



# Southwestern University

STAFF HANDBOOK – March 2017



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*Equal Employment Opportunity*

Southwestern University is committed to the principle of equal opportunity for all persons without regard to sex, race, religion, age, disability, national or ethnic origin, sexual orientation, gender identity/transgender status or any other impermissible factor. Southwestern University is also committed to compliance with Title IX of the Education Amendments of 1972, which prohibits sex discrimination in federally funded education programs and activities, including sexual misconduct. The Southwestern University Title IX Coordinator is Elma Benavides who can be reached at [benavide@southwestern.edu](mailto:benavide@southwestern.edu) or by phone, 512-863-1441. Southwestern University is also committed to taking affirmative steps to see that such opportunities are made available for personnel in employment, promotion, transfer, recruitment, rates of pay and other forms of compensation, and selection for training.

June 1, 2016

*Accreditation*

Southwestern University is accredited by the Commission on Colleges of the Southern Association of Colleges and Schools to award baccalaureate degrees. Contact the Commission on Colleges at 1866 Southern Lane, Decatur, Georgia 30033-4097 or call 404-679-4500 for questions about the accreditation of Southwestern University.



## **I. INTRODUCTION**

### **A. History, Mission, Core Purpose and Core Values of the University**

#### **History**

Southwestern University is a direct descendant of four of the earliest institutions of higher learning in the state. In fact, the forerunner of the University, Rutgersville College, was chartered by the Republic of Texas in 1840, making it the first college in what was to become the State of Texas. The three other colleges founded by pioneer Methodists and united in one central college in Georgetown were Wesleyan College, chartered in 1844; McKenzie College, 1848; and Soule University, 1856. When the five Methodist Conferences of Texas located the central institution in Georgetown in 1872, it was known as Texas University. In 1875, that name was ceded to the State of Texas and the present name, Southwestern University, adopted. Georgetown is a city with a population of about 48,000 and is located twenty-eight miles north of Austin, the state capital.

Southwestern University has had fourteen presidents and three interim presidents since it was established in Georgetown. Francis Asbury Mood, 1872-1884; John Wesley Heidt, 1885-1889; John Howel McLean, 1891-1898; Robert Stewart Hyer, 1898-1911; Charles McTyeire Bishop, 1911-1922; Paul Whitfield Horn, 1922-1924; James Samuel Barcus, 1924-1928; King Vivion, 1928-1935; John William Bergin, 1935-1942; John Nelson Russell Score, 1942-1949; William Carrington Finch, 1949-1961; Lawrence Durwood Fleming, 1961-1981; Roy B. Shilling, Jr., 1981-2000; Jake B. Schrum, 2000-2103; and Edward B. Burger, 2013-present. Faculty members McLean, John R. Allen, and Randolph Ward Tinsley each served as interim presidents in the late 1800s and early 1900s during changes in administration.

#### **Institutional Mission Statement**

Officially adopted by the faculty and the Board of Trustees in 1972, amended in 2001, 2008 and 2011.

Southwestern University, under the auspices of the United Methodist Church, is committed to undergraduate liberal education involving both the study of and participation in significant aspects of our cultural heritage, expressed primarily through the arts, the sciences, the institutions and the professions of society. As a teaching-learning community, Southwestern encourages rigorous inquiry and scholarship, creative teaching and the expression of free human life. The University seeks to involve the student in finding a personal and social direction for life, developing more sensitive methods of communication, cultivating those qualities and skills which make for personal and professional effectiveness, and learning to think clearly and make relevant judgments and discriminations.

#### **Southwestern University's Core Purpose**

Fostering a liberal arts community whose values and actions encourage contributions toward the well-being of humanity.

#### **Southwestern University's Core Values**

- Cultivating academic excellence.
- Promoting lifelong learning and a passion for intellectual and personal growth.
- Fostering diverse perspectives.
- Being true to oneself and others.
- Respecting the worth and dignity of persons.
- Encouraging activism in the pursuit of justice and the common good.

### **B. Governance and General Faculty of the University**

**Amended and Restated Certificate of Formation and Amended Bylaws** Southwestern University, Georgetown, Texas, is a non-profit corporation organized under the laws of the State of



Texas to “establish, maintain, and support an institution that promotes higher education in any and all of its branches and confers any and all college and university diplomas, both liberal and professional, regular and honorary.” The Bylaws of Southwestern University are promulgated in accordance with provisions, which provide that the board of trustees may adopt appropriate bylaws. The Amended and Restated Certificate of Formation and Amended Bylaws under which the University operates were approved by the board of trustees on January 30, 2015, and confirmed by the annual conferences of The United Methodist Church in June 2015.

### **Board of Trustees**

“Responsibility for the University’s overall educational mission governance, academic life, student life, and fiscal affairs is vested in the University’s board of trustees.” It is composed of not more than 45 trustees, consisting of the president of the University, two bishops of The United Methodist Church, the president and president-elect of the Association of Southwestern University Alumni, two recent graduates of the University nominated by students, members at large, and representatives from the six patronizing annual conferences. [See Bylaws, Article I.]

### **The President**

“The day-to-day governance of the University is committed to the president. He or she is responsible for implementing the policies adopted by the board of trustees, for overseeing every phase of the University’s operation, and for formulating and enforcing all rules and regulations. In performing his or her duties, he or she shall strive to establish a direct relationship with every member of the University community. By way of enumeration, but not by way of limitation, the president shall:

- i. advise and counsel with the board of trustees in establishing, changing, and developing policy for the governance and operation of the University;
- ii. keep abreast of education trends throughout the nation and keep the board of trustees apprised of significant developments;
- iii. report to the board of trustees at its meetings and at such other times as the occasion may require concerning legislation adopted by the officers and faculty of the University;
- iv. supervise, review, recommend and present to the board budgets for the operation of the University;
- v. appoint, with the concurrence of the chair of the board of trustees, all administrative officers of the University;
- vi. maintain continuity in the overall operations of the University, taking into consideration its policies, tradition, and achievements of the past and furnish leadership in development of plans and programs that will enrich the resources and services of the University;
- vii. act as the official medium of communication between the board of trustees and the University’s officers, staffs, faculty, and students ;
- viii. prescribe such rules and regulations as are necessary for the administration, control, and discipline of the University and for the direction and guidance of its employees;
- ix. head all divisions of the University, providing such supervision and direction as to promote their efficient operation;

- x. in his or her discretion, suspend an action of the faculty of the University. In so doing, he or she shall submit to the body concerned, in writing, at its next regular meeting, a statement of his or her action and his or her reasons for taking that action, and he or she shall report his or her actions to the board of trustees or the executive committee at its next regular meeting together with any pertinent statement submitted by the body affected;
- xi. preside at public academic occasions;
- xii. exercise general responsibility for the care and use of the real and personal property of the University. In carrying out this responsibility, he or she shall execute all deeds, deeds of trust, bills of sale, assignments, transfers, releases, notes, obligations or contracts, or other instruments of the University as the board of trustees may direct;
- xiii. establish policies and procedures for determining developmental needs of the University and exercise control of the University's fundraising activities;
- xiv. oversee the University's intercollegiate athletics program, its resources and its compliance with NCAA and conference regulations;
- xv. as and when necessary and appropriate, represent the University at meetings of organizations of which the University is a member or with which it is associated;
- xvi. interpret and explain the programs and needs of the University to the public pursuant to and in accordance with policies established by the board of trustees;
- xvii. prepare and submit to each of the University's patronizing conferences an annual report on the state of the University, including, significant developments regarding its financial condition, its faculty and students, and its physical plant and other properties; and
- xviii. perform such other duties and functions as the board of trustees or the executive committee may assign to him or her." [See Bylaws, Article II.]

### **Other Officers**

"The president, with the concurrence of the chair of the board of trustees, shall appoint such vice-presidents, deans, associate deans, and other administrative officers as are needed to administer the University effectively and efficiently." [See Bylaws, Article II.] The following officers comprise the President's Staff: Dean of the Faculty; Vice President for Finance and Administration, Vice President for Student Life; Dean of Enrollment Services; Vice President for University Relations; Chief Marketing Officer; Vice President for Information Services and Chief Information Officer; and Director of Administrative Services for the President's Office and the Board of Trustees.

### **1. President's Staff**

#### **Dean of the Faculty**

The Dean of the Faculty is the officer responsible for the University's total educational program and functions as Dean of the Brown College of Arts and Sciences and the Sarofim School of Fine Arts. The Dean of the Faculty has responsibility for administering the academic program in such areas as institution-wide planning; faculty recruitment, evaluation, promotion, and development; academic testing and advising; publications of the *Faculty Handbook* and the *University Catalog*; class scheduling, registration, and student records; certification of graduates; summer school; and academic internships. These duties are performed in consultation and collaboration with the Curriculum

Committee, the Faculty Steering Committee, and the Strategic Planning and Budget Committee as these bodies exercise their legislative functions on behalf of the faculty.

The Dean of the Faculty is responsible for coordinating the academic student life areas and meets regularly with the Vice President for Student Life and other staff members in academic and student affairs. The following individuals report to the Dean of the Faculty: the Associate Deans, the Coordinator of Testing (in academic matters), the Assistant Dean for Academic Success and Director of Records, the Director of Intercultural Learning, the Director of the Language Learning Center, the Director of the Debby Ellis Writing Center, the Director of Upward Bound, the Director of the Paideia Program, the Director of Community-Engaged Learning, the Director of Institutional Research, the Manager of the Sarofim School of Fine Arts Administration, the Associate Vice President for Academic Affairs, and the Associate Dean for Faculty Development and Academic Assessment.

The Dean of the Faculty works with the academic deans, administrators who support academic services, and the department and program chairs to review the University's academic program and to discuss policies and procedures affecting the academic life of the University. When assessments of judgments concerning individual faculty members are necessary, the Dean of the Faculty has final responsibility and authority in academic matters.

#### **Vice President for Finance and Administration**

The Vice President for Finance and Administration is responsible for planning and directing the business and financial affairs of the University. Areas overseen include: facilities planning, construction projects, property management, human resources and payroll, information technology, investment management, budgeting, accounting, purchasing, general services contracting, risk management and safety, legal services, physical plant, campus post office, dining services and the bookstore. Reporting to the Vice President for Finance and Administration are: Associate Vice President for Human Resources; Associate Vice President for Facilities Management; Controller; Director of Campus Safety and Risk Management; Senior Director of Information Technology; bookstore manager; and dining services manager.

#### **Vice President for Student Life**

Student Life promotes the mission of Southwestern University by implementing programs and delivering services that provide values-centered education of the whole person. These programs and services facilitate students' development of social competencies, and reflect a shared responsibility for student learning within an undergraduate liberal arts community. Student life fosters a challenging, secure, residential environment in which the uniqueness of each individual is respected and celebrated.

The Vice President for Student Life is responsible for administration of student programs and services that facilitate the academic mission of the University and promote learning outside of the classroom. The Vice President serves as a general advocate for student concerns. Student Life includes: the Dean of Students; Career Services; the Corbin J. Robertson Center; Counseling Services; Diversity Education; Health Services; Intramural and Recreational Activities; the Red and Charlene McCombs Campus Center; Residence Life; Student Activities; Honor Code; student discipline; student government; student organizations; student publications; alcohol and other drug education; and University Police.

#### **Dean of Enrollment Services**

Dean of Enrollment Services provides strategic leadership in advancing the University's recruitment and enrollment goals. He/she provides experience and oversight to the recruiting, admission, retention and financial aid processes. Reporting to the Dean are the Office of Admission and the Office of Financial Aid, which are comprised of a team of experienced staff members. The Enrollment Services organization is also complemented by numerous student workers. Additionally, the Dean, along with the Enrollment Services staff, maintains the institutional commitment to superior service, student

retention, promoting institutional awareness, working with other offices on marketing initiatives, and assures effective use of technology and analysis of data in achieving enrollment objectives. The Dean of Enrollment Services collaborates with other senior officers, University staff, academic leadership, faculty and students to ensure an extraordinary educational experience for all Southwestern University students.

#### **Vice President for University Relations**

The Vice President for University Relations leads the Offices of Alumni and Parent Relations, Corporate & Foundation Relations, Annual Giving, Major Giving, Planned Giving, University Events, Gift Processing, and Constituent Information Systems, in united achievement of the division's core mission, which is to foster the intentional creation and evolution of meaningful relationships that enhance purposeful engagement with, and support for, the mission of Southwestern University.

#### **Chief Marketing Officer**

The Chief Marketing Officer directs and manages the Office of Marketing and Communications, which serves as the primary internal and external communications and information hub for Southwestern University. The office's responsibilities are separated into four main areas: marketing strategy, design and digital media, public relations, and editorial. Through these four concentrated areas, the office serves the university in planning, executing, and measuring integrated marketing programs through traditional and online platforms. Additionally, the Marketing and Communications office manages the university website and social media channels, calendars, campus news, and publications such as Southwestern Magazine.

#### **Vice President for Information Services and Chief Information Officer**

The Vice President for Information Services and Chief Information Officer is responsible for strategic and operational leadership for library, information and technology services and programs that support the academic mission and administrative operations of the University. The Information Services professionals, librarians and staff provide a comprehensive suite of services, resources and programs designed to promote learning and scholarship, and to engage students, faculty and staff in effective and innovative uses of information resources and technologies. Responsibilities include assisting the campus community in understanding and responding to the changes occurring in -moving to a more digital world; collaborating with the campus community to define policies, standards, and services about the appropriate use of information and technology, and developing strategic relationships with other colleges, Universities, cultural institutions, consortia, and professional organizations for collaborative projects that advance the mission of the University.

#### **Executive Assistant to the President and Liaison for the Board of Trustees**

The Executive Assistant to the President is a member of the President's Staff and serves as liaison to the Board of Trustees. Working in collaboration with the President and the various constituencies within the University community, external publics, foundations, and organizations, the Executive Assistant is responsible for the day-to-day management of the President's Office as well as the President's calendar and travel. In addition to attending the President's Staff meetings, the Executive Manager attends Faculty Meetings and Facilities Meetings.

#### **Academic Deans**

##### **Associate Deans**

The current responsibilities of the associate deans include convening area meetings on the second Tuesday of the month; arranging joint meetings with other areas at least once a semester; attend biweekly meetings with the Dean of the Faculty before and after area meetings; attending department chair meetings; working with the Dean of the Faculty on various curricular, department, faculty and programmatic issues; assisting faculty in preparing for 2<sup>nd</sup> and 4<sup>th</sup>, tenure and promotion reviews; assisting faculty applying for internal funding; monitoring section sizes; overseeing department-level

curriculum reform; helping develop benchmarks for faculty loads; provide advice on visiting position and adjunct requests; providing oversight of department assessment; serving ex officio on the Intellectual Property Rights Committee alongside the Dean of the Faculty and the Vice President for Finance and Administration; and soliciting external reviews for faculty undergoing reviews for 2<sup>nd</sup> year, 4<sup>th</sup> year, tenure and promotion. The Associate Deans will play a mentoring, not an evaluative role in the tenure process. The mentoring role might include coordinating mentoring policy networks across areas, recommending mentoring resources, and in some cases providing more direct mentoring. The Associate Deans will be available as a resource to the Faculty Status Committee during the tenure process but not as formal evaluators.

### **Associate Dean for Faculty Development and Academic Assessment**

The Associate Dean provides leadership for faculty professional development efforts at Southwestern University by working with faculty and staff throughout the University to seek external funding for research, creative works and projects benefiting the institution as a whole. The Associate Dean oversees academic and administrative assessment at Southwestern, and is a member of the Dean of the Faculty's staff.

### **The General Faculty**

"A University faculty member is a citizen, a member of a learned profession, and a member of a church-related educational institution. As a person of learning and an educator he or she enjoys a special position in the community. A faculty member should, as a teacher, as a scholar, as an administrator and, as an individual, discharge his or her duties and responsibilities in such a manner as to bring honor to the profession, to the University, and to the faculty member." [See Bylaws, Article III.]

