



**ROCKHURST
UNIVERSITY**

Where leaders learn.

Employee Handbook

PREAMBLE

Rockhurst University's Employee Handbook provides policies, procedures and rules for the orderly conduct of University business by which employees must abide ("policies"). The President's Cabinet and, where applicable, the Board of Trustees ("Board") oversee the publication, revision, and distribution of the Handbook. As deemed necessary for the efficient operation of the University, the President's Cabinet, in collaboration with the Human Resources Director, is authorized to make changes or additions to the Employee Handbook, other University policies, and—upon consultation with or recommendation of the University's Benefits Committee—University benefits. Considering University protocols, governing documents, and any legal requirements related to changes, the President's Cabinet will determine whether changes require Board approval and, if so, seek such approval. If a material addition or revision to a policy is made and becomes effective, employees will be notified of such and will be expected to abide by the updated terms.

If statements in this Employee Handbook are found to be in conflict with existing or future local, state, or federal laws or regulations, such rules shall supersede and prevail over the Handbook statements. This edition of the Employee Handbook supersedes all previous editions.

The Employee Handbook states University-wide policy applicable to faculty and other employees, including student workers. Other University policies may apply to employees, including sub-groups of employees; for example, faculty are also subject to the policies located in the Faculty Handbook. The Employee Handbook takes precedence over policy promulgated by colleges and/or schools within the University. This does not preclude colleges and/or schools within the University from issuing additional policy documents separate from the Employee Handbook; however, while all such documents may amplify or add detail to policies contained in the Employee Handbook, all policy disputes will be resolved in favor of those contained in the Employee Handbook. Separate policy documents will not be incorporated by reference into this Employee Handbook unless specifically approved by the President's Cabinet and Board.

This Employee Handbook is not a contract or an invitation to contract; nothing in this Handbook is intended to imply or create contractual rights, including the right to employment. The University may consider any separate individual employment contracts or employee evaluation documents, such as performance improvement plans, when applying the policies provided in this Handbook.

The University retains discretion to interpret and apply the Employee Handbook—including resolving conflicts with other University policies—in a manner that is not clearly unreasonable, even if the University's interpretation or application differs from the interpretation of others.

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Welcome to Rockhurst University

Rockhurst University is the Catholic, Jesuit University in Kansas City, Missouri and part of a Jesuit network of 28 universities and colleges in the United States. The Jesuit tradition in higher education is over 450 years old, and Rockhurst has been part of that tradition since 1910.

We consider our staff to be the “soul” of Rockhurst University. They partner with faculty whom we refer to as the “heart” of our university community. Together, they actively engage our students, alumni, friends and benefactors in our shared vision and mission.

A Jesuit university is concerned with the care and development of the whole person. As a staff member, you help create the environment where our students, alumni, supporters, and friends know that Rockhurst follows St. Ignatius Loyola’s refrain. That refrain is this: we do all for the greater glory of God. I invite you to help me to enhance this environment where every member of this university community knows that he or she matters. Assist me in making sure that Rockhurst University is intentional about its opportunities for growth so that we can always state that we are “sized, so you matter.”

Over 300 staff and faculty members use their gifts and talents allowing Rockhurst to provide a quality education to over 3,000 students. The Shared Vision, Mission and Core Values on the next page form how we perform our work. I invite you to familiarize yourself with this information.

For current employees, thank you for your service to the University and to our new employees, welcome to our wonderful community! Best wishes as together we make God’s good world better.

Sincerely,

Rev. Thomas B. Curran, S.J.

President, Rockhurst University

Rockhurst University Mission

Rockhurst is a comprehensive university and a supportive community that forms lifelong learners in the Catholic, Jesuit, liberal arts tradition who engage with the complexities of our world and serve others as compassionate, thoughtful leaders.

Rockhurst Shared Vision

To create a more just world through inclusive, innovative, and transformative education.

Core Jesuit Values

Finding God in All Things - God is present and active in our lives and all living things. We search for God in every circumstance and strive to model all aspects of learning and teaching as ways of responding to God.

Magis - "More" - We think and act creatively. We seek greater knowledge - academically, spiritually, socially - while giving greater love and compassion to our neighbor.

Reflection and Discernment - We reflect on our motivations, feelings, and thoughts so we may better understand ourselves. We listen to the experiences of other people and seek greater knowledge of the world.

Cura Personalis - "Care for the Whole Person" - We are whole people: intellectual, physical, artistic, social, psychological, moral and spiritual. We respect and nurture that whole person by helping people, in and outside the classroom, reach their greatest potential.

Contemplation in Action - Our reflection and discernment leads to actions that build up the community. We bring our best resources and creativity to respond to challenges.

Wisdom - We create an environment that values the search for knowledge and leads to a more just existence.

A President's Comments on the Mission

By Thomas B. Curran, S.J.
President

In the Old Testament book of Job, we find these words:

Ah, would that my words were written down! Would that they were inscribed in a record; that with an iron chisel and with lead they were cut in the rock forever.” Job 19:23

On the property of just about every Jesuit school, parish, and institution, you will find the inscription A.M.D.G. It is an abbreviation for *Ad Majorem Dei Gloriam*. It is translated: *For the greater glory of God*. These words summarize a major component of the writings and spirituality of St. Ignatius Loyola, founder of the Society of Jesus (Jesuits) and patron of Ignatian ministries. In his *Spiritual Exercises*, he writes that we were created to praise, reverence, and serve God our Lord and by this means to save our souls. All other created goods are to be used to assist us in this pursuit. (#23).

At Rockhurst University, we have carved three words in the stone tower on the southern part of the campus: **Learning, Leadership** and **Service**. These words reflect how we approach higher education in the Ignatian and Jesuit tradition. We believe they capture the essence of the core principles and values of Jesuit education as it was first articulated, in 1599, in the *Ratio Studiorum* (Plan of Studies) for Jesuit schools. We consider the *Ratio* as a way of proceeding for an individual to develop his or her gifts for the greater glory of God.

Some of the core values and principles you will find in Jesuit institutions:

- *Cura personalis* - care for the individual in the context of the human community
- Critical thinking - a level of comfort with the questions as well as with the answers; this includes the promotion of dialogue between faith and culture as well as faith and science
- *Magis* - the pursuit of more as in the greater glory of God
- Contemplation in Action - a discernment of spirits in the context of free will that results in responsible action
- Finding God in all things - the quest for union with God
- Men and women for others- products of Jesuit schools are to be the “multiplying agents” in the “service of faith and the promotion of justice”
- Preparation for an active life commitment that encourages a “healthy patriotism”
- Participation in the apostolic mission of the Church of the building up the Kingdom of God
- Emphasis upon lay-Jesuit collaboration within the context of a community of students, faculty, staff, alumni, parents, governing boards, benefactors and friends

Learning

At Rockhurst, we believe that education is a lifelong process. This is essential for the ongoing formation of an individual and the end for which an individual was created. Instruction of the intellect never ends. Rather, we hope to create or build upon one's curiosity so that an unrestricted desire to know is always present. The more we learn, the more we encounter God in God's creation. We create this environment with an average class size of 17; the faculty-student ratio is 1:11. While 87 percent of our faculty hold terminal degrees in their fields of study, our full-time professors still teach freshman courses. Our student satisfaction surveys repeatedly report how the faculty of Rockhurst readily make themselves available for assistance and consultation. In essence, Rockhurst is a community with a common purpose and mission of life-long learning for the greater glory of God.

Leadership

To demonstrate that we produce leaders, we could easily point to the fact that nearly 10 percent of our alumni are CEOs in their respective organizations. While this is impressive and laudable, we are more intent in seeking to form “men and women for others.” This phrase was coined and used extensively by Fr. Pedro Arrupe, S.J., Superior General of the Society of Jesus, 1965-1983. He committed the Society to the “service of faith and the promotion of justice.” For him, it naturally followed that the goal of Jesuit education would consist in the creation of “multiplying agents” known as “men and women for others.” To paraphrase the Ratio, the instruction of the intellect (learning) becomes complete and fortified when the will is trained (leadership) and character is formed (service). When the will is trained, it becomes second nature to aspire to leadership. Education prepares our nature to receive and cooperate with the grace of God in making a better and more just world.

Service

Charity is an attempt to address the effects of poverty and oppression; justice seeks to alleviate the root causes of societal inequities. Here, the formation of character (service) begins on Freshman Orientation Weekend. After the goodbyes are exchanged, our new students are divided into groups for the Finucane Service Project. It introduces our new students to the Jesuit philosophy of service to others. The project is named in memory of Fr. Bill Finucane, S.J., a former director of Campus Ministry at Rockhurst. This project results in 1100 hours of service to the Kansas City community. At the completion of the project, the students return to campus to discuss their work and what can be done to change the structures causing these inequities. Such efforts and reflection continue throughout a Rockhurst University education. While service at Rockhurst is voluntary, more than 85 percent of our students participate in these community efforts resulting in some 25,000 hours annually being contributed to others. Rockhurst also sponsors service projects to South America, Central America, and Mexico as part of its global educational efforts and attempts to make God’s good world better. The more we serve the more we grow in imitation of the love of Jesus Christ.

At Rockhurst, we focus upon the instruction of the intellect (**learning**), the training of the will (**leadership**), and the formation of character (**service**). We believe these three words capture the essence of Jesuit education that has been impacting the world for more than 400 years. We are firmly committed to this approach — that’s why we carved those words in stone.

Employee Guidelines

Now that you know a little more about Rockhurst University, you know that a rewarding experience awaits you! You are cordially welcomed as a member of the community, and you are extended best wishes and success.

To answer many, but certainly not all, of the questions you may have concerning the University and its policies and practices, we have prepared this handbook. Please read it thoroughly and keep it available for future reference. It is intended as a general source of pertinent information. The handbook and its contents do not guarantee employment with Rockhurst University for any period of time. It is merely intended to communicate with you the policy and benefit information associated with your employment at Rockhurst. Unless you have a written contract with the University, your employment is at-will and may be terminated at any time, for any reason, with or without cause. The University reserves the right to interpret, amend, discontinue or change policies as deemed appropriate in response to organizational, regulatory, legal or other similar considerations.

This handbook in no way implies or guarantees a contract of employment. This current version of the handbook as updated in August 2012 supersedes and takes precedent over all previously issued Employee or Supervisor handbooks. If you have any questions regarding this document, you are advised to contact the Rockhurst University Department of Human Resources at 816-501-4555 or 816-501-4834, Conway 102.

Nothing contained within this handbook is intended, or should be construed, to limit an employee's rights under the National Labor Relations Act, including the right to discuss wages, hours and other terms and conditions of employment.

Section 1 – Equal Employment and Non-Discrimination & Sexual Misconduct

EQUAL EMPLOYMENT OPPORTUNITY AND NON-DISCRIMINATION

Rockhurst University prohibits discrimination and harassment based on a protected class, as described in the Equal Employment Opportunity and Non-Discrimination Statement. The University also prevents retaliation for bringing a complaint of discrimination and harassment or for participating or cooperating in the investigation of such a complaint. Rockhurst's policies and procedures related to the reporting and investigation of discrimination, harassment, and retaliation, excluding issues of discrimination and harassment, can be found at: <https://www.rockhurst.edu/about/human-resources/non-discrimination/policy>. This policy applies to all faculty, staff, and students at Rockhurst University.

SEXUAL MISCONDUCT

Consistent with the Equal Employment Opportunity and Non-Discrimination Statement, as well as state and federal laws, Rockhurst University prohibits sexual misconduct- including sex discrimination, sexual harassment, sexual violence, domestic violence, dating violence, and stalking - in all of its programs and activities. The University's Sexual Misconduct Prevention Policy and Complaint Resolution Procedures can be found at: <https://www.rockhurst.edu/about/human-resources/sexual-misconduct-prevention-response/policy>. This policy applies to all faculty, staff, and students at Rockhurst University.

Section 2 – Employee Conduct

APPEARANCE AND PROFESSIONAL CONDUCT

The public image of Rockhurst is a direct reflection of our staff, individually and collectively. People are inclined to judge organizations by the employees who represent them. Therefore, it is expected that staff act in a manner consistent with our Core Values, Mission and Vision. Proper performance of duties, appropriate professional conduct and treating others with respect and courtesy at all times are essential requirements of employee's jobs at all times.

Attire should be professional and in good taste and should promote a business-like environment and image in keeping with employees' specific jobs. In some departments, a uniform may be required. Rockhurst University reserves the right to insist that employees dress professionally and appropriately for their positions. Rockhurst University will comply with applicable federal, state, and local laws in enforcing this policy.

CODE OF CONDUCT

A. General Expectations

Rockhurst University respects the dignity and value of individual students, staff, faculty and visitors. Accordingly, it is expected that every employee show that same respect and concern for others so that all members of the community can achieve their full potential. When Rockhurst has reason to believe that the conduct of any or some members of the community prevents or hampers others from performing their work, the University will intercede.

B. Reporting Improper Conduct

If an employee has reason to believe or reasonably suspect that the University or any of its employees or agents is engaged in improper conduct - i.e., acting in an illegal, fraudulent or dishonest manner or contrary to any established University policy - that employee is encouraged to report such conduct, and may do so without fear of reprisal or retaliation.

Any Rockhurst employee with reasonable suspicion of improper conduct should notify his/her immediate supervisor. If the complaint involves the supervisor, the employee should contact his/her next higher level of supervisor and/or the Vice President having authority over the area. In lieu of or in addition to notification of supervisory personnel, any employee with such a complaint may contact the Director of Human Resources to register a complaint.

The University will investigate all reported violations under this policy and will make every effort to protect the identity of the person reporting the improper conduct. Rockhurst cannot guarantee confidentiality if identification of the employee is necessary to the University or law enforcement officials for the purposes of investigating the incident. Depending on the nature of the complaint and the findings of the investigation, the University will take appropriate action, which may include disciplinary action, up to and including termination.

Rockhurst University forbids retaliation in any manner against someone who, acting in good faith, has reported a suspected violation, assisting in making a report, cooperating in an investigation, or otherwise exercising their rights or responsibilities under this policy. An employee who feels that they have been retaliated against may file a written complaint with the Director of Human Resources. In the event the retaliation complaint involves the Director of Human Resources, the complaint may be filed with the Chief Financial Officer. A retaliation complaint that Rockhurst, after investigation, substantiates will result in disciplinary action up to and including termination of employment.

CONFIDENTIALITY

In the performance of assigned duties, the staff of Rockhurst University may have access to or be involved in the processing of confidential information, including student and/or employee data, University and/or business data. All employees must adhere to the FERPA (Family Educational Rights and Privacy Act). Further, nothing described in this section is intended to prevent an employee from discussing terms and conditions of employment.

Confidential information includes but is not limited to the following:

- any internal University financial statements and statistical and narrative reports
- employee records and files, salary data, and statistical reports containing the same
- information from University computers
- student records and files, demographic data, and statistical reports containing the same computer authorization and/or security codes, computer passwords and long-distance codes
- any quality improvement reviews and administrative level staff meeting minutes

Misuse or unauthorized disclosure of confidential information to others, both internally and externally, may be grounds for discipline, up to and including employment termination.

When in doubt as to whether certain information is confidential, prudence dictates that none be provided without first establishing that disclosure has been authorized by an appropriate authority. This applies to both internal and external disclosure.

