be granted admission and tuition remission.

Exclusions to Tuition Remission

Employees and eligible spouses are not permitted to enter a cohort using tuition remission when a program has an established wait list. These restrictions apply uniformly to employee and spouse applicants.

Tuition benefits do not include fees.

No tuition remission benefits are given for coursework for doctoral programs.

No tuition remission benefits are given for a second undergraduate degree for an employee's spouse or child if that person has previously obtained an undergraduate

degree either directly from the University or as a result of a University reciprocity agreement.

As with all benefits, this benefit is subject to change at any time at the sole discretion of the University.

Tuition Remission Submission Deadlines

Completed tuition remission request forms must be submitted to the Human Resources Department by the following deadlines:

- Fall Semester: August 1
- Spring Semester: January 5
- Summer Term: May 1

Requests submitted after the applicable deadline may be denied. Failure to submit all required documentation by the stated deadline may result in loss of eligibility for tuition remission for that academic term.

Reciprocity

By virtue of agreements with the Council of Independent Colleges Tuition Exchange Program and the Catholic College Cooperative Tuition Exchange, and with certain limitations, eligible children may attend any participating institution for undergraduate coursework on a tuition-free or reduced-tuition basis. In several instances remission is limited to 75 percent. In specific instances, the University has entered into tuition remission agreements with other institutions of higher education (particularly diocesan-related institutions). For further information, contact the financial aid office.

Applications for the Tuition Exchange Inc. Program (TE) will be accepted until January 15th for the next academic year. In the event that an employee already has a child in the TE program, their application will be considered only after the applicants of employees without children in the TE program have been considered.

Non-Credit Programs

Tuition remission as an employee benefit extends to non-credit programs under the following conditions:

That the benefit not include such things as lunches, breaks, and text materials retained by the participants. The administrative staff member (or with prior approval of the department's operating budget) will pay these costs.

The program administrator will determine the mix of administrative staff and outside participants deemed desirable.

Subject to the approval of the person's supervisor, attendance at such programs during working hours is possible. The supervisor, in deciding to grant a request for participation during working hours, will consider such factors as the needs of the department or office at that time, relevance of the program to one's job and the frequency of such requests.

5.10 Veterans Day

In compliance with Iowa Code 91A.5A, any employee who has served on active duty as a member of the military or is an honorably discharged Veteran has the option of taking November 11, Veterans Day, as a day off, if the employee is otherwise required to work on that day. The University has opted to grant this holiday off with pay for those employees who qualify. The employee must provide one month advance notice to the supervisor requesting the time off and must provide the Human Resources Department appropriate documentation verifying the employee's eligibility. This may be in the form of a federal certificate of release or discharge from active duty (DD214) or similar federal document indicating the employee's status, for example NGB22. If the number of employees requesting the holiday would detrimentally affect operations, some of the eligible employees may be given a different paid day off within the same pay period.

6.0 Leaves Of Absence

6.1 Emergency/Bereavement Leave

The Associate Vice President for Human Resources may approve, with discretion and in consultation with the department supervisor, payment of salaries for an emergency leave for a death in the immediate family of an employee for a period of up to three consecutive working days.

For purposes of this section, the immediate family is defined as: children, parents, spouse, brothers, sisters, grandchildren, grandparents, mothers-in-law and fathers-in-law.

Exceptions to the immediate family definition may be granted with the authorization of the appropriate Vice President and the Associate Vice President for Human Resources if requested by the department supervisor.

6.2 Family And Medical Leave (FMLA)

It is the policy of the University to comply with all forms of leave for eligible employees under the Family And Medical Leave Act ("FMLA")

Eligibility. In order to qualify to take leave under this Policy, the employee must meet all of the following requirements:

The employee must have worked for the University for at least twelve (12) months.

The employee must have worked at least 1,250 hours during the twelve (12) month period immediately before the date the leave would begin.

The employee must work where 50 or more employees are employed within 75 miles of that office.

Basic Leave Entitlement. To qualify for basic leave under the FMLA, the employee must be requesting a leave under this Policy for one of the reasons listed below:

The birth of a child and to care for the newborn child;

The placement of a child with the employee for adoption or foster care;

The employee is needed to care for a family member (child, spouse or parent) with a serious health condition; or

The employee's own serious health condition makes the employee unable to perform the functions of their job.

It is not necessary for an employee to have a biological or legal relationship with a child to qualify for leave under this Policy, and employees are entitled to leave where the employee has an "in locus parentis relationship" with a child, and the key in determining "in loco parentis" is in the intention of the person allegedly in "loco parentis" to assume the status of a parent toward a child.

The term "spouse" includes individuals in a same-sex marriage. To qualify as a "spouse" of any employee under this Policy the marriage must have been valid where it took place. Employees may be required to provide documentation of family relationships to qualify for leave under this Policy.

Military Family Leave Entitlement. To qualify under the military family leave entitlement, the employee must be requesting leave for one of the reasons listed below:

Exigency Leave- Eligible employees with a spouse, son, daughter or parent on active duty or call to active duty status in the National Guard or Reserves in support of a contingency operation may use their 12-week entitlement under this Policy to address certain qualifying exigencies. Qualifying exigencies may include attending certain military events, arranging for alternative childcare, addressing certain financial and legal arrangements, attending certain counseling sessions, and attending post-deployment reintegration briefings.

Care for a Covered Servicemember. Eligible employees may take up to 26 weeks of leave to care for a covered servicemember during a single 12-month period. A covered servicemember is a current member of the Armed Forces, including a member of the National Guard or Reserves, who has a serious injury or illness incurred in the line of duty on active duty that may render the servicemember medically unfit to perform their duties for which the servicemember is undergoing medical treatment, recuperation, or therapy; or is in outpatient status; or is on the temporary disability retired list.

Leave to Care for a Covered Servicemember with a Serious Injury or Illness. In order to care for a covered servicemember, an eligible employee must be the spouse, son, daughter, parent or "next of kin" of a covered servicemember.

Definition of "serious injury or illness." An injury or illness incurred by a covered servicemember in the line of duty on active duty that may render the servicemember medically unfit to perform the duties of their office, grade, rank or rating.

Definition of "next of kin." A servicemember's nearest blood relative, other than the covered servicemember's spouse, parent, son or daughter in the following order of priority: blood relatives who have been granted legal custody of the servicemember by court decree or statutory provisions, brothers and sisters, grandparents, aunts and uncles, and first cousins, unless the covered servicemember has specifically designated in writing another blood relative as their nearest blood relative for purposes of military caregiver leave under the FMLA.

Amount of Leave Available and Calculating Leave. An eligible employee is entitled to up to 26 workweeks of leave to care for a covered servicemember with a serious injury or illness during a single 12-month period. The single 12-month period begins on the first day

the eligible employee takes FMLA leave to care for a covered servicemember and ends 12 months after that date.

Leave Applies on a Per Covered Servicemember Per Injury Basis. The leave under this section of the Policy applies on a per-covered servicemember, per injury basis. Regardless of the number of servicemembers or injuries that arise under this Policy, an employee is limited to taking no more than 26 workweeks of leave in a single 12-month period, and leave under this Policy does not extend an employee's leave rights for any other reason under this Policy.