1. Powers and Duties. "The faculty of the University of which the President is the chief executive officer, shall, subject to the approval of the Board of Trustees:
  - A. Concern itself with all matters connected with the educational program of the University: academic, cultural, social, and religious;
  - B. Nominate to the Board of Trustees for favorable action candidates for all degrees;
  - C. Delegate to committees of its own constitution such of its powers and functions as it may see fit; and
  - D. Have such other powers and duties as the Board of Trustees may from time to time delegate to the faculty." [See Bylaws, Article III.]
2. Composition. "The faculty shall consist of the President of the University, the Deans of Instructions, the Vice Presidents, the Dean of Students, Professors, Associate Professors, Assistant Professors, Instructors, and such other personnel as designated by the President." [See Bylaws, Article III.]
3. Classification. "The members of the University faculty are classified and ranked in the order as listed:
  - A. President;
  - B. Deans and Vice Presidents;
  - C. Professors;
  - D. Associate Professors;
  - E. Assistant Professors;
  - F. Instructors" [See Bylaws, Article III.]

### **Department Chairs**

Department Chairs are appointed by the President on an annual basis, though appointments are renewable. The Department Chairs are accountable to the Dean of the Faculty and meet regularly with her/him.

It is the responsibility of the department chair to provide leadership, vision, and coherence in relation to department faculty, department programs, assessment of departmental academic programs, and students who major or otherwise take courses in the department. The chair is both the administrative officer of the department, the assessment officer of the department and the focus of leadership within the department. At present, department chairs teach the equivalent of five courses per year.

### **Departmental Leadership**

- The chair is expected to give leadership in planning and assessment for the department. The chair conducts regular departmental meetings and an annual departmental meeting focusing on the assessment plan, counsels with individual faculty members, encourages improvement in teaching, evaluates departmental work, promotes program innovation, and helps provide for the on-going vitality of the department.
- The chair participates in scholarly and professional activities pertinent to his or her discipline and encourages the active scholarly and professional participation of all members of the department.
- In order to provide guidance to candidates for tenure and promotion to Associate Professor, and to candidates for promotion to Professor, Chairs will ensure that their department will describe its general expectations for each of those promotions. To ensure compliance with University standards, these expectations will be vetted through the Dean of the Faculty and the Associate Deans. Each department and program will review and revise its statement of expectations as part of its 7-year self-study.
- The chair consults with Dean of the Faculty and the appropriate Associate Dean on any personnel changes needed, such as promotion, load adjustments, retirement, or released time.
- The chair works with other tenured members of the department to effectively assess the work of the candidate under review for tenure and promotion. Access to the professional file and teaching evaluations should be provided to these members. Based on review of this material and the other information at the disposal of the chair and the tenured members of the department, the chair and the tenured members of the department will determine, in their judgment, whether the faculty member has met the University's expectation in teaching, professional growth, and service. Based on a review of the faculty member's teaching, professional work, and service to the community, the chair and all of the other tenured members of the department will craft a departmental opinion of whether the faculty member under review has met the University's expectation in each of the three areas. If the opinions are mixed, the document should clearly indicate the differences in opinion and their justifications.
- In collaboration with other tenured members of the Department or Program, the candidate's Chair will generate a list of at least 3 potential external reviewers in addition to the list the candidate makes. The candidate under review will generate a list of at least 5 potential external reviewers. The candidate may provide a list of names to be excluded from the Department's list.
- The chair participates in the selection of new members for the department, in accordance with the provisions outlined in the *Faculty Handbook*, and is responsible for counseling with new

members on procedures and responsibilities of membership in the department and the University.

- The chair submits an annual written report to the Dean of the Faculty on the state of the department. This report serves as a basis for an annual conference between the chair and the Dean of the Faculty. See section “Annual Report of the Department or Program” below.

### **General Administration and Supervision of Departmental Matters**

- In the case of standardized courses regularly taken elsewhere, the chair may register approval for transfer credit with the Director of Records; the Director of Records may then automatically grant the pre-approval credit.
- The chair coordinates course listings, class schedules, and oversees development of the curriculum in the department.
- The chair coordinates faculty’s contributions to the departmental assessment plan based on student learning outcomes.
- The chair convenes an annual department faculty meeting on the departmental assessment plan based on student learning outcomes.
- The chair is responsible for supervision of the departmental budget and the chair’s approval is needed for all expenditures charged to the departmental budget.
- The chair may provide a substitute signature for any instructor in the department (approving an add or drop of a course) or for any advisor in the department (for drop/add or registration). The chair’s approval is required for a course taken at Southwestern or at another institution, when the student requests that the course substitute for a course in the chair’s department that is specifically required in a major or minor. The chair in the appropriate department may be asked by the Director of Records to evaluate a course that is proposed to substitute for a course in the general education requirements common to all degrees. Substitutions are made on the basis of content equivalency, which is evaluated by comparing catalog descriptions or syllabi (See the *University Catalog*). The chair may pre-approve a particular transfer equivalency, or may change the equivalence rendered by the Records Office to a more favorable credit within the department.
- The Chair coordinates the department review process according to the schedule set forth by the Curriculum Committee
- Working with department colleagues and library liaisons, the chair is responsible for developing a strong library collection to undergird the teaching in the department.
- The chair maintains a file of syllabi for all courses offered in the department. Each syllabus should be retained for six years.

### **Program Chairs**

The President appoints all chairs of non-departmental programs that produce majors or minors. These interdisciplinary academic programs are overseen by chairpersons, each of whom is responsible to the Dean of the Faculty. Committees act with these chairpersons in an advisory capacity. In most cases, the responsibilities of program chairs follow those of department chairs.

### **Annual Report of the Department or Program**

Each department/program chair submits a Departmental/Program Annual Report to the Dean of the Faculty. It should contain the following parts:

- Part I: A report on the teaching, research, and contributions to the department/program and the University of the members of the department/program during the previous academic year. This information will be a factor in salary considerations. In the spring of each year, the Dean of the Faculty will ask department/program chairs to provide information on the faculty that is needed within the salary consideration process. (Due May 1.)
- Part II: An updated, current departmental assessment plan based on student learning outcomes. This should also include a statement concerning departmental/program direction, activity, growth, e.g., new programs undertaken or planned, experimental projects being considered, “success” stories, and departmental/program aspirations. This statement should address the status of issues raised in the department’s/program’s most recent seven year review. A statement of departmental/program needs and/or problems in the areas of personnel, equipment, administrative support, and program development.

At the end of the academic year, the Dean of the Faculty will meet with each department and program chair to discuss the chair’s annual report and to plan how to implement any appropriate changes in the next academic year. The Dean of the Faculty will provide the department/program chair with a letter documenting the conference and outlining the agreed-upon actions for the following year.



## C. Legislative Organization of the University

The organizational and operational structure of the general faculty for legislative purposes was recommended to the President at a faculty meeting on April 3, 1979, and subsequently implemented by him with modifications on May 1, 1979. A revised committee structure (described below) was recommended to the President by the faculty on May 6, 2014, and subsequently implemented by him with modifications on May 23, 2014.

### Academic Areas

Southwestern University is divided into the Brown College of Arts and Sciences and the Sarofim School of Fine Arts. The College of Arts and Sciences is composed of the following areas: Humanities, Natural Sciences, and Social Sciences.

1. The Humanities Area is composed of the departments of Communication Studies, English, History, Modern Languages and Literatures, Philosophy, and Religion.
2. The Social Sciences Area is composed of the departments of Economics and Business, Education, Exercise and Sports Studies, Political Science, Psychology, and Sociology and Anthropology.
3. The Natural Sciences Area is composed of the departments of Biology, Chemistry and Biochemistry, Kinesiology, Mathematics and Computer Science, and Physics.
4. The School of Fine Arts is composed of the departments of Art and Art History, Music, and Theatre.

Non-teaching faculty members are assigned by the President to the area wherein their competence is appropriate.

Because interdisciplinary programs/areas engage faculty from a variety of disciplines, they are not listed in the above structure. These include Classics, Environmental Studies, Feminist Studies, International Studies, and Latin American and Border Studies.

### Area Organization

*Remark: During the 2016-2017 academic year, joint meetings among multiple areas will be often held in lieu of regularly scheduled independent area meetings.*

Each area holds regular faculty meetings. A quorum for business is one-half of the voting members of the area. Its members appoint such committees as it deems desirable to expedite its work. Attendance at area meetings is expected of all faculty members. The Dean of the Faculty is an ex-officio member of all areas with voice but no vote in meetings. Each area elects a secretary on an annual basis to keep minutes and records of all business, including attendance in order to document a quorum. To maintain a historical record of the University's business, minutes are kept by the Dean of the Faculty in a permanent file. Faculty members of all areas may receive the minutes of the faculty meetings of any area upon request to the Dean of the Faculty.

### General Faculty Meetings

The President or, with his/her concurrence, the Dean of the Faculty may call a general faculty meeting. General faculty meetings approve all regular degrees upon recommendation of the Director of Records, resolve all academic and faculty matters referred to it in line with the provisions listed above, and deal with any matters brought before it by the President. The President or, at his/her designation, the Dean of the Faculty presides at all general faculty meetings.

(Note that the Faculty Steering Committee collaborates with the President and the Dean of the Faculty to set the agenda for Faculty Meetings.) All members of the faculty have the privilege of the floor in faculty meetings. Vote is granted to all full-time members of the faculty and to part-time faculty who teach on a regular basis, i.e., have taught two courses per semester and have completed or are in the process of completing three successive annual appointments. Four students elected by the Southwestern Student Government Association attend general faculty meetings with voice but no vote. The Associate Vice President for Academic Administration; the Director of Records; the Assistant Dean of Academic Success and Advising; the Director of Intercultural Learning; the Vice President for Student Life; the Dean of Students; the Director of Teaching, Learning, and Scholarship; the Director of Civic Engagement; and the Director of Institutional Research and Effectiveness may attend meetings with voice but no vote.

### **Appeal by Faculty Meeting**

The President has provided that whenever he/she suspends an action of the faculty, a two-thirds majority of the faculty in attendance may appeal the President's suspension to the Board of Trustees or to the Executive Committee of the Board. Furthermore, the faculty may, by petition of two-thirds of the members, request the chair of the Board of Trustees for a special meeting.

## **1. The Committee System**

### **Preamble**

The purpose of the committee system is to provide a structure for University planning. To that end, it is designed to promote the broadest possible exchange of ideas among administrators, faculty, staff, and students in a way that recognizes the inescapable interdependence of all stakeholders within the University. It provides for initiatives and referrals of policy issues and for the implementation of existing policy.

The committees and offices within the committee system have a variety of functions and engage with sometimes distinct, sometimes overlapping areas of concern. For the most part, their function is to provide advice within a particular area or to carry out established policy. In some cases, such as the University faculty's responsibility to "concern itself with all matters connected with the educational program of the University" as stipulated in the University bylaws, they have decision-making responsibility. In every case, they are tasked as working groups with promoting the success of the University and helping it fulfill its core mission.

Those participating on University committees are responsible for establishing clear channels of communication among stakeholders and with other committees, recognizing that open and coordinated effort will support the welfare and success of the University in both the short and long term.

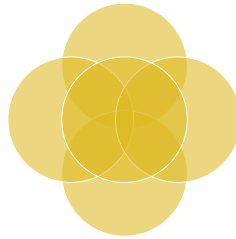
The committee system presented below marks out 5 key zones: Curriculum, Faculty Affairs, Planning and Budget, Staff Affairs, and Student Affairs. These zones are not discrete. Concerns, discussions, questions, and initiatives related to planning and the conduct of University life will necessarily flow across zones, involving committees and offices in several or even all of them.

## Visual Overview of the Proposed Committee Structure

### Curriculum

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*Academic Departments and Programs*  
*Academic Standards Committee*  
*Curriculum Committee \**  
*FYS/AES Committee*  
*Institutional Animal Care and Use Committee*  
*Institutional Review Board for Human Research*  
*Intercultural Programs and Perspectives Committee*



### Staff Affairs

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*Staff Steering Committee \**

### Student Affairs

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*Alcohol and Other Drugs Committee*  
*Campus Life Advisory Committee*  
*Honor Code Council*  
*Sexual Assault Risk Reduction Committee*  
*Sexual Misconduct Hearing Board*  
*Student Government Association \**  
*University Committee on Discipline*

### Faculty Affairs

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*Awards and Honors Committee*  
*Emeritus Faculty Committee*  
*Faculty Status Committee*  
*Faculty Steering Committee \**

### Planning & Budget

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*Academic and Administrative Assessment Committee*  
*Committee Review Board*  
*Diversity Enrichment Committee*  
*Enrollment and Retention Committee*  
*Facilities and Space Utilization Committee*  
*Information Services Committee*  
*Safety Committee*  
*Strategic Planning and Budget Committee \**  
*Sustainability Committee*

\* *This is the designated coordinating committee for the respective area.*

## Guiding Principles for Committee Deliberations and Policy Formation

1. All University issues are intended to be deliberated and decided by the most appropriate unit(s) within the system, and the results then reported through the system to the university community. In many cases, this will involve collaboration among multiple units.
2. For implementation of an existing policy in routine daily business, the appropriate unit is the affiliated committee or administrative office directly charged with implementing the policy.
3. For planning or deliberation that may involve policy changes or new policy related to the function area of a Coordinating Committee or one of its affiliated groups, the respective Coordinating Committee is the appropriate deliberating committee. Under normal circumstances, the Coordinating Committee will submit proposals for major policy changes to a vote of the full faculty for approval and forward its recommendations to the President in accordance with the faculty handbook.
4. For planning or deliberation that involves a University policy or that may involve a policy with fiscal implications, the President's Office and the Strategic Planning and Budget Committee are the appropriate collaborating units.
5. Ultimate faculty legislative authority is to be expressed at the general faculty meeting level,

with (or without) prior recommendation transmitted to the general faculty through the committee system as provided below.

Remarks:

i) Unless otherwise stated, the Faculty Steering Committee collaborates with the Dean of the Faculty's office and the Dean of the Faculty to appoint faculty to non-elected committee positions. Similarly, the Staff Steering Committee collaborates with the Dean of the Faculty's office to appoint staff to non-elected committee positions. The Student Government Association recruits and appoints/elects student representatives to almost every University committee. ii) To provide continuity, multi-year terms should be staggered within each committee and within each area where appropriate. iii) Unless specifically stated otherwise, committee appointments are made on an annual basis with consecutive reappointments common to ensure appropriate continuity. This provides needed flexibility when distributing committee workload each year. iv) Unless otherwise stated, ex officio positions have voice and vote. v) All committee meetings are open unless otherwise stated. Committees can, on occasion, choose to go into executive session. vi) In general, all committee actions shall be subject to challenge by petition of 20% or more of the faculty membership (see Faculty Challenge of Committee Actions at the end of Section III). [This Committee System was first approved by the Faculty on May 6, 2014.]

## Curriculum

### *Affiliated Groups*

- Academic Departments and Programs
- Academic Standards Committee
- Curriculum Committee \*
- First Year Seminar / Advanced Entry Seminar (FYS/AES)
- Institutional Animal Care and Use
- Institutional Review Board for Human Research
- Intercultural Programs and Perspectives Committee
- Paideia Committee
- Pre-Med Advisory Committee

\* This is the designated Coordinating Committee for these affiliated groups. It accepts action items from affiliated committees for review and, where it recommends new policy or policy changes, forwards items to the full faculty. (Note that the Faculty Steering Committee collaborates with the Dean of the Faculty to set the agenda for Faculty Meetings.)

### **Academic Departments and Programs (Appointed)**

*Charge:* Academic Department and Program Chairs work within their department or program to provide leadership and mentoring; to shape and promote group vision; to oversee curricular, budgetary, and administrative processes; and to develop outreach to prospective and current students. Department and Program Chairs meet directly as necessary with the Dean of the Faculty, the Associate Dean, and other committees to promote a culture of intentional sharing and collaboration. The Academic Department and Program Chairs also oversee summer school planning in collaboration with the Dean of the Faculty's office and the Director of Records. This committee has a reserved monthly meeting time, for which the Dean of the Faculty's office will set the agenda in consultation with Department and Program Chairs.

### **Academic Standards Committee (Appointed)**

*Charge:* The Academic Standards Committee considers and recommends action on student requests for exceptions to University academic policies. These requests usually refer to the extension of deadlines, including, but not limited to, the following: adding courses; changing from graded to pass/fail status; withdrawal without record; and withdrawal after the final semester deadline. The committee also hears appeals to mandatory withdrawal or dismissal from the University for academic reasons and grade appeals in accordance with official procedure as described in the Faculty Handbook. This committee has a reserved, weekly meeting time, but may make some decisions via e-mail. Discussion of dismissal appeals mandates meeting outside of the regular semester calendar. Students wishing their cases to be heard by the committee begin by contacting the Assistant Dean for Academic Success in the Director of Records' office.

