

University of the Ozarks Employee Handbook

January 1, 2024*

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University of the Ozarks
Employee Handbook/Policy Guide
Section 100: Overview
Policy 101: Nature of the University of the Ozarks Employee Handbook
Applicability: All

Welcome to University of the Ozarks (the “University”). This handbook serves to acquaint all employees with the University and provide the human resource policies and procedures governing employment at the University. Employees are expected to read, understand, and comply with all provisions of the handbook.

University of the Ozarks is incorporated in the State of Arkansas as a 501(c)(3) private, charitable, non-profit corporation. As set forth in the University’s Articles of Incorporation and Bylaws (Art. III, Secs. I and II, respectively), the University is owned and operated by a duly constituted body corporate and politic under the name and style of the “Board of Trustees of the University of the Ozarks” (the “Board”). It is the responsibility of the Board to: determine the Mission of the University; establish strategic direction; oversee financial resources and other assets; select and evaluate the President; and set and approve institutional policies and procedures. The Board of Trustees is vested by law with all the powers and authority to govern effectively and set policy for the University in accordance with all applicable laws of Arkansas and the United States of America. All property purchased, donated, bequeathed, or otherwise acquired by the University shall be deemed to be held in the name and for the use of the “Board of Trustees of the University of the Ozarks,” with full power to sell, control, and manage the same for the benefit of the University.

No policy in this “Employee Handbook” or any other “Handbook” or document describing procedures, policies, protocols, guidelines, etc., may be construed to supersede or compromise the Board’s authority and ownership of the University.

A copy of the handbook will be on file in the office of the Director of Human Resources and on the University website. The policies in this handbook apply to all faculty and staff, unless indicated otherwise. This handbook supersedes all prior versions of the University’s Employee Handbooks, including the Faculty Handbook, the Administrative/Professional Staff Handbook, and the Support Staff Handbook.

The policies stated in this handbook are subject to change at the sole discretion of the University. This handbook will be revised periodically to provide employees with up-to-date information resulting from changes in policies and procedures. No employee handbook can anticipate every circumstance or question about University policy. The University reserves the right to interpret, modify, change, or delete any policies contained in the handbook anytime in its sole discretion.

Any revisions to handbook policies or procedures will be available on the University website as soon as approved by the appropriate process, and employees will be notified of the update via email. The version of the handbook contained on the University website will always supersede any printed version.

If an employee has any questions regarding the policies contained in this handbook, contact the Director of Human Resources in person at the Mabee Administration Building, by phone 479-979-1224, or by email humanresources@ozarks.edu.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Overview
Policy 102: Mission Statement
Applicability: All

The Mission Statement

True to our Christian heritage, we prepare students from diverse religious, cultural, educational, and economic backgrounds to live life fully.

All employees are expected to uphold the mission of the University. The University has defined Christian Heritage to mean:

Service

At University of the Ozarks, we call one another to offer sustainable, life-affirming service to all we contact. We strive, as well, to offer our service with generosity and joy so that it can be received as a gift. We strive to ensure that our energies are spent wisely in the service of all of creation.

Justice

Members of the University of the Ozarks community are called to right injustice. We are committed to engaging with the diversity in our local areas and in the larger world and speaking out when we find mistreatment of any living individual or group. To this end, we seek the courage to look around ourselves, ahead of where we are, and beyond our nearest horizons.

Growth

We are committed to the personal development of all members of the University of the Ozarks community, as well as the communal development of our University and its spirit. We seek to assist one another in identifying our academic, spiritual, personal, and institutional vocations and pathways.

Hospitality

Having been blessed with a beautiful campus, surrounded by ample opportunities to experience the natural environment, we are called to welcome all who visit us, especially those who one might consider outsiders. Our campus and our lives are enriched by guests who enrich our community with new life and new possibilities.

Honesty

University of the Ozarks is a place of communal living – we learn as a community in our academics, we live together in the residence halls, we work together in our offices and conference rooms. In order for our community to flourish, we are called to participate in truth-telling. Owning up to our own mistakes and gently reminding others of ways in which they can do better are essential to building and maintaining our community.

Sabbath

At the heart of the week, members of the University of the Ozarks community stop in a spirit of worship, of jubilee, and of rest and discernment. The importance of this Sabbath is to replenish our souls so that we can finish the race ahead of us mindful of our callings to service, justice, growth, hospitality, and honesty.

University of the Ozarks commits its administration, faculty, staff, students, and programs to the fulfillment of its mission.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Overview
Policy 103: Church Relationship
Applicability: All

The University is related to the Presbyterian Church (U.S.A.) in a voluntary covenant with the Synod of the Sun. In keeping with that covenant, the University proclaims God's love and seeks to foster both love of God and love of neighbor, including respect for the dignity of each person.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Overview
Policy 104: Diversity Statement
Applicability: All

The University is committed to diversity. The University's first priority is the education of students who come to the University from diverse religious, cultural, educational, and economic backgrounds. Guided by our Christian heritage and the values of lifelong learning, community, and respect, the University is mindful of diverse points of view and of what it means to be an academic community working for social integrity. The University honors human dignity, equality, and differences that include, but are not limited to, religion, age, class, gender, physical abilities, learning differences, sexual orientation, race, and ethnicity.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Overview
Policy 105: Historical Statement
Applicability: All

History of Ozarks

University of the Ozarks has a long and tremendously rich history. Founded in 1834 by Cumberland Presbyterians two years before Arkansas became a state, Ozarks is the oldest institution of higher education in the Arkansas-Oklahoma Territory and one of the oldest west of the Mississippi River. As an institution born literally on the frontier of education in America, necessary hallmarks of her history and of Ozarks today include large doses of courage, resiliency, and a steadfast dedication to young men and women seeking an education.

Across this sweep of time Ozarks has found herself an active participant in many aspects of American history, and a *maker* of history in both Arkansas and our nation. Her existence spans not only Arkansas' statehood, but the Civil War, World Wars I and II, and the Korean and Vietnam Wars, not to mention the many economic and social upheavals that have played a part in the shaping of America. She has borne witness to the industrial revolution, women's suffrage, the Great Depression, the Civil Rights Movement, and the Great Recession.

In the face of all these things, Ozarks' frontier spirit has shone brightly. The college was burned during and just after the Civil War, being occupied at various times by either Union or Confederate troops. Yet within the next 13 years, the College rebounded to become the first school in Arkansas to admit women in 1875. During World War II, Ozarks served as a training center for the U.S. Navy and Air Force. In 1957, at the same time the Central High Crisis was tearing the Little Rock school system apart just 90 miles to the southeast, Ozarks became the first predominantly white college in Arkansas to admit African-Americans as undergraduates. Ozarks doubled down on her commitment to diversity just six years later when she became the first institution of higher education in Arkansas to integrate varsity athletics. In 1971, two decades before the Americans with Disabilities Act (ADA), Ozarks established the Ben D. Caudle Learning Center (known today as the Harvey and Bernice Jones Learning Center), the first program of its kind in the nation for students working to achieve their educational dreams while coping with learning disabilities.

Thanks to the philanthropic support of its educational mission by thousands of caring donors, Ozarks over the 1980s, 1990s, and throughout the early years of the 21st century transformed its human and physical resources in extraordinary ways. Massive fundraising campaigns over the last twenty years have served to vastly improve the quality of life for University employees and students alike.

Today Ozarks is again setting the pace by modeling the delivery of high quality, Christian, higher education while holding down the cost for students and families. One of many examples

is the launch of the Frontier Scholarship Program in 2017, coming on the heels of five years without **any** increase in the cost of an Ozarks education. Clearly, the principled pursuit of her Mission has always been Ozarks' guide star. Today, employees of Ozarks proudly, yet humbly, carry on this legacy of educational service, striving always to pass a brightly burning torch to the next generation of those who will educate our students.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Overview
Policy 106: Campus
Applicability: All

The University is located in Clarksville, Arkansas, a town of approximately 9,600 people and the county seat of Johnson County. Clarksville is in the Arkansas River Valley, 65 miles east of Fort Smith and 105 miles west of Little Rock on Interstate 40. The tree-shaded campus, consisting of 50 acres, is laid out along a central mall. Located on College Hill on the north edge of town, it affords an excellent view of the Ozark Mountains, which, along with its great oaks and maples, give a distinctive air to the campus. The campus includes the following buildings:

BAGWELL-JONES HALL (2000) provides living space for 20 upper-level students. It features home-style kitchen, dining, and living room spaces. Second floor rooms feature vaulted ceilings and balconies. Ground level rooms open onto patios.