Calculating Leave. With the exception of calculating leave to care for a covered servicemember with a serious health condition as defined above, leave under this Policy is calculated on a "rolling basis" for determining the 12 weeks of leave that an employee can take under this Policy. This means that an employee's particular twelve-month period is measured backward in time from the time the employee uses any FMLA leave time. The first day of an absence qualifying for FMLA leave shall be used to start the twelve (12) month rolling period. Any leave under this Policy runs concurrent with any other leave entitlements provided under federal, state, and local laws. If both spouses are employed by the University, their total leave in any applicable 12-month period for the birth or placement of a child for adoption or foster care, or to care for the employee's parent with a serious health condition is limited to a total of 12 weeks.

Leave for the Birth or Placement of a Child. An employee's entitlement to FMLA leave for the birth or placement of a child expires at the end of the 12-month period beginning on the date of birth.

Definition of Serious Health Condition. A "serious health condition" is an illness, injury, impairment, or physical or mental condition that involves inpatient care or continuing treatment by a health care provider, which includes any one or more of the following:

Incapacity and treatment. A period of incapacity of more than three consecutive, full calendar days, and any subsequent treatment or period of incapacity relating to the same condition, that also involves:

Treatment two or more times, within 30 days of the first day of incapacity, unless extenuating circumstances exist, by a health care provider, by a nurse under direct supervision of a health care provider, or by a provider of health care services (e.g., physical therapist) under orders of, or on referral by, a health care provider; or

Treatment by a health care provider on at least one occasion, which results in a regimen of continuing treatment under the supervision of the health care provider.

The requirement in this section for treatment by a health care provider means an in-person visit to a health care provider. The first (or only) in-person treatment visit must take place within seven days of the first day of incapacity.

Whether additional treatment visits or a regimen of continuing treatment is necessary within the 30-day period shall be determined by the health care provider.

The term "extenuating circumstances" in this section means circumstances beyond the employee's control that prevent the follow-up visit from occurring as planned by the health care provider.

Pregnancy or prenatal care. Any period of incapacity due to pregnancy, or for prenatal care.

Chronic conditions. Any period of incapacity or treatment for such incapacity due to a chronic serious health condition. A chronic serious health condition is one which:

Requires periodic visits (defined as at least twice a year) for treatment by a health care provider, or by a nurse under direct supervision of a health care provider;

Continues over an extended period of time (including recurring episodes of a single underlying condition); and

May cause episodic rather than a continuing period of incapacity (e.g., asthma, diabetes, epilepsy, etc.).

Permanent or long-term conditions. A period of incapacity which is permanent or long-term due to a condition for which treatment may not be effective. The employee or family member must be under the continuing supervision of, but need not be receiving active treatment by, a health care provider.

Conditions requiring multiple treatments. Any period of absence to receive multiple treatments (including any period of recovery therefrom) by a health care provider or by a provider of health care services under orders of, or on referral by, a health care provider, for:

Restorative surgery after an accident or other injury; or

A condition that would likely result in a period of incapacity of more than three consecutive, full calendar days in the absence of medical intervention or treatment, such as cancer (chemotherapy, radiation, etc.), severe arthritis (physical therapy), or kidney disease (dialysis).

St. Ambrose University complies with all aspects of the Federal Pregnant Workers Fairness Act as outlined [here](#).

Intermittent or Reduced Leave Schedule. FMLA leave may be taken intermittently or on a reduced schedule under certain circumstances. Intermittent leave is FMLA leave taken in separate blocks of time due to a single qualifying reason. A reduced leave schedule is a change in the employee's schedule for a period of time that reduces the usual number of hours that an employee works per workday or per week. Eligible employees may take FMLA leave on an intermittent or reduced schedule basis when medically necessary due to the serious health condition of a covered family member or the employee or the serious injury or illness of a covered servicemember. Eligible employees may take FMLA leave on an intermittent or reduced schedule basis because of a qualifying exigency. If an employee needs leave intermittently or on a reduced schedule basis for planned medical treatment, the employee must make a reasonable effort to schedule the treatment so as not to disrupt the University's operations. Employees cannot take leave on an intermittent or reduced schedule basis for the birth or adoption of a child, or to receive a child for foster care, unless the University agrees (within its sole discretion) to permit such leave.

Notice that Employee Must Give for Family Medical Leave. An employee must provide the University at least 30 days' advance notice before FMLA leave is to begin if the need for the leave is foreseeable based on an expected birth, placement for adoption or foster care, planned medical treatment for a serious health condition of the employee or of a family member, or the planned medical treatment for a serious injury or illness of a

covered servicemember. If 30 days' notice is not practicable, because of a lack of knowledge of approximately when leave will be required to begin, a change in circumstances, or a medical emergency, notice must be given as soon as practicable.

When an employee becomes aware of a need for FMLA leave less than 30 days in advance, it should be practicable for the employee to provide notice of the need for the leave either the same day or the next business day.

An employee seeking FMLA leave must give written notice to the Human Resources Department. If extenuating circumstances prevent an employee from giving the required written notice of the need for leave, an employee shall provide at least verbal notice to the Human Resources Department sufficient to make the University aware that the employee needs FMLA qualifying leave, and the anticipated timing and duration of the leave, and the employee must submit written notice of the need for leave within a reasonable period of time. An employee giving notice of the need for FMLA leave must explain the reasons for the needed leave so as to allow the University to determine whether the leave qualifies as FMLA leave. Calling in "sick" without providing more information will not be considered sufficient notice of a need for FMLA leave.

When an employee seeks leave due to an FMLA qualifying reason for which the University has previously provided FMLA protected leave, the employee must specifically reference the qualifying reason for leave or the need for FMLA leave.

Absent unusual circumstances, an employee must follow the University's usual and customary call-in procedures for reporting an FMLA absence.

If an employee fails to comply with the required notice procedures, FMLA leave may be delayed or denied.

Certification Serious Health Condition. When an employee seeks leave under this Policy to care for the employee's covered family member with a serious health condition, or due to the employee's own serious health condition that makes the employee unable to perform one or more of the essential functions of the employee's position, the employee's request must be supported by a certification issued by the health care provider of the employee or the employee's family member. The University will provide the employee with the certification form, which is available from the Human Resources Department.

If the University has reason to doubt the validity of a medical certification, it can require a second opinion at the University's expense. If the opinions of the first health care provider differ from the opinions from the second health care provider, the University may require the employee to obtain a certification from a third health care provider, again at the University's expense. This third opinion shall be final and binding, and the third health care provider must be designated or jointly approved by the University and the employee.

Exigency Leave. When an employee seeks leave because of a qualifying exigency, the employee must provide the University with a copy of the covered military member's active duty orders or other documentation issued by the military that indicates that the covered military member is on active duty or call to active duty status in support of a contingency operation, and the status of the covered military member's active duty service. This information only needs to be provided once, unless the employee seeks qualifying exigency leave for a different active duty or for a different covered military member. Employees seeking exigency leave must also complete a certification form that is provided by the University, and available from the Human Resources Department.

Care for a Covered Servicemember. When leave is sought to care for a covered servicemember with a serious illness or injury, the employee must provide the University with a certification form (which is provided by the University and available from the Human Resources Department), and the certification must be completed by an authorized health care provider of the covered servicemember. Any one of the following health care providers may complete such a certification: (1) a United States Department of Defense provider; (2) a United States Department of Veterans Affairs health care provider; (3) a Department of Defense TRICARE Network authorized health care provider; or (4) a Department of Defense non-network TRICARE authorized private health care provider.