CONFLICT OF INTEREST

A conflict of interest may exist when the University is contemplating entering into a transaction or arrangement that might benefit an employee, officer or director of the University (or their family members) or that might result in a possible excess benefit transaction. Possible conflicts of interest include situations in which an employee or his/her family member might receive financial benefit from a University transaction or decision, or the University might be adversely affected in order to benefit the employee or his/her family member. Possible conflicts of interest also include situations in which, due to an interest of the employee, officer, or director (or their family members), the individual could potentially be tempted not to act with the requisite care, skill, judgment and loyalty owed to the University. If you or a family member may have a financial interest in a decision that University will make, or an interest that, due to your job duties, could interfere with your judgment in the performance of your duties on behalf of the University, you must disclose such interest in accordance with the Conflict of Interest Policy and Procedure, which is available on the Rockhurst intranet, at <http://hr/HR/documents/ConflictInterest811.pdf>

DRUG/ALCOHOL ABUSE

Rockhurst University believes that illegal drugs and the abuse of alcohol have no place in the work environment. The University is also committed to complying with the Drug-Free Schools and Campuses Act Amendments of 1989, and the Drug-Free Workplace Act of 1988. Therefore, the University has established the following policies:

A. **Expectations.** Each employee should be aware of workplace safety, realizing that impaired employees cannot perform safely or productively. The University expects that all employees report to work and remain in a condition that is free from the effects of alcohol or unlawful use of drugs. All employees should remain alert to impaired behavior or substance abuse by others

and report any concerns immediately to a supervisor, human resources, or campus security. The legal use of prescribed drugs is permitted on the job only if it does not impair the employee's ability to perform the essential functions of the job effectively in a safe manner for the employee, fellow employees, or student. While on University premises, (including any vehicle), working offsite or while fulfilling any job responsibilities on behalf of the University, Rockhurst forbids the unlawful manufacture, distribution, dispensation, possession or use of controlled substances (excluding the lawful possession and use of prescription drugs, as described above), and the unauthorized and/or unlawful manufacture, distribution, dispensation, possession or use of alcohol. On occasion, alcohol is served at University functions. It is expected that employees exercise good judgment when consuming alcohol at these functions.

As a condition of employment, all employees must abide by these expectations. Further, as a condition of employment, employees must notify Rockhurst University's Director of Human Resources, within five (5) calendar days, if he/she is convicted of a criminal drug violation while on University premises or while conducting Rockhurst business.

B. Disciplinary Actions. Violations of these policies may be grounds for discipline, up to and including employment termination and referral for prosecution.

C. Legal Sanctions. Apart, separate and distinct from the University's policies, employees who engage in the unlawful manufacture, distribution, dispensation, possession or use of controlled substances, illicit or illegal drugs or alcohol are subject to sanctions under local and municipal ordinances, Missouri Statutes, the United States Code and other applicable local, state and federal laws. Such sanctions could include, without limitation, fines and imprisonment. The severity of the sanctions imposed for drug possession or distribution offenses depends on the type and quantity of drugs, prior conviction, and whether death or serious injury resulted. Sanctions may be increased for offenses that involve distribution to minors or occur on or near University premises. In addition, other federal laws require or permit forfeiture of personal or real property used to illegally possess, facilitate possession, transport or conceal a controlled substance. A person's right to purchase a firearm or receive federal benefits, such as student loans, grants, contracts, or professional or commercial licenses may also be revoked or denied as a result of a drug conviction. While criminal penalties change from time to time, the University sets forth some sample criminal penalties for drug convictions. For example, under Missouri law, conviction for possession of illicit drugs may result in up to 7 years imprisonment and a fine of \$5,000. Under Federal law, conviction for possession of illicit drugs may result in 3 years imprisonment and a fine of at least \$1,000, unless the offense involves cocaine base (crack) that may carry mandatory imprisonment for 5 to 20 years. Drug trafficking can result in life sentences under both state and federal law. Under federal law, drug trafficking penalties range from \$100,000 to \$10 million. State penalties for drug trafficking also may be imposed.

Missouri's Liquor Control Law makes it illegal for a person under the age of twenty-one years to purchase, attempt to purchase, or possess any intoxicating liquor. Violation of this provision may subject one to a fine between \$50 and \$1,000 and/or imprisonment for a term of one year. County and municipality ordinances contain similar prohibitions and sanctions. The same penalties apply to persons knowingly furnishing alcohol to minors.

D. Health Risks Associated with the Abuse of Alcohol or Use of Illicit Drugs. The use, misuse or abuse of drugs and alcohol can lead to or result in a variety of health risks including, but not limited to, addiction, dependency, physical infirmities, trauma, mental and emotional disorders, and, in some cases, harm to unborn children. Basic information and literature about these health risks are available in the University Counseling Center.

E. Drug and Alcohol Problems. Employees with alcohol and other drug-related problems are encouraged, and, in some cases, may be required to utilize the services of private and/or

community agencies to receive appropriate information, treatment, counseling or referral services. The University also has access to an Employee Assistance Program which may be helpful in addressing alcohol and drug issues. Employees and immediate family members may make a confidential appointment by calling 913-982-8398.

The Vice President of Finance and Administration and the Director of Human Resources will conduct a biennial review of the University's Alcohol and Drug Policy to (1) determine the effectiveness of, and to implement any needed changes to, the alcohol and drug program on campus, and (2) to ensure that the disciplinary sanctions for violating standards of conduct are enforced consistently.

F. Testing. The university may administer drug and alcohol tests under the following conditions:

- As part of the initial employment or review process for some positions.
- Following, as soon as reasonably possible, a work-related accident resulting in any bodily injury (to the employee or another) or property damage in excess of \$500. Any manager or first responder, such as Security personnel, suspecting drug/alcohol related behavior must immediately report to Director of Human Resources who will authorize the University's occupational health clinic to administer a drug/alcohol screening.
- If the University reasonably suspects an employee may be violating University drug and alcohol policies.

An independent, professional laboratory will be used to test for the presence of controlled substances and alcohol when testing is appropriate under this policy.

G. Reasonable Suspicion. Reasonable suspicion may arise from circumstances including, but not limited to, observation of drug/alcohol related activity; abnormal conduct consistent with drug/alcohol abuse at work; repeated failure to follow instructions or procedures; unusual irrational or erratic behavior; unexplained or excessive negligence or carelessness; failure to follow safety policies or safe work procedures; information provided by either reliable and credible source(s) or independently corroborated; arrest or conviction for drug/alcohol-related crimes; evidence of tampering with a prior drug/alcohol test; or evidence that an employee is involved in the illegal use, manufacture, possession, sale, solicitation alteration or manipulation of any drugs.

An employee violating any provision of this policy, receiving an unacceptable test result, or submitting a diluted sample (absent a medical explanation) will be subject to disciplinary action, up to and including termination of employment, and/or may be required to utilize the services of private and/or community agencies to receive appropriate information, treatment, counseling or referral services as a condition of continuing employment. In such cases, the employee must sign and abide by the terms set forth in a Return-to-Work agreement. Positive Drug/Alcohol results received during the initial hiring process as a conditional offer will result in the withdrawal of the employment offer.

In the event an investigation under these procedures determines a tenured or tenure-track faculty member engaged in a violation of this policy, and it is determined that suspension or termination of appointment is an appropriate sanction, rather than imposing such sanction directly, the disciplinary proceedings described under relevant provisions of the Faculty Handbook shall be followed.

ELECTRONIC MEDIA USAGE

The University continues to adopt and make use of new means of communication and information exchange. This means many of our employees have access to one or more forms of electronic media and services, including computers, e-mail, telephones, voicemail, fax machines and the Internet. This policy cannot lay down rules to cover every possible situation. Instead, it is designed to express the University's philosophy and set forth general principles employees should apply when using the University's electronic media and services.

Rockhurst University's email and Internet system is intended for University business and academic purposes. All University e-mail and Internet documents are considered University records and are subject to review by authorized University representatives and disclosure to law enforcement, government officials and/or third parties through subpoena or other processes. Users of Rockhurst's electronic media do not have a reasonable expectation of privacy of any material transmitted through these means. Employees are required to ensure that University-related information contained in University email/Internet messages is accurate, appropriate, and lawful. Transmitting or receiving material in violation of any government regulation or University policy is prohibited, including but not limited to; copyrighted material, threatening or obscene material, offensive or obscene jokes and stories, and/or materials protected as trade secrets. The University's electronic media cannot be used for knowingly transmitting, retrieving, or storing any communication this is discriminatory or harassing; derogatory to any individual or group based on such individual's or group's legally protected status; obscene; defamatory or threatening; or engaged in for commercial or partisan political purposes or any purpose that is illegal or contrary to Rockhurst's policies.

Limited personal use of the University's electronic media is permissible. It is expected that employees are not engaged in personal use during working hours. Any personal use of the University's electronic media is subject to this policy. Employees should be aware of the public nature of social media and the Internet and should think carefully before creating online profiles or contributing to blogs or other postings. For more specific information regarding computer usage, employees should refer to the Computer Usage Policy available in the Human Resources Department or in Computer Services.

EMPLOYMENT OF RELATIVES

Rockhurst University prohibits discrimination in employment and personnel actions solely on the basis of marital status and/or on the basis of persons living in the same household of the employee. No employee, prospective employee or applicant will be denied employment or benefits of employment solely on the basis of marital status. However, Rockhurst University may refuse to place a spouse or other individual of close relationship under the direct supervision of the other spouse or individual where, in the University's sole discretionary judgment, the potential exists for creating an adverse effect on supervision, safety, security or morale. The University may also refuse to place both spouses and other individuals in the same department, division, or facility where, in the University's sole discretionary judgment, the potential exists to create an adverse effect on supervision, safety, security or morale. In hiring or transferring spouses or others, the University seeks to avoid situations where either relative would: (1) have authority or practical power to supervise, discipline, promote or fire the other; (2) audit the other's work; (3) be placed in circumstances where the relationship would lead to actual or potential conflict of interest; (4) create the reality or appearance of improper influence or favor. When marriage or close relationship of employees creates a situation as described above, a change in employee placement may be made. The University may, in its sole discretion, transfer or change employee placement to address any such issues.

OUTSIDE EMPLOYMENT AND ACTIVITIES

The University recognizes and supports employees' involvement with community activities, educational pursuits and recreation. However, employees should manage their time so that such activities do not interfere with work performance.

Rockhurst does not prohibit holding a second job. However, employee activities in this area must be balanced against the University's need for full productivity during regular working hours. It must be recognized that employment with the University is the employee's primary responsibility. Therefore, outside employment will not be considered as an excuse for poor job performance, absenteeism, tardiness or refusal to work overtime. Additionally, outside employment shall not create a conflict of interest.

Employees on leave from the University for any reason (vacation, sick leave, FMLA, personal leave, etc.) shall not engage in any work for any other organization for which they receive compensation.

PROFESSIONAL ASSOCIATIONS

Employees are encouraged to enhance their knowledge of developments and trends in their career areas. However, while participation in professional association activities, conferences, committees (both internal and external), etc., is encouraged, it shall not interfere with tasks necessary for effective and responsible job performance.

REFERENCE CHECKS

All reference checks on former employees are to be directed to Human Resources. Information offered from sources other than Human Resources is considered to be given in the person's individual capacity and not on the University's behalf. No Rockhurst employee or faculty member is authorized to provide an employment reference on behalf of the University without consulting Human Resources. This includes references on LinkedIn, Facebook, MySpace, Twitter, Google+ or other social media networking sites. If you choose to provide a reference to a current or former co-worker, you must not reference or include any information regarding Rockhurst. Reference checks for former student workers should be directed to Financial Aid. Students will have to provide a release that they wish for their student employment records to be released.

SMOKING & TOBACCO-FREE

Rockhurst University strives to provide an environment reasonably free of health hazards and contaminants that may adversely affect the safety and health of University employees, faculty and students. Therefore, smoking and the use of tobacco products is prohibited on all property owned, leased or operated by Rockhurst University. You can find the policy online at: www.rockhurst.edu/tobaccofree.

Please remember that in addition to the campus proper, the policy prohibits tobacco use in parking lots, the garage, on-campus houses and yards (houses the University owns and leases in the neighborhood), and the physical plant building.

WEAPON FREE POLICY

Background:

Missouri's Concealed Carry Law permits individuals to obtain a license to carry a concealed handgun; however, a permit holder cannot carry a concealed firearm on to "any higher education

institution or elementary or secondary school facility without the consent of the governing body” [R.S.Mo. 571.107.1(10).] In addition, there continues to be a national awareness of the harmful and destructive potential of other weapons including any and all firearms, ammunition, explosives/incendiary devices, dangerous chemicals, hazardous materials, or flammable materials.

Policy:

In the interest of maintaining a safe academic and employment environment free of violence and danger for all students, faculty, staff and visitors, Rockhurst University prohibits the possession, transportation, storage, or use of any and all weapons including firearms, ammunition, explosives/incendiary devices, dangerous chemicals, hazardous materials, or flammable materials on any university owned or leased property (including motor vehicles) or at any University sponsored function (regardless of whether or not the party has a permit to carry a concealed firearm). The policy applies to all University students, faculty, staff, contract employees, vendors, and visitors on University property or at any University-sponsored function. This policy does not apply to any law enforcement personnel engaging in official duties.

Definitions:

“Any Rockhurst property” includes the main campus, all academic and administrative buildings, all residence life facilities, all recreational facilities, all parking areas and any and all other property owned or leased by Rockhurst.

“Any and all weapons” includes without limitation any firearm, knife, or other agents/instruments (i.e. explosives/incendiary devices, chemicals, hazardous materials, flammable materials, etc.) capable of lethal use – whether in plain view or concealed, and whether with or without a concealed carry endorsement, permit, or license. Should anyone have a question regarding whether an item is covered by this policy, they should contact Campus Security, Human Resources, or the Dean of Students Offices.

“Explosives/incendiary devices” includes any and all devices capable of driving or bursting out with violence/noise or capable of causing destruction/injury – whether or not detonated or capable of being detonated on site/ from a remote location.

Reporting Obligations/Enforcement:

If students, faculty or staff believe another person covered by this policy possesses a concealed handgun or other weapons in violation of this policy, they should immediately report this information to the Campus Security Department. Students, faculty and staff should be aware that the enforcement of this policy might involve confronting individuals carrying dangerous weapons. They should not take any unnecessary risks or compromise their safety in enforcing this policy.

Failure to abide by this policy, or to report knowledge of a possible violation of it, will subject a student or faculty/staff member to disciplinary action including, but not limited to, expulsion from the University (student), termination for the faculty/staff member, and disclosure of the incident to appropriate law enforcement authorities.

The University reserves the right to search all personal and college-owned or leased vehicles, packages, containers, briefcases, purses, backpacks, lockers, desks, enclosures, offices, or other University owned/leased property for the purpose of determining whether any weapon has been brought onto its premises in violation of this policy. These searches will only be conducted in the event of reasonable suspicion a violation of this policy has occurred, and will be conducted in accordance with applicable law.

The President, President's Cabinet, Deans, Department Chairs, Directors, and other managers/supervisors are responsible for assuring compliance with this policy. The Campus Security Department, Office of Human Resources, and Dean of Students Office are jointly responsible for the administration of the policy.

WORKPLACE VIOLENCE

The University does not tolerate acts or threats of workplace violence. The University strictly prohibits employees from making threats or engaging in violent acts. Violations of this policy may be grounds for discipline, up to and including employment termination. Employees should immediately report all instances of workplace threats and/or violence to Campus Security or the Director of Human Resources.

All employees have a duty to report any behavior they deem to be threatening, violent, or that has the potential to become threatening or violent without proper intervention. Employees who experience, witness or become aware of such conduct should notify their supervisor, Campus Security or Human Resources.