BOREHAM-ALEXANDER TENNIS CENTER (2018) provides eight NCAA competition-grade tennis courts available for use by varsity athletics, students, and the Clarksville-area community. The courts are used for match competitions, tournaments, and recreation.

BOREHAM BUSINESS BUILDING (1996), a 23,872 square foot facility, houses the Division of Business and includes classrooms, study rooms, conference rooms, and computer labs.

CARY-WORTZ HALL (2000) provides living space for 20 upper-level students. It features home-style kitchen, dining, and living room spaces. Second floor rooms feature vaulted ceilings and balconies. Ground level rooms open onto patios.

HARVEY AND BERNICE JONES LEARNING CENTER (1989) provides a broad range of academic support services for students, including those with specific learning disabilities, AD/HD, and Autism Spectrum Disorder.

HURIE FIELD (1929) provides soccer, softball, and baseball fields.

KING RESIDENCE HALL (1971), renovated in 1999, provides living quarters for 157 first-year students. It features both lounge and recreational facilities.

L. S. AND HAZEL C. ROBSON LIBRARY (1996), a 37,833 square foot facility has vast digital information repositories with over 100 online databases giving access to over 200,000 e-books, houses a collection of over 100,000 books, 10,000 microform units, 10,000 bound periodicals, and 200 current periodical subscriptions. The library building also houses the Chapman Innovation Hub, the University Bookstore and Student Post Office, 24-hour study room/computer labs, and Campus Perks, the University coffeehouse.

MABEE ADMINISTRATION BUILDING (1963), formerly Dobson Memorial Library, was renovated in 1997 to provide administrative space for the University Executive Officers, Office of Administrative Services (Accounting, Financial Aid, and Student Accounts), Admissions, Advancement, Alumni, Human Resources, Institutional Effectiveness, and Marketing and Public Relations.

MABEE SPORTS COMPLEX (1958), renovated in 1972, 1987, 2003, and 2014, includes office space for the University's athletic staff, an athletic weight room, practice space for wrestling and cheer/STUNT, locker rooms, and a basketball court with a seating capacity of 2,200.

MACLEAN RESIDENCE HALL (1927), renovated in 2001 and 2019, provides living quarters for 184 upper-level students, a large formal lounge, and a kitchen. Many rooms are arranged in suites for two students, with the bedrooms connected by a central living space.

MUNGER-WILSON MEMORIAL CHAPEL (1933) was fully renovated along with construction of the WILSON FAMILY CHAPEL PLAZA in (2016) and is the center of religious life on the campus. The Chapel hosts worship services, religious exercises, concerts, matriculation, baccalaureate, and other official ceremonies. It also houses The Great Hosanna, a thirty-five rank Reuter pipe organ.

SEAY STUDENT CENTER (1966) was enlarged and renovated in 1996 to house Ozarks' student affairs offices, and food service. It was further expanded and renovated in 2010-11 to include remodeled and updated student dining facilities, a conference center, a fitness center, an aerobics area, and dressing rooms. In 2021, the Eagle's Nest was renovated to function as a rotating restaurant with 21 different restaurant types. The Student Engagement space was also updated and revitalized.

SMITH RESIDENCE HALL (1964), remodeled in 2000, provides co-ed living quarters for 80 freshman students. It features lounge facilities, a kitchenette, and many rooms that can be arranged as suites.

Thomas and Frances Wilson Science Center (2022), formerly named SMITH-BROYLES SCIENCE CENTER (1969), renovated in 1996, 2010. It houses the Division of Natural Sciences and Mathematics and includes classrooms, laboratories, conference rooms, seminar rooms, study and collaborations spaces for students and faculty, and a greenhouse. The renovation included the addition of a new wing, more than doubling its original square footage to a 46,000 square foot facility.

TRUSTEE HALL (2011), provides living space for 20 upper-level students. It features home-style kitchen, dining, and living room spaces. Second floor rooms feature vaulted ceilings and balconies.

VOORHEES HALL (1940), renovated in 1988 and 2004, is adjacent to campus and housed the state's first fully accredited School of Pharmacy

WALTON FINE ARTS CENTER (1987) houses the Division of Humanities & Fine Arts. This 76,000 square foot facility includes Seay Theatre, Rowntree Recital Hall, a black-box theatre, the Stephens Gallery, and classrooms.

WALKER HALL (2002), a 36,000 square foot facility, houses the Pat Walker Education Department in the Wiley Lin Hurie Teacher Education Center, and facilities for digital radio, television, and video production.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Overview
Policy 107: Accreditation
Applicability: All

The University is accredited by the Higher Learning Commission (<http://www.hlc.org>).

The Pat Walker Teacher Education Program at the University is currently accredited by the Council for the Accreditation of Education Preparation (CAEP) (caepnet.org). This accreditation covers undergraduate teacher preparation programs at the University.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Overview
Policy 108: Administrative and Organizational Structure
Applicability: All

Ownership and ultimate control of the University rest with the Board of Trustees (the “Board”). The Board delegates, as it sees fit, the day-to-day administration and operation of the University to the University President. The officers of the University, as set forth in the University’s Bylaws, include the President, Chief Academic Officer, Vice President for Finance and Administration and Chief Financial Officer (CFO), and such other officers as the President may establish or designate with approval of the Board (e.g., Vice President for Advancement, Vice President for Marketing and Enrollment, and/or other academic leadership). Along with the Chief Academic Officer and CFO, the “President’s Staff” often includes the institution’s top administrators/managers in enrollment marketing and management, fundraising and advancement, governance, and institutional effectiveness. The President may request any member of the faculty or staff to join the group at any time if they have knowledge or expertise that might inform any particular matter and thus enhance the quality of executive decision-making. The membership of the President’s Staff team may vary from time to time, at the President’s discretion, or in response to various circumstances such as the resignation or retirement of a member of the team.

In the absence of the President, the President’s Staff can meet and make appropriate and necessary institutional decisions as directed by the President or the Board.

Matters of faculty governance or academic policy requiring institutional action flow to the President and President’s Staff through the Chief Academic Officer’s office (or directly to the President in the absence of a Chief Academic Officer). Matters of faculty governance or academic policy requiring Board approval flow through the Chief Academic Officer and/or the Governance Committee liaison to the President and, after appropriate vetting, on to the Board.

University of the Ozarks
Employee Handbook/Policy Guide
Section 200: Employment
Policy 201: At-Will Nature of Employment Policy
Applicability: All

Nothing in this handbook, nor any other communication by a University representative or any other employee (except as provided below), whether oral or written, is intended to in any way create either an express or implied contract of employment and/or employment for a definitive period. With the limited exception of certain rights enjoyed solely by tenured faculty members, employment with University of the Ozarks is “at-will,” which means that employment with the University is voluntary and may be terminated by the employee or the University at any time, with or without cause, and with or without notice, for any reason (or no reason at all) not expressly prohibited by law.

With the limited exception of handbook policies related to tenure, verbal or written statements contrary to “at-will” employment are invalid and should not be relied upon by any prospective or existing employee. However, nothing in this policy shall prohibit a qualified member of the President’s Staff, from entering into an employment agreement for a specified period of time or making an agreement of employment contrary to the foregoing.

All new employees are issued an offer letter containing the details of the employment relationship between the employee and University of the Ozarks. By signing this Letter of Employment, the employee agrees to abide by the terms of the letter and all University policies and procedures as currently written or amended, including but not limited to the current employee handbook. To be valid, any changes to employment status must be communicated via email by a supervisor and/or a qualified member of the President’s Staff to Human Resources and require approval by the President. The change is then confirmed to the employee via email from the Director of Human Resources.