**Membership:**

1. Faculty Representative School of Fine Arts (appointed to 2-year term)
2. Faculty Representative Humanities (appointed to 2-year term)
3. Faculty Representative Social Sciences (appointed to 2-year term)
4. Faculty Representative Natural Sciences (appointed to 2-year term)
5. *Ex officio* Assistant Dean for Academic Success and Dir. of Records
6. *Ex officio* (voice, no vote) Associate Director for Academic Success

**Curriculum Committee (Elected)**

*Charge:* The Curriculum Committee focuses on overarching aspects of the curriculum and how they work together. It interfaces with the appropriate departments, programs, and committees to oversee aspects of the curriculum that are central to its design, including, but not limited to, all departmental and interdisciplinary programs, Paideia, First-Year and Advanced-Entry Seminar, Social Justice, Intercultural Programs and Perspectives. It proposes changes and innovations that strengthen Southwestern University's Core Values, evaluates long-term student-learning outcomes from Academic Assessment, and advises the Strategic Planning and Budget Committee on the allocation of resources and faculty positions. It also maintains current curriculum protocols, including the final approval of Social Justice and Intercultural Perspectives designation, catalog changes, departmental reviews, course additions, and revisions to degree plans.

**Membership:**

1. Faculty Representative School of Fine Arts (elected to 2-year term)
2. Faculty Representative Humanities (elected to 2-year term)
3. Faculty Representative Social Sciences (elected to 2-year term)
4. Faculty Representative Natural Sciences (elected to 2-year term)
5. Student Representative (appointed by SGA to 1-year term)
6. Staff Representative Professional Librarian (elected by Librarians to 2-year term)
7. Student Life Representative (voice, no vote) (appointed by VP for Student Life to a 2-year term)
8. *Ex officio* Director of Paideia
9. *Ex officio* (voice, no vote) Dean of the Faculty
10. *Ex officio* (voice, no vote) Associate Dean
11. *Ex officio* (voice, no vote) AVP for Academic Affairs
12. *Ex officio* (voice, no vote) Assistant Dean for Academic Success & Dir. of Records

The Curriculum Committee invites appropriate administrators, staff, faculty, and students to meetings when appropriate, and members of this committee also report to and/or attend other relevant committee meetings.

**Election/Appointment of Members:**

Faculty area representatives: nominated within the areas, voted on by all faculty members.

Library Staff representatives: elected by Librarians to 2-year term. Any faculty or staff member who has been elected to serve two consecutive terms on this coordinating committee should wait one full term before standing for election again.

### **Curricular Changes**

The President shall submit with his/her own recommendation all legislation taken by the faculty relative to instituting, eliminating, or substantially changing the nature of University degrees to the Board of Trustees for its confirmation.

The action of all University legislative bodies instituting, eliminating, or substantially changing the nature of major and minor fields of study, academic programs, and academic departments, including changes in names or titles, shall be brought to the Strategic Planning and Budget Committee, which will in turn forward it to the President with its recommendation. [Approved by the Board of Trustees, January 18, 1980. The Strategic Planning and Budget Committee replaced University Council in this capacity, approved by Faculty and President, May 2014.]

Changes of this type are instituted as follows:

1. A proposal for the curricular change is first proposed and approved by the participating departments. The proposal should include a needs assessment, learning goals and student learning outcomes, course requirements, program objectives, and budgetary implications. In some cases, the changes may warrant a discussion at the appropriate academic area.
2. Following departmental approval, the proposal is submitted to the Curriculum Committee for deliberation. In its deliberation of the proposal, the Curriculum Committee may request that the proposal be discussed and approved by the appropriate academic area.
3. If approved by the Curriculum Committee, the proposal must be considered by the Strategic Planning and Budget Committee to assess the fiscal implications of the proposed change.
4. If the Strategic Planning and Budget Committee deems the proposed change to be fiscally feasible, the proposal, along with this assessment, is forwarded to the faculty as a whole for a vote.
5. If approved by the faculty, the Strategic Planning and Budget Committee will forward the proposal with its recommendation to the President for consideration.

Curricular changes involving general education requirements and/or the overall structure of the curriculum originate in the Curriculum Committee and, if changes are recommended, are forwarded to the Strategic Planning and Budget Committee to assess the financial impact and then to the faculty as a whole for a vote.

### **First-Year Seminar / Advanced-Entry Seminar (FYS/AES) Committee (Appointed)**

Charge: The First-Year Seminar/Advanced-Entry Seminar (FYS/AES) Committee is charged with general oversight of the First-Year and Advanced-Entry Seminar programs, including selection of the seminars and faculty who teach in the program each fall and spring. (Provisionally, FYS/AES and Paideia merge into one committee in fall 2017.) The Associate Dean serves as an administrative liaison to this committee.

Membership:

1. Faculty Representative (appointed annually)
2. Faculty Representative (appointed annually)
3. Faculty Representative (appointed annually)

- |                                       |   |
|---------------------------------------|---|
| 4. Faculty Representative             | (appointed annually)                          |
| 5. Library Representative             | (appointed annually)                          |
| 6. Student Representative             | (appointed annually)                          |
| 7. <i>Ex officio</i> (voice, no vote) | (Convener) AVP for Academic Affairs           |
| 8. <i>Ex officio</i> (voice, no vote) | Assistant Dean for Academic Success & Dir. of |
| 9. <i>Ex officio</i> (voice, no vote) | Dean of Students                              |

**Institutional Animal Care and Use (Appointed)**

Charge: The Institutional Animal Care and Use Committee (IACUC) reviews and approves permission of any SU personnel to use vertebrate animals in research on campus or in the field. Additionally, the IACUC inspects (twice per year) all labs that have permission to use and house animals on campus.

Membership:

- |                           |                                     |
|---------------------------|-------------------------------------|
| 1. Faculty Representative | (appointed to 2-year term)          |
| 2. Faculty Representative | (appointed to 2-year term)          |
| 3. Faculty Representative | (appointed to 2-year term)          |
| 4. Faculty Representative | (non-scientist, appointed to 2-year |
| 5. Veterinarian           |                                     |
| 6. Community Member       | (off-campus representative)         |

Members appointed for 2-year terms, with at least one faculty member having previously been a member of the committee, whenever possible. Legally, the minimum composition includes five members, including the following:

- a veterinarian with program responsibilities
- a scientist experienced in laboratory animal procedures
- a non-scientist
- a non-affiliate (a person who has no other affiliation with the University other than sitting on the IACUC.)

This committee reports primarily to the Dean of the Faculty and engages with the Curriculum Committee as needed.

**Institutional Review Board for Human Research (Appointed)**

Charge: The Institutional Review Board for Human Research (IRB) was established to approve research projects involving the use of human participants. The Board exists both because Southwestern wants to ensure that research participants are treated with the utmost respect and safety and because federal law requires that all federally funded research involving human participants receive Board approval.

Membership:

The committee is composed of five faculty members, one off-campus representative (“community member”), and the Director of Institutional Research and Effectiveness (*ex officio*). The faculty members should be interested and informed parties from fields that might include Education, Modern Languages, Psychology, Sociology, the majority of whom will have expertise in human research and represent departments that frequently submit proposals to the Institutional Review Board.

- |                           |  |
|---------------------------|--|
| 1. Faculty Representative | (appointed to 3-year term)             |
| 2. Faculty Representative | (appointed to 3-year term)             |
| 3. Faculty Representative | (appointed to 3-year term)             |
| 4. Faculty Representative | (appointed to 3-year term)             |
| 5. Faculty Representative | (appointed to 3-year term)             |
| 6. Community Member       | (off-campus representative)            |
| 7. <i>Ex officio</i>      | Director of Institutional Research and |

Members appointed for 3-year terms, with the chair having been a member of the committee the prior year, whenever possible. Appointment of the faculty members should consider the federal

requirements (including diversity of professions, gender, and the explicit requirement for at least one scientist and at least one non- scientist). This committee reports primarily to the Dean of the Faculty and engages with the Curriculum Committee as needed.

### **Intercultural Programs and Perspectives Committee (Appointed)**

*Charge:* The Intercultural Programs and Perspectives Committee leads efforts to promote intercultural learning through: 1) advancing and supporting efforts to recruit and retain international students, faculty, and staff; 2) supporting faculty and student participation in study abroad programs; 3) setting criteria for establishing new Southwestern study abroad programs and reviewing faculty proposals for new programs; 4) setting criteria for and reviewing faculty proposals to teach in the Southwestern London semester abroad program; 5) allocating the Global Citizens Fund to support lectures and engagement with the campus community that lead to greater intercultural understanding; 6) setting criteria and evaluating proposals for courses that would fulfill the Intercultural Perspectives requirement; and 7) collaborating with other University committees and offices in implementing recommendations regarding the above-stated areas.

#### **Membership:**

Committee members should be interested and informed parties who have experience with intercultural programs and/or studies. Student representatives will have studied abroad prior to serving on the committee. Committee convener is the Director of Intercultural Learning.

1. Faculty Representative (appointed annually)
2. Faculty Representative (appointed annually)
3. Faculty Representative (appointed annually)
4. Faculty Representative (appointed annually)
5. Student Representative (appointed by Office of Intercultural Learning)
6. *Ex officio* (Convener) Director of Intercultural Learning

### **Paideia Committee (Appointed)**

*Charge:* The Paideia Committee provides advice and planning on the Paideia curriculum, including cluster development, student and faculty resources, faculty development, assessment of Paideia and its impact on students. (*Provisionally, FYS/AES and Paideia merge into one committee in fall 2017.*) The Associate Dean serves as an administrative liaison to this committee.

1. Faculty Representative (appointed annually)
2. Faculty Representative (appointed annually)
3. Faculty Representative (appointed annually)
4. Student Life Staff Representative (appointed annually)
5. Student Representative (appointed annually)
6. *Ex officio* (Convener) Director of Paideia
7. *Ex officio* AVP for Academic Affairs
8. *Ex officio* Director of Civic Engagement
9. *Ex officio* Director of Intercultural Learning

### **Pre-Med Advisory Committee (Appointed)**

*Charge:* Members of the Pre-med Advisory Committee serve in an advisory role to students from various academic disciplines who express an interest in health-related careers. The Committee works to help inform other faculty members who advise pre-health professions students about ways for their students to complete the requirements of their majors while fulfilling the prerequisite courses for professional studies. The Committee also serves to write letters of evaluation and recommendation for students who apply to medically related professional programs. Committee members are often called upon to meet with prospective students who express an interest in premedical studies.



*Membership:*

1. Faculty Representative (appointed annually)
2. Faculty Representative (appointed annually)
3. Faculty Representative (appointed annually)
4. Faculty Representative (appointed annually)
5. *Ex officio* (voice, no vote) Center for Academic Success

**Faculty Affairs**

Affiliated Groups

- Awards and Honors Committee
- Emeritus Faculty Committee
- Faculty Status Committee
- Faculty Steering Committee \*

\* This is the designated Coordinating Committee for these affiliated groups. It accepts action items from affiliated committees for review and, where it recommends new policy or policy changes, forwards items to the full faculty.

**Awards and Honors Committee (Elected)**

*Charge:* This committee is responsible for reviewing applications and making recommendations to the President regarding competitive professional development funds, sabbatical and summer funding, and teaching and advising awards (in consultation with the Dean of the Faculty). This committee also reviews honorary degree nominations and advises the President regarding subsequent recommendations to the Board of Trustees.

**Membership:**

1. Faculty Representative Fine Arts (elected to 3-year term)
2. Faculty Representative Humanities (elected to 3-year term)
3. Faculty Representative Natural (elected to 3-year term)
4. Faculty Representative Social (elected to 3-year term)
5. Academic Affairs Staff with faculty (elected at-large to a 2-year term)
6. *Ex officio* (voice, no vote) Dean of the Faculty

**Election/appointment of members:**

The faculty members are elected by each of the four areas. One member of the Academic Affairs staff with faculty rank is elected at-large.

**Emeritus Faculty Committee (Appointed)**

*Charge:* This committee works to foster involvement by emeritus faculty in university life, to ensure access to university services, and to provide a voice for emeritus faculty concerns.

**Membership:**

1. Two faculty Representatives (appointed annually)
2. Two emeritus Faculty Representatives (volunteers, appointed annually)

**Election/appointment of members:**

Appointed by the Faculty Steering Committee in consultation with the Dean of the Faculty's office.

**Faculty Status Committee (Elected)**

According to the provision adopted by the Board of Trustees at its meeting on January 30, 1970, the teaching faculty is actively involved in decisions on status. The legislation reads as follows:

*“A committee of four, known as the Committee on Faculty Status, will be elected by the faculty, with one member from each of the 4 areas. The responsibility of this committee is to make recommendations to the administration concerning changes in faculty rank. For non-tenured members of the faculty, the committee will also recommend reappointment or dismissal. The committee would also assist in hiring procedures when possible and when desired by the department concerned.”*

1. The committee prepares a review of each faculty member in the second, fourth, and sixth year of service (prior to the contract date) as well as faculty members under consideration for promotion to the rank of Professor. The committee makes specific recommendations concerning each faculty member to the administration. The review consists of accumulation and evaluation of reports prepared by department chairs, and colleagues in related departments and from the faculty member, describing professional accomplishments during the past year. External reviews are also included during the sixth year review for tenure and reviews for promotion to Professor.
2. Normal action of the committee will proceed from recommendations of the supervisor of each individual faculty member, but this guideline is not meant to exclude initiation of recommendations by the committee itself.
3. The administration will report action of the recommendation to the committee.

FACULTY STATUS MEMBERS WILL RECUSE THEMSELVES FROM STATUS DELIBERATIONS OF THEIR DEPARTMENTAL COLLEAGUES UNDER REVIEW. INSTEAD, THOSE MEMBERS OF STATUS WILL PARTICIPATE WITH THEIR DEPARTMENTS IN THE DEPARTMENTAL REVIEW.

In the interest of continuity and equity in the process of tenure and promotion review, faculty members who serve on the Faculty Status Committee agree to forego sabbatical leave during their four-year terms. However, faculty who serve on the Status Committee will also be eligible to apply for an additional semester of sabbatical leave at the completion of their terms. If granted, this leave may not be taken in the same academic year as another sabbatical. Members of the Faculty Status Committee are not eligible for promotion during their time on the committee.

**Membership:**

The committee is made up of four tenured members having been in residence at Southwestern for at least six years, one from each of the four academic areas, along with the Dean of the Faculty.

- |  |                    |
|--|--------------------|
| 1. Faculty Fine Arts Representative        | (elected to 4-year |
| 2. Faculty Humanities Representative       | (elected to 4-year |
| 3. Faculty Natural Sciences Representative | (elected to 4-year |
| 4. Faculty Social Sciences Representative  | (elected to 4-year |
| 5. Dean of the Faculty                     | (voice, no vote)   |

**Election of members and term:**

From the pool of eligible nominees in an area, each full-time tenured and tenure-track faculty member from that area will vote (via written or electronic balloting) for up to two candidates. The two faculty members with the highest number of votes will be the nominees. All eligible voting faculty from that area will then cast a written or electronic vote for 1 of the nominees. The terms typically begin on July 1. Each member serves for four years, with a new member joining each year.

**Reporting/Flow of Information:**

The four voting members of the Faculty Status Committee may go into closed session for the purposes of deliberating and letter editing. The committee meets as needed with the President and other academic officers.

### **Faculty Steering Committee (Elected)**

*Charge:* This committee provides a venue for faculty representatives to discuss, on an ongoing and regular basis, issues of importance to the faculty; to develop common approaches and responses to those issues; and to advise the faculty, administration, and other committees. It also acts as a representative of the faculty in meetings with the senior administration and the Board of Trustees; and, in collaboration with the President, and the Dean of the Faculty, sets the agenda for Faculty Meetings. It also recommends agenda items for other committees as well as refers faculty and academic issues to the appropriate committees. This committee collaborates with the Dean of the Faculty's office to appoint faculty to non-elected committees as well as holding those committees accountable for their work through annual written activity reports. The committee also has oversight of the Faculty Handbook and assumes the responsibilities as described in the Procedures for Dismissal with Cause (page 61) and in the Policy on Patents, Copyrights, and Trade Secrets (page 96). This group meets on a bi-weekly basis.