University's Response to an Employee's Request for Family Medical Leave

Eligibility Notice. When an employee requests FMLA leave, or when the University acquires knowledge that an employee's leave may be for an FMLA qualifying reason, the University will notify the employee of the employee's eligibility to take FMLA leave within five business days, absent extenuating circumstances. If an employee is not eligible for FMLA leave, the University will notify the employee and state at least one reason why the employee is not eligible.

Designation Notice. When the University has enough information to determine whether an employee's leave is being taken for an FMLA qualifying reason (e.g. after receiving a certification from the employee), the University will notify the employee whether the leave will be designated and will be counted as FMLA leave within five business days, absent extenuating circumstances.

Contact With Healthcare Providers. The University may contact the employee's healthcare provider to seek clarification and to determine the authentication of a medical certification, but before any such contact would occur, the employee would be provided an opportunity to resolve any deficiencies in the medical certification. Any contact with the employee's healthcare provider would be through the Human Resources Department, and under no circumstances would the contact be made through the employee's supervisor.

Maintenance of Benefits During Leave. During an approved leave under this Policy, the University will maintain the health insurance benefits for which the employee is eligible as if they continued to be actively employed. If the University provides a new health plan or changes its health plan, the employee is entitled to the new or changed benefits to the same extent as if the employee were not on leave. If paid leave is substituted for unpaid FMLA leave, the employee's portion of the health insurance premium will continue to be taken out as a regular payroll deduction. If leave is unpaid, the employee must pay their portion of the health insurance premium by the 15th day of each month. If the employee fails to timely make premium payments, the University will notify the employee in writing at least 15 days before the coverage would lapse. If the employee's premium payment is more than 30 days late, the University's obligation to maintain health insurance ceases. If the employee fails to return to work at the end of the leave period, they will be required to reimburse the University for the cost of the premiums paid by the University for maintaining health insurance coverage during the period of unpaid leave, unless certain criteria are met for the employee's failure to return to work.

Employee Reinstatement. When an employee returns to work from FMLA leave, the University will generally return the employee to the same position the employee held when leave commenced, or to an equivalent position with equivalent benefits, pay, and other terms and conditions of employment. However, an employee has no greater right to reinstatement or to other benefits and conditions of employment than if the employee had been continuously employed during the FMLA leave period. The exception to this

provision is if an employee is deemed to be a “key employee,” and the University may deny re-employment to “key” employees.

Other Employment during Leave. An employee taking leave under this Policy may not engage in other income-generating work or employment during the leave without prior written approval from the University. If an employee breaches this condition, the employee will be considered to have violated the terms of the leave, and to have voluntarily terminated their employment with the University.

Returning from Leave. Employees are expected to return to work when the reason for the leave has terminated. Upon returning from an approved Family And Medical Leave of Absence granted as a result of an employee’s own serious health condition, an employee must present written medical certification from their medical care provider stating that they are able to resume work and able to perform the essential functions of their job. “Return to Work Medical Certification” forms may be obtained from the Human Resources Department. An employee’s failure to provide such certification at the time the employee attempts to return to work may result in a delay or denial of job restoration. After an employee complies with this requirement, the University will return the employee to the same position the employee held when leave commenced, or if the former position is not available, to an equivalent position with equivalent benefits, pay and other terms and conditions of employment. An employee seeking an accommodation of a “disability” as defined in applicable laws should contact the Human Resources Department.

If an employee does not return to work on the agreed upon date after expiration of leave under this Policy, the employee will be considered to have voluntarily terminated their employment, and they will be treated in accordance with voluntary termination procedures. If an employee is unable to return to work after the expiration of leave under this Policy the employee should contact the Human Resources Department.

Non-Interference/No Retaliation. The University will not intentionally interfere with or deny the exercise of any right under this Policy, and the University will not discharge or discriminate against any person because of the exercise of that employee’s rights under this Policy. Any employee who believes that this Policy has been violated must promptly report the issue to the Human Resources Department or to the President of the University. All complaints will be promptly investigated, and confidentiality will be maintained to the extent it is consistent with an effective investigation. No employee will be subject to retaliation or “getting even” for reporting a violation of this Policy, and if an employee believes this has occurred they should immediately report that issue to the Human Resources Department or to the President of the University.

Notice of Rights. A notice of employee rights and responsibilities under the FMLA is attached at the end of this Handbook and is posted at the University.

Changes. The University will comply with all changes to the FMLA.

6.3 Military Leave

The University complies with all applicable federal and state laws regarding military leave, and that an employee seeking military leave should notify their supervisor and the Human Resources Department.

6.4 Pregnancy Leave

Employees are entitled to an unpaid leave of absence of up to eight (8) weeks for any pregnancy-related disability. St. Ambrose University may require verification of disability. Timely notice of leave is required, and employees should notify the Human Resources Department of their need for leave. Leave under this Policy runs concurrently with any other leave provided by the University and required by applicable laws. Employees may substitute accrued time off for unpaid leave under this Policy. If leave is unpaid, the employee must pay their portion of the health insurance premium by the 15th day of each month. If the employee fails to timely make premium payments, the University will notify the employee in writing at least 15 days before the coverage would lapse. If the employee's premium payment is more than 30 days late, the University's obligation to maintain the employee's health insurance ceases.

The University complies with all aspects of the Family Medical Leave Act and the Federal Pregnant Workers Fairness Act as set forth in this Handbook. Any leave under the Family Medical Leave Act or the Pregnant Workers Fairness Act runs concurrently with the leave in this Policy.

6.5 Accommodation Of Pregnancy, Childbirth, Or Related Medical Conditions

As required by the Pregnant Workers Fairness Act, the University will provide a reasonable accommodation for a qualified applicant or employee's known limitations related to, affected by, or arising out of pregnancy, childbirth, or related medical conditions, unless the accommodation would cause the University an undue hardship. An applicant or employee should submit a written request for an accommodation under this Policy to the Associate Vice President for Human Resources. The request should include an explanation of the limitations, the accommodation(s) requested, and any alternative accommodation that might be reasonable. Depending on the nature of the accommodation, the individual may be requested to submit a statement from a health care provider substantiating the need for the accommodation.

When a request for an accommodation is received, the Associate Vice President for Human Resources will contact the employee or applicant to discuss the request and whether the accommodation can be made and whether the accommodation would be an undue hardship on the University. While each individual situation will be assessed, potential accommodations include the following examples (this is not a guaranteed or exhaustive list), as long as they do not pose an undue hardship on the University given the employee's specific situation:

- Additional, longer, or more flexible breaks to drink water, eat, rest, or use the restroom;
- Changing equipment, devices or workstations, such as providing a stool to sit on, or a way to do work while standing;
- Temporary reassignment;
- Changing hours or work schedule;
- Unpaid leave to recover from childbirth or other medical conditions related to pregnancy or childbirth;
- Unpaid leave for healthcare appointments.

The University will not require an employee to take leave if another reasonable accommodation can be provided that will allow the employee to continue to work.