Section 3 – Employee Relations and Employment Policies

DISCIPLINE AND EMPLOYMENT ACTION

Rockhurst University is committed to creating and maintaining an environment in which individual and institutional responsibility combine to achieve the University's educational mission. Good working relationships make demands on everyone, and employees have responsibilities to the University and to the people they work with. Accordingly, employees must at all times comply with University expectations for performance and conduct.

When a supervisor determines that an employee's performance or conduct is unacceptable, corrective or disciplinary action may be taken. Actions may include, but are not limited to, informal discussion with the employee, counseling (initial warning), written warning (official and/or final warning), or, with approval from the appropriate vice president, dean, director or manager and in consultation with the Director of Human Resources, demotion, suspension or termination depending upon the University's opinion of the seriousness of the situation. The University reserves the right to make or institute whatever corrective actions or disciplinary sanctions it deems appropriate at any time or in any sequence.

The following list includes, but is not limited to, some examples of behavior that may be subject to corrective or disciplinary action up to and including termination of employment:

- Excessive absenteeism, tardiness, and/or failure to clock in or out, including failure to report to work or leaving work early without advance notice or permission
- Failure to perform job duties or tasks satisfactorily
- Conduct that results in damage or destruction of University property
- Refusal to work previously scheduled overtime when needed by the University
- Smoking in an unauthorized area
- Using profane or obscene language that is offensive to or demeaning to members of the University community, visitors or guests
- Forging, altering or falsifying official university documents, computer system records, employment applications, authorizations, records, or reports, including timecards or timesheets
- Theft, embezzlement, or dishonesty
- Violation of the university's conflict of interest policy; or failure to safeguard university property or money by not following appropriate control procedures
- Misuse of University equipment, including but not limited to, e-mail, voicemail, internet access, and University vehicles
- Indecent or disorderly conduct
- Being under the influence of alcohol and drugs while on duty
- Workplace violence or other act that endangers the safety or wellbeing of others
- Violation of student, employee or university confidentiality
- Sleeping on duty
- Violation of University policies concerning discrimination, harassment and/or retaliation
- Insubordination

The meaning of insubordination is not always clear to everyone. Examples of insubordination include but are not limited to:

- Refusal or intentional failure to follow direction or perform a task assigned by any supervisor, authorized employee (including but not limited to security personnel and safety coordinators), or College representative
- Threats, intimidation, coercion, or interference with supervision
- Maliciously false statements about management, staff or the University
- Failure to cooperate in an official investigation

- Soliciting or assisting another employee to engage in misconduct

The University reserves the right to take disciplinary action for other employee misconduct though it may not be specified in the list above.

CONFLICT RESOLUTION

The University believes in treating all employees fairly. Rockhurst University understands and anticipates that from time to time, employees may encounter issues involving their work or working conditions. It is important that when work-related problems arise, the matter be resolved quickly and fairly. Effective communication between employees and supervisors is important in order to work toward prompt and effective issue resolution. All staff have access to the following conflict resolution process:

Step One: The University encourages employees to discuss work-related problems or complaints promptly and candidly with their immediate supervisors. The Director of Human Resources may be involved at the request of the employee or the supervisor at any stage during the conflict resolution process. (If the problem or complaint relates to the employee's immediate supervisor, it may be appropriate to consult a higher-level supervisor or bring the matter directly to the attention of the Director of Human Resources at the outset.) It is anticipated that satisfactory resolution can usually be achieved at this level.

Step Two: Should the matter not be resolved, the employee and/or supervisor may state the problem or complaint and the attempts made to resolve it in writing and submit it to the department director. If the problem or complaint relates to the departmental director, the employee should skip step two and proceed with step three. A copy of the complaint also should be provided to the Human Resources Director. The departmental director may request a meeting with the employee to clarify the points of concern.

Step Three: Should the matter not be resolved at the department level, the employee and/or supervisor may contact the division Vice President. If the problem or complaint relates to the division Vice President, the employee may contact the President. The employee should provide the documentation indicated in Step Two, the response and the reasons why the employee does not feel that the issue has been resolved satisfactorily. A copy of the complaint should also be provided to the Human Resources Director. The Vice President or designee may meet with the employee, supervisor, or departmental director as needed. The decision of the Vice President is final. In the event that the Vice President is the complainant or the supervisor, the decision of the President is final.

JOB POSTINGS

Rockhurst University is committed to providing opportunities to employees who have demonstrated exemplary job progress and motivation. In an attempt to advise employees of current position openings, Human Resources will publicize announcements via the Rockhurst Internet site (www.rockhurst.edu) for available positions as the need arises. Employees who wish to be considered for posted positions should follow the application process outlined in the advertisement. Current employees are subject to the same evaluation of qualifications as all other candidates. Employees may apply for on-campus openings without permission from or notification to their supervisors; however, as a professional courtesy, the employee should strongly consider informing his/her supervisor. Rockhurst University is an equal opportunity employer and follows recruitment, selection and promotion policies and procedures consistent with equal employment opportunity.

Vacant positions are not necessarily reserved or held exclusively for internal candidates, unless specifically indicated. Rockhurst University may advertise or otherwise recruit and/or hire qualified candidates at its discretion and from within or outside the University. Rockhurst reserves the right to hire the candidate it determines in its discretion is best suited for the position.

PERFORMANCE REVIEWS

To ensure that staff members perform their jobs to the best of their ability, it is important that they be recognized for good performance and receive appropriate guidance and feedback from their supervisors when necessary. Consistent with this goal, performance will be evaluated by each staff member's supervisor on an ongoing basis. Staff members will also receive formal, written evaluations of their performance at least once a year. The purpose of these evaluations is to determine the employee's level of performance, provide recognition of good performance, indicate areas in which improvement in work performance is necessary, provide development goals and provide an opportunity to discuss with the supervisor any concerns regarding performance. Performance will be evaluated by the supervisor and discussed with each staff member. After the supervisor reviews the performance ratings with the employee, he/she may respond in writing if desired, and then must sign the performance review form indicating that he/she has received the performance review.

All written performance reviews are to be based on overall performance as it relates to the main or essential job responsibilities for the position. Supervisors may also take into account the employee's conduct, work behavior, attendance and/or tardiness and other job-related factors. In addition to the regularly scheduled performance reviews described above, the supervisor may conduct written performance reviews at any time to advise the employee of performance concerns, to update goals or to commend an employee for work performed.

PERSONAL PROPERTY POSSESSION AND USE POLICY

Purpose

This policy on the possession and use of personal property while on campus and/or while conducting university business is designed to maximize convenience to faculty, staff and students and to conduct University business as efficiently as possible while protecting individuals and the University from undue liability in the event of an accident.

Scope

This policy applies to all Rockhurst faculty, staff and students.

Policy

The possession and use of personal property (including personal vehicles) while on campus and/or while conducting university business is permitted. The university will use all reasonable efforts to protect personal property; however, the university assumes no responsibility for, and is not in any way liable for loss, theft or damage to personal property belonging to faculty, staff, students or guests.

The University encourages the following of necessary precautions to mitigate the risk of theft or damage to their personal property. In the event personal property is stolen or damaged, the appropriate supervisor and the Department of Safety and Security should be notified immediately for the purpose of creating a record of the incident.

Faculty, staff and students who operate their personal vehicle to conduct university business must meet state law requirements of maintaining personal auto insurance coverage on the vehicle. In the event of an accident, theft or damage to the vehicle, claims are filed on the owner's insurance policy and any deductibles or co-pays are the responsibility of the vehicle owner. As such, it is important that adequate limits of personal liability and physical damage

coverage be maintained on personal vehicles.

For all other personal property, many homeowners' insurance policies cover personal belongings used while on campus; however, faculty, staff and students are strongly encouraged to purchase personal property insurance.

Questions regarding this policy should be directed to the Finance office.

PERSONNEL RECORDS

Human Resources maintains personnel records for all staff. Because current information is important, employees should inform Human Resources of name, address, phone number and emergency contact changes. Personnel files are the property of the University and are confidential. Employees may review their personnel file in the Human Resources office during business hours. Supervisors may review the files of those employees for whom they are directly responsible. A supervisor may also review performance records contained in the personnel file if considering an employee for a transfer or promotion to another area. Other authorized individuals with a need to know may be provided access to personnel files as deemed appropriate by Human Resources. Employees who wish to review or copy information contained in their personnel files should schedule an appointment with Human Resources.

RESIGNATIONS

Any staff member desiring to resign voluntarily from his/her employment with Rockhurst is requested to submit his/her resignation, in writing, to his/her immediate supervisor. The supervisor should immediately forward a copy to Human Resources. A written resignation takes effect upon delivery to a supervisor or other appropriate University official. A resignation may only be withdrawn with approval from the Director of Human Resources, which he/she may provide or deny in his/her sole discretion.

University keys, I.D. card, uniforms and all other Rockhurst University property must be returned and all outstanding debts paid on or before the employee's last day of work. Arrangements for receiving a final paycheck must be made with Human Resources as soon as possible after notice is given and prior to the final day of work.

Exit interviews with the Director of Human Resources may be scheduled for any staff member leaving the University for any reason. Staff members are urged to provide comments and suggestions on an exit interview form or in person to the Director of Human Resources to help Rockhurst improve future University and employee relations.

Section 4 – Pay Practices and Hours of Work

EMPLOYMENT TYPES

Positions at Rockhurst University are categorized for purposes of salary administration and to generate information and reports on particular job groups and job responsibilities. Staff positions are categorized as either “exempt” or “non-exempt” based on regulations established by the Fair Labor Standards Act. This Act, among other things, establishes a minimum wage and defines whether or not an employee is eligible for overtime compensation.

Non-Exempt Employees: If a position is categorized as non-exempt, the position is paid on an hourly basis. Non-exempt employees are eligible for overtime pay. Overtime pay is calculated for all hours worked beyond 40 in a workweek, as defined by the Fair Labor Standards Act. Non-exempt office employees report their time on a daily basis using Paycom. Physical Plant and Security employees use their University identification cards to time in and out with the time clocks.

Exempt Employees: If a position is categorized as exempt, the position is paid on a salary basis and is exempt from the overtime provisions of the Fair Labor Standards Act. Exempt employees are paid a fixed rate of pay for all hours worked and are not entitled to overtime pay. Exempt employees must record sick and vacation time using Paycom.

A position’s exempt or non-exempt classification may be changed at any time by the University to maintain the highest level of compliance with applicable regulations.

EXEMPT EMPLOYEE PAY: PERMISSIBLE DEDUCTIONS

In accordance with the Fair Labor Standards Act, exempt employees paid on a salary basis are exempt from overtime. Being paid on a salary basis means the employee regularly receives a predetermined amount of compensation each pay period on a weekly or less frequent basis which cannot be reduced for variations in the quantity or the quality of work performed.

Subject to the exceptions listed below, exempt employees normally must receive their full salary for any week in which they perform any work, without regard to the number of days or hours worked. However, exempt employees need not be paid for any workweek in which they perform NO work at all for the University.

The few exceptions to the requirement to pay exempt employees on a salary basis are listed below. In these cases, deductions are permissible as long as they are consistent with other University policies and practices:

1. Absences of one or more full days for personal reasons other than sickness or disability.
2. Absences of one or more full days due to sickness or disability, if the deduction is made in accordance with a bona fide plan, policy or practice of providing compensation for salary lost due to illness.
3. Deductions for the first and last week of employment when only part of the week is worked by the employee as long as this practice is consistently applied to all exempt employees in the same circumstances.

4. Deductions for unpaid leave taken in accordance with a legitimate absence under the Family and Medical Leave Act.
5. Deductions for amounts received as jury or witness fees or military pay.

It is the policy of Rockhurst University to comply with the salary basis requirements of the Fair Labor Standards Act. Managers and any other employees preparing paychecks are prohibited from making improper deductions from the salaries of exempt employees. Employees who feel their pay has been improperly reduced should report this immediately following the procedures specified below. Reports of improper deductions will be promptly investigated.

Complaint Procedure:

1. Employees who believe their pay has been improperly reduced should contact the Director of Human Resources immediately to request an investigation.
2. The employee will be asked to specify in writing, using the guidance above, the circumstances of the pay deduction and whether it has occurred on other occasions.
3. The University will conduct an investigation and respond to the employee.
4. If the deduction was in fact improper, the University will reimburse the employee as promptly as possible.
5. The resolution of the situation will be documented (including confirmation on the part of the employee that the situation has been resolved) and placed with the employee's pay records.
6. No employee will be retaliated against for raising a concern pursuant to this policy.

FLEXTIME POLICY

Purpose:

Rockhurst University supports the use of various work scheduling arrangements that are designed to meet the operating and customer service needs of a department. In addition, the University supports changing work schedules of individual employees to meet personal, home or family needs while preserving the hours defined by the position's FTE (Full Time Equivalency) and maintaining quality of service.

Definition:

Flexitime is an arrangement that may include a consistent daily schedule with individualized starting and ending times that are the same throughout the week or a varying daily schedule that starts or ends at different times each day. Generally, hours should be worked between 7:00 a.m. to 7:00 p.m.

Flexitime is also an arrangement that may include time off within the work week without having to deduct from accrued paid leave, to meet personal, home or family needs. This arrangement should only be applied for non-routine work schedules, such as in instances where an individual has worked an extended amount of time during a work week. Flexitime can also be considered as working remotely.

When determining a flexitime schedule arrangement, the following factors should be taken into consideration:

- The service needs for students, employees and constituents are not interrupted or disadvantaged in any way, including not creating additional work for another office.
- The employee is able to successfully meet their job requirements.
- When working remotely, that the employee is available and responsive to phone and emails during scheduled work hours and takes necessary measures to ensure arrangements for essential non-remote office duties (e.g., mail, copies, etc.) are performed promptly.

Non-Exempt Staff:

The varying daily schedule for non-exempt staff may include a consistent 7.5/8 hour day throughout the week or a varying daily schedule of more or less than 7.5/8 hours (consistent with current schedule). For non-exempt full-time employees, the total weekly hours for both consistent and varying schedules must be 37.5/40 (consistent with current schedule) for the work week. Non-exempt staff may not work over 40 hours in a work week without prior approval from his/her supervisor; however, time off within the work week is acceptable to accommodate a flexible work schedule and/or so not to exceed 40 hours when the staff member has worked extended hours during days within the same workweek.

Exempt Staff:

In accordance with FLSA (Fair Labor Standards Act), exempt staff are exempt from overtime and are expected to work the hours necessary to complete the job, which can routinely exceed 40 hours in a work week. However, in instances where an individual has worked an extended amount of time during a work week (e.g., 50 hours or more), it is acceptable for his/her supervisor to accommodate a flexible work schedule by allowing the individual time off (up to a day) within the current or ensuing pay period, without having to deduct from accrued paid leave, to meet personal, home or family needs. This arrangement should only be applied for non-routine work schedules and must be approved in advance by the supervisor.

Holiday/Vacation/Sick Pay for Flexible Schedules:

Even if an employee is on a flexible work schedule, holiday pay will always be paid according to the employee's standard weekly hours. For example, if an employee works 40 hours per week, he/she will receive 8 hours pay for a holiday. If an employee normally works 37.5 hours per week, the employee will receive 7.5 hours of holiday pay. Staff working a flexible schedule should work with their manager in advance to plan work schedules for the week.