### **Membership:**

- |  |                     |
|--|---------------------|
| 1. Faculty Representative Fine Arts        | (elected to 2-year  |
| 2. Faculty Representative Humanities       | (elected to 2-year  |
| 3. Faculty Representative Natural Sciences | (elected to 2-year  |
| 4. Faculty Representative Social Sciences  | (elected to 2-year  |
| 5. <i>Ex officio</i> (voice, no vote)      | Dean of the Faculty |
| 6. <i>Ex officio</i> (voice, no vote)      | Associate Dean      |

### **Election of members and term:**

Each elected member serves for a 2-year term, and an effort will be made to make sure that not all members are elected in the same year. Candidates will be nominated by a vote of their respective areas. The entire body of voting faculty will then elect the individual who will serve the committee in that category. Any faculty member who has been elected to serve two consecutive terms on this coordinating committee should wait one full term before standing for election again.

### **Reporting/Flow of Information:**

One member of the Staff Steering Committee will be appointed to serve as a liaison to the Faculty Steering Committee. This person will be responsible for staying apprised of topics under discussion by the Faculty Steering Committee. This liaison will attend Faculty Steering Committee meetings upon request. Similarly, one member of the Faculty Steering Committee will be appointed to serve as a liaison to the Staff Steering Committee. This person will be responsible for staying apprised of topics under discussion by the Staff Steering Committee. This liaison will attend Staff Steering Committee meetings upon request. The chair of each Steering Committee will forward copies of each committee meeting agenda and minutes to the respective liaison when made available to the committee members.

### **Planning and Budget**

#### Affiliated Groups

- Academic and Administrative Assessment Committee
- Committee Review Board
- Diversity Enrichment Committee
- Enrollment and Retention Committee
- Facilities and Space Utilization Committee
- Information Services Committee
- Safety Committee
- Strategic Planning and Budget Committee \*

- Sustainability Committee

\* This is the designated Coordinating Committee for these affiliated groups. It accepts action items from affiliated committees for review and, where it recommends new policy or policy changes, forwards items to the full faculty. (Note that the Faculty Steering Committee collaborates with the President and the Dean of the Faculty to set the agenda for Faculty Meetings.)

**Academic and Administrative Assessment Committee (Appointed)**

*Charge:* The Academic and Administrative Assessment Committee reviews annual assessment plans from academic departments and programs and from administrative units of the University. Annual assessments are mandated by Southwestern University's accreditor, the Southern Association of Schools and Colleges Commission on Colleges (SACSCOC). The committee reviews and discusses the assessment plans' missions, goals, performance objectives, assessment mechanisms and results, and plans for improvement. The committee comments on the plans and requests revisions, if necessary. Academic assessment plans are published annually and reported to SACSCOC as part of the 5<sup>th</sup>-year Interim Report to the Commission and as part of the 10-year Self-Study. Administrative assessment plans are a required part of the SACSCOC 10-year Compliance Certification. Academic assessment and administrative assessment are integral to the University's analysis of its most crucial components and to the improvement of academic and administration functions.

**Membership:**

- |                           |                                    |
|---------------------------|------------------------------------|
| 1. Faculty Representative | (appointed to 2-year term)         |
| 2. Faculty Representative | (appointed to 2-year term)         |
| 3. Faculty Representative | (appointed to 2-year term)         |
| 4. Faculty Representative | (appointed to 2-year term)         |
| 5. <i>Ex officio</i>      | Dean of the Faculty                |
| 6. <i>Ex officio</i>      | Dir. or Institutional Research and |
| 7. <i>Ex officio</i>      | Associate Dean                     |

**Committee Review Board (Appointed)**

*Charge:* The Committee Review Board reviews the effectiveness of the new committee structure and facilitates proposed adjustments. The Committee Review Board is charged with periodically examining and evaluating the functioning of the University's committee system. It makes recommendations for changes and/or modifications in the committee structure, including, but not limited to, the addition and/or subtraction of committees, working groups, and task forces; the composition of these bodies; and the recommendation that particular bodies be abolished or disbanded, including itself. The Committee Review Board has a sunset clause: It will phase out four years after the new committee system is implemented.

**Membership:**

- |  |                      |
|--|----------------------|
| 1. Faculty Representative Fine Arts        | (appointed to 4-year |
| 2. Faculty Representative Humanities       | (appointed to 4-year |
| 3. Faculty Representative Natural Sciences | (appointed to 4-year |
| 4. Faculty Representative Social Sciences  | (appointed to 4-year |
| 5. Staff Representative                    | (appointed to 4-year |
| 6. Staff Representative                    | (appointed to 4-year |
| 7. Student Representative                  | (appointed to 1-year |
| 8. <i>Ex officio</i> (voice, no vote)      | President            |

**Diversity Enrichment Committee (Appointed)**

*Charge:* The Diversity Enrichment Committee leads efforts to promote the diversification of Southwestern University through: 1) advancing recruitment and retention efforts of under-represented

students, faculty, and staff; 2) enhancing and challenging the existing thoughtful, open, and inclusive conversations, educational programs, and events that address diversity concerns; 3) allocating resources to University-recognized groups to provide diversity enrichment programs; 4) setting criteria for courses that would fulfill the Social Justice requirement; and 5) collaborating with other University committees and offices in implementing recommendations regarding the above-stated areas. The committee also serves in an advisory role to the Curriculum Committee regarding proposals for Social Justice designation.

**Membership:**

1. Faculty Representative (appointed annually)
2. Faculty Representative (appointed annually)
3. Faculty Representative (appointed annually)
4. Faculty Representative (appointed annually)
5. Staff Representative (appointed annually)
6. Staff Representative (appointed annually)
7. Student Representative (appointed annually by Coalition for Diversity & Social Justice)
8. Student Representative (appointed annually by Student Government Association)
9. Student Representative (appointed annually by Student Multicultural Affairs)
10. *Ex officio* Assistant Dean for Student Multicultural Affairs (Convener)
11. *Ex officio* (voice, no vote) Associate Dean

On a regular basis members of this committee will engage with appropriate members of the President’s Staff.

**Enrollment and Retention Committee (Appointed)**

*Charge:* The Enrollment and Retention Committee supports and evaluates efforts of the University to recruit, enroll, and retain a high-achieving and diverse student body by: 1) reviewing admission, financial aid, and retention reports; 2) collaborating with Admissions staff on strategies for attracting highly qualified applicants; 3) receiving and developing proposals related to admission and retention goals; and 4) actively engaging the faculty and departments to participate in enrollment and retention programs led by the Admissions staff. It may discuss and offer recommendations in areas including, but not limited to, student retention, admission, financial aid, marketing initiatives, effective use of technology, and analysis of data in achieving enrollment objectives. The committee ensures that admissions policies, procedures, and messages are effectively communicated to faculty and that faculty questions and concerns are expressed directly to Admissions staff. This committee also participates in the selection of Southwestern's Brown Scholars. A current Brown Scholar will be invited to participate in this process. This group will engage regularly with the Enrollment Analysis Committee. The Enrollment and Retention Committee meets on a bi-weekly basis.

**Membership:**

1. Faculty Representative School of Fine Arts (appointed to 2-year term)
2. Faculty Representative Humanities (appointed to 2-year term)
3. Faculty Representative Natural Sciences (appointed to 2-year term)
4. Faculty Representative Social Sciences (appointed to 2-year term)
5. Student Representative (elected by SGA to 1-year term)
6. Student Representative (elected by SGA to 1-year term)
7. *Ex officio* (Convener) Dean of Enrollment Services
8. *Ex officio* Assistant Dean for Academic Success & Records
9. *Ex officio* Director of Financial Aid
10. *Ex officio* Director of Intercollegiate Athletics
11. *Ex officio* (voice, no vote) Vice President for Student Life

**Facilities and Space Utilization Committee (Appointed)**

*Charge:* The Facilities and Space Utilization Committee encourages the wise, effective, and efficient use of campus facilities and spaces and the careful consideration of pedagogical functions, operating costs, energy expenditures, long-term viability, income generation, and community values associated with campus lands and buildings. Regular activities of the committee include: 1) conducting a yearly review of the campus facilities audit; 2) communicating with and gathering input from campus

constituencies about facility issues; 3) assessing and prioritizing project requests; 4) providing feedback on renovation and major capital projects; and 5) monitoring and advising on implementation of and/or revisions to the Facilities Master Plan.

**Membership:**

- |                           |   |
|---------------------------|---|
| 1. Faculty Representative | (appointed annually)                    |
| 2. Faculty Representative | (appointed annually)                    |
| 3. Student Representative | (appointed annually)                    |
| 4. <i>Ex officio</i>      | Director of Physical Plant              |
| 5. <i>Ex officio</i>      | Director of Residence Life              |
| 6. <i>Ex officio</i>      | Associate Athletic Director             |
| 7. <i>Ex officio</i>      | Director of University Relations-Events |
| 8. <i>Ex officio</i>      | Technology Support Manager              |
| 9. <i>Ex officio</i>      | Assistant Dean for Academic Success     |
| 10. <i>Ex officio</i>     | AVP for Facilities and Campus Services  |

**Information Services Committee (Appointed)**

*Charge:* The Information Services Committee succeeds the ITAC (Information Technology Advisory Committee) and the Library Committee. It advises on library and technological resources and services to support the intellectual and operational activities of the University, including, but not limited to, a focus on strategic planning, program and service assessment, oversight of policies and practices including the web, social media, data retention, technology use, copyright and intellectual property fair use policies, and funding priorities. The committee enables important, ongoing discussions about the role, scope, and resources of Information Services in support of the instructional, research, administrative, and operational aspects of the University. The committee, which meets monthly, conducts assessments for and makes recommendations to the Strategic Planning and Budget Committee concerning resource and service needs and future planning.

**Membership:**

- |  |  |
|--|--|
| 1. Faculty Representative                    | (appointed annually)                         |
| 2. Faculty Representative                    | (appointed annually)                         |
| 3. Faculty Representative                    | (appointed annually)                         |
| 4. Staff Representative Enrollment Services  | (appointed annually)                         |
| 5. Staff Representative University Relations | (appointed annually)                         |
| 6. Staff Representative Student Life         | (appointed annually)                         |
| 7. Staff Representative Academic Support     | (appointed annually)                         |
| 8. Staff Representative Business Affairs     | (appointed annually)                         |
| 9. Student Representative                    | (appointed annually)                         |
| 10. <i>Ex officio</i>                        | Director of Research and Digital Scholarship |
| 11. <i>Ex officio</i>                        | Director of Library Resources                |
| 12. <i>Ex officio</i>                        | Senior Director of Information Technology    |
| 13. <i>Ex officio</i>                        | Chief Information Officer                    |

**Safety Committee (Appointed)**

*Charge:* The Safety Committee works to establish a safe living, learning, and working environment for all community members by developing and promoting safety policy and providing visible safety leadership. It acts as a liaison to departments and groups and reviews and communicates campus safety concerns and current safety/risk management issues.

**Membership:**

- |                                    |                      |
|------------------------------------|----------------------|
| 1. Athletics Representative        | (appointed annually) |
| 2. Fine Arts Representative        | (appointed annually) |
| 3. Academic Support Representative | (appointed annually) |
| 4. Human Resources Representative  | (appointed annually) |
| 5. Physical Plant Representative   | (appointed annually) |

- |                                     |   |
|-------------------------------------|---|
| 6. University Events Representative | (appointed annually)                          |
| 7. Science Building Representative  | (appointed annually)                          |
| 8. Student Life Representative      | (appointed annually)                          |
| 9. Student Representative           | (appointed annually)                          |
| 10. <i>Ex officio</i>               | Dir. of Campus Safety & Risk Mgmt. (Convener) |
| 11. <i>Ex officio</i>               | AVP for Facilities and Campus Services        |
| 12. <i>Ex officio</i>               | Chief of Police                               |

(Appointments made by appropriate areas in collaboration with the Dean of the Faculty's office and the Director of Campus Safety and Risk Management.)

### **Strategic Planning and Budget Committee (Elected)**

*Charge:* The Strategic Planning and Budget Committee receives, reviews, and disseminates information about the University's budget; collates and conveys information regarding budgetary needs, faculty and staff positions, compensation and benefits, institutional priorities, etc. for appropriate committees; and advises the President on all such matters. This committee also functions as a forum for discussion of the direction, values, goals, difficulties, and aspirations of the institution and a body for developing and evaluating ideas and specific proposals for how to address them. This committee actively participates in the Strategic Planning Process and receives issues and action items from relevant committees. The meetings are bi-weekly.

#### **Membership:**

- |   |  |
|---|--|
| 1. Faculty Representative School of Fine Arts | (elected to 2-year term)                         |
| 2. Faculty Representative Humanities          | (elected to 2-year term)                         |
| 3. Faculty Representative Natural Sciences    | (elected to 2-year term)                         |
| 4. Faculty Representative Social Sciences     | (elected to 2-year term)                         |
| 5. Academic Support Staff Representative      | (elected by Staff to 2-year term)                |
| 6. Student Life Staff Representative          | (elected by Staff to 2-year term)                |
| 7. Student Representative                     | (elected annually by SGA)                        |
| 8. <i>Ex officio</i>                          | Dean of the Faculty                              |
| 9. <i>Ex officio</i>                          | VP for Finance and Administration                |
| 10. <i>Ex officio</i> (voice, no vote)        | Dir. of Institutional Research and Effectiveness |

This group engages regularly with the President's budget officers. It is expected that agenda items will require attendance by at least one member of the President's Staff, in addition to the Chief Academic Officer, who will then serve in a communicative liaison role to fellow President's Staff members. These include:

- President of the University
- VP for University Relations
- Director of Physical Plant
- VP for Information Services and CIO
- Dean of Enrollment Services
- VP for Student Life
- Chief Marketing Officer
- Executive Office Manager for the Office of the President and Liaison to the Board of Trustees

### **Election of members and term**

**Faculty Representatives:** All area representatives are elected to 2-year terms by vote of the full faculty. The slate of nominees from which the full faculty votes will be determined by vote of the area membership and submitted to the full faculty.

**Staff Representatives:** The staff representatives are elected to 2-year terms by vote of a majority of the staff.

**Student Representative:** The student representative is appointed to 1-year terms at the end of the academic year for the following year (to be determined by the Student Government Association.)

Any faculty or staff member who has been elected to serve two consecutive terms on this coordinating committee should wait one full term before standing for election again.

### **Sustainability Committee (Appointed)**

*Charge:* The Sustainability Committee is charged with the promotion of practices and programs that support the principles of social, financial, and environmental sustainability of Southwestern University as outlined in the Talloires Declaration and the American College and University President's Climate Commitment. In keeping with the principles of these agreements, this committee is tasked with: 1) promoting civic engagement and interdisciplinary learning to reduce climate change; 2) increasing awareness of and practices of sustainability within the campus and among community stakeholders; 3) reducing negative impacts on the global climate; 4) creating an institutional culture of sustainability; and 5) fostering environmental literacy. The committee collaborates with groups devoted to curriculum, student life, and facilities and space utilization, among others. Issues on which the committee advises include, but are not limited to: energy use; recycling and composting; sustainability initiatives; building and landscape design; faculty and curriculum development; community partnerships; and civic engagement.

#### **Membership:**

- |  |  |
|--|--|
| 1. Faculty Representative              | (appointed annually)                   |
| 2. Faculty Representative              | (appointed annually)                   |
| 3. Faculty Representative              | (appointed annually)                   |
| 4. Staff Representative                | (appointed annually)                   |
| 5. Staff Representative                | (appointed annually)                   |
| 6. Staff Representative                | (appointed annually)                   |
| 7. Student Representative SEAK         | (appointed annually)                   |
| 8. Student Representative SGA          | (appointed annually)                   |
| 9. Student Representative (Open)       | (appointed annually)                   |
| 10. Student Representative (Open)      | (appointed annually)                   |
| 11. <i>Ex officio</i> (voice, no vote) | AVP for Facilities and Campus Services |

Note: All faculty, staff, and students who wish to participate are welcome to attend. The committee may also schedule meetings with other committees and invite guests or speakers to attend as needed.