This handbook supersedes all prior versions published or distributed by the University and all inconsistent oral or written statements.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Employment
Policy 202: Employee Searches and Hiring Process
Applicability: All

All processes of hiring an employee for University of the Ozarks should be managed by the President's Staff Level Administrator for the job area in coordination with the Director of Human Resources. When a new position or vacancy is created, the President's Staff Level Administrator should contact the Director of Human Resources and start a Request for Job Advertisement/Position form, which will describe the details of the position (position being replaced or new, job description/advertisement, applicant search area, and anticipated employment start date and salary range).

All funds used to announce vacancies, solicit applicants, and conduct candidate searches are managed by the Director of Human Resources. All expenditures related to recruiting and hiring must be pre-approved by the Director of Human Resources.

1. The Request for Job Advertisement/Position form must be approved by the appropriate President's Staff member, the President, and the Director of Human Resources before it becomes an authorized search. When the search is properly authorized, the Director of Human Resources will release the job to be posted on the University's website and advertised with other media as deemed appropriate by the Director of Human Resources. Both internal and external applicants will be asked to submit at least the following: a letter of application, résumé, and contact information for three references. All job applications will be collected by the Director of Human Resources and an electronic Job Search Folder will be created. This Job Search Folder will be the official file for the complete search and should have all information related to the job search, including applicant review criteria, interview questions and notes, and processes saved in the folder.
2. The President's Staff Level Administrator will work with the Director of Human Resources to form a search committee to complete the task of selecting a new employee. The Director of Human Resources must meet with each Search Committee and review the search process and a budget amount for the search. Once the Director of Human Resources has met with the search committee, access to the Job Search Folder will be authorized for the search committee members to review the applications. According to a schedule and manner determined by the search committee and consistent with the job advertisement, the committee will review all submitted applications, conduct preliminary interviews of selected applicants, and determine a list of finalists. Reference checks will be made as appropriate. The Search Committee Chair and Director of Human Resources will decide which and if all finalists may be issued an invitation for a final interview.

The interview arrangements and agenda for campus meetings will be made in conjunction with the search committee chair and approved by the Director of Human Resources.

3. The agenda for on-campus interviews will be arranged so there is a maximum opportunity for the search committee and others to judge and provide feedback regarding the relevant abilities and qualifications of each invited candidate. The schedule should include:
 - Meeting with the search committee;
 - Meeting with the appropriate President's Staff member (if the President's Staff member is not a member of the search committee);
 - Meeting with the President or his/her designee;
 - Meeting with the Director of Human Resources; and
 - Meeting with Director of JLC and SSS if applicable.

Meetings with members of the faculty and students and teaching demonstrations may also be appropriate for the candidate and included on the schedule.

4. The University reserves the right to contact the current or most recent employer and any past employer of any candidate and to investigate past employment records.
5. At the conclusion of the finalists' campus visits, the search committee will submit their recommendations on each finalist to the Director of Human Resources. Each recommendation will consist exclusively of one of the following three determinations:
 - Recommend to hire with preference;
 - Recommend to hire; or
 - Do not recommend to hire.
6. Upon consideration of the search committee's recommendations and after consultation with the University President and the Director of Human Resources, the President's Staff member will determine to whom to offer the position. The Request for Job Advertisement/Position form will be completed with the offer information and must be approved by the President's Staff member, the President and the Director of Human Resources before any offer can be made. The Search Committee chair or President's Staff member can initiate a call to the selected applicant that an offer of employment may be forthcoming, but the only binding offer for employment will come from the Director of Human Resources via email, after the approval as referenced above. When the applicant accepts the offer, the Director of Human Resources will process a background check.

7. The Director of Human Resources will notify the appropriate President's Staff member after a clear background check is received and initiate an offer letter and Job Description for the position. The Director of Human Resources will reach out to the successful candidate to begin the employment process. The candidate must provide official transcripts upon request.
8. Upon receipt of the signed Letter of Employment, the Director of Human Resources will notify the chair of the search committee to advise all remaining applicants that the position has been filled.

The University reserves the right to withdraw or re-advertise a position if it is deemed that applicants for the position do not constitute an adequate pool, or for any other reason.

The Office of Public Relations, following written (electronic or otherwise) authorization by the Director of Human Resources, may make an official announcement of the hiring of any individual. A selected applicant is not to be introduced/announced until the background check is completed, the Letter of Employment is executed, and approval given by the Director of Human Resources. The Director of Human Resources may make a formal announcement of hiring when necessary and as appropriate.

The Director of Human Resources will retain all documents related to the search process. Résumés, letters of application, and references submitted in the application process will not be returned to applicants. Specialized materials may be returned upon request. University of the Ozarks relies on the accuracy of information contained in the employment application or résumé, as well as any other data presented throughout the hiring process and during employment. Any misrepresentation, falsification, or material omission in any of the information or data provided during the application process may result in exclusion of the individual from further consideration for employment or, if the person has been hired, termination of employment at University of the Ozarks.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Employment
Policy 203: Background Check / Criminal History Policy
Applicability: All

The University requires applicants and employees to undergo background screening following a conditional offer of employment. The University will consider the applicant or employee's job duties, among other factors, when determining whether the applicant or employee satisfactorily completed the background check. All information obtained as a result of a background check will be used solely for employment purposes. All background checks comply with the Fair Credit Reporting Act, and other applicable federal and state laws and regulations.

Confidentiality

All background check information will be kept confidential to the extent permitted by law and in a manner consistent with the University's policies. Background investigation records will be maintained as part of a confidential file in the office of the Director of Human Resources as part of the employment personnel files. Violation of the confidentiality requirements set forth in this policy is grounds for discipline, up to and including termination of employment.

Criminal Convictions

Every employee must inform their supervisor within five (5) business days if convicted of a crime (not including minor traffic infractions). Reporting convictions is applicable to all employees in all circumstances. Failure to report a conviction within five business days may be grounds for disciplinary action, up to and including termination.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Employment
Policy 204: Employment Classification
Applicability: All

Each University of the Ozarks employee is designated as either exempt or non-exempt based upon the classification of job description and job duties.

Exempt employees are excluded from specific provisions of federal and state wage and hour laws. They are exempt from overtime pay for extra hours worked. Exempt employees must track and record all vacation, if applicable, and sick leave time taken.

Non-exempt employees are eligible for overtime for each hour worked per week in excess of 40 at a rate of time and one/half their regular rate of pay. Non-exempt employees must track and record all hours worked and leave taken. Fractional hours worked are credited to the nearest quarter hour increment. University of the Ozarks' work week begins at 12:00 a.m. on Thursday and ends at midnight on the following Wednesday.

Any work that would result in overtime must be pre-approved by the employee's supervisor. In accordance with federal law, time off on sick leave, vacation leave, University holidays, or any leave of absence will not be considered hours worked for purposes of overtime calculations.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Employment
Policy 205: Types of Appointments
Applicability: All

All job descriptions will state the type of appointment of the job. The appointment determines the employee's eligibility for benefits offered by University of the Ozarks. Types of appointments are as follows:

- Full-time, exempt and non-exempt, twelve-month appointment, July 1 to June 30 (eligible for all benefits);
- Full time, exempt and non-exempt, ten-month appointment, usually July 15 to May 15 or August 1 to May 31 (eligible for all benefits except vacation);
- Full-time, exempt and non-exempt, academic year appointment, generally mid-August to mid-May (eligible for all benefits except vacation, time off follows academic schedule);
- Part-time exempt (eligible for selected benefits); and
- Part-time, non-exempt (eligible for selected benefits if work week averages 30 hours or more per week in a year).