Procedure for Reporting Violations. Any individual who believes there has been a violation of this Policy should immediately report the issue to the Associate Vice President for Human Resources. If the Associate Vice President for Human Resources is not available, or is responsible for the conduct being reported, the violation should immediately be reported to the Director of Compliance.

Investigation. Any report of a violation of this Policy will be investigated thoroughly and promptly. Any investigation will be conducted in a manner as determined appropriate by the University for the specific situation. Confidentiality will be maintained to the extent it is consistent with an effective investigation. If an investigation confirms a violation of this Policy, corrective action will be taken by the University as deemed appropriate under the circumstances, which may include discipline up to and including termination of the person found to have violated this Policy.

Retaliation is Prohibited. The University will not tolerate any retaliation against any individual who seeks to exercise their rights under this Policy. Any employee or applicant who believes they have experienced retaliation in violation of their request for an accommodation under this Policy, or for reporting a violation of this Policy, should immediately report that to the Associate Vice President for Human Resources. If the Associate Vice President for Human Resources is not available, or if the Associate Vice President for Human Resources is the subject of the report, the individual should report the issue to the Director of Compliance.

7.0 Workplace Safety And Security

7.1 Security/Public Safety Offices

The security/public safety departments are staffed, and personnel are available to assist anyone in the campus community in any University-owned property 24 hours a day, seven days a week. The departments consist of non-sworn professionals, part-time officers and student employees, who provide campus patrols and respond to emergencies and requests for assistance. These individuals' efforts are supplemented with the use of state certified officers from the appropriate law enforcement agency. These sworn officers are used during key time and special events. This allows a sworn officer to be present and reduces the response time should an arrest be necessary. It also simplifies the process of reporting crimes for members of the campus community. The Security office at St. Ambrose is located in the Rogalski Center. For routine business, call security at 333-6104. The Public Safety Office at Mount Mercy is located in University Center, for routine business, call 319-363-1323 x1234. For other emergencies call 911.

7.2 Incident Reporting

Suspicious and criminal activity, along with safety concerns, should be reported to the Security/Public Safety Departments. For emergencies, Blue Cap phones are located around St. Ambrose campus. Activation of any of these phones opens a direct line between the caller and the 24-hour security desk. A strobe light on the top of the phone is also activated, directing attention to the caller. Security also can be reached by calling 6104 from any campus phone; by using elevator phones; or red emergency phones in the lobbies of SAU Hayes and Lewis Halls, Galvin Fine Arts Center and the Beehive. The call will ring directly to the security desk and receive an immediate response from the security staff. If the incident is criminal in nature, the victim/complainant is encouraged to report the incident to the appropriate community law enforcement agency. The Security/Public

Safety Departments will assist by serving as an advocate for the victim/complainant as they complete the report filing process.

Public Property Reported Crime

The appropriate community law enforcement agency generally notifies the University when off-campus incidents may impact the University community. Immediately report suspicious activity or persons to the security/public safety departments.

7.3 On-The-Job Incident Reporting

Incident Reports. In the event of an on-the-job incident, the departmental supervisor/chair should be immediately notified and no later than 24 hours. An employee's failure to promptly report an on-the-job incident may result in a loss of benefits. Upon the determination of the departmental supervisor/chair, other individuals may be notified including the appropriate Vice President or the President. The departmental supervisor/chair will be responsible for seeing that the incident report, available through the health services department, is completed and copies forwarded to the health services, general accounting, and Human Resources Departments within 48 hours of the incident. A copy of the incident report should be kept on file with the departmental supervisor/chair for future reference.

Emergencies. An employee encountering an emergency should contact their supervisor/chair. The supervisor will then make a determination of who should be contacted, taking into account the emergency/urgent care plan guidelines available from the health services department.

7.4 Emergency Notifications

Emergencies are situations where an immediate response is needed to mitigate the danger of death, injury or serious property damage. When confronted with a situation where one of these outcomes appears to be likely, remember to stop, think and then act. Your action should always be to remove yourself and others from the danger as quickly and safely as possible. Your second action should always be to contact the security department. Following are some guidelines for specific situations that may occur:

Campus Emergency Notification. The University anticipates using multiple methods to notify the campus of emergency conditions. As part of its emergency notification system, the University has partnered with Live Safe for St. Ambrose campus and Rave for Mount Mercy campus to provide emergency alerts to employees, students and parents. This system will allow the University to provide alerts when there is a need to close either campus or when it is reasonable to assume that campus community members need to take immediate action in order to protect themselves or their belongings. The campus will continue to provide timely notices of criminal activity through campus e-mail accounts, and posters unless there is substantive reason to believe that immediate protective action is required (see Timely Notice Policy found under Title IX <https://sau.edu/title-ix-compliance/> for additional information).

Currently, the emergency notification system provides options for you to receive an alert via a text message sent to a mobile phone, by email, or in both formats. To opt out of receiving a St. Ambrose campus mobile phone alert, complete the form at <https://sau.edu/life-at-sau/security-safety/emergency-alerts/>. If you want to receive an

email alert as well, you can do so by following the instructions you receive when your mobile account is validated.

Employees on Mount Mercy campus are signed up for mobile phone and email alerts automatically.

Fires in campus buildings. The University conducts fire drills on campus twice a year for all classrooms and offices in addition to the residence hall drills. Every employee should know the location of the nearest fire exit and fire fighting equipment. In case of fire, the following recommendations will help ensure safe and efficient evacuation from the building. 1) Isolate fire by closing any doors. 2) Pull nearest fire alarm. 3) Evacuate building immediately and stay at least 75 feet away. 4) Follow all staff instructions. 5) Call to report fire. When the fire alarm sounds check the door with the back of your hand. If the door is too hot to touch: 1) Do not try to open door. Remain in room. 2) Wedge cloths under door to keep smoke out. 3) Open window and wave a sheet or towel. 4) Stay low, breathe fresh air near window. 5) If possible, dial 911 and report your situation and location.

If the door is cool and hallway clear: 1) Exit via nearest stairwell. 2) Close all doors as you leave. 3) If there is heavy smoke in a stairwell, go back and try another exit. 4) If all exits are blocked, go back to your office. Close your door and signal for help from the window. Once you have exited the building notify fire department personnel or Security of anyone who is still inside the building.

Severe weather. In the event of severe weather, tune into local radio or television stations to monitor the severity. The University will use the campus emergency alert system to notify persons in the event of a tornado warning. If a tornado warning is indicated take steps to minimize potential damage, and heed instructions from University officials and emergency personnel. Generally, it is safer on the ground floor or basements of buildings, especially in rooms without windows. If such an area is not available, hallways or bathrooms provide some coverage. For additional protection, get under a piece of sturdy furniture such as a workbench, desk, or heavy table. Remain in the protected area until the warning has been canceled.

Inclement Weather. University-wide class cancellations or delays due to bad weather are infrequent events at the University. Inclement weather decisions arising out of overnight weather events are typically made by 5 a.m., after assessing travel conditions and forecasts, and determining Physical Plant Services' ability to clear parking lots and sidewalks. Should it be determined that it is necessary to cancel or delay classes, one of the best ways to get timely and accurate information about such decisions is via the University's Emergency Notification System.