If an employee is on a flexible schedule and needs to use a sick or vacation day, he/she should record sick/vacation time for the number of hours scheduled to work. For example, if the employee is scheduled to work a 10-hour day and calls in sick, 10 hours of sick must be recorded to pay for the day.

Children at Work:

In the spirit of *Cura Personalis*, Rockhurst values an atmosphere that fosters a work life balance between work and family responsibilities - this is one of the reasons that we allow flexible scheduling.

While we permit flexible scheduling so that staff may take care of personal matters and daycare matters, please keep in mind that Rockhurst strongly discourages the presence of children in the workplace in lieu of childcare arrangements. Parents are responsible for childcare arrangements and planning alternatives for childcare during the summer months and throughout the year. Parents may use vacation time when childcare issues arise. Of course, children are always welcome on campus for events (sport events, theatre productions, etc.) or for brief office visits.

In the rare instance when there are no other alternatives, and a staff member must bring a child to the workplace, advance approval should be obtained from the supervisor and the duration of

the child's visit to the workplace should be kept to a minimum (no more than a few hours). It is essential that parents provide close constant supervision of their children while they are in the workplace to ensure their safety, to ensure that confidential information is not compromised, and to ensure that their presence is not disruptive. Of course, employees should never ask co-workers or students to watch their children at work.

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HOURS OF WORK

Rockhurst University's normal work week is 37.5 hours (40 hours for Physical Plant and Security employees). The work week runs from Sunday through Saturday. Supervisors will provide specific working hours based on departmental schedules. Variations from normal work hours must be approved by the appropriate supervisor.

JOB CLASSIFICATION

Pay is determined, in part, by the classification and pay grade/salary band assignment of the position. Position classification results from the analysis of a job based on several "compensable factors" such as: experience and education required to perform a job, decision-making and supervisory responsibility, independence of the position and the working conditions. These factors relate to the requirements of the position, not the credentials or performance level of the person in the position. Positions evaluated at similar levels in terms of compensable factors are generally assigned the same pay grade.

Rockhurst University reserves the right to change the duties and responsibilities of any position in response to changing conditions or needs of the institution. No employee has a contractual right to perform any specific duties or maintain a specific position.

JOB RE-CLASSIFICATION

Requirements and responsibilities assigned to positions may change significantly over time. When this occurs, the supervisor may initiate a position classification review through Human Resources. This review, as with the initial position classification, requires that pertinent information related to the compensable factors of the position be provided so the job may undergo an evaluation based on those factors. If the requirements and/or responsibilities have changed significantly since the original evaluation, a new pay grade (and title if appropriate) may be assigned to reflect the changes in the position. Employees and supervisors should remember that the position classification system grades positions, not the employees in them. Positions should not be submitted for reclassification to accommodate the employee currently holding the position based on how he/she performs that position. Positions should only be submitted for reclassification if there has been a substantive change in the requirements and/or responsibilities of the position itself.

PAY CORRECTIONS

Rockhurst makes every effort to pay employees correctly and timely each pay period. In the event that there is an error in the amount of pay, the employee should promptly bring the discrepancy to the attention of his/her supervisor and the Payroll Department so that corrections can be made. An employee will not be retaliated against for raising a concern about his/her paycheck with the University.

ON-CALL AND CALL-BACK PAY

On-Call Pay

Some departments offer additional pay for individuals who are on-call and/or who must unexpectedly report to work outside of regular business hours. Only non-exempt staff are eligible for on-call pay and call back pay. The Vice President for Finance and Administration is responsible for designating the departments eligible for on-call pay.

An employee who is on-call is allowed to be off of the Rockhurst campus but must be reachable by telephone or pager. When called, the employee is expected to call the campus within 30 minutes in order to evaluate the problem.

Typically, an employee will receive 3 hours of pay for being on-call for a seven-day period. If the hours worked plus the on-call hours are greater than 40 hours per week, the employee is eligible for overtime pay.

Call-Back Pay

In the event that an on-call employee must report to work due to a campus emergency, the individual will be paid for a minimum of three (3) hours, regardless of the time he/she actually spends on the job. Any additional non-exempt personnel that are not on call but that are required to come to work will also be paid for a minimum of three (3) hours. The three hours will be paid at the regular hourly rate. In addition, any work performed in excess of three hours on a single call-back will be compensated based on actual hours worked, again at the regular hourly rate. All call back hours are included in hours worked for purposes of overtime calculations.

When a non-exempt employee is called to address a campus problem and the problem can be addressed from the employee's home, the individual will be paid for all time actually worked, at a minimum of at least two (2) hours regardless of the number of hours actually worked pending supervisor approval.

The policy does not apply to overtime or regular work time that the supervisor schedules. Scheduled overtime will be compensated at the regular pay rate (straight time or overtime based on total number of hours worked during that calendar week), and no minimum compensation will be paid.

Exempt staff are paid a salary that reflects the full responsibility of the position and are not eligible to receive on-call or call-back pay.

OVERTIME

Non-exempt employees must be compensated for all hours worked. Non-exempt employees cannot "donate" their services or "volunteer" their time to the University (work without pay) and are not permitted to work in excess of regularly scheduled hours without prior supervisory approval. Substituting "comp time" for hours worked by non-exempt employees in excess of 40 hours in a workweek is strictly prohibited. Exempt employees are expected to work the hours required to perform their jobs or as directed by their manager and are not eligible for overtime pay or compensatory time off.

Overtime work must be approved by a supervisor before it is performed. A non-exempt employee who works more than 40 hours in a workweek will be paid an overtime rate of one and one-half times the employee's regular rate for all hours actually worked in excess of 40. When calculating the time worked in a given workweek, paid leave (i.e. holiday, vacation, sick) is not considered time worked for purposes of overtime. The University's standard workweek for pay computation purposes is Sunday to Saturday. For example, if a holiday falls on a Monday and employee works

40 hours Tuesday through Friday, he/she would be paid 8 hours for the holiday and 40 hours at the regular hourly rate.

PAY PERIODS/PAYCHECKS

The pay period runs from Sunday to Saturday. All staff are paid every other Friday (a bi-weekly schedule), normally 26 times per year. Health, dental and vision benefits premiums are taken from the first two paychecks of each month, or from twenty-four paychecks per year. Exempt employees must report time away from work using the Paycom Portal. Non-exempt employees must log hours on the Paycom Portal on a daily basis. Managers should review and approve their employee's time on a bi-weekly basis. Physical Plant and security should be sure to clock in daily. Supervisors are responsible for ensuring the accuracy of the time records submitted to Payroll.

When a payday falls on a holiday or banking holiday, paychecks for employees not set up for direct deposit are issued on the next available active working day.

Direct Deposit offers convenience and security of funds and is the preferred method of payment. Employees are strongly encouraged to have paychecks deposited directly into their personal bank accounts. Through direct deposit, pay may automatically be deposited into the employee's designated checking and/or savings account. Payroll provides all employees earnings statements on each payday through the Paycom Portal. Direct deposit authorization forms and details are available in the Finance and Human Resources Office.

PAYCHECK DEDUCTIONS

Staff members may authorize paycheck deductions for all University-sponsored benefit plans. Deductions for group health/dental, retirement annuities and flexible spending plans are pre-tax deductions.

Rockhurst is required by law to process any garnishment received. Employees will be notified as soon as possible after the garnishment is received.

RECORDING TIME WORKED

Accurately recording hours worked is the responsibility of every non-exempt employee. Supervisors are responsible for ensuring that such employees are accurately recording all time worked. Federal and state laws require Rockhurst University to keep an accurate record of time worked in order to calculate employee pay and determine benefits eligibility. Time worked is all time actually spent performing services, duties or work on behalf of Rockhurst University. Non-exempt employees are strictly prohibited from working "off-the-clock," i.e., working without recording the time worked. Supervisors are strictly prohibited from instructing employees to avoid recording overtime hours in lieu of compensatory time. Failure to accurately record all hours worked may result in discipline, up to and including employment termination.

Failure to comply with this policy, altering or falsifying time records, and/or working or requesting another to work "off the clock," may result in disciplinary action, up to and including employment termination.

REST & MEAL BREAKS

Full-time, non-exempt employees may receive a fifteen-minute rest period during the first half of

their work shift and another fifteen-minute rest period during the second half. Part-time, non-exempt employees receive a fifteen-minute rest period for each four hours of continuous work time. For non-exempt employees, rest breaks are paid and meal breaks are not paid. Rest periods may not be used to cover late arrival or early departure, nor are they cumulative if not taken. Generally, 40 hour per week employees receive a half-hour lunch and 37.5 hour per week employees receive a one-hour lunch. All rest breaks are at the discretion of the supervisor.

SHIFT DIFFERENTIALS

Non-exempt employees working between the hours of 11 p.m. and 7 a.m. will receive a 25-cent per hour shift differential pay. This includes those employees who are regularly scheduled on a night shift, as well as employees who may substitute or may be held over from an evening shift into the night shift.

Section 5 – Leaves of Absence and Time Off

ABSENCE FROM WORK

All of our employees are essential members of our team. When an employee is absent, it is difficult to fill his/her role. It is important that all employees be prompt and regular in their attendance. This means reporting for work on time, returning promptly from lunch and other breaks and not leaving work without authorization prior to the end of the shift or workday.

Rockhurst University expects employees to assume personal responsibility for their promptness and attendance. We recognize, however, that illnesses, injuries and other personal circumstances may occur. Rockhurst has established sick leave and disability benefits to compensate employees for time lost from work for medical reasons. In addition, the Family and Medical Leave Act (FMLA) provides for excused absences caused by a qualifying health condition or other qualifying reasons, and time off may also be available as an accommodation for an employee's disability. (Please refer to the appropriate section of the handbook for further details regarding these benefits). Other circumstances also may entitle the employee to a leave; please review this policy for additional details.

Under normal circumstances, employees are expected to make arrangements with their supervisors for time off in advance of the actual leave. If a staff member is unable to work due to any unexpected, unavoidable incident, including illness or injury, he/she is required to notify his/her supervisor prior to the start of his/her shift on each day of the absence.

In cases of serious personal illness or injury, or that of a family member, or any other situation in which advance notice is impossible, employees are to notify their supervisors at the absolute earliest possibility to explain the situation. If the employee knows he/she will be absent for a specific length of time, he/she must notify the supervisor of the anticipated length of absence and must advise the supervisor of when he/she will return to work. If the employee is incapable of fulfilling this responsibility, a family member may fulfill this obligation.

Employees who are frequently absent or tardy and/or are absent without first notifying their supervisors may be subject to discipline, up to and including employment termination. Each department head has the discretion of setting minimum notice and attendance requirements based on operational needs or requirements. "Frequent" absences or tardies are those that are determined by the supervisor to be disruptive to the functioning of the department or shift, whether or not they were arranged in advance and whether or not the employee has adequate sick and/or vacation time to cover the absence(s) (excluding absences or late arrivals protected by law, such as FMLA or the Americans with Disabilities Act). Employees who are absent without notice for three working days may be considered to have voluntarily resigned their position. Employees who are absent without notice for 3 days (not necessarily consecutive) within a backwards glancing 12-month period may be subject to termination.

BRIDGING SERVICE

Staff whose service with the University ends, and who then return to the University, may be eligible to retain their original hire date provided the gap between leaving the University and returning does not exceed one year and provided that the gap occurs after 09/2009. Staff who return to the university after leaving still need to meet the eligibility period requirements for medical, dental, vision, life, short term and long-term disability, and retirement benefits. Prior service counts for eligibility for vacation accrual rates. However, vacation is paid out at the time of separation. Sick time does not carry over to the most recent hire date. Service award anniversary eligibility is determined by the hire date in effect during the previous consecutive

service. Employees hired after more than a year break of service will be considered a newly hired employee in all respects.

FAMILY AND MEDICAL LEAVE

Basic FMLA Leave Entitlements

The Family and Medical Leave Act (FMLA) allows eligible employees up to 12 work weeks of unpaid job-protected leave per 12-month period. The University defines the 12-month period as a look back at the previous rolling 12-month period. Each time an eligible employee applies for leave, the past 12 months will be reviewed. Any leave taken during that period will be subtracted from the maximum 12 weeks provided by FMLA. The primary categories that qualify for basic FMLA leave are as follows:

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

On the employee's return from FMLA leave he or she will be reinstated to the same or an equivalent job with the same pay, benefits, and other terms and conditions of employment.

Military Family Leave Entitlements

Eligible employees with a spouse, son, daughter, or parent who is a covered military member on active duty or has been notified of an impending call or order to active duty in support of a contingency operation, may use their 12-week leave entitlement to address certain qualifying exigencies. Qualified exigencies include:

- Issues arising from the military member's short notice deployment (i.e., deployment within seven or less days of notice). For a period of up to seven days from the day the military member receives notice of deployment, an employee may take qualifying exigency leave to address any issue that arises from the short-notice deployment.
- Attending military events and related activities, such as official ceremonies, programs, events and information briefings, or family support or assistance programs sponsored by the military, military service organizations, or the American Red Cross that are related to the member's deployment.
- Certain childcare and related activities arising from the military member's covered active duty, including arranging for alternative childcare, providing childcare on a non-routine, urgent, immediate need basis, enrolling in or transferring a child to a new school or day care facility.
- Certain activities arising from the military member's covered active duty related to care of the military member's parent who is incapable of self-care, such as arranging for alternative care, providing care on a non-routine, urgent, immediate need basis, admitting or transferring a parent to a new care facility, and attending certain meetings with staff at a care facility, such as meetings with hospice or social service providers.
- Making or updating financial and legal arrangements to address a military member's absence while on covered active duty, including preparing and executing financial and healthcare powers of attorney, enrolling the in the Defense Enrollment Eligibility Reporting System (DEERS), or obtaining military identification cards.

- Attending counseling for the employee, the military member, or the child of the military member when the need for the counseling arises from the covered active duty of the military member and is provided by someone other than a health care provider.
- Taking up to fifteen (15) calendar days of leave to spend time with a military member who is on short-term, temporary Rest and Recuperation (R&R) leave during deployment. The employee's leave for this reason must be taken while the military member is on R&R leave.
- Certain post-deployment activities within 90 days of the end of the military member's covered active duty, including attending arrival ceremonies, reintegration briefings and events, and other official ceremonies or programs sponsored by the military, and addressing issues arising from the death of a military member, including attending the funeral.
- Any other event that the employee and University agree is a qualifying exigency.
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In addition, eligible employees may take up to 26 calendar weeks of leave in a single twelve (12) month period to care for a covered military service member with a service-related serious injury or illness, or a service-related aggravation of an existing or pre-existing serious injury or illness. For purposes of this policy, a covered service member is a current member of the Armed Forces, including a member of the National Guard or Reserves, who has a serious injury or illness incurred in the line of duty on active duty that may render the service member medically unfit to perform his or her duties for which the service member is undergoing medical treatment, recuperation, or therapy; or is in outpatient status or is on the temporary disability retired list; or is a veteran who is undergoing medical treatment, recuperation, or therapy for a service-related serious injury or illness, provided the veteran was a member of the Armed Forces at any time during the period of 5 years preceding the date on which the employee takes leave to care for the covered veteran.

Eligibility

To be eligible for leave under this policy an employee must have been employed at Rockhurst for at least 52 weeks in total and must have worked at least 1,250 hours during the 12-month period immediately preceding the commencement of the leave.

Scheduling FMLA Leave

Eligible employees may take requested FMLA leave consecutively, intermittently or on a reduced leave schedule. Intermittent leave is leave taken during separate blocks of time due to a single qualifying event, whereas reduced leave reduces an employee's usual number of working hours per workday or workweek.