University of the Ozarks
Employee Handbook/Policy Guide
Section: Employment
Policy 206: Faculty Appointment Types
Applicability: Members of the Faculty

Adjunct Faculty

Adjunct faculty are part-time, exempt status employees of the University who are appointed by the Chief Academic Officer, upon consultation with the Director of Human Resources, to teach specific courses in an academic term. The number of load hours taught by an adjunct instructor may not exceed nine within the same semester. Adjunct instructors do not assume the responsibilities for curricular oversight or faculty governance that belong to most full-time members of the faculty.

Instructors

Instructors are full-time, exempt status members of the faculty who teach up to 15 load hours per semester in their appointed academic programs. Due to their teaching loads, they are exempt from committee service and academic advising.

Visiting Faculty

Visiting faculty are full-time, exempt status members of the faculty who are appointed by the Chief Academic Officer, upon consultation with the and the Director of Human Resources, to teach courses in an academic program for a term of no more than two consecutive years. A member of the visiting faculty must be in possession of a terminal degree in an appropriate academic discipline. Visiting faculty members are not eligible for tenure, but they may be appointed at any rank depending on their professional achievements or rank attained at other institutions. Visiting faculty may be appointed to teach as many as 15 load hours per semester and are exempt from committee service or other obligations of full-time faculty.

Faculty of Practice

Faculty of practice are full-time, exempt status members of the faculty who assume similar obligations for teaching, institutional service, and professional development as their tenure-track colleagues, but who are not eligible for tenure because they do not possess a terminal, accredited degree in the academic discipline of their appointed program. Faculty members of practice may be eligible for promotion pursuant to the requirements detailed in Policy 411. At the direction of the Chief Academic Officer, faculty of practice may be appointed to tenure-track status after earning a terminal degree in the academic discipline of their appointed program.

Tenure-Track Faculty

Tenure-track faculty are full-time, exempt status members of the faculty who may apply for tenure after a specified probationary period. Usually, this probationary period extends through the first six years of teaching after the tenure-track faculty member's initial hiring, though shorter or longer probationary periods may be determined by the Chief Academic Officer. Possession of a terminal degree from an accredited institution is usually required for a faculty member's tenure-track appointment, though exceptions may be made at the discretion of the Chief Academic Officer.

Tenured Faculty

Tenured faculty are those full-time, exempt status members of the faculty who have been awarded tenure by the Board of Trustees, under terms and conditions detailed elsewhere in this handbook.

Faculty Emeriti

Faculty emeriti are those retired or retiring members of the full-time faculty whose status is officially recognized by the Board of Trustees following approval and recommendation by the University President. In order to gain approval from the President, a candidate for faculty emeritus status must be nominated in writing to the President by a current member of the full-time faculty and must have completed at least ten years of distinguished service to the University. Faculty emeriti do not retain salaries or insurance benefits from the University, but they are given University identification cards and have access to campus services and privileges that are shared by University faculty.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Employment
Policy 207: Faculty Program Appointments
Applicability: Faculty

Appointments to Major Programs

Members of the faculty are appointed to serve particular academic major programs in which they are credentialed (by degree and/or documented, tested experience) according to the standards of the Higher Learning Commission. All members of the faculty, except those noted in Policy 206, have responsibilities within their appointed programs for curricular development, academic advising, and program assessment. Beyond the level of their appointed program, faculty members are supervised and evaluated within their larger academic division. A faculty member's placement in an academic division is determined by the divisional placement of their appointed program.

Dual Appointments

Certain members of the faculty may receive dual appointments to serve two major programs in which they are credentialed. In such cases, even if the dual appointee's programmatic responsibilities appear to be equally divided, one appointment must be designated as the primary appointment, and the other as the secondary appointment. The dual appointee's placement in an academic division is determined by the divisional placement of their primary appointed program. This is not a qualitative distinction intended to diminish the importance of the secondary appointment; a dual appointee exercises full curricular authority and responsibility within the secondary appointment. Rather, it is an administrative distinction intended to assure that one division is ultimately responsible for administering to the faculty member's needs. In the event that a dual appointee's primary and secondary programs are housed in different divisions, the terms of any necessary exchange of resources or information for administrative purposes shall be arranged by the Chief Academic Officer.

Appointments to Minor Programs

Unless otherwise noted, faculty members also serve the minor academic program that correlates with their appointed major program. In rare cases, a properly credentialed, full-time faculty member may be appointed to serve a minor academic program that does not align exclusively with a particular major program. Interdisciplinary minor programs are overseen (in curriculum and assessment) by full-time faculty whose credentialed academic disciplines are represented within those minor programs. Larger administrative decisions on those interdisciplinary minor programs fall under the purview Chief Academic Officer.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Employment
Policy 208: Faculty Workload
Applicability: Faculty

Academic Year

Full-time members of the faculty are expected to fulfill their academic teaching load on or about August 15 through about May 15 of the next calendar year; specific dates for the opening and closing of each semester as well as all scheduled holidays are noted on the pertinent academic calendar available through EagleNET on the University website.

Teaching Load

The teaching load for full-time members of the faculty during the academic year is defined in terms of faculty load hours (FLH). For courses designated as lectures (LEC), one faculty load hour is designated for each 50 minutes of weekly class time throughout a 16-week semester; for example, a 16-week lecture course that meets 150 minutes per week earns 3 FLH, as does an 8-week lecture course that meets 300 minutes per week.

Courses designated as laboratories (LAB) are those that provide technical and experiential instruction to students as a means to supplement the instruction that those students are receiving in a correlated lecture course. For faculty instructors of laboratory courses taught in conjunction with a lecture course (such as those in Biology, Chemistry, and Physics), .75 of a FLH is designated for each 50 minutes of weekly laboratory time throughout a 16-week semester. For faculty instructors of courses taught entirely in laboratory settings, which generally have two 50-minute meetings per week throughout a 16-week semester (such as laboratory courses in Art and Physical Education), .75 of a FLH is designated for each 50 minutes of weekly laboratory time throughout a 16-week semester.

Courses designated as ensembles (ENS) are those that require auditioned or non-auditioned students to attend rehearsals and performances at designated times throughout a semester, while also requiring students to engage in out-of-class preparations. For faculty instructors of ensemble courses, one FLH is designated for every 150 minutes of scheduled class time per week throughout a 16-week semester.

For faculty instructors of courses designated as private lessons (PRI), one FLH is designated for every three weekly 30-minute lessons taught throughout a 16-week semester.

For faculty supervisors of credited internships or other credited courses designated as practica (PRA), provided those practica take place off-campus, one FLH is designated for every three half-semester practica. If the duration of the practicum varies from half-semester, the FLH is pro-rated accordingly. For faculty supervisors of student teachers, one FLH is designated for every two 12-week student teachers. Faculty supervisors of student-teachers and other practica

noted above should visit with their students at least three times during the scheduled duration of the practicum in question.

Faculty members do not receive designations for FLH for those credited courses that they teach or supervise on schedules arranged at their own discretion.

Other Responsibilities

While 24 FLH per academic year is considered a full teaching load for full-time members of the faculty, a full teaching load does not comprise the total of a faculty member's obligations for full-time employment. As noted in Policy 403, full-time members of the faculty also assume other obligations for faculty governance, curricular development, and assessment. They are also expected to assume other responsibilities to the University and its educational mission, particularly in the areas of teaching, institutional service, and professional development. The terms of those additional assignments are determined annually through discussions between faculty members, and the Chief Academic Officer.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Employment
Policy 209: Job Description
Applicability: All

The job description is a formal document summarizing an employee's job, identifying the duties and responsibilities, skills and abilities, qualifications, and requirements; it also serves as a basis for the performance evaluation of a specific position within the University. It provides the classification of employment, supervisor's name and position, and the most current date of issue or revision. The job description serves as a guideline for an employee's job duties. Each employee will receive a current job description along with an offer letter. Both must be signed and acknowledged by the supervisor, qualified President's Staff Level Administrator, Director of Human Resources, and employee.