Regardless of the University's operating status, all campus community members are reminded to use their best judgment regarding their personal circumstances and safety during times of inclement weather.

For additional information, please see the University Weather Campus Closing Policy.

Flooding on campus. In the event that flooding occurs on campus it is generally small scale and will not require evacuation, however, Campus Security/Public Safety will monitor the situation and communicate with the campus as needed. During severe weather please tune into local radio or television stations to monitor the situation. Please follow the instructions of staff and emergency services personnel. If you have to be out during heavy rain remember the following guidelines: Avoid floodwaters as these may be

contaminated with chemicals or sewage. Do not walk through moving water. Six inches of moving water can make you fall. If you have to walk in water, walk where the water is not moving. Use a stick to check the firmness of the ground in front of you. Do not drive into flooded areas. If floodwaters rise around your car, abandon the car and move to higher ground if you can do so safely. You and the vehicle can be quickly swept away. The following are important points to remember if you must drive during flood conditions: Six inches of water will reach the bottom of most passenger cars causing loss of control and possible stalling. A foot of water will float many vehicles. Two feet of rushing water can carry away most vehicles including sport utility vehicles (SUV's) and pick-ups.

Workplace Violence. Violence cannot be prevented, but the effects can be mitigated through proper planning and an alert mind. Take all threats of violence as “real” and promptly report them to Security. If you suspect that a meeting may become volatile try to have a second person present and when possible ensure that you are sitting closest to the door. If the meeting becomes verbally charged and it does not appear that you can calm the situation, end the meeting and reschedule. If the person you are meeting with makes any movement such as jumping up or pounding fists, leave the room, go to another location where you are safe, and contact security/public safety. Contact the Director of Security or the Director of Public Safety at the respective campus for help planning any meeting you feel has the potential to become violent and do not place yourself in an unsafe situation.

Threatening Communication. All phone calls, emails, letters or social media that threaten physical violence should be immediately reported to security/public safety. Save the original correspondence and any associated material (i.e. envelopes or boxes).

Acts of violence on campus. While there is no one way to prevent violent acts such as an active threat on campus, please be alert to your surroundings and immediately report any persons acting suspicious to Campus Security/Public Safety.

If you believe you have heard the sounds of weapons firing in a building that you are in, go into a room and lock the door. Stay away from windows and keep low to the ground. Attempting to evacuate under these conditions is more likely to bring you into harm's way.

In the event of a threat, the Security/Public Safety Departments will be working closely with the appropriate police department to isolate and resolve the situation. The police department will determine the best time and routes for evacuation. Campus Security/Public Safety will also work as quickly as possible to lock the doors into our buildings and to communicate with the campus community.

Bomb Threats. Bomb threats, as the name implies, are for the most part not carried out. However, the potential for loss of life, serious injury or major property damage requires that each threat be investigated and receive immediate attention. Bomb threats are usually received by security/public safety, police department or an office within the threatened building. Regardless of how the initial call is received, immediate action must be taken.

If you receive a bomb threat, listen for the following information and/or ask the caller the following questions:

WHERE is the bomb?

WHEN will it explode?

WHAT kind of bomb is it?

WHEN was it placed?

WHAT does it look like?
WHY was it placed?
WHY are you calling now?

Log the exact time of the call and IMMEDIATELY contact the Security/Public Safety Operations Center at the respective campus: St. Ambrose campus 563-333-6104, Mount Mercy campus 319-363-1323 x1234.

7.5 Weather Campus Closing

There will be occasions when either, or both, the St. Ambrose and Mount Mercy campuses may temporarily suspend or limit all, or some, operations, and/or special events due to inclement weather or other emergencies.

Decisions for delaying the opening of a campus, closing a campus early, or temporarily closing a campus due to inclement weather or other emergencies will be made by the Provost (or designee) in consultation with other University officials based on the National Weather Service advisories, law enforcement bulletins, other reliable emergency notifications, and conditions on the ground at each campus.

In instances of delayed openings, early closures, or full campus closures, only designated essential personnel (i.e., those responsible for keeping the basic services of the campus operating, i.e., Physical Plant, Security, Public Safety) will be required to work or to remain at work; essential personnel are expected to follow their regular work schedules unless otherwise directed.

Campus Closure: The decision to close a campus due to inclement weather will be made by 5:00 a.m. the morning of a regular business day. Employees will be notified through the appropriate Campus Emergency Notification Platform and via email. Other notifications may include television and radio.

Delayed Start: If it appears that inclement weather and road conditions will improve during the day and the Physical Plant will have an opportunity to sufficiently clear parking lots and sidewalks, a delayed start may be announced. If there is a delayed start an announcement will be made by 5:00 a.m. following the same procedures as a campus closure notification. The first classes of the day will be those immediately following the delayed start time (i.e., classes held prior to the delayed start time are considered to have been canceled).

Early Closure: If weather conditions deteriorate during the day, a decision may be made to close campus early. Should a campus close early, the same notification procedures will be followed.

In the event of a University-designated campus closure, delayed opening, or early closure, all affected employees who were scheduled to work during that time will be paid their full salaries or wages. Hourly employees who must report to work during the shutdown will receive their hourly rate for the time worked and their campus closing pay. Employees who scheduled a vacation or any other paid leave day for a day when operations are delayed or suspended will still be charged for the leave day as previously approved.

Regardless of the University's operating status, all campus community members are reminded to use their best judgment regarding their personal circumstances and safety during times of inclement weather.

Any faculty or staff members who believe they cannot safely travel to campus, or another University location are asked to contact their supervisor or department chair via email, phone, or other means to let them know they will not be in.

Faculty should contact their students to let them know if they are moving the class online for the day and should contact the Registrar in the event they must cancel a class when the campus is not closed.

Staff members unable to report to work must take a PTO day.

7.6 Closed Circuit Television Cameras

Closed Circuit Television Cameras. In an effort to enhance the protection of the people and property of the University community, closed circuit television cameras (CCTV) are located at various locations around campus. While increasing surveillance is a common tool used to combat crime, maintaining a sense of privacy among community members is also important to maintaining a healthy environment. In order to ensure the privacy of community members, the cameras will only monitor generally accepted public areas, and the images will only be available to law enforcement or appropriate personnel. This system will provide the ability to review images should crimes be reported in these areas, and it may also be used to monitor suspicious behavior reported on the campus grounds.

7.7 Weapons In The Workplace

To ensure the University maintains a workplace safe and free of violence for all employees, the University prohibits the possession or use of perilous weapons on University property and at all University sponsored events. "Perilous weapons" include, but are not limited to, firearms, explosives, knives in excess of 5 inches and other weapons that might be considered dangerous or that could cause harm. A license to carry the weapon on University property does not supersede University policy. Any employee in violation of this Policy will be subject to prompt disciplinary action, up to and including termination. All University employees are subject to this provision, including contract and temporary employees. This Policy also applies to visitors, customers and other individuals conducting business on University property.

"University property" is defined as all University-owned or leased buildings and surrounding areas such as sidewalks, walkways, driveways and parking lots under the University's ownership or control. This Policy applies to all University-owned or leased vehicles and all vehicles that come onto University property.

The University reserves the right at any time and at its discretion to search all University-owned or leased property including, but not limited to, vehicles, packages, containers, lockers, and desks. If the University suspects illegal or prohibited conduct by an employee, the University may contact law enforcement.