### **Staff Affairs**

#### **Staff Steering Committee (Elected)**

*Charge:* The mission of the Staff Steering Committee is to give all members of the staff the opportunity for a voice and engagement in the governance of the Southwestern community. The Staff Steering Committee is a representative body of non-faculty employees that provides a forum for all staff and works to strengthen the lines of communication across the University, to discuss issues of importance to staff, to develop common approaches to them, and to advise the staff as a whole.

#### **Membership:**

- |  |                                  |
|--|----------------------------------|
| 1. Staff Representative Academic Support         | (elected by area to 3-year term) |
| 2. Staff Representative Academic Support         | (elected by area to 3-year term) |
| 3. Staff Representative Academic Support         | (elected by area to 3-year term) |
| 4. Staff Representative Student Life (Athletics) | (elected by area to 3-year term) |
| 5. Staff Representative Student Life             | (elected by area to 3-year term) |
| 6. Staff Representative Student Life             | (elected by area to 3-year term) |
| 7. Staff Representative University Operations    | (elected by area to 3-year term) |
| 8. Staff Representative University Operations    | (elected by area to 3-year term) |
| 9. Staff Representative University Operations    | (elected by area to 3-year term) |
| 10. Staff Representative Physical Plant          | (elected by area to 3-year term) |
| 11. Staff Representative Physical Plant          | (elected by area to 3-year term) |



- |   |  |
|---|--|
| 12. Staff Representative Physical Plant     | (elected by area to 3-year term)                       |
| 13. Administrative Liaison (voice, no vote) | (AVP of HR)  |
| 14. Ex-officio Retiree (voice, no vote)     | (voluntary, 1-year term)                               |
| 15. Faculty Liaison (voice, no vote)        | (appointed from within Faculty Steering annually)      |
| 16. Student Liaison (voice, no vote)        | (appointed by Student Government Association annually) |

\* This is the designated coordinating committee for the Staff Affairs area.

**Election/appointment of members and term:**

- Members from each of the major staff areas (Student Life, Academic Support, University Operations, and Physical Plant) will be nominated and elected by their respective areas.
- One volunteer from the retiree group will be elected by the retiree group to serve in an *Ex-officio* capacity (voice, no vote).
- All voting members of the Staff Steering Committee will be operational staff (i.e., non-President's Staff).
- One member of the Staff Steering Committee will be appointed to serve as a liaison to the Faculty Steering Committee. This person will be responsible for staying apprised of topics under discussion by the Faculty Steering Committee. This liaison will attend Faculty Steering Committee meetings upon request. Similarly, 1 member of the Faculty Steering Committee will be appointed to serve as a liaison to the Staff Steering Committee. This person will be responsible for staying apprised of topics under discussion by the Staff Steering Committee. This liaison will attend Staff Steering Committee meetings upon request. The chair of each Steering Committee will forward copies of each committee meeting agenda and minutes to the respective liaison.
- To avoid over representation and ensure equal voice on the council, no more than two staff members per department.
- The 12 staff representatives will all have a voice and a vote.
- Administrative Liaison will be invited to attend the Staff Steering Committee meetings on an as-needed basis.
- Three-year staggered terms for staff members.
- One-year term for the voluntary retiree member.
- This committee collaborates with the office of the Dean of the Faculty to appoint staff to non-elected committees (with appropriate supervisor approval).

**Reporting/Flow of Information:**

- Report directly to Strategic Planning and Budget Committee.
- Agendas are posted by chair online to entire campus community in advance of all meetings in a timely manner.
- The 12 staff representatives and the retiree representative meet once per month during the semester. Additional meetings may be called by the chair.
- A meeting of all staff will occur once each semester (preferably no later than the tenth week of the semester).
- Joint meeting of Staff Steering Committee and Faculty Steering Committee will occur as needed.
- Meets with representatives from the Strategic Planning and Budget Committee at least once per year.

*Additional Functions:*

- Provide support for new staff orientation
- Staff Development
- Assist with annual review of Staff Handbook
- Campus Enrichment

**Student Affairs**

*Affiliated Groups*

- Alcohol and Other Drugs Committee

- Campus Life Advisory Committee
- Honor Code Council
- Sexual Assault Risk Reduction Committee
- Sexual Misconduct Hearing Board
- Student Government Association \*
- University Committee on Discipline

\* This committee accepts action items from affiliated committees for review and, where new policy or policy changes are recommended, forwards items to the appropriate committee and/or administrative unit (see Guiding Principles for Committee Deliberations and Policy Formation. Note that the Faculty Steering Committee collaborates with the President and the Dean of the Faculty to set the agenda for Faculty Meetings.)

### **Alcohol and Other Drugs Committee (Appointed)**

Charge: The Alcohol and Other Drugs Committee's purpose is to examine Southwestern's current alcohol and other drug policies, explore effective prevention measures on other campuses, and implement any revisions and/or new procedures that will help keep Southwestern a liberal arts community whose actions are congruent with its values.

#### **Membership:**

- |                                   |                                   |
|-----------------------------------|-----------------------------------|
| 1. Faculty Representative         | (appointed annually)              |
| 2. Faculty Representative         | (appointed annually)              |
| 3. Student Representatives (#tbd) | (appointed by Student Government) |
| 4. <i>Ex officio</i>              | Director of Residence Life        |
| 5. <i>Ex officio</i>              | SU Chief of Police                |
| 6. <i>Ex officio</i>              | Associate Athletic Director       |
| 7. <i>Ex officio</i>              | Dean of Students                  |
| 8. <i>Ex officio</i>              | Wellness Counselor & Outreach     |

### **Campus Life Advisory Committee (Appointed)**

Charge: The Campus Life Advisory Committee works closely with the Student Government Association to identify opportunities and issues of concern related to student life. It is responsible for helping support conversations within the Student Government Association, among the student body as a whole, and within the larger

Southwestern community regarding student life, including curricular and co- curricular matters.

#### **Membership:**

- |                           |  |
|---------------------------|--|
| 1. Faculty Representative | (appointed annually)                     |
| 2. Faculty Representative | (appointed annually)                     |
| 3. Staff Representative   | (appointed annually)                     |
| 4. Staff Representative   | (appointed annually)                     |
| 5. <i>Ex officio</i>      | Student Government Association President |
| 6. <i>Ex officio</i>      | Student Government Association Vice      |
| 7. <i>Ex officio</i>      | VP for Student Life                      |
| 8. <i>Ex officio</i>      | Dean of Students                         |

### **Honor Code Council (Elected/Appointed)**

The Honor Code Constitution and a full description of the hearing process can be found in the Honor Code section.

#### **Membership:**

- |                               |   |
|-------------------------------|---|
| 1. Student Representative     | President (elected to 1-year term)      |
| 2. Student Representative     | Vice President (elected to 1-year term) |
| 3. 15 Student Representatives | (elected to 1-year term)                |

- |  |                                       |
|--|---------------------------------------|
| 4. 3 Faculty Advisors                    | (appointed annually)                  |
| 5. Faculty Hearing Board Representatives | (drawn from the full faculty for each |
| 6. <i>Ex officio</i>                     | Dean of Students                      |

Other than the three faculty advisors, faculty service in hearings will follow a jury duty model. All faculty members will be trained on how the hearing process works, with refresher courses offered annually. The call for service in a hearing will come from the Dean of Students and the Dean of the Faculty to signal the importance of this work for all faculty members. Those who cannot serve when called will be asked to serve again at the next hearing.

**Sexual Assault Risk Reduction Committee (Appointed)**

*Charge:* The Sexual Assault Risk Reduction Committee is charged with identifying strategies for ensuring that students: know the school’s prohibition against sexual discrimination, including sexual harassment and violence; recognize sex discrimination, sexual harassment, and sexual violence when they occur; understand how and to whom to report any incidents; know the connection between alcohol and drug abuse and sexual harassment or violence; feel comfortable that school officials will respond promptly and equitably to reports of sexual harassment and/or violence. It is also charged with issuing new policy statements or other steps that clearly communicate that the school does not tolerate sexual harassment and violence and will respond to any incidents and to any student who reports such incidents, and revising grievance procedures used to handle sexual harassment and violence complaints to ensure that they are prompt and equitable, as required by Title IX. The committee also explores and sponsors programming that seeks to educate and inform the entire campus community about these issues.

**Membership:**

- |                                   |                           |
|-----------------------------------|---------------------------|
| 1. Faculty Representative         | (appointed annually)      |
| 2. Faculty Representative         | (appointed annually)      |
| 3. Staff Representative           | (appointed annually)      |
| 4. Staff Representative           | (appointed annually)      |
| 5. 5 Student Representatives      | (appointed annually)      |
| 6. Student Government Association | (appointed by SGA)        |
| 7. <i>Ex officio</i>              | Sexual Harassment Officer |
| 8. <i>Ex officio</i>              | Director of Counseling    |

**Sexual Misconduct Hearing Board (Appointed)**

*Charge:* The Sexual Misconduct Hearing Board hears cases involving alleged student or student organization sexual misconduct. A subset of the ten faculty and staff representatives participate in each hearing.

**Membership:**

- |                                  |                      |
|----------------------------------|----------------------|
| 1. 10-12 Faculty Representatives | (appointed annually) |
| 2. 5 Staff Representatives       | (appointed annually) |

**Student Government Association (Elected)**

The Student Government Association (SGA) shall be the primary student governing body. It shall:

- Complete the business of student government;
- Work closely and communicate with administration and faculty;
- Empower and support student leaders and initiatives;
- Take a proactive and forward-looking approach to identifying student issues and developing effective policy;
- Promote the welfare of the student body and the University as a whole.

SGA should advocate for the interests and needs of students and the University. It is responsible for encouraging and facilitating student involvement in governance of Southwestern. It responds to and helps focus student ideas and concerns. It works closely and communicates with administrators, faculty, and Board members to promote student success and the vitality of the University. The presiding officer and vice-presiding officer of SGA shall meet with the President, the Dean of the Faculty, the Vice-President

for Student Life, and the Associate Dean to discuss initiatives and student interests. SGA recruits and appoints student representatives to almost every committee at Southwestern. SGA shall be composed of an appropriate number of student representatives who are appointed according to methods determined by SGA (see the SGA Constitution and Bylaws for details). SGA controls funding for student organizations and clubs. SGA is responsible for convening the Southwestern student body within the first 4 weeks of each semester to discuss its agenda for the semester and identify and discuss issues of student interest and concern. SGA shall be responsible for convening the student body annually to reaffirm the Honor Code.

### **University Committee on Discipline (Elected/Appointed)**

Charge: The University Committee on Discipline (UCD) is the judicial body that adjudicates all student violations of University policies that may result in suspension or expulsion, with the exception of violations of the Honor System, and sexual misconduct and sexual harassment policies, which are adjudicated by other bodies. UCD also hears all judicial cases against student organizations, with the exception of sexual misconduct and sexual harassment violations. A subset of the faculty, staff, and student representatives participate in each hearing.

Membership:

- |                               |  |
|-------------------------------|--|
| 1. Student Representative     | President of the Honor Code Council (elected to 1-year |
| 2. 11 Student Representatives | (appointed annually)                                   |
| 3. 5 Staff Representatives    | (appointed annually)                                   |
| 4. 4-6 Faculty                | (appointed annually)                                   |
| 5. <i>Ex officio</i>          | Dean of Students                                       |

### **Faculty Challenge of Committee Actions**

“All actions of any committee may be challenged by a petition supported by 20% of the faculty members eligible to vote. Petitions may be in written form or voted from the floor of a faculty meeting. They must be made within thirty days of the meeting of the coordinating committee except at the end of the normal academic year, in which case they must be made by the last day of classes. The period for petitions may be extended by the President where adequate notice of committee actions within the specified period should be deemed not to have occurred. Written petitions shall be presented to the President and the chair of the coordinating committee involved. When a petition has been presented, the President shall schedule discussion of the matter for resolution at the next regular meeting of the faculty or call a special faculty meeting to take care of it. A special faculty meeting shall be called before the end of the academic year to take care of all items on which a petition has been submitted.” [Faculty Minutes, April 29, 1980.]

## **D. About the Handbook**

This Handbook is for all staff. The terms “staff” and “employee” may be used interchangeably within the Handbook. For consistency, the term employee is normally used.

This Handbook has been prepared to provide all employees an overview of basic University policies, practices and benefits. This Handbook does not create any contractual rights for the benefit of any employee. Like some 40 other states, Texas is an “employment-at-will” state. Employment with the University is “at-will”, in that either the employee or the University can terminate the employment relationship at any time, with or without cause or notice. Any change or modification of the “at-will” nature of employment must be set forth in writing and signed by the President of the University. Continuing to work following acceptance of the Staff Handbook constitutes acknowledgement and acceptance of the “at-will” relationship.

The policies outlined in this Handbook reflect the usual way of handling various situations. It is important for employees to understand these policies in order to be well-informed. The University, however, reserves the right to deviate from existing policies at its discretion because of individual circumstances or special needs. There will also be situations that require a change from time to time in policies, practices and benefits described in this Handbook. Accordingly, the University reserves the right to modify, add, delete or revise any provisions contained in this Handbook as well as other guidelines, policies or practices of the University at any time, as it deems necessary or appropriate at its sole and absolute discretion.

It is also important to understand that this Handbook may not cover every circumstance and that the University reserves the right to interpret policies at its sole discretion. Normally, but not in all situations, this may include the review of current and past practices and/or precedents. Updates will be distributed to employees as policies and benefits are changed.

**Supervisors:** Supervisors (who may also be department heads) will help employees adapt to their work environment and will be responsible for day to day assignments. Supervisors are employees’ first point of contact. If applicable, the department head is also available to help employees and supervisors maintain a productive relationship with each other and with the University. If at any time employees have questions, concerns or suggestions about their work, University policies, or the operation of the University in general, they should feel free to discuss any issues with their supervisor. While supervisors are not authorized to modify or amend a policy nor are supervisors’ interpretations of a policy or procedure final and binding, a supervisor’s insight may be helpful to employees. Should employees have questions or concerns about a policy after speaking with their supervisor, they should seek further guidance from a Human Resources representative. If, due to the particular nature of a problem, employees do not feel comfortable discussing an issue with their supervisor, they should discuss the matter with a Human Resources representative. Our goal is to share with employees the University’s mission of promoting sincere pride in the workplace. We can only do this by working closely together.

**Human Resources Department:** The Human Resources department provides employees with information and any necessary assistance to understand University policies and to promote a positive work environment. The Human Resources department can provide current information on employment opportunities on campus, benefits, compensation, policies, payroll data, personnel records, insurance, workers' compensation and benefit conversion privileges upon separation of employment. The Human Resources department is available to help employees with any problems or concerns during their employment.

The Human Resources department is responsible for maintaining complete and up-to-date personnel records for all current employees. It is important that employees notify the Human Resources department promptly of any changes in their name, marital status, number of dependents, home address, telephone number, emergency contact information, and other personnel data changes.

The Human Resources department confirms by letter all University appointments, all promotions, job transfers and changes in employee status. In addition, the Human Resources department ensures that all employees complete the Employee's Withholding Allowance Certificate, IRS Form W-4, the federally required Employment Eligibility form, IRS Form I-9, and Background Check forms.

The Human Resources department is the only department authorized to respond to all reference checks or employment verification inquiries on current or former employees. All inquiries regarding references or employment verification of any current or former employee must be referred to the Human Resources department. Any employee who receives a request for information should never make an "off the record" statement regarding a current or former employee. Responses by the Human Resources department to such inquiries will generally only confirm dates of employment and position(s) held. If the information given cannot be confirmed, the caller will be referred back to the employee. No other employment data will be given without a written authorization and release signed by the individual who is the subject of the inquiry.

We believe that the work conditions, compensation, and benefits we offer to our employees are competitive with those offered by other employers in this area and in this industry. If employees have questions or concerns about work conditions or compensation, they are strongly encouraged to talk openly and directly with their supervisor or a Human Resources representative.