It is the responsibility of the applicable qualified President's Staff Level Administrator or Director to ensure all positions under their supervision have a written job description and employees are kept up to date on any changes and revisions to the job description. Any updates or changes to a job description are to be communicated to, recorded by, and approved by the Director of Human Resources.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Employment
Policy 210: New Employee
Applicability: All

New employees should report to the Director of Human Resources on or before their first day of employment to complete paperwork and review benefit enrollment information. Employees must present appropriate documentation to prove their identity and ability to work legally in the United States in order to begin work. All employees will be required to sign a confidentiality agreement. They will be directed to the Department of Public Safety to be issued a University ID, parking tag, and any keys needed. The Information Technology Department will assign employees a University email address, login information, and necessary equipment upon notice of hiring. Non-exempt employees will be given a login ID for the time clock system used to record hours worked each day. If at any time during employment, an employee has any questions regarding their employment, they must contact their supervisor or the Director of Human Resources.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Employment
Policy 211: Employee Orientations and Training
Applicability: All

Orientation

University of the Ozarks conducts a new employee orientation at the start of each Fall and Spring semesters for all employees hired in the last 12 months. All new employees are required to attend. The orientation includes:

- An overview of the mission, core values, and history of the University;
- An introduction to the different areas and operations of the University; and
- An overview of the University's policies, procedures, and benefits.

The University may conduct intermittent orientation sessions at its discretion.

Training

Periodically, the University may require employees to participate in workshops, seminars, or presentations involving major changes in policy or on subjects where attendance and participation are necessary requirements for renewal of policies.

The University will schedule training and workshops in its sole discretion so as to limit disruptions to the University workforce. All faculty, staff, and administrators are expected to attend such trainings or workshops, as a condition of employment, unless expressly excused by the Director of Human Resources in writing.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Employment
Policy 212: Faculty Mentors
Applicability: Faculty

A single Faculty Mentor is appointed annually by the Chief Academic Officer, after discussion with the prospective Faculty Mentor, to ensure the Mentor's agreement to take on this University service. This appointment is for one (1) academic year only. The Faculty Mentor works with a cohort of the new full-time faculty for that year to explain University processes and address any issues and concerns the new faculty may have both individually and collectively as they move into the Ozarks community. It is expected that the Faculty Mentor will bring together all new faculty several times over the year for meals or excursions as a group to visit local sites (Crystal Bridges Museum of American Art, Mt. Magazine State Park, etc.) after consultation with the Chief Academic Officer.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Employment
Policy 213: Employee ID and Keys
Applicability: All

A University ID card is issued by the Department of Public Safety to a new employee upon notice of employment. The ID card will grant access to the building in which an employee's job is located. ID cards will also be used for the following:

- Access to Library materials;
- Admission to athletic events;
- Use of recreational facilities and equipment;
- Admission to various campus programs; and
- Purchasing meals in the cafeteria.

Employees will be assigned keys needed for access to their work areas. The employee's Supervisor will initiate a key request for the building keys.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Employment
Policy 214: Employment Records
Applicability: All

University of the Ozarks maintains employment files on each employee. The employment file includes information related to hiring, promotion, salary changes, evaluations, benefit renewals and changes, discipline, and termination. Employment files are maintained by the Director of Human Resources.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Employment
Policy 215: Nepotism Policy
Applicability: All

University of the Ozarks permits the employment of an immediate family member of an employee as long as such employment does not, in the opinion of the University, create a conflict of interest. For purposes of this policy, "immediate family member" is defined as a spouse, partner, child, parent, sibling, grandparent, grandchild, aunt, uncle, niece, nephew, first cousin, corresponding in-law, "step" relation, or any member of the employee's household. The University may consider, amongst other considerations, the following guidelines when determining whether to employ a current employee's immediate family member:

- Individuals who are related by blood or marriage, or who reside in the same household, are permitted to work in the same University department, provided no direct reporting or supervisor-to-subordinate relationship exists. No employee is permitted to work within "reporting lines" when one relative's work responsibilities, salary, hours, career progress, benefits, or other terms and conditions of employment could be influenced by the other relative. In a case where direct supervisory responsibility of a family member would normally occur, all supervisory responsibility, including annual evaluation, salary determination, and work assignments, will pass to the next highest level of supervision.
- Employees who marry while employed or become part of the same household while employed are treated in accordance with these guidelines. If, in the opinion of the University, a conflict of interest arises as a result of the relationship, one of the employees may be transferred to a different department at the earliest practicable time or may be separated from employment.

These guidelines apply to supervisor and subordinate relationships between employees and work-study students who may also have a family relationship.

Employees have a responsibility to inform their supervisor when a new relationship develops that could create a conflict of interest. Any exceptions to this policy must be approved in writing by the Director of Human Resources. The President shall report any exception of this policy to the Board at least annually.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Employment
Policy 216: Employee-Student Relationship
Applicability: All

Employees are prohibited from engaging in romantic and/or sexual relationships with students. Such relationships inherently create a conflict of interest between the employee's professional responsibilities and personal relationship, the appearance of impropriety, and legal risk for the University. This prohibition extends even to those relationships in which a student expressly and voluntarily consents to the relationship.

Employees are expected to exercise care in their interactions with students. The University reserves the right to determine in its sole discretion, and in any circumstance, whether an employee has violated this policy.

Notwithstanding the foregoing, if such a relationship occurs, employees must disclose the relationship to the Director of Human Resources so that the matter can be resolved.

This policy does not affect or replace the University's sexual harassment policies, or any policies related to anti-discrimination or harassment in the workplace.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Employment
Policy 217: Applying for Other Positions within the University
Applicability: All

When positions become open at the University, current employees may apply and be considered for those positions.

University of the Ozarks

Employee Handbook/Policy Guide

Section: Employment

Policy 218: Discipline (and Corrective Action), Suspension and/or Termination of Employment

Applicability: All

University of the Ozarks promotes a productive and professional work environment by expecting all employees to:

- Perform adequately in the job;
- Follow the rules and expectations established by the department or supervisor;
- Follow the policies of the University and the law;
- Act with honesty and integrity; and
- Respect the rights of others in or related to the work environment, including direct or indirect interactions in any medium of communication. Failure to meet these expectations may result in disciplinary action including suspension and/or termination.

Examples, without limitation, of actions or behaviors that might result in disciplinary action, including suspension and/or termination, include the following (these examples in no way compromise, qualify, or alter the University's employment-at-will policy [Policy 201]):

- Conviction of a felony or entering a plea of *nolo contendere* to a felony;
- Entering into a plea bargain which reduces a charge from a felony to a misdemeanor;
- Entering into a diversion agreement in connection with a felony charge, or being convicted of any crime or entering into any plea agreement in connection with a charge of child, domestic, or elder abuse;
- Leveraging employment at the University, and the resources and platform that employment provides, to teach for other institutions or hold other outside employment in ways that are competitive with the University, create a conflict of interest, are unfair to other members of the campus community, or which might otherwise compromise the quality of education at Ozarks, as determined by the University in its sole discretion;
- Falsification of employment information or professional qualifications or achievements;
- Conduct which obstructs the University's mission or violates any of the core values of the University's Christian heritage as outlined in Policy 102;
- Documented professional incompetence;
- Neglect of duty;
- Flagrant disregard for the standards of academic freedom as set forth in Policy 1107;
- Violation of any University policy related to anti-discrimination and anti-harassment; and
- Any attempt to censor, threaten, bully, or otherwise intimidate another member of the University community who is acting in good faith, consistent with the standards of academic freedom, and the requirements for student enrollment and/or faculty/staff employment with the University.

Violation of any of the above, or other infractions, may lead to disciplinary action. All imposed discipline, up to and including suspension and/or termination, is intended to correct or modify an individual's conduct, to deter such conduct on the part of others, and/or to protect the rights of the University and everyone working at, or associated with, the University.

Discipline may take the form of verbal or written warnings, suspension with or without pay, or termination of employment. An employee may also be suspended with or without pay during any investigation of possible misconduct. All disciplinary action may take into account the seriousness and frequency of the offense, the employee's past record (including work history and earlier disciplinary record), and the circumstances surrounding the particular case. The University reserves the right to impose, in its sole discretion, any particular level of discipline depending on the circumstances. The foregoing in no way compromises or qualifies the University's employment-at-will policy (Policy 201). However, for tenured faculty members only, the University extends certain rights related to disciplinary action as set forth in Policy 408.