Any state, federal, or local law enforcement officers who are acting in the performance of their official duties are exempt from this Policy.

This Policy is administered and enforced by the Human Resources Department. In addition, the University may refer any violation of this Policy to law enforcement. Anyone with questions or concerns specific to this Policy should contact the Human Resources Department.

7.8 Lost And Found

Any property found on St. Ambrose campus should be brought to the Security office as soon as possible. Any property found on Mount Mercy campus should be brought to the Public Safety office as soon as possible.

Reasonable effort will be made to contact the owner. All found property will be kept for three (3) months from the date it is turned in. In order to assist with recovery, all lost items of value should be reported to the Security/Public Safety office.

7.9 Personal Security

The Security/Public Safety Department is dedicated to maintaining a safe environment for all employees, and visitors. Part of its mission is to enhance the security of members of the University community by reducing the likelihood of crime, and the fear of crime by providing patrol and emergency intervention, campus escort/unlock services, and education. The Security/Public Safety staff feels a strong responsibility to inform everyone of the steps they can take to reduce risk: Lock rooms, offices and cars when you leave, even for a few minutes. Do not leave belongings unattended in public areas. Thieves can enter an area, take property and be gone in a matter of seconds. Keep first floor windows locked and curtains closed when you are not there.

There is safety in numbers. When possible, travel in groups. When this is not an option, call the campus escort service: 333-6104 at the SAU campus or 319-363-8213 x1234 at the Mount Mercy campus for an escort to any place on campus. This service is provided 24 hours a day, 7 days a week. Be aware of your surroundings. Take the time to avoid potentially dangerous situations or persons. Trusting your instincts and using common sense are your best protective techniques.

Any time you notice suspicious activity or persons, report it by calling security/public safety staff as soon as possible. You can also call 911.

Educational programs on security issues are offered throughout the year. These range from personal defense to computer safety. These programs are open to staff members.

7.10 Key Control Policy

Key Control. The purpose of this Policy is to set forth procedures for the issuance and control of keys, and for accounting for keys when employees terminate or transfer.

Issuance of Keys. Requests for issuance of keys to buildings, offices and other secured areas should be made on the basis of demonstrated need. All requests for keys must be submitted to the respective campus physical plant services office in writing by the supervisor/chair. The employee's supervisor/chair must sign the form. The physical plant services office locksmith will make the key. The person to whom the key is to be issued must sign a "key inventory" form acknowledging receipt of the key and their responsibilities as a key holder. Keys should not be loaned out. Keys may not be copied by anyone except the physical plant services office locksmith.

Return of Keys. When an employee transfers to another office, any keys in their possession are to be returned to the respective campus physical plant services office, which will reissue keys to replacement personnel as needed. When a key is no longer needed, or an employee is terminated or retires, it is the responsibility of the employee to

return the key to the respective campus Human Resources Department. The Human Resources Department will confirm with the supervisor/chair that terminating and retiring employees have returned all keys in their possession as part of the required exit procedures.

Lost or Stolen Keys. The person to whom a key is issued must notify their supervisor/chair immediately if a key is lost or stolen. The supervisor/chair should inform the respective campus security and physical plant services offices about the missing key. Anyone who loses a key(s) may be assessed a fee of up to \$300 to replace lock cylinders in the affected area(s). Human Resources is notified by Physical Plant on any lost key(s) and the cost associated with it.

7.11 Campus Crime Report

The University complies with the Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act by making the following information available:

- Current policies on reporting criminal action and other emergencies
- Current policies on sexual assault
- Current policies on alcohol and drug use
- Currently offered educational programs and their frequency
- Crime statistics for the last three years

The Directors of Security and Public Safety, in cooperation with the appropriate police department and other campus officials compile this information annually. Those wishing a paper copy of this report should contact the security or public safety office.

Crime Log. In accordance with federal regulations a crime log is available for review by anyone. This log is available in the security or public service director's office and may be reviewed during normal business hours. This log contains only basic information in order to protect the confidentiality of those involved.

7.12 Proximity Card

Proximity Card. Requests for issuance of a proximity card to buildings, offices and other secured areas should be made on the basis of demonstrated need. Faculty and staff may obtain their proximity card after completing all of their employment paperwork.

7.13 Blood Borne Pathogens Policy

The University will implement “Universal Precautions” in order to prevent contact with blood or other potentially infectious materials to reduce the risk of occupational exposure. (See discussion of the specific requirements in “Engineering Controls and Work Practice” and “Personal Protective Barriers.”)

OSHA defines potentially infectious materials to include blood and other human body fluids that the Centers for Disease Control and Prevention (CDC) recommends handling with universal precautions, which includes blood and “Semen, vaginal secretions, cerebrospinal fluid, synovial fluid, pleural fluid, pericardial fluid, peritoneal fluid, amniotic fluid, saliva in dental procedures, any bodily fluid that is visibly contaminated with blood and all body fluids in situations where it is difficult or impossible to differentiate between body fluids.” Other potentially infectious materials include: (a) Any unfixed tissue or organ (other than intact skin) from a human (living or dead); and (b) HIV-containing cell or tissue cultures, organ cultures, and HIV or HBV-containing culture medium or other solutions; and blood, organs or other tissues from experimental animals infected with HIV or HBV.

Barrier and Universal Precautions will be observed whenever exposure to blood or other potentially infectious materials is anticipated. Any equipment, supplies or other articles contaminated with these body fluids should be handled utilizing universal precautions, i.e. handled as if they were infectious for HIV, HBV, or other blood borne pathogens.

Employee Training

Employees with risk of occupational exposure will participate in a training program. The program will be offered at no cost to the employee, during working hours at St. Ambrose University or the Mount Mercy campus, and be presented by the Director of Student Health Services or other individual(s) knowledgeable in the subject matter. Training will be provided at the time of initial employment and the departmental supervisor will contact the Director of Student Health Services to schedule training on an annual basis thereafter. If new or modified tasks or procedures affect employee exposure, additional training will be provided at that time. Notice of training requirements will be given by the Director of Student Health Services or other individual(s) knowledgeable in the subject matter upon request by the Director of the relevant department. In addition, the Director of Student Health Services provides training.

For a full copy of this Policy please go to the Human Resources Share Point page.

8.0 Workplace Technology

8.1 Email Policy

1. Purpose & Rationale

The University relies on official University email accounts to communicate with students, faculty, and staff. It is the responsibility of all account holders to regularly check and respond to University emails in a timely manner. Email users are

expected to uphold the University's Mission, Vision, and Values while maintaining professionalism, respect, and ethical standards in all communications.

2. Policy Statement

- **Employees:** Faculty and staff should use University email accounts for work-related communications that support the mission and operations of St. Ambrose University and Mount Mercy campus.
- **Students:** Students are expected to use their University email for academic and administrative communication, as this is the primary method through which the University will contact them.
- **Restrictions:** University email accounts may not be used for personal financial gain, commercial purposes, political fundraising, or any activity that conflicts with the University's values and legal obligations.