Leave taken for a serious health condition of the employee or a covered family member may be taken intermittently or on a reduced leave schedule when medically necessary, provided that the employee gives appropriate notice and submits the required medical certification from a health care provider. Employees requesting intermittent or reduced leave should make a reasonable effort to consult with their supervisors to schedule treatment at a time that does not unduly disrupt the operations of their departments. An employee may be temporarily transferred to an available alternative position with equivalent pay and benefits that better accommodates the employee's need for medically foreseeable intermittent or reduced leave.

All leave for a birth, foster care, or adoption must be taken within 12 months of the date of birth or placement. Intermittent or reduced leave for the birth or adoption of a child may be approved at the discretion of the appropriate department head.

When both spouses are employed by the University, the total amount of combined leave that may be taken for a birth, foster care, adoption, or a serious health condition of a parent is 12 weeks.

Definition of a Serious Health Condition

The term “serious health condition” is defined as an illness, injury, impairment or physical or mental condition that involves either (1) an overnight stay in a hospital, hospice, or residential medical care facility, or (2) “continuing treatment” by a health care provider for a condition that either prevents the employee from performing the functions of the employee’s job, or prevents the qualified family member from participating in school or other daily activities.

The term “continuing treatment” means that the person is incapacitated for more than 3 consecutive calendar days and either:

- Has had at least two personal visits to a health care provider within thirty (30) days of the start of incapacity (and the first visit must occur within seven (7) days of the first day of incapacity) or
- Has had a least one personal visit to a health care provider within seven (7) days of the first day of incapacity which results in a regimen of continuing treatment under the health care provider’s supervision.

“Continuing treatment” also includes:

- A period of incapacity or treatment for such incapacity due to pregnancy or for prenatal care; or
- A period of incapacity or treatment for such incapacity for a chronic condition which requires at least two (2) personal visits to a health care provider per year; continues over an extended period of time, and causes episodic rather than continued period of incapacity (possible examples: asthma, diabetes, epilepsy); or
- A period of incapacity which is permanent or long-term due to a condition for which treatment may not be effective. A person must be under the continuing supervision of, but need not be receiving active treatment by, a healthcare provider (possible examples: Alzheimer’s, severe stroke, terminal stages of cancer/AIDS); or
- Any period of absence to receive multiple treatment for restorative surgery after an injury or for a condition that would likely result in a period of incapacity of more than three consecutive calendar days in the absence of medical intervention (possible examples: chemotherapy, kidney dialysis).

Ordinarily, unless complications arise, the common cold, the flu, ear aches, upset stomach, minor ulcers, headaches other than migraine, routine dental or orthodontia problems, and periodontal disease are examples of conditions that do not meet the definition of “serious health condition” and do not qualify for FMLA leave.

Benefits and Pay

The University will pay its usual cost to continue the employee’s medical insurance and the base level of benefits under the life, short and long-term disability insurance programs during any FMLA-qualifying leave on the same conditions as coverage would have been provided if the employee had been continuously employed during the entire leave period. After exhaustion of paid leave, employees must make arrangements with the Director of Human Resources to continue benefits coverage. Staff members will have a minimum 30-day grace period in which to make payments for continued benefits coverage. If payment is not timely, benefits coverage may be canceled. Employees will be notified in writing at least 15 days before the date that the benefits/coverage lapses.

In the event that the leave is for the employee's own personal health condition, the pay will be handled as indicated under the Short-Term Disability description. For leaves to care for a sick child, parent or spouse, the employee will be required to use any available sick and vacation time until those sources of pay are exhausted. After those sources are exhausted, the leave will then be unpaid.

The University reserves the right to recover its share of health plan premiums during FMLA leave from an employee if the employee fails to return to work after the employee's FMLA leave entitlement has been exhausted or expires, in accordance with the FMLA.

As with other leaves of absence, an employee on FMLA leave will not accrue vacation time or other benefits, unless otherwise required by federal, state, or local law.

Employee's Obligations

It is the employee's obligation to provide timely notice and adequate information to allow the supervisor to determine whether the time requested qualifies as FMLA leave, and to request any medical certification or recertification. If the employee fails to satisfy these requirements, leave may be delayed, and any lost work time will not be counted as protected FMLA leave but will be processed in accordance with other applicable policies.

Notification

If the leave is foreseeable the employee is required to formally request FMLA leave at least 30 calendar days prior to the commencement of the leave. Examples of foreseeable events include planned medical treatment or a child's birth. If the leave is not foreseeable the employee is required to provide notice as soon as practical and generally must comply with normal call in procedures for absences. Examples of unforeseen events are accidental injuries causing serious health conditions or sudden changes in health.

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

Certifications

It is the employee's responsibility to ensure that medical certification is completed as required and returned to Human Resources. A second or third opinion may be required at the University's expense if there is reason to question the validity of a medical certification. Recertification of medical conditions may also be required at the employee's expense. Absent extenuating circumstances, employees will have fifteen (15) calendar days to provide the requested health care certification or recertification. Failure to obtain and return any certification may result in a delay or denial of leave.

An employee returning from leave due to his/her own serious health condition may be required to submit a return-to-work release signed by a health care provider. Restoration of employment may be denied or delayed if the release is not received prior to the start of the employee's regularly scheduled work shift.

For “qualifying exigency” leave, the University may require the employee to provide a copy of the service member’s active-duty orders and complete a certification form documenting the time, reasons and circumstances of the “exigency”. For the leave to care for a covered service member, the University may require the employee to provide proof of the service member’s military service and obtain certification of the injury or illness.

Any medical information submitted to the University will be kept confidential to the extent possible, unless otherwise required by applicable law.

University’s Obligation

The University will inform employees requesting leave whether they are eligible under FMLA. If the employee is eligible, the notice will specify any additional information required as well as the employees’ rights and responsibilities. If the employee is not eligible, the University will provide a reason for the ineligibility. If the leave is FMLA-protected, the University will inform the employee and will indicate the amount of leave counted against the employee’s leave entitlement. If the leave is not FMLA-qualified, the University will also notify the employee. In either instance, the employee will be informed within five (5) days after receiving the certification, absent extenuating circumstances.

Reporting While on Leave

The University may require you to report periodically to Human Resources on your status and intent to return to work.

Nursing Mothers

Rooms will be designated for employees who are breastfeeding and need to express milk while at work. The expressed milk may be stored in a refrigerator specifically designated for this purpose located in each of these rooms. Any time spent expressing milk is considered unpaid time and must be documented as such on the payroll time report.

Workers’ Compensation

A work-related injury on the job is covered under workers’ compensation, and not under the University’s medical leave of absence program. However, if you are eligible for family and medical leave, then you will automatically use FMLA entitlement while receiving workers’ compensation benefits. Human Resources will advise you if your leave will be designated as FMLA leave time.

Performance Evaluation

If your performance evaluation date passes while on FMLA leave, you will receive the evaluation effective on the date of the return.

Prohibitions Relating to FMLA Leave

Harassment/Retaliation - No employee shall engage in any form of harassment or retaliation against any employee who seeks or obtains any leave under this policy. Any employee who feels that they are being harassed or retaliated against for exercising rights under this policy should immediately report any such conduct to their supervisor and/or to Human Resources.

Interference or Retaliation - The University will not interfere with, restrain, or deny the exercise of any right provided under the FMLA or discharge or discriminate against any person for opposing any practice made unlawful by FMLA or for involvement in any proceeding under or

relating to FMLA. Any employee who feels a violation of this provision has occurred should immediately report any such conduct to their supervisor and/or to Human Resources.

Fraudulent Use of FMLA - Any employee who obtains or requests FMLA leave under fraudulent circumstance or who provides any false information or statement in connection with FMLA leave may face corrective action up to and including termination of employment.

No Moonlighting - No employee who is on FMLA or any other type of leave of absence (including sick leave, workers compensation leave, short- or long-term disability leave, personal leave, and similar leaves) shall engage in any other work for which the employee receives compensation (excluding compensation from the military for military leave). However, employees who, prior to taking a leave of absence from the University, have regular or part-time positions in addition to working for the University are not precluded from working their normal hours for that other job, assuming they can do so consistent with any restrictions relating to their leave from the University.

Other Information

The University complies with any applicable state law provisions on leaves of absence that may provide employees benefits different or greater than those provided for FMLA leave.

More information concerning FMLA as well as applications for FMLA are available in Human Resources.

STAFF PARENTAL LEAVE POLICY

Purpose:

In keeping with its Jesuit mission, Rockhurst University recognizes that employees may need to balance work obligations while expanding and caring for families. The staff parental leave policy provides eligible staff members with paid leave time to care for and bond with newborn children and with newly adopted children seventeen (17) years or younger.

Eligibility Requirements:

Benefit-eligible staff members who work 30 or more hours, completed 1,250 hours in the previous year and have completed one (1) year of continuous service prior to the birth or adoption of a minor child will be eligible for up to six (6) weeks of paid parental leave within 12 months of the qualifying event (i.e. birth or adoption placement).

Usage:

Paid parental leave must be used within 12 months of the date of qualifying event. It must be exhausted prior to the use of other forms of paid leave and taken in no less than ½ day increments.

The policy is limited to one (1) parental leave request per rolling 12-month period (looking backward from the date of leave).

Applying for Parental Leave:

Staff must request parental leave at least 30 days before the anticipated leave is set to commence and must provide sufficient documentation of the birth or placement of the child with the staff member with the paid parental leave request. In the event of unforeseen circumstances prohibiting

the staff member from requesting paid parental leave with 30 days' notice, staff should request parental leave as soon as practicable.

When employees are absent due to an FMLA-qualifying event, it is University policy that FMLA must be used. Applicable FMLA leave will run concurrently with paid parental leave under this policy.

When employees are eligible for short-term disability payments during their leave, paid parental leave will be applied to the waiting period that is not paid through short term disability. Employees may choose to use available parental leave to supplement the benefits received through short term disability (60% of income).

The employee must reimburse Rockhurst for the salary and benefits paid under this policy if the employee:

- a. Fails to return to work following the expiration of this leave/or any other authorized leave period (e.g. FMLA or extended leave of absence).
- b. Returns, but fails to remain actively at work for a least the equal value of the amount of Parental Leave used (e.g., six weeks of utilized parental leave requires six weeks of active employment following any other authorized leave period).

Rockhurst University will waive the reimbursement requirement when the failure to return is due to the continuation, recurrence, or onset of a serious health condition of the employee or the child otherwise covered under protected leave benefit (e.g. FMLA, disability leave, etc.) or other circumstances beyond the employee's control.

Approved 12/21/18

FUNERAL/BEREAVEMENT LEAVE

Paid time off shall be granted to staff in order to accommodate the reasonable needs of the individual to participate in family business related to a death.

Staff are eligible for three consecutive working days absence, with pay, in the event of a death in the immediate family or stepfamily. Normally, immediate family is defined as the employee's spouse, parent, grandparents, child or sibling and counterparts by marriage (mother-in-law, brother-in-law). However, Rockhurst University understands that other family members sometimes play an equally significant role in an employee's life. Exceptions to this policy are permitted on an individual basis at the discretion of the supervisor and should be made with the best interests of the employee in mind. Supervisors should also consider the location of the employee's family and the location of the funeral. Supervisors may wish to grant the maximum time permissible if the family or funeral is not in the area. In the event of the death of other relatives or friends of the employee, one paid day to attend the funeral is standard. This does not generally apply if the funeral is not on a workday.

INCLEMENT WEATHER

Inclement weather can result in any of the following scenarios:

1. **REMOTE LEARNING DAY:** A remote learning day will be used when adverse weather conditions exist that make travel to and from school unsafe. The learning day will include check-ins with teachers and asynchronous work for all students. Specific details about individual courses or programs will be communicated by the instructor via Rockhurst email and/or via Canvas/D2L.

2. **DELAYED START:** Delayed starts will be used when temporary adverse weather conditions exist, including high winds, cold temperatures or unfavorable road conditions. For example, a two-hour delayed start would allow in-person employees and students extra time to travel to campus. Online, synchronous classes would continue to meet as scheduled (i.e., will not be delayed).
3. **TRADITIONAL “SNOW DAY”:** In extreme weather conditions, the university may still call an inclement weather day with no classes, labs, or activities for all students. University offices also will be closed. (A Traditional “snow day” may be called as a result of a blizzard, significant ice storm that may result in power outages, etc.)

In scenario #1 above, essential personnel are expected to report to campus to work. All other staff are expected to work remotely unless the nature of their job makes it impossible for them to work remotely. Staff experiencing extenuating circumstances preventing them from working remotely should discuss the situation with their supervisor.

Efforts will be made to notify essential personnel of their requirement to report to campus at least 6 hours prior to the need for them to arrive at campus and are expected to work the necessary hours. Essential personnel who fail to report to work as required may be subject to disciplinary action up to and including termination of employment.

Non-exempt employees will be paid for their regularly scheduled hours (7.5 or 8) or their actual hours worked (on campus and/or remotely), whichever is greater. Actual hours worked that exceed 40 hours during a work week will be paid at time-and-a-half.

Approved 2-22-2021

JURY DUTY

Employees required to appear for jury qualification or service or to testify at the order of the court, government agency, or upon such request of the University shall receive their regular pay for such time lost. Employees may keep any payments from the court or government agency. Employees who serve on jury duty should notify their supervisor of the assignment prior to performing jury duty.

To receive regular pay during jury duty, a copy of the employee's jury summons and proof of appearance should be provided to the immediate supervisor and a copy submitted to Human Resources for the employee's personnel file. Time paid for hours not worked under this policy will not be considered hours worked for purposes of overtime pay.

If the requirement of jury duty comes at a critical time as far as the welfare of the University is concerned, the employee's supervisor may instruct the employee to request, in writing, to be excused from jury duty at the time. If the employee is still selected for jury duty, he/she should explain the situation to the Court in a further attempt to be excused from jury duty.

MILITARY LEAVE

Rockhurst University grants military leaves of absences to employees who enlist in the United States military or who miss work because of reserve or National Guard training or a call-up to active duty. The University is committed to protecting the job rights of employees on military leave.

Employees who will be absent because of military obligations should request, in writing, military leave as far in advance as possible. While absent on military leave, employees maintain current employment standing, but do not receive any pay. However, exempt employees are paid in full for any week during which they are called on to perform some work for the University. During

an unpaid military leave, the University continues to subsidize an employee's group health care benefits for up to 30 days. Coverage may also be continued under the University's group health plan for up to 24 months.

Employees on military leave do not accrue vacation or sick leave. However, the time off counts toward an employee's length of service for purposes of determining the rate at which employees earn vacation after returning. Similarly, for purposes of determining benefits and pay when employees return from leave, time spent on military leave counts as service with Rockhurst. On an employee's return from active duty, the University makes up any missed retirement plan contributions. Further, employees participating in the 403(b) plan can choose to make up missed contributions to the plan on their return from active duty, and such contributions are eligible for employer matching.

Employees who have accumulated vacation leave can schedule vacation at the same time as military leave and be paid. However, employees are not required to use their vacation time while on military leave.

MISSION LEAVE

In light of our mission of Learning, Leadership and Service, Rockhurst University encourages its faculty and employees to live out service to others. The purpose of the Mission Leave Policy is to allow faculty and employees to voluntarily participate, with pay, in University sponsored spiritual retreats or in approved mission related or service-related activities that occur during regularly scheduled work hours. The policy and application form can be located online at: <http://intranet.rockhurst.edu/HR/documents/Mission82011.pdf>
<http://intranet.rockhurst.edu/HR/documents/mlform.pdf>

PAID FIXED & PERSONAL HOLIDAYS

This policy establishes holidays for Rockhurst University with the goal of recognizing the importance of family time and traditions for university employees.