Consultation with the appropriate President's Staff Level Administrator and the Director of Human Resources should occur before issuing a suspension or termination.

When disciplinary action occurs, including cases involving tenured faculty members, supervisors are expected to take appropriate and timely disciplinary action in response. Inaction by a supervisor does not excuse an employee's violation of University policy. Further, a supervisor's failure to respond appropriately to a violation of University policy may result in disciplinary action being administered against the supervisor, up to and including termination of employment.

All disciplinary actions, including verbal ones, should be thoroughly documented. Such documentation must articulate to the disciplined employee what behavior needs to be corrected, what measures must be taken to correct unacceptable behavior, what opportunities (if any) will be provided to correct the situation, and what the consequences are of continued improper conduct or inadequate performance. The employee should be given a copy of the documentation and should be asked to sign that they received it. Again, the foregoing in no way compromises or qualifies the University's employment-at-will policy (Policy 201).

Employees are encouraged to make reports of suspected violations of this policy. Such reports should be made to the appropriate President's Staff Level Administrator or the Director of Human Resources. Each report should be as detailed as possible. The University will investigate the suspected violation(s) and determine what action should be taken.

The University will not tolerate retaliation, coercion, intimidation, discrimination, or harassment against any employee who makes a good-faith report of suspected violations of this policy. An employee who believes he or she has been retaliated against as a result of making report, or for providing information related to a report, must notify the University immediately using the same reporting channels described above so that the University can take appropriate action. Any person who engages in retaliatory actions will be subject to discipline, up to and including termination of employment.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Employment
Policy 219: Resignation/Retirement
Applicability: All

Staff

Staff members wishing to terminate their employment relationship with University of the Ozarks are expected to give notice of their planned departure date. The notice is to be signed and dated by the employee and given to the employee's supervisor, President's Staff Level Administrator, and the Director of Human Resources. However, nothing in this policy modifies or changes a staff member's at-will employment and the University may expedite the separation at its discretion.

Employees that do not provide notice of a voluntary resignation may not be considered for re-employment.

Faculty

Members of the faculty may resign or announce their retirement from their appointments with the understanding that their resignation or retirement will usually take effect at the end of the academic year. Written notice of a faculty member's intention to resign or retire must be provided to the Chief Academic Officer and Director of Human Resources no later than December 31 of the current academic year. However, nothing in this policy modifies or changes a faculty member's at-will employment status, if applicable, and the University, in its sole discretion, may expedite a faculty member's separation in accordance with University policy.

Employees that do not provide notice of a voluntary resignation may not be considered for re-employment.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Employment
Policy 220: Exit Process
Applicability: All

Upon notification of an employee's resignation, retirement, or involuntary separation, the Director of Human Resources will notify Department of Public Safety, Information Technology, and the appropriate departments of the termination of employment.

In most cases, the Director of Human Resources will conduct an exit interview on or before the last day of employment to discuss final pay and information regarding benefits continuation through Medical Continuation provided by the Board of Pensions. The departing employee is responsible for leaving all information and records related to their work in good order. All University property in the possession of the departing employee shall be turned in by the employee on, or before, the last day of employment to the Department of Public Safety. This will include:

- University I.D. Card;
- All University issued keys;
- University laptop and/or iPad (if applicable);
- University credit card (if applicable);
- University cell phone (if applicable); and
- Any other University-owned property.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Employment
Policy 221: Re-employment
Applicability: All

A former employee seeking re-employment with the University will be required to indicate previous University employment on their application. Former employees terminated involuntarily will not be considered for re-employment. Similarly, employees that do not provide notice of a voluntary resignation may not be considered for re-employment.

University of the Ozarks
Employee Handbook/Policy Guide
Section 300: Compensation
Policy 301: Pay Periods and Pay Dates
Applicability: All

All exempt employees are paid on a monthly basis, with remuneration disbursed on the last working day of each month.

All non-exempt employees are paid semi-monthly, (the 15th or last working day before the 15th and the last working day of the month). Time worked is tracked on a two- (2) or three- (3) week period ending the Wednesday before the processing of payroll.

The annual salary amount for faculty is disbursed over a twelve- (12) month period, beginning July 1st and ending June 30th. Faculty leaving employment at the end of the academic year will receive their final payroll and benefit distribution at the end of June. For faculty leaving employment prior to completing an academic period, the salary will be prorated for time completed for the academic period.

Employees are encouraged to receive their payroll via direct deposit. Employees should provide direct deposit information at the time of hire with the Director of Human Resources. Employees will receive a copy of their payroll voucher through their Employee Center on NetSuite. Employees should contact Human Resources if they have trouble accessing their payroll voucher.

Any questions regarding payroll should be discussed with an employee's supervisor and/or the Director of Human Resources.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Compensation
Policy 302: Safe Harbor Policy
Applicability: All

It is the University's policy and practice to compensate employees in compliance with all applicable federal and state laws.

The University makes every effort to ensure employees are paid appropriately. Employees are encouraged to review their pay voucher when received to ensure all hours worked are compensated for and all compensation and deduction amounts are correct. If an employee believes a mistake has occurred with either the amount or computation of pay, they must contact the Director of Human Resources immediately so the University can correct any errors.

Exempt Employees

Employees classified as exempt will receive a salary, which is intended to compensate for any hours worked for the University. This salary is established at the time of hire or upon the classification of an employee as exempt. In addition, the University will not make deductions from salary that are prohibited under the Fair Labor Standards Act (FLSA).

Non-exempt Employees

Employees classified as non-exempt will be compensated at an hourly rate based upon the number of hours worked for the pay period. Non-exempt employees are required to maintain an accurate record of total hours worked, as well as any absences, late arrivals, early departures, or lunch breaks. Each non-exempt employee's time sheet record will be reviewed and approved by their supervisor at the end of each pay period prior to the processing of payroll. Non-exempt employees are prohibited from performing "off-the-clock" work. "Off-the-clock" work is defined as work performed but not reported on an employee's timesheet. Any employee who fails to report or inaccurately reports any hours worked will be subject to disciplinary action, up to and including termination.

Employees with questions about deductions from their pay must contact the Director of Human Resources. If an employee believes they have been subject to any improper deductions or their pay does not accurately reflect hours worked, they must immediately report the matter to the Director of Human Resources so that the University can correct any error(s) to the employee's pay. If an employee has not received a response from the Human Resources Director or the Payroll Department within five (5) business days after reporting the discrepancy, the employee must immediately contact the Vice President for Finance and Administration.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Compensation
Policy 303: Payroll Deductions
Applicability: All

In processing payroll, the University will withhold all required payroll deductions such as:

- Federal income tax (based on the information completed on an employee's W-4);
- State income tax (based on the information completed on an employee's W-4);
- Social Security and Medicare tax (FICA); and
- Deductions requested by court order (garnishment, child support, bankruptcy).