Our experience has shown that when employees deal openly and directly with supervisors, the work environment can be exceptional, communications can be clear, and attitudes can be positive. The University has demonstrated and will continue to demonstrate a commitment to employees by responding effectively to employee questions and issues. In an effort to protect and maintain direct employer/employee communication, we will respect and protect the right of employees to speak for themselves and encourage an open door policy. The Human Resources department is always available to answer any questions or concerns.

## **II. PROFESSIONAL EXPECTATIONS**

To meet University goals all employees will foster a commitment to community, work collaboratively and take responsibility for excellence. With the University's mission as a guide, the University's commitment to work together for the good of the students and to make decisions that benefit the University as a whole, the University will incorporate professional standards into the daily work experience.

### **A. Personal Conduct**

It is very important for an employee to remember that attitude and conduct are significant factors in work performance. It is the duty of each employee to be courteous to co-workers and to every person who visits the campus—students, parents, alumni, or visitors. If an employee should be discourteous, or if an employee's actions in any way are disruptive to or reflect unfavorably upon co-workers or the University, the employee will be subject to disciplinary procedures, up to and including termination of employment.

Employee conduct has a direct bearing on the general public opinion of the University; therefore, it is imperative that employees respect the rights of others and conduct themselves in a professional and businesslike manner.

### **B. Workplace Attire**

Personal neatness and appropriate attire is left largely to the discretion and mature judgement of the employee. Supervisors and department heads may establish minimum requirements for attire appropriate to tasks and working conditions since an employee's appearance reflects upon the image of the University.

### **C. Conflicts of Interest**

Southwestern University recognizes and encourages employee involvement in private enterprise. However, certain business or personal arrangements or employment opportunities may constitute a breach of ethical standards resulting in conflict of interest between the University and the employee.

A conflict of interest may take various forms but arises when an employee is or may be in a position to influence the University's business, research, or other decisions in ways that could lead to any form of personal gain for the employee or others closely associated with that University employee.

All employees must disclose to their supervisor, department head, or appropriate University officer any possible conflict of interest at the earliest practicable time. Disclosure is the responsibility of the employee. Employees engaged in activities that constitute or appear to constitute a violation of this policy will be subject to a review and evaluation of these activities by the University administration. Failure to disclose conflicts of interest is a serious matter. Consequently, an allegation of a failure to disclose fully a potential conflict of interest will be brought to the attention of the appropriate University official for an immediate review. Employees who violate this policy may be subject to disciplinary procedures, up to and including termination of employment.

The basic standard for dealing with conflicts of interest is simple: If an employee believes a conflict of interest exists, he/she should treat the situation as if a conflict definitely exists until he/she has disclosed and resolved the potential conflict with their supervisor, department head, or Human Resources department.

### **D. Confidentiality**

All Southwestern University's records and information relating to Southwestern University or its constituents are confidential and employees must, therefore, treat all matters accordingly. No information related to Southwestern University, including but not limited to, documents, files, records, computer files or similar materials (except in the ordinary course of performing duties on behalf of Southwestern University), may be removed from the University's premises without permission from Southwestern University. Additionally, the contents of the University's records or information otherwise obtained in regard to business may not be disclosed to anyone, except where related to the University's business. Employees will be subject to appropriate disciplinary action, up to and including termination/dismissal, for revealing information of a confidential nature. Please note that employee pay rates, salaries and/or any form of employee compensation are considered to be confidential and any employee divulging such information will be subject to this same disciplinary action.

In the course of an employee's work, he/she may have access to confidential information regarding the University, students, and/or fellow employees. It is imperative that no individual, in any way, reveals or divulges any such information and that it is used only in the performance of their duties. Any questions from a visitor or telephone caller about University policies or individual students or faculty should be referred to the University Relations department. Questions relating to personnel matters and matters involving potential litigation against the University, its employees or its students should be referred to the Associate Vice President for Human Resources.

Student Record information is especially sensitive, and is also protected by the Family Educational Rights and Privacy Act (FERPA) of 1974, as amended. Employees handling any inquiries about students or working with information about students must be familiar with relevant sections of the Southwestern University Catalog, Student Handbook, Faculty Handbook, and Advisor Handbook. Employees should never release student information without being sure of the rules.

## **III. Southwestern University Policies**

Southwestern University policies have been moved to the University Policies webpage. To view the following policies, please visit <http://southwestern.edu/policy>.

- A. Equal Employment Opportunity (<http://southwestern.edu/policy>)
- B. Policy Statement on Harassment (<http://southwestern.edu/policy>)
- C. Sexual Harassment (<http://southwestern.edu/policy>)
- D. Drug-Free Workplace Policy (<http://southwestern.edu/policy>)
- E. Smoke-Free Workplace Policy (<http://southwestern.edu/policy>)
- F. U.S. Employment Authorization (<http://southwestern.edu/policy>)
- G. No Solicitation (<http://southwestern.edu/policy>)
- H. Inclement Weather and Other Emergency Events (<http://southwestern.edu/policy>)
- I. Use of Equipment and Vehicles (<http://southwestern.edu/policy>)
- J. No Weapons Policy (<http://southwestern.edu/policy>)
- K. Whistleblower Policy and Confidential Campus Hotline (<http://southwestern.edu/policy>)
- L. Ethics, Personal Conduct and Business Conduct Statement (<http://southwestern.edu/policy>)

#### **IV. Employment Procedures**

##### **A. Recruitment/Selection Process**

Southwestern University's recruitment/selection process uses job descriptions, position advertisements in selected media, a selection committee with an applicant screening process (when appropriate), interviews, and reference checking/employment verifications. This process is used in order to provide a match between the final candidate selected and the duties and requirements of the position. The Human Resources department coordinates the entire process.

The major responsibilities involved in the University's process are as follows:

- Initiate the **Request to Fill a Position (RTF)** form along with a current and newly revised job description. The job description is necessary in order to convey clearly the duties and responsibilities of the position both during the screening process and for developing an accurate job advertisement;
- Appoint a selection committee (when appropriate);
- Advertise the position, screen applicants, conduct interviews, identify the candidate and conduct reference checks; and,
- Conclude the search process - the department Chair of the search will submit documents to the Human Resources department. Upon receipt of a properly completed **Personnel Action Request (PAR)** form, the Human Resources department will complete the process and generate the appointment letter.

All offers of employment are contingent on the successful completion of the University's Background Check Policy process. For more detailed information on the Recruitment/Selection Process, please refer to <http://southwestern.edu/hr/supervisors.php> to review the *Tips for Supervisors: Staff Employee Hiring Process*.

##### **1. Job Posting**

Available staff positions may be posted on the Job Opportunities (<http://www.southwestern.edu/hr/jobs.php>) section of the Human Resources website and advertised externally.



## 2. Employment Application

The University relies upon the accuracy of information contained in the employment application, as well as the accuracy of other data presented throughout the hiring process and employment. Any misrepresentations, falsifications or material omissions in any of this information or data may result in the exclusion of the individual from further consideration for employment or, if the person has been hired, termination of employment.

## 3. Employment References

To ensure that individuals who join the University are qualified and have a strong potential to be productive and successful, it is the policy to check the employment references on all prospective employees. This process may be coordinated with the Human Resources department.

### B. Employment Categories

The University provides definitions of employment classifications so that employees understand their employment status and benefits eligibility. These classifications do not guarantee employment for any specified period of time.

Employees are designated as either nonexempt or exempt from federal and state wage and hour laws.

Nonexempt employees are entitled to overtime pay under specific provisions of federal and state wage and hour laws at one and one half the hourly rate of pay after 40 hours worked in a week. Compensation is based on an hourly rate of pay for hours worked each week, paid on a bi-weekly basis.

Exempt employees are classified as such because their job duties are excluded from the overtime provisions of the federal and state wage and hour laws and are not eligible for overtime pay. The University's salary administration plan for exempt employees has been set to equitably compensate for responsibilities. Exempt employees are expected to work whatever time is necessary to meet defined job responsibilities and are not provided compensatory time. Compensation is paid on a monthly basis.

In addition to belonging to one of the above categories, employees will also belong to one of the following other employment categories which will determine benefit eligibility:

**Benefit Eligible full-time** employees are those who are not in a temporary status and who are regularly scheduled to work a full-time continuous schedule of 40 hours per week.

**Benefit Eligible part-time** employees are those who are not assigned a temporary status and who are scheduled to regularly work a minimum continuous schedule of 30 hours per week (Part-time employees hired prior to July 1, 1996 will retain benefit eligibility based on a 20 hour per week continuous schedule.)

**Part-time** employees are hired for a specific position regularly working less than 30 hours per week. Part-time employees are not benefit eligible other than statutory required benefits. If a part-time employee has a base schedule of over 1,000 hours per year, that part-time employee will be eligible to participate in the University's Retirement Plan, subject to eligibility requirements.

**Temporary** employees are those hired as interim replacements to temporarily supplement the work force or to assist in the completion of a specific project. Employment assignments in this category can be either full-time or part-time and are of a limited duration, usually no more than six months. Employment beyond any initially stated time period does not in any way imply a change in employment status. Temporary employees retain that status unless and until notified of a change. While temporary employees receive all legally mandated benefits (such as workers' compensation insurance and social security), they are not eligible for any of the University's other benefit programs.

### **C. Job Duties and Responsibilities**

Each employee will perform such duties as may from time to time be assigned by the University including but not limited to the usual and customary duties of any position. The University may establish goals and responsibilities for any position. The University reserves its sole right, and obligation, to regularly review job duties and responsibilities and revise job descriptions accordingly as a normal course of business at any time and with or without input from employees. This process, in general, is not one which an employee may grieve, but is one which may include the employee's input and is normally coordinated through the Human Resources department.

### **D. Hours of Work and Work Schedules**

The official work week for the University is from 12:01 a.m. Sunday through midnight the following Saturday, with the normal work day consisting of 8 hours with a one hour meal break, and the normal work week consisting of 40 hours. Hours of work and work schedules for employees vary throughout the University. Supervisors will advise employees of their individual work schedule according to the University's specific procedures. Administrative Offices follow the official University hours of operation, 8 a.m. to 5 p.m. Staffing needs and operational demands may necessitate variations in the total hours that may be scheduled each day and week. The University will strive to give employees adequate advance notice of schedule variations.

Supervisors will schedule meal periods according to departmental procedures and other business requirements. Employees will be relieved of all active responsibilities and restrictions during meal periods.

Employees should consult with their supervisor for their department hours of work and work schedule.

The University recognizes that employees may have personal preferences or obligations outside the workplace which may affect their ability to work within the University's Official Hours of Operation, therefore the University will support, where practicable for employees and the University, Flextime Schedules in accordance with the Flextime Schedules Policy and Guidelines. For more information, please refer to <http://southwestern.edu/hr/leave.php>.

### **E. Attendance and Punctuality**

To maintain a productive and safe work environment, the University expects employees to be reliable and punctual in reporting for scheduled work. Absenteeism and tardiness place a burden on the University and other employees. If employees are not able to report to work as scheduled, the employee must notify their supervisor as soon as possible in advance. A nonexempt employee neglecting to "call in" may not be paid for that time. Any absence from work (including tardiness) that is not an approved leave with the permission of the supervisor or granted as an excused absence is an unexcused absence which may not be subject to payment.

It is expected that employees speak with their supervisor directly. It is inappropriate to have others relay messages or to leave a voice mail message and not follow that message up with another call. The employee is also responsible for keeping his/her immediate supervisor informed on a daily basis of the anticipated date of return to work from an illness/absence. Absence without notice for 3 consecutive days is considered job abandonment and grounds for immediate termination of employment.

Employees who take leave under the Family Medical Leave Act may have different reporting requirements. For more information, please refer to <http://southwestern.edu/hr/leave.php>.

It is the responsibility of the employee to be at work on time. Emergencies are understandable, but frequent absences, tardiness, and failure to give proper notice of absences impair the value of services and may result

in disciplinary action, leading to eventual release from University employment. Employees may not be paid for a full day when they do not work a full day due to tardiness.

Either excessive absenteeism or tardiness may lead to disciplinary action, up to and including termination of employment. Please remember:

- If the University is open for business and classes and an employee determines that it is unsafe to proceed to work, the employee must notify his or her supervisor immediately and request a vacation day.
- If an employee is absent from work for three (3) consecutive days without giving proper notice to his/her supervisor, the employee will be considered to have abandoned their job and their employment with the University will be terminated.
- If an employee reports to work without proper equipment or in improper attire, he/she may not be allowed to work. If an employee reports for work in a condition deemed not fit for duty, whether from illness or any other reason, he/she will not be allowed to work.

#### **F. Hiring of Relatives**

The employment of relatives in the same area of an organization may cause serious conflicts and problems with employee morale. In addition to claims of partiality in treatment at work, personal conflicts from outside the work environment may be carried into day-to-day working relationships.

For the purpose of this policy, relatives are defined to include spouses, parents, children, grandparents, brothers, sisters, brothers and sisters-in-law, fathers and mothers-in-law, stepparents, stepbrothers, stepsisters and stepchildren. This policy also may apply to individuals who are not legally related but who reside with another employee. These descriptions are not exclusive of the many relationships that may create actual or perceived conflicts.

Relatives of persons currently employed by the University may be hired only if they will not be working directly for or supervising a relative or will not normally occupy a position in the same line of authority within the organization. This policy applies to any relative, higher or lower in the organization, who has the authority to review employment decisions. Employees may not be transferred into such a reporting relationship.

#### **G. Outside Employment**

Employees may hold an outside job as long as they meet the performance standards of their job with the University. Employees should consider the impact outside employment may have on their health and their physical well-being. All employees will be judged by the same performance standards and will be subject to University scheduling demands, regardless of any existing outside work commitments. If an employee is a full-time, benefited employee, the University considers itself the primary employer and expects the employee to be available for project completion and overtime work.

If the University determines that outside work interferes with job performance or an employee's ability to meet the requirements of the University as they are modified from time to time, the employee may be asked to terminate the outside employment if they wish to remain employed by the University.

Outside employment that constitutes a conflict of interest is strictly prohibited. Employees may not receive any income or material gain from individuals outside the University for material produced or services rendered while performing their job.

#### **H. Initial Evaluation Period**

The first ninety (90) days of employment are considered an “initial evaluation period”. This is time for the employee and the supervisor or department head to determine whether this is the right position for the new employee. It gives the employee time to adjust to new responsibilities and it gives the employee’s supervisor time to assess work and job performance.

If performance, attendance, or other relevant factors do not meet the University’s standards during the “initial evaluation period,” the new employee is subject to termination without notice. During the initial evaluation period, employees will be counseled regarding performance by their supervisor. If the employee’s work is deficient, the employee will be advised of the area(s) of deficiency, and the employee will be given the opportunity to correct any problem area(s) within the initial evaluation period. At the University’s discretion this period may be extended for up to an additional ninety (90) days.

Newly transferred employees are also subject to the same type of initial evaluation period for the first 90 days of their new assignment.

After successful completion of the initial evaluation period(s), the employee will be eligible to use any vacation leave or sick leave time he/she may have accrued.

## **I. Performance Evaluations**

The University is committed to excellence in its operations and conducts regular performance evaluations for all employees. The performance evaluation process is intended to be a communication and development tool for supervisors and employees.

There are several performance evaluation processes for the various employee/staff position categories at the University, including: Administrative Management, Librarians, Physical Plant Support Staff, Professional Staff, Professional Athletic Staff, and Administrative Support Staff. The different categories of positions may be evaluated at different times throughout the year.

Although each performance evaluation process is conducted on an annual basis, the University encourages employees and supervisors to discuss job performance and goals regularly throughout the year.

All employee/staff performance evaluations are coordinated through the Human Resources department and require management review and approval. For more information regarding the evaluation process, including job analysis forms, job descriptions and the various performance evaluation forms, please contact the Human Resources department.

## **J. Transfers and Promotions**

Southwestern University believes in transferring and promoting qualified employees to positions of increased responsibility whenever that action is most appropriate. Transfer and promotion decisions are based on long-term goals, employee performance, and the employee’s potential for success in the new position. Promotions and transfers shall be offered to employees at the sole discretion of the University. Employees should be in their current position for a minimum of one year to be eligible to apply for a posted position. If an employee is currently within his/her initial evaluation period, on probation, or engaged in a performance management plan, he/she is not eligible to apply for a posted position. If an employee is transferred or promoted to a new position, he/she will have a new initial evaluation period.