3. Scope & Guidelines

Confidentiality & Security

- Email is not private and users should assume that messages sent through University accounts may be subject to monitoring, legal review, or access by authorized personnel.
- Users must exercise caution when handling sensitive data. Any emails containing personal, confidential, or non-public information should be encrypted by including [encrypt] in the subject line.
- Users should be mindful that email communications may be subject to public records laws and legal disclosure.
- **Regulatory Compliance:** When sending emails containing sensitive information protected under laws such as FERPA, HIPAA, GDPR, PCI, GLBA, or PII regulations, users must ensure compliance with all applicable guidelines. This includes securing data, using encrypted communication when required, and limiting the sharing of confidential information to authorized individuals only.

Acceptable Use

University email accounts should not be used for:

- Violating copyright, patents, or intellectual property rights.
- Engaging in unlawful, malicious, or fraudulent activities, including phishing, hacking, or unauthorized access.
- Sharing or promoting inappropriate content, including but not limited to pornography, illegal drug activity, hate speech, or excessive violence.
- Any actions that compromise public health, safety, or the integrity of University systems.
- Sending messages that falsely imply endorsement or representation of the University without prior approval from the University President.
- Linking University email accounts to personal financial accounts or non-University services.
- Forwarding University emails to external accounts or services.
- Sharing account login credentials without prior IT approval is strictly prohibited. Any unauthorized account sharing will result in a password reset, and the user will be required to verify their identity to regain access.

Email Retention & Account Lifecycle

- **Students:** Graduates retain access to their email for one-year post-graduation to allow for data transfer. Students who withdraw before graduating will lose email access upon leaving.
- **Faculty & Staff:**
 - Retirees may keep their email accounts with HR approval but will be removed from faculty/staff distribution lists. A 30-day re-direction message is required.
 - Employees who leave the University without retiring will have their email accounts deactivated.
- **Adjunct Instructors:** Email accounts will be disabled if they have not taught in the last two years.
- **Employee-Students:** Employees taking classes will be issued a separate student email for academic purposes. Academic information sent to an employee email account will not entitle continued access post-employment.
- **Data Retention:** No user may retain confidential or work-related emails after employment termination without explicit written approval from the University.

4. Non-Compliance & Enforcement

Violations of this Policy may result in account suspension or termination. Repeated or serious violations may lead to further disciplinary action up to and including termination of employment in accordance with University policies.

The IT department reserves the right to modify this Policy as needed to address evolving cybersecurity threats and compliance requirements.

Questions & Contact: For further guidance, contact the IT departments at:

St. Ambrose at ITSupport@sau.edu

Mount Mercy at help@mtmercy.edu

8.2 Social Media

This Policy governs social media use by all employees, and it is in addition to the University's other policies including, but not limited to, the other University policies regarding the use of technology, University owned electronic devices, and policies regarding appropriate conduct.

Employees are free to utilize social media in their free time consistent with this Policy. The purpose of this Policy is not to restrict the flow of useful and appropriate information, but to protect the legitimate business rights of University. "Social media," as used within this Policy includes all means of communicating or posting information on the Internet and includes, but is not limited to:

- Blogs and posting on blogs created by you or someone else;
- Social networking sites (Facebook, LinkedIn, X (formerly Twitter), Flickr, etc.);
- Message boards;
- Wikis (collaborative websites such as Wikipedia);
- Video sharing (such as You Tube);
- Tweets; and
- Podcasts (multimedia files distributed over the internet).

Nothing in this Policy should be construed to prevent the lawful free flow of information between employees, or the right of employees to engage in concerted activity protected by law. The University recognizes the right of employees to use social media in a manner that does not conflict with this Policy. However, employees cannot engage in conduct through social media that would be prohibited by this Policy or an applicable University Policy. It is also worth noting that employees with workplace related complaints should speak directly with someone at University regarding these issues. Employees are encouraged to note that personal opinions they post are their own personal opinion, and not necessarily the opinion of University, and when sharing a personal opinion it should clearly state it is your own personal opinion.

This Policy is narrowly tailored to protect the interests of the University, and pursuant to this Policy, the following rules apply:

- Use of social media on University owned equipment during working time is permitted only if your use is for legitimate, preapproved University business. Employees should be sure to have advance approval from their supervisor;
- Employees cannot disclose or comment on information that includes confidential University information or personally identifiable information about students or employees without advance clear written consent;
- Employees cannot disclose or comment on any University trade secrets and/or University proprietary information without advance approval from their supervisor;
- Employees must comply with all copyright laws and fair use or fair dealing of copyrighted materials, and employees should always seek permission before using any content the employee did not create themselves to ensure compliance with copyright and trademark laws, and respect for the original creator's legal rights. Content created for the University is considered St. Ambrose intellectual property.
- Do not endorse products or services on behalf of the University without advance and explicit authorization;
- Employees must adhere to official brand guidelines including logo use, tone and color standards;
- All official University social posts must be approved through Communications & Marketing. You may request social media support through the [communications and marketing request form](#).
- Employees are prohibited from using social media to threaten harm to any other employee, student, or vendor; and
- Employees are prohibited from using social media in a manner that rises to the level of a violation of the University's Prohibition Against Discrimination, Harassment, And Retaliation or any other applicable University Policy.
- Personal or student-run accounts referencing the St. Ambrose or the Mount Mercy campus must clearly state in their bio or description: "This page is not officially affiliated with St. Ambrose University or Mount Mercy."

Any violation of this Policy should be immediately reported to the Associate Vice President for Human Resources. If the Associate Vice President for Human Resources is not available, or is responsible for the issue being reported, the violation should be immediately reported to the Director of Compliance. Any violation of this Policy may result in discipline up to and including termination of employment. Employees with questions about this Policy should contact the Associate Vice President for Human Resources or the Office of Communications & Marketing.

8.3 Network And Acceptable Use Policy

1. Purpose

The University is committed to providing a secure, reliable, and accessible network that supports academic, research, and administrative functions while ensuring compliance with regulatory requirements such as FERPA, HIPAA, GDPR, and PCI. This Policy outlines the acceptable use, security requirements, and responsibilities of all users accessing the University's network resources.

2. Scope

This Policy applies to all faculty, staff, students, contractors, and guests who connect to the University network, including through University-owned devices, personal devices (BYOD), and remote access.

3. Acceptable Use

Users are expected to use the network resources in a responsible, ethical, and legal manner.

- The network may only be used for academic, research, and administrative purposes.
- Personal use is permitted provided it does not interfere with University operations or violate other policies.
- Users must comply with Multi-Factor Authentication (MFA) requirements where applicable.
- Remote access must be conducted through approved VPN connections when accessing internal systems from outside the campus network.
- All personal devices (BYOD) connected to the University network must be secured with up-to-date antivirus protection and, where applicable, encrypted.

4. Residential Halls & Student Network Use

The University serves as the Internet Service Provider (ISP) for students residing in campus housing. Students living in residence halls may use the network for academic, personal, and leisure activities, including gaming, streaming, and social media, as long as their activities:

- Do not violate any local, state, or federal laws.
- Do not interfere with network performance or cause disruption to other users.
- Do not involve unauthorized access to University systems or services.
- Do not facilitate illegal activities, such as piracy or cybercrime.

The IT department monitors network traffic for security and performance purposes but does not restrict lawful recreational activities. However, bandwidth-intensive applications may be subject to reasonable management practices to ensure fair usage for all students.