An employee may request the following additional deductions:

- Tax-deferred contribution to the employee's retirement account;
- Section 125 Cafeteria Plan Medical, Dental, Vision and Voluntary Insurance Premiums;
- Flexible Spending Account for Medical or Dependent Care;
- Health Savings Account Contributions;
- Gifts to the University of the Ozarks Annual Fund, Endowment, or other University-approved fund; and
- Monthly rental fee for University-owned housing.
- Purchase of block meal plans from Food Service

University of the Ozarks**Employee Handbook/Policy Guide****Section: Compensation****Policy 304: Federal Insurance Contributions Act (FICA), Federal and State Taxes****Applicability: All**

All employee wages are subject to Social Security's Old-Age, Survivors, Disability Insurance (OASDI) and Medicare tax if they are engaged in covered employment. The amount required to be withheld from the employee's check is matched by the University as required by federal law. For example (as the rate may float with changes in federal law), the current FICA rate is 7.65% of qualified wages for both the employee and the employer. The deduction from employee earnings and the amount contributed by the University along with any Federal and State Withholding taxes are deposited to the credit of the employee with the Federal and State governments according to their respective regulations. For further details, the employee should contact the Director of Human Resources.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Compensation
Policy 305: Payroll Advances
Applicability: All

Under extreme circumstances, an employee may request, and the Vice President of Finance and Administration will consider, an advance on future earnings. The employee requesting the advance must submit the request in writing to the Director of Human Resources. If approved, the advance will be issued by check in as timely a manner as possible. The employee will be notified when the check is ready for pickup. When picking up the check, the employee must sign an agreement that the entire advance will be deducted from the employee's next payroll allocation.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Compensation
Policy 306: Unemployment Compensation
Applicability: All

In certain circumstances, University employees may be eligible for unemployment compensation benefits. The State of Arkansas' Division of Workforce Services administers this program. There is no direct cost to the employee for this benefit. The University pays the actual costs incurred through the state's unemployment claims system, if applicable.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Compensation
Policy 307: Employee Salary Increases
Applicability: All

The University's annual budget process will establish funds available, if any, to fund a salary pool to be allocated as pay increases to the University's employees. Salary pool allocations are usually effective January 1 of each year. Employees will receive notification of any individual allocation of the salary pool in mid-December preceding the effective date of allocation.

Employees who are hired in the last quarter of the year, e.g., on or after October 1 or within the preceding three (3) months prior to the salary pool increase effective date, are not eligible for a pay increase.

University of the Ozarks
Employee Handbook/Policy Guide
Section 400: Evaluations
Policy 401: Evaluation Purpose
Applicability: All

Employees will receive a formal review from their direct supervisor at least once every twelve (12) months, except for tenured faculty members who undergo formal reviews in accordance with Policy 412. Evaluations serve two purposes: (1) to provide feedback to the employee and the University in order to promote the growth and professional development of the employee and (2) to provide a basis for personnel decisions. Job descriptions (Policy 209) must be on file for all employees and will be reviewed annually at the time of evaluation to ensure they are current. Job descriptions are to serve as reference points for evaluations.

Some evaluation processes require a self-evaluation, and self-evaluations by an employee may be required to inform and improve any given evaluation process. Supervisors assess self-evaluations with at least the same expectation for honesty and integrity expected of University students. Accuracy, thoroughness, and measurable performance are fundamental expectations of the self-evaluation. The length of any given self-evaluation is not necessarily an indicator of acceptable job performance. Blatantly misleading, incomplete, and/or inaccurate self-evaluations may be grounds for disciplinary action, including suspension and/or termination.

While evaluations may involve re-directive or disciplinary elements, their primary purpose is intended to be constructive for both the employee and the University. They are not intended to take the place of disciplinary action (e.g., verbal and written warnings, suspension, and/or termination) as described in Policy 218. When disciplinary action occurs, including cases involving tenured faculty members, supervisors are expected to take appropriate and timely disciplinary action in response. Inaction by a supervisor does not excuse an employee's violation of University policy. Further, a supervisor's failure to respond appropriately to a violation of University policy may result in disciplinary action being administered against the supervisor, up to and including termination of employment.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Evaluations
Policy 402: Staff Evaluations
Applicability: Staff

Evaluation Process

Evaluation forms are to be completed by an employee's immediate supervisor. There are two (2) standard forms a supervisor can use for the evaluation: a performance evaluation for exempt employees and a personnel review form for non-exempt employees. These forms may be supplemented with addenda customized to the area or position. Some factors to be considered in the evaluation, along with the current job description, include dependability, quality and quantity of work, fiscal responsibility and stewardship, student outcomes (as they relate to the employee's job duties), interpersonal skills, and conduct. When the supervisor has completed the evaluation form, the supervisor and employee will meet and review the evaluation. The supervisor and employee will discuss goals and areas for future performance development. Employees can add any written comments to the evaluation form. Both the employee and the supervisor will sign and date the evaluation form acknowledging that they have each reviewed it. The evaluation form will be reviewed by the President's Staff Level Administrator of the employee's department and will become part of the employee's personnel file.

Opportunity for Written Response

Employees may address information in their evaluations by writing to their second level supervisor within one (1) week of receipt of the evaluation from their immediate supervisor. The second level supervisor will review the initial evaluation form and the employee's written response to the evaluation. A copy of the employee's written response will be given to the immediate supervisor. There may be an additional opportunity to discuss the feedback with all parties involved. The written response will be placed with the initial evaluation and become part of the performance evaluation documentation. However, a written response does not modify or otherwise alter an immediate supervisor's performance evaluation of the employee. Rather, a written response is merely an employee's opportunity to disagree with all or some of a supervisor's evaluation.

Evaluation Timetable

The supervisor, in consultation with the Director of Human Resources, will schedule annual departmental evaluations to coincide with the most appropriate time to evaluate a specific department's or area's achievements in relation to goals outlined (e.g., athletic coaches at the end of season, admissions staff after fall enrollment, advancement staff after year-end fund-raising results, etc.).

University of the Ozarks
Employee Handbook/Policy Guide
Section: Evaluations
Policy 403: Areas of Faculty Evaluation
Applicability: Faculty

Faculty members are distinguished by their academic expertise and their dedication to sharing their knowledge and experience with students. The University provides its faculty members with resources and freedom to encourage them to engage meaningfully with students and other University employees. Additionally, the University requires faculty members to comport themselves in a conscientious manner that upholds the University's mission and dignifies other members of the University community. It is incumbent upon faculty members of all appointment types to abide by the policies noted in the Employee Handbook, and to take part in formal evaluations of their employment at the University as outlined in Policy 405.

Full-time instructors and visiting faculty are evaluated by the Chief Academic Officer as exempt employees as outlined in Policy 401.

Tenured faculty, Tenure-track faculty, and Faculty of Practice are held to distinct standards of evaluation that include the following minimal expectations of full-time faculty employment:

- Participation in curricular development within appointed academic program(s);
- Participation in academic assessment activities within appointed academic program(s);
- Attendance at scheduled meetings of appointed academic division;
- Attendance at scheduled meetings of Faculty Senate;
- Attendance at mandatory faculty workshops;
- Attendance at ceremonies for the matriculation and graduation of students; and
- Timely compliance with requirements for periodic evaluation.

Faculty members should work continually to exceed these minimal expectations and to assist the University in the fulfillment of its mission. While effectiveness of teaching remains the primary responsibility of the University's faculty members, that responsibility is inseparable in many ways from their responsibilities to share in academic governance and to improve themselves professionally as scholars and educators.

The University therefore evaluates most of its full-time faculty members (Faculty of Practice, Tenure-track, and Tenured) in the three (3) areas of teaching, institutional service, and professional development. Faculty members have unique strengths and experiences, and they contribute to the University in unique ways. They also evolve over the course of their careers to take on new interests and responsibilities. For these reasons, it would be imprudent to hold faculty members to a single, uniform standard for each of these three (3) areas of evaluation. All Faculty of Practice, Tenure-track faculty, and Tenured faculty nevertheless should be held accountable in their evaluations to engaging themselves in each of these three (3) areas, as defined below.

Teaching

Evaluations give consideration to factors such as: the faculty members' design and/or redesign of courses; the quality and originality of student assignments; grading of and feedback on student work; range of pedagogical skills; accessibility to students; and commitment to academic rigor.

Institutional Service

Evaluations give consideration of the ways in which faculty members support the co-curricular and extra-curricular development of their students such as: their participation in voluntary campus programs and events, their sponsorship of student organizations, and/or their work as academic advisors; their service on University committees or in positions of University leadership; service as peer evaluators or faculty mentors; extra-curricular scholarship and/or creative work that explicitly relates to the University and serves its institutional well-being; and voluntary service that enhances the University's relations with the local community.