Information regarding current job openings is available on the University's website at <http://southwestern.edu/hr>.

If an employee wishes to be considered for an open position either within or outside his/her present department, he/she is strongly encouraged to discuss the request directly with his/her supervisor or

department head. All applications for transfer must be channeled through the Human Resources department. The Human Resources department coordinates the transfer process.

#### **K. Access to Personnel Records**

The Human Resources department maintains a personnel file on each employee and faculty member. The personnel file contains all permanent, official records which includes such information as the employee's job application, resume, references, records of training, documentation of performance appraisals, salary increases, correspondence, and other employment records.

Personnel files are the property of the University and are confidential. If an employee wishes to review his/her own file, he/she must contact the Human Resources department in writing. With reasonable advance notice, the employee may review his/her own personnel file during normal business hours and in the presence of a Human Resources representative. Copies of the contents may be duplicated by the Human Resources department only. In certain situations, employees may be required to reimburse the University for the cost incurred for duplicating the files.

Any information concerning an employee's health or record of medical treatment will be kept in a separate, confidential medical file, as required by law. This includes workers' compensation records.

Also, as required by law, IRS Form I-9 (employment eligibility) documentation will be kept in a separate, confidential file.

#### **L. Personnel Data Changes**

The University maintains current and accurate records on all employees. To assist in this endeavor, employees are required to promptly submit any changes affecting their personnel records to the Human Resources department and to notify their supervisor of any changes.

Types of information employees must inform the Human Resources department about include, but are not limited to, changes in name, marital status, number of dependents, home address, telephone number, emergency contact, changes in beneficiary, education, request for leave of absence, and any other significant event.

#### **M. Telephone and Cell Phone Use**

The telephone system is critical to the daily operation of the University. Employees are requested to keep all personal phone calls to a minimum and, unless there is an emergency, should discourage relatives and friends from calling them during working hours. Please keep personal conversations brief. The same guidelines for the Southwestern telephone system also apply to personal cell phone use.

#### **N. Telephone Courtesy**

Good telephone manners are important since they convey an image of the employee and the University to callers. The voice on the telephone is often the only contact with the University that the caller remembers.

Please observe these simple rules of telephone courtesy:

- Use a pleasant and helpful voice at all times.
- Identify yourself by department and name.
- Give the caller a choice as to whether they prefer to hold the line, call back, leave a message, or, if applicable, be connected to voice mail.

- If you cannot help the caller, transfer the individual to a department that may be able to provide assistance.
- In closing the call, remember to say “thank you” and “good bye,” hanging up carefully.

**O. Scheduling Special Events** (<http://southwestern.edu/policy>)

**P. Computer Use** (<http://southwestern.edu/policy>)

Incorporated into Information Services policies under *Acceptable Use of Computing Resources*.

**Q. Internet Code of Conduct** (<http://southwestern.edu/policy>)

Incorporated into Information Services policies under *Acceptable Use of Computing Resources*.

## **V. EMPLOYEE PAY**

### **A. Pay Days and Paychecks**

Paydays are established for exempt and nonexempt employees. Exempt employees are paid on a monthly basis on the 25<sup>th</sup> of every month. Nonexempt employees are paid on a bi-weekly schedule and will receive pay for the preceding pay period. If a payday falls on a weekend or holiday, employees will be paid on the preceding workday.

Direct deposit is available for monthly and bi-weekly paid employees, including direct deposit distribution into multiple accounts. Funds paid via direct deposit are generally available one day prior to the published pay date. Any manual paper paychecks will be distributed through campus mail to the applicable department or supervisor.

All questions regarding paychecks should be directed to the Payroll Office in the Business Office.

### **B. Timekeeping**

#### Nonexempt:

The Federal Wage and Hour Law requires that records be kept of the hours worked by every employee who is classified as a nonexempt (hourly paid) employee. Accurately recording time worked is the employee’s responsibility. This includes the time they begin and end their work, including the beginning and ending time of each meal period, according to the University’s specific procedures. Employees should record the beginning and ending time or departure from work for personal reasons. If employees need to leave the workplace during regular work hours for personal reasons, they must first receive approval from their supervisor. Overtime work must always be approved in advance **before** it is performed.

It is the employee’s responsibility to certify the accuracy of all time recorded by electronically signing their on-line time sheet in WebAdvisor or in certain cases by signing a paper time sheet. Supervisors will review and then sign the electronic or paper time sheet before submitting it for payroll processing. In addition, if corrections or modifications are needed to the time originally recorded, both the employee and the supervisor must verify the accuracy of the changes by submitting a paper time sheet. The actual time nonexempt employees should report to work and leave work is determined by their supervisor. For complete directions for completing electronic time sheets, please refer to the Business Office website at [www.southwestern.edu/offices/business/payroll.php](http://www.southwestern.edu/offices/business/payroll.php).

Changing, falsifying, tampering with time records, or recording time on another employee’s time record may result in disciplinary action, up to and including termination of employment. If an employee fails to submit accurate and complete time records on a timely basis, he/she may delay the processing of their paycheck as permitted by applicable state law.

#### Exempt:

Exempt (salaried) employees must complete monthly leave reports. Monthly leave reports are available to download from the Business Office website at [www.southwestern.edu/offices/business/payroll.php](http://www.southwestern.edu/offices/business/payroll.php). Monthly leave reports must be completed by the employee, then signed by their direct supervisor and returned to the Payroll Office by the fifth working day of the new month. Monthly leave reports must accurately reflect all time charged to sick leave, vacation, holiday, or any other type of leave.

### **C. Overtime**

When operating requirements or other needs cannot be met during regular working hours, employees may be scheduled to work overtime hours. When possible, advance notification of these assignments will be provided. The University attempts to assign overtime work as equitably as practical to all employees qualified to perform such work; however, the University reserves the right to assign overtime work as it deems most appropriate based on the needs of the University. All overtime work must receive prior authorization from the supervisor.

Overtime compensation is paid to all nonexempt employees in accordance with federal and state wage and hour requirements. As required by law, overtime pay is based on actual hours worked. Time off for sick leave, vacation leave, holiday leave, or any leave of absence will not be considered hours worked for purposes of performing overtime calculations. Overtime wages are paid at the rate of one and one-half times the hourly rate after employees have worked over 40 hours in one week.

Exempt employees are exempt from the overtime provisions of the law. Exempt employees do not receive overtime compensation. For more information regarding employment categories, please see *IV.B Employment Categories*.

### **D. How Salaries are Set**

Factors considered when salaries are set by the Human Resources department may include an analysis of the position, comparable positions, current market survey data, and an individual's experience, education and other qualifications as they pertain to the position.

### **E. Pay Increases**

The President and the President's Staff review employee compensation, annually, after the Board of Trustees has approved the operating budget. The University does not grant compensation increases automatically. Increases may be made as the budget will allow and are usually announced during the summer to become effective the following September. Pay increases are determined on an all-factors-considered basis including, but not limited to: the employee's job performance, salary survey data, economic data, and availability of funds. Pay increases are generally communicated to an employee by way of a written letter and are considered confidential. Nothing contained in these letters shall be deemed to create a contract or modify the "at-will" nature of employment with the University.

### **F. Pay Deductions**

The law requires certain deductions be made from employee compensation. The University offers programs and benefits beyond those required by law. All eligible employees may voluntarily authorize deductions from their pay to cover the costs of participation in these programs.

Federal and state laws require the following deductions from every paycheck:

- Federal withholding tax (income tax)
- Social Security tax (FICA) - up to the required annual amount
- Medicare tax

Other deductions may be made from paychecks, but only with the employee's written permission. Such deductions include, but are not limited to:

- Insurance benefits
- Flexible Spending accounts
- Health Savings accounts
- Savings accounts and/or loan payments
- Supplemental Retirement Plan contributions
- Employee personal computer loan plan payments
- Southwestern University annual fund contribution
- Southwestern University capital campaign contribution
- Direct Deposit deductions/distributions

#### **G. Pay Advances**

Southwestern University will not provide employees pay advances or extensions of credit on unearned or unpaid wages.

#### **H. Wage Attachments and Garnishments**

The employee is responsible for managing his/her financial commitments to avoid the inconvenience of wage attachments and garnishments for both him/her and the University. In the event situations arise in which a wage attachment or garnishment is ordered by an official state, local or federal agency, the University will honor and fulfill all garnishments and other wage attachment orders as required by law.

### **VI. EMPLOYEE BENEFITS**

As part of the University's overall compensation package, employees may also be eligible to participate in the University's various benefit programs or other fringe benefits. For a complete listing and description of all benefits, please visit the Human Resources website at <http://southwestern.edu/hr/benefits>.

Employees are responsible for timely completion of appropriate paperwork to enroll in certain benefit programs. When a benefit requires an affirmative action (application, beneficiary designation, benefit allocation, or similar acknowledgement or election) on the part of the employee, failure to promptly and timely respond to requests for action from the Human Resources department may cause a loss or suspension in eligibility for the benefit in accordance with the terms of the benefit plans. In such instances, the University will be under no obligation to retroactively reinstate or otherwise compensate the employee for any loss of benefits attributable to the failure to respond.

The University's benefit programs and any fringe benefit may, from time-to-time, be modified, deleted, or amended, at the sole discretion of the University with or without prior notice.

**A. Eligibility of Benefits** (<http://southwestern.edu/hr/benefits>)

**B. Flexible Benefits Plan/Section 125 Plan** (<http://southwestern.edu/hr/flexible-spendingcafeteria.php>)

**C. Health Care Insurance** (<http://southwestern.edu/hr/insurance.php> and <http://southwestern.edu/hr/benefits/healthinsurance.php>)

1. Post-Retirement Health Care Benefits  
(<http://southwestern.edu/hr/benefits/healthinsurance.php>)  
Contact the Human Resources department for more information.
2. Early Retirement Health Care Benefits  
(<http://southwestern.edu/hr/benefits/healthinsurance.php>)  
Contact the Human Resources department for more information.



- D. Dental Insurance** (<http://southwestern.edu/hr/benefits/dental.php>)
- E. Vision Insurance** (<http://southwestern.edu/hr/benefits/vision.php>)
- F. Long Term Disability (LTD) Insurance** (<http://southwestern.edu/hr/benefits/ltd.php>)
- G. Life Insurance / AD&D** (<http://southwestern.edu/hr/benefits/life-insurance.php>)
- H. Retirement Program 403(b) Regular Retirement Plan**  
(<http://southwestern.edu/hr/benefits/retirement.php>)
- I. Supplemental Retirement Annuity Plan** (<http://southwestern.edu/hr/benefits/retirement.php>)
- J. Social Security** (<http://southwestern.edu/hr/benefits/social-security.php>)
- K. Early Retirement Program** (Program Suspended in October, 2014)
- L. Workers' Compensation** (<http://southwestern.edu/hr/benefits/workers-compensation.php>)
- M. Leave Plans** (<http://southwestern.edu/hr/leave.php>)
  - 1. Vacation Leave (<http://southwestern.edu/hr/vacation-leave-staff.php>)
  - 2. Sick Leave (<http://southwestern.edu/hr/sick-leave.php>)
  - 3. Holidays (<http://southwestern.edu/hr/holidays.php>)
  - 4. Jury and Witness Duty Leave (<http://southwestern.edu/hr/jury-witness-duty-staff.php>)
  - 5. Military Leave (<http://southwestern.edu/policy>)
  - 6. Returning Veterans Rights Act (<http://southwestern.edu/policy>)
  - 7. Bereavement Leave (<http://southwestern.edu/hr/bereavement-leave-staff.php>)
  - 8. Voting Time (<http://southwestern.edu/hr/voting-time.php>)
  - 9. Family and Medical Leave Act (FMLA) (<http://southwestern.edu/policy>)
  - 10. Personal/Unpaid Leave of Absence (<http://southwestern.edu/hr/personalunpaid-leave-staff.php>)
  - 11. Catastrophic Health Condition Leave Benefit for Staff  
(<http://southwestern.edu/hr/catastrophic-health-condition.php>)
- N. Other Fringe Benefits**
  - 1. Employee Tuition Assistance Policy (<http://southwestern.edu/hr/faculty-staff-scholarship-program.php>)
  - 2. Flextime Schedules Policy and Guidelines (<http://southwestern.edu/hr/flextime-schedules-staff.php>)
  - 3. Computer Purchase Program (<http://southwestern.edu/hr/computer-purchase-program.php>)
  - 4. Seminars, Special Training (dependent upon departments' needs)
  - 5. Check Cashing (<http://southwestern.edu/hr/check-cashing.php>)
  - 6. Parking (<http://southwestern.edu/hr/parking.php>)
  - 7. Corbin J. Robertson Center (<http://southwestern.edu/hr/sports-recreation.php>)
  - 8. Identification Cards (Pirate Card) (<http://southwestern.edu/hr/id-cards-pirate-card.php>)
  - 9. Dining Services (<http://southwestern.edu/hr/dining-services.php>)
  - 10. Other Privileges (<http://southwestern.edu/hr/sarofim-school-of-fine-arts.php>) and  
(<http://southwestern.edu/hr/sports-recreation.php>)

## **VII. FOR EMPLOYEE GUIDANCE**

### **A. Performance Management**

The University fully commits to the success of every employee. In return, employees are expected to meet University performance expectations and standards for each position. If an employee's performance or conduct does not meet University expectations and standards, the University will, whenever possible, follow the guidelines set forth in this Performance Management section, and it is expected that the employee will participate directly in the process of attaining a resolution. The University believes that the Progressive Discipline approach outlined in item number 2, will foster an understanding of, and a commitment to, correcting a performance or conduct problem, and that it increases the likelihood of reaching a satisfactory

resolution. However, circumstances may arise which make it inadvisable or inappropriate to follow the general Performance Management guidelines and progressive discipline procedures. When circumstances warrant, University administration may decide, at its sole discretion, that some or all of the steps in the Performance Management process should not be followed and that immediate corrective action, including termination of employment, is necessary.

Generally, the Performance Management process is intended to document problems in a formal manner, while providing the employee with reasonable time within which to improve their performance. The process is designed to encourage development by providing employees with guidance in areas that need improvement such as poor work performance, attendance problems, personal conduct, general compliance with the University's policies and procedures and/or disciplinary problems.

## **1. Basis for use of Performance Management Procedures**

It is not the intention of Southwestern University to restrict the privileges of any employee by listing guidelines for conduct. The University's purpose is to make clear what is expected of every employee so that all may enjoy consistent treatment.

Performance Management action is primarily preventative or corrective. To this end, supervisors are available to answer employee questions and to advise employees regarding work performance issues. Serious or repeat offenses, however, may result in immediate termination of employment. Under all circumstances, an appropriate administrative officer and the Associate Vice President for Human Resources must approve all terminations in advance.

Some specific types of problems requiring a resolution action could include the following items:

Poor quality of work would include any type of incompetent, inefficient, inaccurate, careless, or unsafe work practices, including neglect of job or insufficient quantity of work produced, which is carefully substantiated or documented over a reasonable period of time.

Misconduct could include a variety of actions, many of which may actually be subject to immediate termination. Some examples include damage or misuse of University property; intoxication; possession or use of illegal drugs or controlled substances; possession or use of any weapon, (i.e., handguns, rifles, knives other than pocket knives, etc.); dishonesty; gambling; theft; leaving the job without permission; fighting; falsification of time sheets, employment application or other records or documents; inappropriate use of Southwestern University letterhead or other supplies for personal use; sexual harassment; any action that is detrimental to job performance, or to a harmonious and cooperative workplace, or that interferes with the work of others which includes behavior which affects suitability for the job; unevenness of temperament; inappropriate reaction under stress or strain; or, inability to work under pressure or to respond appropriately to unpleasant situations.

Insubordination could include the refusal to comply with the instructions or directions of the supervisor or other designated representative(s) of management; or the refusal to adhere to published regulations.

Absenteeism would include the violation of stated policies and procedures relating to attendance and tardiness. This could mean leaving the job without permission, or taking extended lunch or break times.

Lack of dependability could include the inability to adapt to new ideas or improve on work methods. It could also include lack of care for equipment or the inability to take on tasks independently.

Unreliable behavior could include a lack of a sense of duty to one's job or work unit.

Poor judgment could include the inability to analyze problems, reach solid conclusions, and use initiative or productive imagination.