5. Prohibited Use

The following activities are strictly prohibited:

- Unauthorized access, use, or sharing of network credentials.
- Use of personal VPNs or anonymization tools to bypass University security controls.
- Downloading, sharing, or transmitting illegal or copyrighted materials.
- Hosting unauthorized servers, routers, or network devices without prior IT approval.
- Engaging in phishing, hacking, or social engineering attacks against University systems or personnel.
- Any activity that could compromise the security, performance, or integrity of the network.

6. Security & Compliance

- Users must report any suspected phishing emails, security incidents, or compromised accounts immediately to the IT department.
- The IT department reserves the right to monitor network activity for security purposes while ensuring privacy protections are maintained.
- All devices accessing the network must comply with University security standards, including endpoint protection and software patching.
- Research projects or academic needs requiring exceptions to network security settings must receive IT approval in advance.

7. Exceptions Process

Certain University research, cybersecurity studies, or academic projects may require special network configurations. Exception requests must be submitted to the IT department and must include:

- Justification for the exception.
- Security controls in place to mitigate risk.
- Duration of the exception.

8. Enforcement & Violations

Violations of this Policy may result in:

- Temporary or permanent suspension of network access.
- Required cybersecurity awareness training as a remediation step.
- Disciplinary action up to and including termination of employment in accordance with University policies.
- Legal action in cases of criminal activity and potential referral to law enforcement.

The IT department reserves the right to modify this Policy as needed to address evolving cybersecurity threats and compliance requirements.

Questions & Contact: For further guidance, contact the IT department at ITSupport@sau.edu or at the Mount Mercy campus contact help@mtmercy.edu.

9.0 Employee Suggestion Procedure

Consistent with the University's policy of open communication, employees are encouraged to utilize the following formal suggestion procedure:

- Obtain a suggestion form from the Associate Vice President for Human Resources, or use the form at the end of this Handbook.
- Complete the form, signature optional.
- Give the form to the Associate Vice President for Human Resources
- All suggestions will be forwarded to the appropriate departments.
- Suggestions may also be submitted to the Staff Assembly or Faculty Assembly

10.0 Notice To Employees Of Rights Under FMLA

Appendix C to Part 825–Notice to Employees Of Rights Under FMLA (WH Publication 1420)

EMPLOYEE RIGHTS AND RESPONSIBILITIES UNDER THE FAMILY AND MEDICAL LEAVE ACT

Basic Leave Entitlement

FMLA requires covered employers to provide up to 12 weeks of unpaid, job-protected leave to eligible employees for the following reasons:

- For incapacity due to pregnancy, prenatal medical care or child birth;
- To care for the employee’s child after birth, or placement for adoption or foster care;
- To care for the employee’s spouse, son or daughter, or parent, who has a serious health condition; or
- For a serious health condition that makes the employee unable to perform the employee’s job.

Military Family Leave Entitlements

Eligible employees with a spouse, son, daughter, or parent on active duty or call to active duty status in the National Guard or Reserves in support of a contingency operation may use their 12-week leave entitlement to address certain qualifying exigencies. Qualifying exigencies may include attending certain military events, arranging for alternative childcare, addressing certain financial and legal arrangements, attending certain counseling sessions, and attending post-deployment reintegration briefings.

FMLA also includes a special leave entitlement that permits eligible employees to take up to 26 weeks of leave to care for a covered servicemember during a single 12-month period. A covered servicemember is a current member of the Armed Forces, including a member of the National Guard or Reserves, who has a serious injury or illness incurred in the line of duty on active duty that may render the servicemember medically unfit to perform his or her duties for which the servicemember is undergoing medical treatment, recuperation, or therapy; or is in outpatient status; or is on the temporary disability retired list.

Benefits and Protections

During FMLA leave, the employer must maintain the employee’s health coverage under any “group health plan” on the same terms as if the employee had continued to work. Upon return from FMLA leave, most employees must be restored to their original or equivalent positions with equivalent pay, benefits, and other employment terms.

Use of FMLA leave cannot result in the loss of any employment benefit that accrued prior to the start of an employee’s leave.

Eligibility Requirements

Employees are eligible if they have worked for a covered employer for at least one year, for 1,250 hours over the previous 12 months, and if at least 50 employees are employed by the employer within 75 miles.

Definition of Serious Health Condition

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 the employee from performing the functions of the employee’s 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.

Use of Leave

An employee does not need to use this leave entitlement in one block. Leave can be taken intermittently or on a reduced leave schedule when medically necessary. Employees must make reasonable efforts to schedule leave for planned medical treatment so as not to unduly disrupt the employer’s operations. Leave due to qualifying exigencies may also be taken on an intermittent basis.

Substitution of Paid Leave for Unpaid Leave

Employees may choose or employers may require use of accrued paid leave while taking FMLA leave. In order to use paid leave for FMLA leave, employees must comply with the employer’s normal paid leave policies.

Employee Responsibilities

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, the employee must provide notice as soon as practicable and generally must comply with an employer’s normal call-in procedures.

Employees must provide sufficient information for the employer to determine if the leave may qualify for FMLA protection and the anticipated timing and duration of the leave. Sufficient information may include that the employee is unable to perform job functions, the family member is unable to perform daily activities, the need for hospitalization or continuing treatment by a health care provider, or circumstances supporting the need for military family leave. Employees also must inform the employer if the requested leave is for a reason for which FMLA leave was previously taken or certified. Employees also may be required to provide a certification and periodic recertification supporting the need for leave.

Employer Responsibilities

Covered employers must inform employees requesting leave whether they are eligible under FMLA. If they are, the notice must specify any additional information required as well as the employees’ rights and responsibilities. If they are not eligible, the employer must provide a reason for the ineligibility.

Covered employers must inform employees if leave will be designated as FMLA-protected and the amount of leave counted against the employee’s leave entitlement. If the employer determines that the leave is not FMLA-protected, the employer must notify the employee.

Unlawful Acts by Employers

FMLA makes it unlawful for any employer to:

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

Enforcement

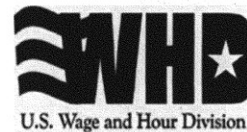
An employee may file a complaint with the U.S. Department of Labor or may bring a private lawsuit against an employer.

FMLA does not affect any Federal or State law prohibiting discrimination, or supersede any State or local law or collective bargaining agreement which provides greater family or medical leave rights.

FMLA section 109 (29 U.S.C. § 2619) requires FMLA covered employers to post the text of this notice. Regulations 29 C.F.R. § 825.300(a) may require additional disclosures.



For additional information:
1-866-4US-WAGE (1-866-487-9243) TTY: 1-877-889-5627
WWW.WAGEHOUR.DOL.GOV



U.S. Department of Labor | Employment Standards Administration | Wage and Hour Division

WHD Publication 1420 (Rev. XX-XXXX)

Employee Suggestion Form

Instructions: You may make a copy of this form, or obtain a form from the Human Resources Department. Write your suggestion clearly indicating exactly what is to be done; if you need more space or if it is necessary to draw a sketch use the back of this form or securely attach a sheet of plain paper.

My suggestion is:

My suggestion will accomplish the following:

Employee's Name _____

Department _____ Date _____

All suggestions become the property of the University to do with as it sees fit.

Employee's Signature _____