Listed below are the standard paid holidays. All full-time employees are eligible for paid holidays immediately upon beginning employment. Regular, part-time non-student employees (i.e. those that are not seasonal and those that work regularly scheduled hours year-round) may also be paid for holidays if they would have been scheduled to work on that day. For example, a part-time employee usually scheduled to work on Mondays would be paid for the Labor Day holiday. A part-time employee not usually scheduled for work on Monday would not receive pay. If a non-exempt (hourly) employee works on a paid holiday, he/she will receive holiday pay in addition to pay for hours worked that day. Holiday pay is calculated at 1/10 of the normal bi-weekly rate, before overtime. Example: if an employee's standard number of hours per pay period is 80, 8 hours additional pay will be given. If the employee's normal schedule is 75 hours bi-weekly, 7.5 hours additional pay will be given. Pay for a holiday is contingent upon the employee working or being on approved paid leave the day before and the day after the holiday.

The University observes the following holidays annually and the campus will be closed:

New Year's Day

Martin Luther King Jr Day

Good Friday

Memorial Day

Independence Day

Labor Day

Thanksgiving Day

Friday after Thanksgiving Day

Christmas (approximately 1 week)

The University will close for approximately one week between Christmas Eve and New Year's Day. Specific dates will be announced annually. Generally, if a holiday falls on a Saturday, the holiday will be celebrated on Friday and if a holiday falls on Sunday, the holiday will be celebrated on Monday.

In addition to the fixed holidays, benefit eligible employees (full- and part-time regular employees who work 30 or more hours/week) will be provided two (2) additional personal holidays annually that are granted at the beginning of each calendar year. These days are not issued on an accrual basis and do not rollover to the following calendar year or will be paid out at time of employment separation. Personal holidays may be used at the discretion of the employee. Normal time off procedures will apply.

Personal holiday leave will be granted to new employees during their first year of employment at a prorated amount, in accordance to their start date as such: 2 full days, if start date is within 1st and 2nd quarter; 1 full day, if start date falls within 3rd quarter. Any new employee who starts within the 4th quarter of the calendar year will not be eligible for this benefit until the start of the next calendar year in which they are employed.

Approved 11/19/18

SICK LEAVE

In order to provide continued income during a brief period of illness or injury, the University grants eligible staff sick leave at the rate of one day per full month worked, for a total of 12 days per year for full-time, 12-month employees. Sick hours are credited on the first day of the month. Sick accrual begins the first of the month following the date of hire. No employee may accrue more than 100 sick days. Sick leave may be used under any of the three following circumstances:

1. The staff member is ill or injured and it is in the best interest of the employee and/or fellow employees for him/her to remain at home.
2. Illness or injury to a member of the employee's immediate family (defined as spouse, dependent child or parent) and the employee must provide care for that person.
3. For eligible employees, available sick or vacation leave must be used for the first two weeks of absence prior to Short Term Disability benefits starting at 60% of regular pay. Employees may then elect to use sick or vacation leave to supplement the Short-Term Disability payments.

For employees hired after December 31, 2003, the sick time balance (i.e. sick time accrued and not used between January 1, 2004 and the date of termination) is not paid out upon termination or retirement.

Employees hired prior to January 1, 2004 may have “**previously accrued sick time**” (vested sick) which is sick time accrued **before** December 31, 2003 **less any time used through the date of termination**. Provided that there is a vested sick time balance, this time may be paid out upon retirement (defined as age 59 with 6 years of service). The payout schedule is as follows:

Balance of Previously Accrued Sick Time (vested sick) (Previously Accrued Sick Time = Balance as of 12/31/2003 less any days taken January 1, 2004 through termination date)	Amount of Previously Accrued Sick Time (vested sick) Paid at Retirement
1-14 sick days*	25% of current vested sick balance paid upon retirement
15-60 sick days*	15 days paid upon retirement
60-100 sick days*	25% of current vested sick balance paid upon retirement

* No sick days accrued after December 31, 2003 are eligible for payout.

Examples:

- #1 Employee is 50 years old with 7 years of service
Pay out - None. Employee is not at least 59 years old
- #2 Employee is 60 years old with 7 years of service and has 25 days of “previously accrued” (vested) sick time remaining.
Payout - 15 days (15-60 days = 15 days paid upon retirement)
- #3 Employee is 70 years old with 30 years of service and has 100 “previously accrued” (vested) sick days remaining.
Payout - 25 days (25% of 100 days)

UNPAID PERSONAL LEAVE

An unpaid personal leave of absence (LOA) may be available for employees with their own medical condition, when the employee is not eligible for, or has exhausted, leave under the FMLA. An employee will be reinstated to his/her former position upon return as required by law, and otherwise when possible based on the needs of the University.

Additionally, a LOA may be available for employees for other, personal reasons. Such a LOA is a privilege available to staff with acceptable job performance and a minimum of one year of service. Although not assured, whenever possible employees completing a leave may be reinstated to their former position if not eliminated or filled. If the former position is unavailable, a returning employee will be considered for available positions they are qualified to perform with pay and classification commensurate with their former position. Reemployment is at the discretion of the University, and a written statement of understanding and written approval for the leave from the appropriate officer must be made prior to the beginning of the leave.

Consideration for leave is at the staff member’s request. Staff may request a personal leave of absence through Human Resources and leave must be coordinated with the supervisor or appropriate administrator. LOA approval and duration will be determined on a case-by-case basis. Sick leave and vacation do not accumulate during unpaid leaves and holidays will not be paid; insurance premiums are the employee’s responsibilities. All applicable paid leave must be used before going on unpaid leave status. Contact Human Resources for more information.

VACATION

Eligible staff earn vacation at one of three accrual rates: 10, 15 or 20 days per year. On the first day of the month following both the 5-year and 10-year employment anniversaries, vacation accrual rates may be increased by five days per year. No employee may earn more than 20 days' vacation per year, regardless of length of service. Vacation accrual begins the first of the month following the date of hire and is accrued monthly thereafter.

Staff working full-time but less than 12 months per year earn sick and vacation throughout the year on a prorated basis depending on the number of months worked. Staff working more than 30 hours per week but less than full-time earn sick and vacation on a pro-rated basis.

Staff may not carry over more than 15 vacation days into each new calendar year. Accrued but unused vacation time in excess of 15 days is forfeited if not used by January 1 each year. Up to 15 vacation days of accrued vacation time may be paid out upon termination of employment.

VOTING TIME

Rockhurst University encourages employees to exercise their privileges and duties as citizens, including their rights to vote. Staff who are eligible to vote in a general election or primary held within the State of Missouri or any election conducted by a county election officer in the state of Kansas are entitled to three (3) consecutive hours during the time the polls are open for the purpose of voting. For example, if the polls are open from 6 a.m. to 7 p.m., an employee who reports to work at 9 a.m. has three (3) consecutive hours within which to vote (6 a.m. to 9 a.m.). Likewise, an employee who leaves work at 4 p.m. also has three (3) consecutive hours within which to vote (4 p.m. to 7 p.m.).

Staff who do not have sufficient time outside their normal work schedule to vote can request paid time off to vote in accordance with the following guidelines. Staff who need time off to vote should request and receive approval from their immediate supervisor in advance and in no case later than one day before the election. Such leave will normally be taken at the beginning or end of the employee's workday so that the employee is ensured of 3 consecutive hours within which to vote. However, to allow for the most efficient workload coverage, supervisors may approve any period of leave between the time polls open and close during which the employee may be absent from work for the purpose of voting. As with any foreseeable absence, staff should request and obtain permission from their supervisor in advance of taking time off to vote. Unless otherwise required by law, Rockhurst University does not consider paid voting leave as time worked for the purpose of computing overtime pay for non-exempt employees.

POLITICAL AND CAMPAIGN ACTIVITY

I. Introduction

The following Policy is provided in order to assist Rockhurst University (the “University”) in distinguishing activities that are permitted during election campaigns from activities that are prohibited. This Policy focuses primarily on the rules set forth by Section 501(c)(3) of the Internal Revenue Code because it contains a prohibition, which has been interpreted as absolute, against the participation or intervention in a political campaign on behalf of or in opposition to any candidate, as a condition of maintaining federal income tax status. The statutory prohibition on “political campaign intervention” contains three key elements. There must be a “candidate” who is seeking “public office,” and the organization must “participate in, or intervene in” the candidate’s political campaign. Political campaign intervention includes any and all activity that favors or opposes a candidate for public office.

II. Individual Involvement in Political and Campaign Activities

Because of the University’s tax-exempt status, the University is prohibited from endorsing candidates for public office or making any contributions of money, goods, or services to candidates. The University may endorse or oppose ballot measures that may impact the expression of the University’s mission, vision, values, and strategic objectives (see University Lobbying, Section V, below). It is critical that no member of the University community inadvertently cause the University to endorse such a candidate or make such a contribution. Notwithstanding the above, the University does not seek to inhibit the expression of personal political views by any individual in the University provided such involvement complies with the University Policy. The Policy with respect to individual involvement in a political campaign is as follows:

- A. University staff and faculty, strictly in their individual capacity, may become involved in political campaigns so long as they do not utilize the University’s financial resources, facilities, or personnel to do so. This would include using University equipment (e.g., computer, telephone), mail, e-mail (@rockhurst.edu), social media accounts, or internet network to promote a particular candidate or engage in fundraising. This prohibition does not apply to private devices or personal email using the University’s internet network, provided that such use is *de minimus*, does not occur during regular work hours, does not unduly burden University technology systems, or suggest the University endorses or supports the activity originating on the private device. This paragraph extends to campaigns for political candidates or parties as well as to campaigns related to ballot measures; except that staff or faculty members may support ballot measures on behalf of the University if expressly authorized by the President’s Cabinet.
- B. University staff and faculty must clearly and unambiguously indicate that their actions and statements are their own and not those of the University. They may be identified by their Rockhurst University titles or roles only to the extent necessary for identification purposes and must clarify that their association with the University is provided for identification purposes only.
- C. University staff and faculty may not engage in political campaign intervention at University functions or through official University publications.

- D. University publications may not state or infer that the University will provide members (e.g., students, staff, or faculty) to work on a particular political campaign.
- E. Neither the University's name nor its insignia may appear on any material used or intended for partisan political purposes.

III. Candidacy for Elective Public Office.

If a staff or faculty member decides to run as a candidate for political office (including but not limited to any national, state or local governmental position), one must comply with the following procedure:

- A. The public office position may result in a conflict of time or interest which may interfere with the performance of responsibilities owed to the University. Any individual who decides to run for public office must immediately notify Human Resources of one's intention to run for such public office prior to beginning any activities related to such candidacy. The notice should include a certification by the individual that one will not campaign or otherwise engage in any political activities during one's regular work hours, that the public office will not interfere with one's duties, and the individual will comply with the Policy set forth in this document. If the nature of the employee's campaign has the potential to negatively impact the performance of one's regular duties, the individual may be required to take an unpaid leave of absence or work on a part-time basis for the duration of the candidacy. The University shall have the sole discretion to allow the individual to continue in one's position at the University.
- B. With respect to one's own candidacy for election to public office, no University staff or faculty member will:
 - i. Solicit support or opposition during one's regular work hours for one's candidacy for public office;
 - ii. Solicit support or opposition for one's candidacy for public office at any time on University property without prior approval of Human Resources and compliance with the Policy set forth in this document;
 - iii. Use University funds, services, supplies, vehicles or other property to support or oppose one's candidacy for public office; or
 - iv. Use any promise of reward or threat of loss to encourage or coerce any individual to support or contribute to any political issue, candidate or party.

IV. University-Sponsored Political Forums and Debates

The University or a recognized student organization may be approached by a candidate to appear on campus. The appearance of a candidate for public office on campus must be for an educational or informational talk to the University community. The University's policy with respect to on campus appearances by political candidates provides:

- A. All appearances require prior approval from President's Cabinet.
- B. If the program involves one candidate, the University must allow similar programs to be open to other viable candidates running for a particular public office. Although all candidates do not need to be invited to the same event, they should be invited to participate in an event of equal participation and attendance.

- C. A non-partisan moderator should clearly state, at the beginning and conclusion of the event, that the views expressed at the event are not those of the University, and that sponsorship of the forum or event is not intended as an endorsement of any particular candidate.
- D. Promotional materials and other communications about the event should contain an explicit statement that the institution does not support or oppose any particular candidate.
- E. If the appearance is structured as a public forum (involving several candidates for the same office), the program must ensure that the candidate's appearance is an educational or informational presentation and offer an opportunity for questions and answers from a panel and/or the audience. All viable candidates should be invited to appear at the forum. If a candidate declines the invitation, the University should acknowledge that the candidate was invited but declined.
- F. The program must not be conducted as a campaign rally or fund-raiser for the candidate or his/her political party.
- G. The University reserves the right to require payment in advance from a political candidate or his/her party for costs associated with the program. This may include, but is not limited to: maintenance costs, security, utilities, audio/visual and staff time. If advance payment is required from one political candidate or party, such advance payment will be required from all candidates and parties.
- H. The program must not place an undue burden on the University's staff, facilities or other resources.
- I. Political candidates/parties must recognize that the University is in no way endorsing the views expressed by the speaker(s) and allows such a program only in the interest of the advancement of education.
- J. The University reserves the right, in its sole discretion, to deny any request for an on campus appearance or cancel any program or activity on campus, at any time, which poses an undue burden on the University's staff, facilities or resources, or if it presents a clear and present danger to the University or local community.
- K. Persons wishing to approach the University with requests involving political candidates should contact the University's Student Development Office which will serve as coordinator for such a program.

V. University Lobbying

Tax-exempt organizations are permitted to lobby, and the University may engage in lobbying on a

limited number of issues, including those affecting education, research, and related activities. Most lobbying laws require registration and reporting by individuals engaged in attempts to influence governmental action. Accordingly, no University employee may lobby on behalf of the University without specific authorization. All lobbying on behalf of the University must be approved by and coordinated with President's Cabinet.

Revised August 2020

Section 6 – Benefits

BENEFIT INFORMATION

Rockhurst University provides a variety of benefits to our faculty and staff. Please refer to the Human Resources Intranet for detailed information on all of our plans. You may also request a printed copy of the summary of benefits as well as copies of the comprehensive summary plan descriptions from Human Resources.

ADOPTION

It is the policy of Rockhurst University to support faculty and staff in their efforts to balance the demands of the workplace, their personal needs, and the needs of their families. Rockhurst provides assistance to eligible employees who wish to build their family through adoption and recognizes the investment of time and financial resources required by the adoption process. The University provides eligible employees some financial reimbursement for adoption-related expenses. Leave time for adoption is provided through the Family and Medical Leave Act or unpaid personal leave policies, where applicable.

Eligibility This policy applies to all “benefits-eligible” faculty and staff who have completed 12 months of employment. This policy does not apply to expenses related to adoption of a stepchild.

Procedure Upon placement of the adopted child, complete and submit an Adoption Reimbursement Request form to Human Resources. Eligible expenses will be reimbursed up to a maximum of \$1,000. Eligible adoption expenses include:

- Agency, home study and placement fees
- Legal fees and court costs
- Medical expenses of the birth mother, not covered by insurance
- Medical expenses for the child, not covered by insurance
- Temporary foster care costs
- Immigration, immunization, and translation fees
- Transportation and lodging
- The child’s passport and visa fees
- Documented unpaid leave time incurred by the Rockhurst employee

A certified or notarized copy of the record of placement or final court order and itemized receipts may be submitted up to six months after placement of the child in the employee’s home. No requests will be considered after the six-month period has ended.