Lack of cooperation could include the inability to work for, or with, others. It could also include the inability to accept discipline or to conform to policies of management, and an unwillingness to help others.

Lack of job knowledge would also warrant Performance Management Procedures and this category might include an inadequate background to perform the job, or the inability to utilize the training provided.

In addition, any other reason deemed appropriate by the University might be used as the basis for use of the Performance Management Procedures.

## **2. Performance Management Procedures and Progressive Discipline**

Generally, the University attempts to follow a policy of progressive discipline that provides employees with notice of infractions and an opportunity to improve. In most instances, progressive discipline will involve a multi-phase process. In instances where serious performance deficiencies exist such that continuation of this poor performance would result in discharge, a supervisor will generally use the following “WARNING” procedure (while it is considered that an informal meeting to discuss a problem will have a positive effect, a supervisor may take the option of officially documenting the performance deficiency in writing):

- a. **Verbal Warning**  
A private explanation and discussion of the performance deficiency (e.g. poor attendance, excessive tardiness, unsatisfactory performance, disruptive working relationships, etc.) will include how this deficiency is to be rectified and an indication of time will be set by which the deficiency must be rectified.
- b. **Written Warning**  
This second warning will include the same elements as the verbal warning but will be in writing and given to the employee with a copy sent to the Human Resources department. The written warning should clearly identify the problem and outline a course of corrective action within a specific time frame. The employee should clearly understand both the corrective action and the consequence (i.e., termination of employment) if the problem is not corrected or reoccurs.
- c. **Final Warning**  
A notice of termination will be given unless the deficiency is immediately rectified. This will also be in writing and signed by the employee with a copy provided to the Human Resources department.
4. **Termination/Dismissal**  
After other disciplinary measures have failed, or when a first time incident occurs that is extremely serious, termination of an employee’s employment may be necessary. When this action is taken because of misconduct or continued poor performance, coordination with the Human Resources department is necessary. Employees against whom termination action is taken may be advised in writing and/or in person of the reason(s) for termination/dismissal and the effective date.

## **3. Basis for Immediate Termination/Dismissal**

Termination/dismissal will occur if certain behavior or the violation of certain policies or procedures is so extreme that immediate termination of employment is the only reasonable solution. Examples of incidents for which an employee may be dismissed without prior notice include, but are not limited to:

- Willful or inexcusable negligent acts.
- Gross insubordination such as refusing to accept a reasonable job assignment.

- Dishonesty, which includes, but is not limited to, thefts as well as falsification of records such as the application for employment or reports.
- Intoxication, possession, or use of alcohol or illegal drugs as defined by the Drug-Free Workplace Act, and the Drug-Free Schools and Communities Act Amendments of 1989, while on the job.
- Failure to respect the confidential nature of University records, payroll information, or information about students, faculty, and/or employees, and any other member of the University Community (trustees, alums, etc.).
- Disorderly conduct, including abusive or profane language, immoral conduct, and threat or use of personal violence.
- Absence from work for three (3) consecutive working days without notification to the employee's supervisor.

This list is not exhaustive and is provided for illustration purposes only.

In the event of termination/dismissal for misconduct, all benefits end immediately. Continuation of Benefits, COBRA, may not be available to anyone dismissed from Southwestern University for gross misconduct.

If employees have any questions regarding the Performance Management process, they should speak to their supervisor or the Human Resources department.

## **B. Grievance Procedure**

Southwestern University anticipates that each employee will have a successful employment experience. There may be an occasion when a problem relative to an employee's working conditions or the administration of human resource policies may occur. A grievance is an allegation, by a person or persons covered by this Handbook, that there has been a violation, misinterpretation or misapplication of the terms of the Handbook.

It is in the best interest of the University and its employees to resolve any such problems quickly and at a level as close as possible to where the grievance occurred. The University encourages communication between the employee and his/her supervisor so that problems can be resolved quickly and in a manner which enhances mutual understanding. In most instances, an informal discussion with an employee's supervisor will solve a problem. An employee may contact the Human Resources department at any time to discuss work-related problems or issues.

A grievance procedure has been established so that employees may be assured of fair consideration to establish if the alleged grievance is of substance. A means of appeal without prejudice from the immediate supervisor has been provided for this reason. Nothing within the Grievance Procedure is contractually enforceable and nothing within the Grievance Procedure shall be interpreted to waive the "at-will" employment status of any employee. The University reserves the right to alter or amend the terms of this Handbook, employment policies, or educational policies at any time, including during or after a Grievance Procedure or based on information or policy concerns raised within the Grievance Procedure itself.

Human resource problems involving appointment, promotion, salary adjustments, terminations, or any matter involving working conditions should be handled in the following manner (please note that for the purpose of the Grievance Procedure, a working day is defined as a day when the Administrative Offices of the University are open).

### **Step 1**

#### **Immediate Supervisor**

An employee should first meet with their immediate supervisor to discuss the alleged problem. This should be done within five (5) working days of the alleged grievable action. The immediate supervisor should document this meeting and discussion. It is in the best interest of both parties to arrive at a mutually

agreeable solution at this level. If the alleged grievance is about an employee's immediate supervisor, the employee should begin with Step 2.

## **Step 2**

### **Department Head (if applicable)**

If there is no mutual agreement, an employee has three (3) working days from the date of the meeting with the immediate supervisor to complete and file a written grievance with his/her Department Head (if applicable). Upon receipt of the written grievance, the Department Head should advise the Associate Vice President for Human Resources of the problem to be resolved. The Department Head has three (3) working days, from the date of receipt of the written grievance, to meet with the employee and the employee's immediate supervisor (if appropriate). After the scheduled meeting, the Department Head has five (5) working days to respond to the employee in writing with a decision. It is hoped that a mutually agreeable solution will result at this stage. If the employee is not satisfied, the employee may proceed to Step 3. There may be occasions when this step is eliminated because the Department Head is a member of the President's Staff.

## **Step 3**

### **Member of the President's Staff**

An employee has three (3) working days from the date he/she receives the written decision from his/her Department Head to appeal that decision to the appropriate member of the President's Staff. An employee must submit his/her case in writing to the appropriate member of the President's Staff. Provided that the member of the President's Staff is in town and/or reasonably available, a meeting with the affected parties will occur within five (5) working days from the date of receipt of the appeal. The member of the President's Staff will make a determination in writing regarding the disposition of the grievance within five (5) working days from the date of the meeting, provided that the member of the President's Staff is in town and/or reasonably available. If a mutually satisfactory solution is not agreed upon, the employee, within three (3) working days from the date of the final decision from the member of the President's Staff, may proceed to Step 4.

## **Step 4**

### **President**

The employee has three (3) working days from the date he/she received the written decision from the member of the President's Staff to appeal the decision to the President of the University in writing. The President will then investigate the problem. The investigation may include a personal conference with the employee and other parties involved. Provided that the President is in town and reasonably available, within fifteen (15) working days of receiving the appeal, the President will provide the employee with a written final decision. Because the responsibility for the operation of the University has been delegated to the President, any decision rendered by the President in a problem resolution situation must be regarded as final and binding.

The four-step Grievance Procedure is designed so that all potential disputes may be resolved on an informal and nonlitigious basis without the time and expense often wasted through third-party dispute resolution or litigation. All employees are expected to exhaust their remedies available under the University Grievance Procedure prior to instituting any proceeding before a state or federal court agency. Any employee who chooses to institute such a proceeding before a state or federal court or outside agency will be presumed to have determined third party dispute resolution is needed, and thus will be presumed to have voluntarily waived their ability to use the University Grievance Procedure.

## **C. Safety (<http://southwestern.edu/policy>)**

For all Safety related information, please refer to the Safety section of the University Policies webpage (<http://southwestern.edu/policy>).

**D. Campus Police Department (<http://southwestern.edu/policy>)**

For all security related information, please refer to the Safety section - Campus Police Department of the University Policies webpage (<http://southwestern.edu/policy>).

**E. Theft Prevention (<http://southwestern.edu/policy>)**

For all security related information, please refer to the Safety section - Campus Police Department of the University Policies webpage (<http://southwestern.edu/policy>).

**The University does not provide insurance for the loss of personal property due to theft or other casualty.**

**F. Operational Procedures**

1. University Publications (<http://southwestern.edu/offices/marketing>).
2. Communication Vehicles at Southwestern University (<http://southwestern.edu/offices/marketing>).
3. Information Technology Allocation Policy (<http://southwestern.edu/policy>).
4. Information Security Plan (<http://southwestern.edu/policy>).
5. Emergency Preparedness (<http://southwestern.edu/policy>).
6. Background Check Policy (<http://southwestern.edu/policy>).
7. Policy on Patents, Copyrights, and Trade Secrets (<http://southwestern.edu/policy>).

**VIII. LEAVING SOUTHWESTERN UNIVERSITY**

**A. Resignation and Separation of Employment**

It is hoped that all employees will have a rewarding and productive career at Southwestern University, but it must be recognized that situations arise which may cause the voluntary or involuntary separation of an individual's employment. When an employee decides to leave, for any reason, his/her supervisor and/or a Human Resources representative would like the opportunity to discuss the resignation before final action is taken to consider whether another alternative is possible or preferable.

If, however, after full consideration, the employee decides to resign in good standing with eligibility for reemployment, it is expected that a nonexempt employee (hourly compensated) will provide a minimum of a two week advance written notice to his/her supervisor and that all exempt employees (monthly compensated) will provide a minimum of 30 day advance written notice to his/her supervisor. In addition, a copy of the employee's written resignation notice must be given to the Human Resources department. Please be aware that an employee may not use accrued vacation leave in lieu of the expected advance resignation notice. Once the required resignation notice is provided, the employee will not be able to use accrued vacation time or accrued sick leave, as they will be needed in order to facilitate a smooth transition.

Vacation balances will normally be paid in a lump sum for unused vacation time up to a maximum of 21 vacation days (168 hours). All University benefits such as health insurance, dental insurance, vision insurance, life/AD&D insurance, LTD benefits, and pension benefits will end on the employee's last day of employment or at the end of the month pursuant to the terms of those plans. Some benefits may be continued or converted to individual policies dependent on the terms, conditions and limitations of such continuation.

The employee's final pay will be distributed in accordance with applicable state law.

Please be sure to keep the Human Resources department informed of any address changes within the following year after leaving the University. This will ensure proper and timely handling of forms such as IRS Form W-2's and other communications.

## **B. Separation Procedures/Checkout Process**

Upon receipt of an employee's written letter of resignation (or any other type of separation notification), the Human Resources department will provide the departing employee's supervisor with a Separation Procedures/Checkout Process form. The Human Resources department will prepare and send an individualized departure letter to the employee. All employees are required to complete the separation exit process. The supervisor is responsible for initiating the process as early as possible before the employee's last day of work. The purpose of the process is to ensure that all University property, including but not limited to, keys, equipment, supplies, University records, books, credit cards, ID cards and other related items are returned to the University, as well as the identification and appropriate transfer or transition of any electronic files/documents.

## **C. Exit Interview**

The separating employee may schedule an exit interview with the Human Resources department. Some possible reasons for doing this would be to ensure that all separation procedures have been properly completed, to discuss benefits separation and benefit continuation options, or to discuss other employment related matters.

## **D. Return of University Property**

Separating employees are responsible for all University property, materials such as keys, ID badge, or written information issued to them or in their possession or control. Separating employees must return all University property in satisfactory condition immediately upon request or upon voluntary or involuntary separation of employment. Where permitted by law, the University may withhold from an employee's current or final paycheck the cost of any items that are not returned when required. The University may also take all action deemed appropriate to recover or protect its property.

## **E. Benefits Continuation (COBRA and HIPPA)**

For complete information on benefits continuation after separation from employment, refer to the University Policies webpage at <http://southwestern.edu/policy>.

## **F. Vacation Pay Upon Separation**

Vacation pay is calculated in accordance with the vacation leave policy. In order to be paid any unused accrued vacation balance, it is the employee's responsibility to ensure that the Payroll Office receives his/her last time sheet or leave report prior to his/her last day of employment. If an employee took more vacation hours than entitled to under the vacation leave policy, the time taken will be deducted from the final paycheck.

Generally, unused accrued vacation balances will be paid to the separating employee no later than the second pay period following his/her last date of employment.

*Maximum payoff of accrued vacation time is 21 days (168 hours).*

## **G. Compensation Policy for Separating Employees**

Employees will not be paid for time not worked. An employee who separates from employment in the middle of a pay period will not be paid for the remainder of the pay period.

## **H. Reference Checks Upon Separation**

All inquiries regarding a current or former Southwestern University employee must be referred to the Human Resources department.

Should an employee receive a written request for a reference, the request should be referred to the Human Resources department for handling. No University employee may issue a reference letter for any current or former employee without the permission of the Associate Vice President for Human Resources.

Under no circumstances should any University employee release any information about any current or former employee over the telephone. All telephone inquiries regarding any current or former employees of the University must be referred to the Human Resources department.

In response to an outside request for information regarding a current or former Southwestern University employee, the Human Resources department will normally furnish or verify only the employee's name, dates of employment, job title and department. However, the University reserves the right, when it deems appropriate, based on the circumstances, to also include additional information including such items as whether the employee is eligible for rehire, the nature of the employee's separation from employment, or information that is relevant to the new position of employment being sought. With written authorization from the individual, the Human Resources department verifies earnings for credit checks.

## **I. Retirement**

### **1. Initiate Retirement Process**

An employee of the University may initiate retirement at any time by submitting his/her intent in writing to the Human Resources department. If an employee is considering retirement, he/she will need to consult with the Human Resources department in order to ensure maximum benefit opportunities. An employee considering retirement should notify the Social Security Office so that he/she will be aware of earning limitations for the year they initiate the retirement.

### **2. Retirement Program 403(b) Regular Retirement Plan**

If the employee has been a participant in the University sponsored retirement plan, the employee will need to notify the provider several months in advance so that the employee will have enough time to complete the retirement application, indicating which payment option he/she elects and return the paperwork for processing.

### **3. Retirement Benefits**

#### **a. Health Insurance (if applicable)**

For complete details regarding health insurance for retirees, call the Human Resources department and speak with the Benefits Administrator.

#### **b. Retiree Fringe Benefits**

Qualified retired full-time employees may continue to utilize University facilities, which includes: the Corbin J. Robertson Center, the Kurth Tennis Courts, athletic events, dining services, musical and theatre productions, and library services (all at the employee discount). Retirees and their dependents will need to be issued a new ID card in order to gain access to University facilities. ID cards are provided by the InfoDesk in the Smith Library Center.

*Note: To qualify for these non-ERISA-regulated fringe benefits, employees who retire from the University must have ten (10) consecutive years of service.*



#### **4. Separation Procedures**

Retirees are required to go through the normal separation process. See section VIII Leaving Southwestern University, B, C, D, and F.

**APPENDIX A**

Sexual Harassment Policy and Procedure (<http://southwestern.edu/policy>)

**APPENDIX B**

Drug-Free Workplace Policy (<http://southwestern.edu/policy>)

**APPENDIX C**

Inclement Weather and Other Emergency Events (<http://southwestern.edu/policy>)

**APPENDIX D**

Family and Medical Leave Act Policy (FMLA) and Procedure (<http://southwestern.edu/policy>)

**APPENDIX E**

Retirement Program 403(b) Regular Retirement Plan (<http://southwestern.edu/hr/benefits.php>)

**APPENDIX F**

Employee Tuition Assistance Policy (<http://southwestern.edu/hr/faculty-staff-scholarship-program.php>)

**APPENDIX G**

Benefits Continuation (COBRA and HIPAA) (<http://southwestern.edu/policy>)

**APPENDIX H**

Military Leave (<http://southwestern.edu/policy>)

**APPENDIX I**

Staff Suggestion Box (<http://southwestern.edu/gateways/facstaff>)

**APPENDIX J**

Catastrophic Health Condition Leave Benefit Policy for Staff (<http://southwestern.edu/hr/leave.php>)

**APPENDIX K**

Flextime Schedules Policy and Guidelines (<http://southwestern.edu/hr/leave.php>)

**APPENDIX L**

Cellular Phone Policy and Procedures (no longer required)

**APPENDIX M**

Policy on Patents, Copyrights, and Trade Secrets (<http://southwestern.edu/policy>)

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