The adoption reimbursement benefit may be utilized only once during a twelve-month period. An adopted child must be under the age of 18 at the time adoption becomes finalized. If two adoptive parents work for the University, only one can utilize the adoption reimbursement benefit.

Taxation of Benefits Amounts provided to employees for adoption reimbursement will be treated as income. Employees utilizing the adoption reimbursement plan should consult the IRS or personal accountant regarding possible exclusion of adoption-related expenses from the employee’s taxable income.

DISABILITY/SALARY CONTINUATION

Rockhurst University provides short-term and long-term disability benefits for eligible employees. Premiums for this benefit are paid entirely by the University. There is no cost to the employee. No initial enrollment by the employee is required. If an employee believes he/she is eligible for disability benefits, he/she should contact Human Resources immediately to fill out the appropriate paperwork. Summary Plan Descriptions are available upon request from Human Resources or employees may access the information on the Human Resources Intranet site.

Short-term disability Full-time staff become eligible for consideration of short-term disability benefits 90 days from the employment commencement date. This plan generally provides the employee with 60% of his/her normal rate of pay up to a \$1500 weekly maximum in the event of a qualifying illness or injury. A 2-week qualifying period must be met and proper application for the benefit must be made prior to the commencement date of the disability benefit. Employees must use sick or vacation time for the two-week qualifying period if the time is available. If the time is not available, the time will be unpaid. If a holiday or inclement weather day falls during the qualifying period, the employee will be paid for the day. If the holiday or inclement weather day falls during the short-term disability benefits period, the employee will only be paid through the short-term disability benefit. Short-term disability leave may be up to 24 weeks in length. Employees have the option of using accrued sick and/or vacation time to supplement income received from short-term disability payments. Employees will not accrue sick or vacation time if their leave is one month or more.

The University will pay its usual cost to continue the employee's medical insurance and the base level of benefits under the life, short and long-term disability insurance programs during any short-term disability leave. After exhausting paid sick and vacation, employees must make arrangements with the Director of Human Resources to continue benefits coverage. Staff members will have a minimum 30-day grace period in which to make payments for continued benefits coverage. If payment is not timely, benefits coverage may be canceled. Employees will be notified in writing at least 15 days before the date that the benefits/coverage lapses. The University will return an employee on short term disability for longer than twelve (12) weeks to his/her former position as required by law, and otherwise when possible based on the needs of the University. Unless required by law, the University may not always be able to hold a position open for an employee on short term disability for longer than twelve (12) weeks. If an employee is returned to work, he/she may not necessarily be returned to his or her last position, unless otherwise required by law.

Long-term disability Employees who have utilized the full 24 weeks of short-term disability and are still away from work at a doctor's recommendation may be eligible to utilize long-term disability insurance. This plan generally provides the employee with 60% of his/her bi-weekly pay until the normal retirement age as defined by the Social Security Administration.

EMPLOYEE ASSISTANCE PROGRAM OR COUNSELING CENTER

Staff and faculty and their immediate family members may use our New Directions Employee Assistance Program (EAP) to get assistance in dealing with problems or concerns relating to family, financial, alcohol, drug, marital, emotional, and psychological issues. The service is free and completely confidential. Call 913-982-8398 to make an appointment.

Staff and faculty may also seek referral assistance from the Rockhurst University Counseling Center staff in addressing personal difficulties. The Center offers employees the opportunity to explore personal problems and concerns through confidential discussions with a licensed psychologist or counselor.

TUITION REMISSION

Tuition remission benefits begin immediately upon employment for eligible full-time employees and their legal dependents. For the purposes of tuition remission, a “legal dependent” is defined as: 1) a lawful spouse; 2) unmarried dependent children who receive at least 50% of their financial support from the employee through the end of the academic year in which they turn 25 or until completion of a bachelor’s degree, whichever comes first. Tuition remission benefits cease upon termination of employment with Rockhurst. If termination of employment occurs during a semester in which the employee or dependent is already enrolled, they may complete that semester. If they have enrolled or registered for courses, but the semester has not yet begun, tuition remission benefits terminate on the employee’s last day of work. Additionally, authorizing tuition remission for courses in which enrollment is limited is at the discretion of the University; the University reserves the right to give preference to paying students for courses with limited availability. Enrollment in such courses for those utilizing tuition remission is on a “space available” basis.

Rockhurst University is proud to have a partnership with the University of Missouri – Kansas City (UMKC) to offer degrees in Civil Engineering, Electrical Engineering, Mechanical Engineering, Computer Science, and Information Technology. Classes taken on the Rockhurst campus are eligible for tuition remission benefits. Classes taken on the UMKC campus are not eligible for tuition remission benefits and will be billed to the student at the contractual rate per credit hour paid by Rockhurst to UMKC.

Employee All regularly scheduled undergraduate or graduate courses may be taken at no tuition cost, except for those courses in which enrollment is extremely limited. Determinations related to limited enrollment will be made by the appropriate dean. A tuition remission form must be completed by the employee and submitted to the Human Resources department within two business days of completing enrollment in qualified courses for each semester. Graduate level employer-paid tuition beyond which exceeds \$5,250 in any calendar year is considered taxable income by the IRS and therefore, the employee is responsible for taxes owed. For additional information, refer below to the Taxability of Tuition Remission for Employees section of this policy. Tuition remission applies only to tuition paid or payable to Rockhurst University for services it provides. It does not apply to tuition payable to other institutions operating jointly with Rockhurst in providing services. Tuition remission covers tuition only and does not extend to any fees or any other expenses. Tuition remission is for a maximum of six credit hours per semester, with the exception of the Executive MBA and Ed.D. programs. Any hours beyond this limit must be paid for solely by the employee. Additionally, employees are not permitted to receive other forms of institutional aid. Employees may take a class during their work shift at the supervisor’s discretion and provided the hours missed due to class are made up in the same Sunday – Saturday workweek. The supervisor approving such an arrangement must indicate on the employee’s Tuition Remission form how the missed hours will be made up.

Spouses and Dependent Children Tuition Remission Tuition remission for dependent children is a conditional benefit and will only be awarded if application has been made to all appropriate governmental or other financial aid sources through completion of a FAFSA, or Free Application for Federal Student Aid. Tuition remission for dependent children is awarded as a supplement to all other aid, grants and scholarships, merit awards, benefit awards and scholarships. All forms of financial aid awarded will be applied toward the tuition due prior to tuition remission. The individual receiving tuition remission is permitted to apply for, and receive if desired, federal or state loans beyond the tuition remission grant and these loans are not required to be applied to the cost of tuition prior to tuition remission being awarded. Both dependent children and spouses of employees may receive tuition remission for tuition only and does not extend to any fees or any other expenses (not application, lab, activity, ACCP, CLEP or any other fees). Tuition remission applies only to tuition paid or payable to Rockhurst University and not to other institutions operating jointly with Rockhurst.

Tuition remission for dependent children is for undergraduate courses only and does not extend to graduate level courses. Dependent children may use up to 18 credit hours of tuition remission per semester for three semesters each calendar year (spring, summer and fall). Any hours beyond this limit must be paid for solely by the employee. Tuition remission for spouses is for undergraduate courses (within the same parameters as described above for dependent children) and for up to three credit hours of certain graduate level (see below) tuition remission, but only if the employee is not utilizing their full six hours of graduate level tuition remission. The combined graduate level tuition remission benefit for employees and spouses may not exceed six credit hours. Note: graduate level tuition remission for spouses is 100% taxable. For additional information, refer below to the Taxability of Tuition Remission for Employees section of this policy.

Doctoral Programs Generally, doctoral programs are not eligible for tuition remission. Occupational Therapy and Physical Therapy graduate programs are not eligible for tuition remission. Education graduate programs (M.Ed. or Ed.D.) may be eligible for tuition remission; however, this is limited in the Ed.D. program to up to two employees per cohort.

Executive MBA Tuition remission for the Executive MBA program may be available for up to one university employee per cohort. This program is highly competitive and demands time away from work. As such, any employee who wishes to be considered for the program must receive authorization from their supervisor as well as the vice president over the department. This benefit is for employees only. Participants will pay 10% of the total program tuition allocated over four (4) payments as the good faith estimate of non-tuition related meals, books and fees. If the employee elects to participate in the optional international course, they will pay all expenses related to the international experience.

To be eligible for the selection consideration, the employee must have completed one year of continuous full-time employment, be currently employed in a full-time position at the university, and have submitted a current resume, letters of recommendation from their supervisor and vice president, and a personal statement by May 1st of the consideration year.

A selection committee comprised of the EMBA Program Director, the Dean of the College of Business, Influence, & Information Analysis and Helzberg School of Management, the Provost and the Director of Human Resources will review the list of employee applicants who meet the eligibility requirements and evaluate those candidates based on the criteria below. The committee will then select the final candidate.

- Employee's current position and the relevance of the program to that position
- Length of time in current position
- Level of management experience
- Future leadership potential at the university
- Academic record, including undergraduate and graduate records
- Employee application materials, including the Personal Statement
- Department head letter of support

Employees should contact the EMBA Director or program administrator for additional details regarding admission criteria and deadlines or visit the EMBA program website. The selected candidate would have to complete all EMBA program application requirements to finalize program enrollment.

Educational Doctorate (Ed.D.) in Education and Leadership Tuition remission for the Ed.D. program may be available for up to two (2) university employees per cohort. This program is highly competitive and demands a significant investment of time over the course of two years. As such, any employee who wishes to be considered for the program must receive authorization from their supervisor as well as the vice president over the department. This benefit is for employees only. In addition to all fees, participants will pay 10% of the program tuition amount each semester.

To be eligible for the selection consideration, the employee must have completed one year of continuous full-time employment, be currently employed in a full-time position at the university, and have submitted a current resume, letters of recommendation from their supervisor and the vice president over the department, and a complete online application for the program by March 1st of the consideration year.

A selection committee comprised of the Ed.D. Program Director or Chair of the School of Education, the Dean of the College of Arts and Sciences, the Provost, and the Director of Human Resources will review the list of employee applicants who meet the eligibility requirements and evaluate those candidates based on the criteria below. The committee will then select the final candidates.

- Employee’s current position and the relevance of the program to that position
- Length of time in current position
- Extent of prior experience in higher education and leadership
- Future leadership potential at the university
- Academic record, including undergraduate and graduate records
- Employee application materials for the program
- Supervisor letter of recommendation
- Vice President of department letter of recommendation

Employees should contact the Ed.D. Program Director or School of Education Chair for additional details regarding admission criteria and deadlines or visit the Ed.D. program website.

Reimbursement Requirements for Executive MBA and Ed.D. Programs If the employee is awarded the remission but does not complete the program, they will be required to reimburse the University the tuition costs incurred up to that point in the program. In certain hardship situations, an appeal may be made to the selection committee. If the employee separates from full-time university employment (except in the case of layoff or termination) prior to or less than two years after completion of the program, the employee will be required to reimburse the University some or all of the tuition costs paid in accordance with the following schedule:

Prior to completion of program	Reimburse the University for tuition costs incurred up to that point, based on the number of semesters enrolled
After completion of program but prior to completion of one year of subsequent full-time active employment	Reimburse the University for 50% of the amount of tuition remission
After completion of program and after completion of one year but less than two years of subsequent full-time active employment	Reimburse the University for 25% of the amount of tuition remission

Tuition Remission Form Submission Deadline Tuition remission forms for dependent children and spouses must be completed and submitted to the Human Resources department within two business days of completing enrollment in qualified courses for each semester.

Satisfactory Academic Progress In order for employees and their dependents to be eligible to receive tuition remission, they must meet satisfactory progress requirements. Students must pass 67% of courses attempted and maintain a 2.00 cumulative grade point average. Students not meeting the satisfactory progress requirement have a one semester grace period to satisfy academic deficiencies in order to have continued eligibility for the tuition remission benefit. The Director of Financial Aid will notify students in writing who have not met the satisfactory progress requirement.

Tuition Exchange Tuition remission benefits may also be available through the following resources:

- **FACHEX:** Dependent children may attend other Jesuit Colleges on a full tuition scholarship. Some Jesuit schools are excluded.
- **Tuition Exchange Program:** Faculty, staff and eligible dependents may apply to one or more of the 93 schools in the program. Schools included in Tuition Exchange are listed at www.tuitionexchange.org.
- **Council of Independent College Tuition Exchange Program (CIC-TEP):** Faculty, staff and eligible dependents are eligible to apply to the numerous schools in this exchange program. More information can be found at www.cic.edu.

Certification for the tuition benefit programs does not guarantee acceptance at the participating institution. The host institution takes into account the student's admissions decision, GPA, and test scores. In addition, it is possible that not all the eligible family members interested in seeking this benefit will be certified by Rockhurst depending on the amount of export slots available. The tuition benefit program is a reciprocal program that requires us to balance the number of students sent out (exports) by an equal number of students brought in (imports) for the year. If it is necessary to limit certification of candidates to a subset of eligible applicants, priority will be based on a first come first serve basis.

Forms are available on the Human Resources Intranet site. Employees will be reminded of the deadline on an annual basis. Students must apply every year for recertification.

Tuition Remission for Spouse and/or Dependent Children of Deceased Employees If an eligible employee dies while employed at Rockhurst University, his or her previously enrolled dependent children and spouse will be allowed to complete their undergraduate education according to the same policies established for eligible employees.

Retiree Tuition Remission Benefits Previously enrolled dependents and spouses of eligible retirees will be allowed to complete their undergraduate education according to the same policies established for eligible employees.

TAXABILITY OF TUITION REMISSION FOR EMPLOYEES

Rockhurst University offers employees the opportunity to pursue higher education free of charge. This exceptional benefit is offered for both undergraduate and graduate coursework. The Internal Revenue Service has ruled that undergraduate tuition remission is generally not included as income for employees of educational institutions. **However, graduate tuition remission benefits are included in income for employees of educational institutions.**

WHEN IS TUITION REMISSION TAXED?

Under section 117(d) of the Internal Revenue Code, educational institutions offering a reduction of tuition charges to employees, their spouses and dependent children for undergraduate coursework may exclude the value of this education from their employees' taxable wages. The exclusion under this section does not extend to graduate coursework and only applies to employees of an educational institution.

Section 127 of the Code allows all employers, whether or not they are an educational institution, to provide their employees (not spouses or dependents) with educational assistance for both undergraduate and graduate work. Employers may provide each employee with up to \$5,250 of educational assistance per year on a tax-free basis.

Therefore, graduate-level tuition remission received by employees of educational institutions is taxable once the value exceeds \$5,250 per tax year. In addition, **ALL** graduate-level tuition

remission received by non-employee spouses and dependents of employees of educational institutions is fully taxable (i.e. there is no \$5,250 exclusion). **NOTE:** Spouses of Rockhurst employees are eligible for graduate-level tuition remission but dependents are not.

The Internal Revenue Code requires that taxable graduate-level tuition remission for Rockhurst employees and their spouses must be added to the employees' taxable wages and all applicable income taxes must be withheld.

WHAT HAPPENS TO THE TAXES THAT ARE WITHHELD?

The additional taxable income and taxes withheld are reported on the employee's W-2. The University is required to make W-2's available to employees by January 31st to provide the information necessary for completing income tax returns. Tuition remission in excess of the excludable amount is subject to federal, state, local, Social Security and Medicare taxes.

Example: An employee who has received \$10,250 in taxable tuition remission benefits would have \$5,000 of additional taxable income reported on their W-2 (\$10,250 tuition remission received less \$5,250 exclusion) at the end of the year. For the purposes of this example, we will assume the employee is a Missouri resident who is in the 22% federal tax bracket and the 5.9% Missouri state tax bracket.

- Federal income tax withheld for the year would include \$1,100 (\$5,000 additional taxable wages * 22% withholding rate) more than the amount withheld against wages alone.
- State income tax withheld for the year would include \$295 (\$5,000 additional taxable wages * 5.9% withholding rate) more than the amount withheld against wages alone.
- Local income tax withheld for the year would include \$50 (\$5,000 additional taxable wages * 1% withholding rate) more than the amount withheld against wages alone.
- Social Security tax withheld for the year would include \$310 (\$5,000 additional taxable wages * 6.2% tax rate) more than the amount withheld against wages alone.
- Medicare tax withheld for the year would include \$72.50 (\$5,000 additional taxable wages * 1.45% tax rate) more than the amount withheld against wages alone.

The table below shows where the taxable income and taxes withheld are reported on form W-2.

Type of Tax	W-2 Taxable Wages	W-2 Taxes Withheld	Percent
Federal Income	Box 1 \$5,000.00	Box 2 \$1,100.00	22%
State Income	Box 16 \$5,000.00	Box 17 \$295.00	5.9%
Local Income	Box 18 \$5,000.00	Box 19 \$50.00	1% flat rate
Social Security	Box 3 \$5,000.00	Box 4 \$310.00	6.2% Up to the annual maximum
Medicare	Box 5 \$5,000.00	Box 6 \$72.50	1.45 % Unlimited
Total Taxes		\$1,827.50	36.55%

HOW IS THE TAXABLE BENEFIT DETERMINED?

Each semester after the add/drop date, the Student Accounts Office runs a report indicating the total dollar amount of graduate-level tuition remission received by employees (including their spouses) during the current term/tax year. This report is used by Human Resources and the Payroll Department to determine if tuition remission has become taxable.

When the amount of tuition remission benefits received by an employee becomes taxable, the taxable amount must be added to the employee's taxable wages. The increase in taxable wages will result in an increase in the taxes withheld and reduce net pay.

WHEN ARE THE TAXES WITHHELD FROM EMPLOYEES' PAYCHECKS?

The additional taxes due on the additional reported income must be withheld from the employee's paychecks during the term in which the graduate-level courses are taken.

To minimize the impact on your net pay, once Payroll determines that additional tax withholding is required, the additional taxes will be spread out evenly across the paychecks issued during the academic term in which the graduate-level courses are being taken. If you have already received one or more paychecks during the current academic term, the additional taxes will be spread out across the *remaining* pay checks that you will receive during the term. The following charts indicate which paychecks will be affected by the additional tax withholding.

Term	Paychecks Affected
Spring	January, February, March, April and May
Summer	June, July and August
Fall	September, October, November and December

As a courtesy, the Payroll Department will notify employees of the amount of their taxable tuition remission. The taxable income, tax withholding required, and the pay periods affected will be provided. Every attempt is made to notify employees in advance of the first pay in which the taxes will be withheld.

All employees are encouraged to track their taxable tuition remission benefit for the year and plan accordingly, which may require changes to the employee's federal and state W-4. In addition, all employees are encouraged to verify that they have received tuition remission at the beginning of each academic term to make sure that Payroll can spread their tax withholding over as many pay periods as possible.

The Tuition Remission Form is available on the Human Resources intranet page and must be submitted prior to the beginning of each term.

FREQUENTLY ASKED QUESTIONS

• Who should I contact with questions regarding tuition remission?

Questions regarding your eligibility, application for and approval of tuition remission benefits should be directed to the Human Resources Department at (816) 501-4835.

Questions regarding the timing and amount of tuition remission credits applied to your student account should be directed to Student Accounts Office at (816) 501-4175.

Questions regarding the inclusion of tuition remission benefits in your taxable wages should be directed to the Payroll Department at (816) 501-4866.

• What classes and charges make up the amount of tuition remission reported to Payroll? I do not agree with the amount reported to Payroll.

As a matter of confidentiality and privacy, the Payroll Department does not have access to the details of your student records or your student account. You may view the details of your student account online in the Student Account Center (SAC) on the Rockhurst portal at <https://my.rockhurst.edu> or contact the Student Accounts Office at (816) 501-4175. Any changes or corrections to your tuition remission charges must be processed through the Student Accounts Office.

- **I believe the graduate-level courses I am taking are related to my job and, therefore, qualify as a “working-condition fringe benefit”. Why can’t I be exempt from tax withholding on my graduate courses?**

The IRS’ position is that the value of job-related graduate-level tuition reductions and/or waivers by colleges and universities does not qualify as working condition fringe benefits because the tax treatment of this item is addressed elsewhere in the tax code [e.g. § 117(d) or § 127] (FSA 200231016, August 2, 2002, IRS Office of Chief Counsel). For this reason, Rockhurst may not exclude the value of the graduate tuition reduction or waiver in excess of the \$5,250 limit from your gross income.

- **Can I spread the additional tax withholding out beyond the term in which the courses are taken?**

All income is considered taxable when the benefit is received by the employee. The Payroll Office is required to withhold the taxes during the term in which the benefit is received, which is the term in which the courses are taken.

- **Can I delay the start of the additional tax withholding to a future paycheck?**

Unfortunately, IRS rules prohibit this. Taxes on tuition remission benefits must be recorded and collected by the end of the term in which the benefit is received (courses are taken). Tracking the amount of your taxable tuition benefit will enable you to plan for the taxes to be withheld.

- **Can I pay these taxes directly to the University rather than have them withheld from my paychecks?**

The IRS does not permit the University to accept payments directly from an employee toward the employee’s income tax withholding. Income taxes are required to be withheld from an employee’s paychecks.

- **Can the University record the additional taxable income on my W-2 but not withhold any additional taxes? I will pay them myself when I file my return.**

While the IRS does allow employers to record the taxable income associated with certain benefits without requiring additional income taxes to be withheld, educational assistance is not one of these benefits. The University is required to withhold taxes for this additional income.

- **Why can’t Payroll estimate the amount of additional income I will incur and spread it across all of my paychecks for the entire year, reducing the amount of additional tax withheld from each check?**

Tuition remission becomes taxable to the employee when the benefit is received (courses are taken) and any allowable exemption has been exceeded. Until that happens, no taxable event has occurred and as such, no additional income can be reported for you.

- **Why are the withholding amounts always higher at the end of the year, when I need money the most?**

Employee graduate-level tuition remission benefits are not taxed until they exceed the \$5,250 annual exclusion. Once they exceed that amount, every dollar of the tuition

remission benefit is taxable. Because Rockhurst's tuition remission benefit policy places limits on how many credit hours can be taken per term, the \$5,250 exclusion will normally not be exceeded until the summer or fall term. Employees receiving the tuition remission benefit for graduate-level courses should plan accordingly for the decrease in net pay that will occur when the additional taxes are withheld.

- **Who should I contact if I have taken classes but not received the tuition remission credit on my student account?**

Please contact the Human Resources Department at (816) 501-4835 to confirm your tuition remission forms have been completed and processed. If the tuition remission application has been processed by Human Resources but has not yet appeared in your student account, please contact the Student Accounts Office at (816) 501-4175 concerning your tuition remission application.

Revised January 2020

UNEMPLOYMENT COMPENSATION

As a state of Missouri employer, Rockhurst University contributes to the State Employment Security Fund. Most University employees are covered by the State Employment Security Law, which provides employees of the University who become totally or partially unemployed with unemployment compensation, provided they meet the eligibility requirements set forth in the law. Questions related to unemployment compensation benefits should be directed to the Missouri Division of Employment Security.

WORKERS' COMPENSATION/SAFETY

Employee safety is very important to the University. Therefore, a concerted effort is made in the planning, management and performance of all operations to prevent accidents and to provide a safe and healthy work environment. Employees should perform the functions of their job in a safe manner and should report any potential safety hazards to their manager or to Campus Security. It is expected that employees using University vehicles will obey all traffic laws, refrain from texting and e-mailing while driving and will use hands-free technology if speaking on the cell phones in the vehicles.

However, if an on-the-job injury or occupational illness does occur, the following steps must be taken:

- It is the policy of the University that all work-related injuries or illnesses be reported immediately.
- For any injury, faculty/staff should notify the Campus Security Department (extension 4010). The department chair or manager should then be notified.
- Campus Security will oversee the completion of a Report of Injury form. The faculty/staff member should complete the form and return it to Campus Security.
- If minor medical attention is needed beyond minor first aid, Security or the employee should contact Human Resources. Human Resources will refer the injured employee to

an occupational medicine doctor because worker's comp injuries are not covered under regular health insurance. Worker's comp charges are paid through our worker's compensation carrier. The occupational medicine doctor will have worker's compensation information on file. Unless it is after hours or on the weekend, faculty and staff should not go to their regular physician for injuries that take place at work.

- If the injuries are serious, life threatening or after regular business hours, Campus Security will call an ambulance. If taken to the hospital, the employee should have the hospital contact Rockhurst University Human Resources so that we may provide insurance information to the hospital. It is important that you do not provide your regular health insurance card to the hospital in the case of a workplace injury as that will complicate and delay payment of charges.
- Injured employees may refuse medical care or first aid and will be required to sign a waiver indicating that they do not wish to be treated.

Workers' compensation situations that qualify as serious health conditions under the Family and Medical Leave Act will be treated as such. If an employee receives compensation from a workers' compensation carrier for an absence caused by a workers' compensation related illness/injury, the employee will not also receive payment for sick, vacation, holiday, short term disability or other internal sources of paid time off.

In accordance with Missouri state law any employee who submits a fraudulent Workers' Compensation claim and/or misrepresents facts can be found guilty of a Class A misdemeanor and may be subject to substantial criminal fines as well as University discipline up to and including employment termination.

Section 7 – Special Services and Facilities

ATHLETIC EVENTS

The University issues a complimentary ticket to each regular employee and one guest. This privilege applies to tickets for all games played at the Mason-Halpin Fieldhouse, except those special games (e.g., playoff games) or occasional unusual events for which everyone must pay admission. Complimentary tickets may be picked up at game time at the fieldhouse ticket office upon presentation of current ID card.

BOOKSTORE DISCOUNTS

Employees may purchase various items at a 20% discount through the bookstore located in Massman Hall.

CAMPUS MINISTRY

Rockhurst University, through its Campus Ministry Office, offers a number of campus religious activities. Mass is almost always offered daily at different hours and locations. Retreats, prayer groups, discussion groups, confessions and special Lenten and Advent programs are also available. Notices of these activities will usually be posted well in advance. These religious functions are an indication of the spiritual commitment of the University. Persons of all denominations are invited to attend any or all of the campus religious activities.

FINE ARTS

Staff may enjoy free tickets to the following:

- Rockhurst Theatre productions (free tickets for employees only available at the door)
- Musica Sacra concerts (free tickets available through the Center of Arts and Letters)

FITNESS CENTER

Staff may use the workout facilities currently located in the lower level of Massman Hall and at the Magis Activity Center (MAC). Employees interested in utilizing the workout facilities at the MAC must first enroll, which includes a monthly fee for fall and spring semesters, summers are free. For more information about the MAC, visit: <https://www.rockhurst.edu/mac>. (Employees should check with their physicians prior to starting any exercise program.)

Revised 2020

LIBRARY PRIVILEGES

The Rockhurst University Greenlease Library holdings are available to all staff; a Rockhurst University ID card is required for checking out materials. Other academic libraries in the area are also available to employees by using the Rockhurst University ID card.

MEAL POINTS

Staff may purchase meal points to be used in the Thomas More Dining Center and onsite restaurants. Points, which operate as a declining balance account and offer the benefits of convenience and avoiding sales tax, can be purchased in Rockstop (Student Accounts/Registrar/Financial Aid).

PARKING

Rockhurst University provides on-campus parking for students, staff, faculty, and visitors in designated parking areas. The University is not responsible for any damage to, theft from, or theft of vehicles parked on University property. These things are the sole responsibility of the vehicle owner or operator. Vehicles parked in violation of the University's Parking Policy may be ticketed, towed away, or immobilized at the owner's expense. The University is not liable for damage to a vehicle resulting from towing or immobilization.

The University recommends that drivers take every reasonable precaution to prevent theft and vehicle damage. Such measures include, but are not limited to:

- Do not leave your keys in your car.
- Close all vehicle windows (including sunroof).
- Lock all vehicle doors.
- Refrain from leaving valuables such as purses, laptops, or backpacks containing valuables in plain sight.
- Do not leave your car running and unattended, even for short periods of time.
- Park in University-designated areas only.
- When choosing where to park, particularly near the athletic fields, be mindful of the potential risk of accidental damage due to batted or kicked balls.
- If a theft or vehicle damage occurs while parked on University property, contact Rockhurst University Campus Security for reporting and investigative purposes.

University Parking Registration & Fees

In order to build new parking lots as well as maintain our current lots, the University charges a parking fee from September through May for the Troost Campus. The fee may be deducted from employee paychecks from September through May on a pre-tax basis pursuant to the deduction authorization each staff member should complete in August each year. Employees parking at the Westport Campus are not charged a fee.

In order to pick up your parking tag, employees first need to complete the online registration process and fill out the form on Paycom for the pre-tax payroll deduction process or for a one-time deduction, fill out a registration form located at <https://forms.rockhurst.edu/security/parking>. Once this is completed, employee should take the registration form to Campus Security, located on Troost and 54th Street at the main entrance of the campus. In turn, the employee will be given a hang tag which should be placed in the vehicle whenever the car is parked on campus.

Revised 2020

Acknowledgement and Receipt of Employee Handbook

The Employee Handbook may be found on the Rockhurst University Intranet at. This employee handbook, issued February 2021, supersedes all previous employee handbooks.

I have received the directions to access the electronic version of the handbook and understand that I am to read and become familiar with its contents. If I have questions, I understand that I should direct them to my supervisor or Human Resources. I may print a copy of the employee handbook or I may request a copy from the Human Resources Office.

Further, I understand that:

- This handbook is not intended to, nor does it create promises or representations of continued employment. Absent a written contract signed by the employee and the appropriate dean and/or University officer, every employee has an at-will relationship with Rockhurst University. This means I am free to resign my position at any time, just as Rockhurst is free to terminate my employment, for any reason or no reason, with or without cause or use of corrective counseling, at any time.
- This handbook represents a summary of the more important guidelines at the time of publication and is not intended to be all-inclusive. This information can and will change from time to time to reflect changes in the operation of the University. I understand that should the content in this handbook be changed in any way, Rockhurst University will notify me of such changes and will make replacement pages available.
- In all instances, the benefit plan documents, trust documents and master contracts, as appropriate, are the governing documents. The employee handbook, personnel policies, benefit plan documents, any trust agreements, or master contract are not employment contracts.
- Apart from our policy of At-Will employment and those policies required by law, Rockhurst University may change its policies or practices at any time, with or without prior notice. I understand Rockhurst University may terminate employment at any time with or without notice.
- Further, I understand that this document will become a part of my personnel file.

Employee Name (Print)

Employee Signature

Date

After signing and dating this acknowledgement form, please give to Human Resources for inclusion in your personnel file.