Professional Development

Evaluations give consideration to faculty members' efforts at continual growth in scholarship, their academic vocation, and contributions to the greater academic community including, but not limited to, activities such as: publications, presentations, exhibitions of creative work, consultations, peer reviews, and/or leadership in professional organizations; documentable pursuit or completion of additional academic credentials; and registered participation in professionally relevant symposia, clinics, and/or workshops.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Evaluations
Policy 404: Evaluation of Part-Time Faculty
Applicability: Part-Time Faculty

Adjunct faculty or other faculty who teach on part-time appointments will be evaluated at the end of each semester by the Chief Academic Officer who oversees the pertinent academic program of instruction. The evaluation will be submitted to the Chief Academic Officer and the Director of Human Resources within 15 days of the end of the term on the standard performance evaluation form for exempt-status employees as explained in Policy 402.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Evaluations
Policy 405: Annual Faculty Evaluations and Reports
Applicability: Full-Time Faculty

Evaluation by Chief Academic Officer or Designee

All full-time faculty members, except those with tenure or those who are undergoing any of the evaluative reviews outlined in Policies 406, 407, 409, or 411 are evaluated each academic year by the Chief Academic Officer or designee. This evaluation will be a comprehensive, written assessment of the faculty member's job performance based upon a review of course materials, graded assignments, and at least one (1) classroom observation. The completed evaluation will be submitted to the evaluated faculty member and to the Office of the Chief Academic Officer. The evaluated faculty member may submit to the Chief Academic Officer a written response to the evaluation within one (1) month of receiving the evaluation. A copy of the evaluation along with any written response will be submitted to the Director of Human Resources, where it will be kept for inclusion in the faculty member's application file for their next review by the Professional Affairs Committee.

Annual Faculty Reports

All Tenure-track faculty, Tenured faculty, and Faculty of Practice are required to complete an annual report on a template available under Policies & Forms on EagleNET at the end of each fall semester. The completed reports shall be submitted by faculty to the Chief Academic Officer by January 15 of the following year. In the report, faculty members must provide information on their achievements in teaching, institutional service, and professional development over the previous calendar year, and describe their intended activities in those or other professionally relevant areas for the upcoming calendar year. These reports are designed to be a valuable means of reflection and self-evaluation for faculty, and also as points of reference to aid the Chief Academic Officer. During the spring semester the Chief Academic Officer will meet with each faculty member to review the annual faculty report for the previous year.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Evaluations
Policy 406: Peer Evaluations
Applicability: Full-Time Faculty

Peer evaluations are variations of the annual faculty evaluation described in Policy 405 that pertain specifically to Tenure-track faculty or Faculty of Practice who are in their first and second years of employment. In this process, new faculty members are paired with more seasoned faculty members. The seasoned faculty members administer evaluations of the new faculty members' course design and classroom instruction.

Assignment of Peer Evaluators

At the beginning of a new faculty member's first semester of employment, the Chief Academic Officer will assign a Peer Evaluator (PE) who will be trained in the specified criteria for classroom observation. Ideally, the PE will be a tenured faculty member or a promoted faculty member of practice from within the new faculty member's appointed division, but exceptions may be made at the discretion of the Chief Academic Officer. The assigned PE ordinarily will serve for both years of the peer evaluation process, though re-assignments may be made at the discretion of the Chief Academic Officer.

Criteria for Peer Evaluations

By April 1 of each year, the PE will submit to the new faculty member and to the Chief Academic Officer a written evaluation of the new faculty member's teaching effectiveness that will be based upon the PE's review of course materials, graded assignments, and at least one (1) classroom observation conducted according to specified criteria. The evaluation should also include the PE's more general observations about the new faculty member's adjustments to the academic and professional culture of the University. In the second year's evaluation, it is understood that these observations will extend more directly beyond teaching and further into the areas of University service and professional development that will become more important to the new faculty member's subsequent evaluations and reviews. The new faculty member has the opportunity to respond in writing to the PE's evaluations; responses should be submitted to the PE and to the Chief Academic Officer by no later than April 15 of each year.

Follow-up Discussions

By no later than May 15 of each year of the peer evaluation, the PE will meet with the Chief Academic Officer to either discuss expectations for the following year's review or to share information that will help the Chief Academic Officer advise the new faculty member in preparing for his or her third-year review in accordance with Policy 407 below.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Evaluations
Policy 407: Third-Year Faculty Reviews
Applicability: Full-Time Faculty

In the third year of their appointments, all appointed tenure-track faculty and Faculty of Practice will undergo a formal review of their cumulative employment at the University by the Professional Affairs Committee (PAC); see Policy 1305 for a description of the PAC.

Purpose

The third-year review is designed primarily to be a formative and instructive experience for third-year faculty members, one that encourages self-reflection and open recognition of their achievements, challenges, and aspirations. In submitting to these reviews with all due diligence, they can expect from a committee of their colleagues the kind of honest and directive feedback that will assist their continued growth as faculty members and strengthen their future candidacies for tenure and/or promotion.

Preparation and Submission of Review Files

All faculty members required to stand for third-year reviews will be notified in writing by the Chief Academic Officer before May 1 of the second year of their appointment; this communication will also instruct faculty on the guidelines and deadline for the submission of their review files. Faculty members scheduled for review will be responsible for assembling and submitting their own review files to the Chief Academic Officer in electronic format (PDF and/or URL) by no earlier than September 1 and no later than October 1 of their third year of employment. The review file should consist of the following:

- A current curriculum vitae (c.v.);
- An opening letter of self-assessment addressed to the PAC that summarizes the faculty member's general sense of their achievements, challenges, and aspirations as a member of the University faculty;
- A section that summarizes and provides evidence to demonstrate the faculty member's proficiency in teaching, as outlined in Policy 403;
- A section that summarizes and provides evidence to demonstrate the faculty member's contributions in institutional service, as outlined in Policy 403; and
- A section that summarizes the faculty member's ongoing scholarly and professional development, as outlined in Policy 403.
- A copy of each year's peer evaluation (outlined in Policy 406) including any responses written by the evaluated faculty member; and
- Copies of course evaluations for every University course taught up to that point by the faculty member under review.

Compilation and Submission of Administrative Files

The administrative file for a faculty member's third-year review will be compiled and submitted by the faculty member's previous year Dean. It will be submitted in electronic format (PDF) to the Chief Academic Officer by no earlier than September 1 and no later than October 1 of the review year.

The administrative file will consist of a Dean's letter addressed to the PAC that provides an overall assessment of the faculty member's strengths and/or deficiencies as a member of the University faculty. If the faculty member served under more than one (1) Dean, each Dean should provide a separate letter.

Once submitted or compiled, all candidacy and administrative files will be posted with access to the files restricted to members of the PAC and administrators with fiduciary responsibilities to the University. Anyone with access will uphold the strictest confidentiality.

Review by Professional Affairs Committee

In third-year reviews, the PAC is charged with careful reading and discussion of the files of each faculty member scheduled for the committee's consideration. Third-year review files should be discussed by the PAC after the PAC has concluded its scheduled review of that year's candidates for tenure and promotion. The members of the PAC will reach consensus on the message that they wish to communicate to the reviewed faculty member and will compose that communication in the form of a letter addressed to the reviewed faculty member and signed by the committee chair. Each letter should be an honest appraisal written in the spirit of constructive criticism and should use evidence from the files to support any commendations, concerns, or suggestions expressed within it. Each third-year review letter should be submitted by the committee chair in electronic (PDF) format to the Chief Academic Officer, who will meet with the reviewed faculty member to discuss its contents and will provide the faculty member and the Director of Human Resources with a copy. The Director of Human Resources will keep on file a copy of the review letter, which may be consulted by the PAC in future reviews of the faculty member in question.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Evaluations
Policy 408: Statement on Tenure
Applicability: Full-Time Faculty

Eligibility for Tenure

A faculty member with a tenure-track appointment is required to apply for tenure in the year stipulated by his or her personnel file. Ordinarily, application for tenure is submitted by a faculty member after a probationary period of six (6) academic years, though modifications to this probationary period may be made at the discretion of the President and Chief Academic Officer. A faculty member whose application for tenure is denied by the Board of Trustees may choose to serve the remainder of their annual appointment, which may be subject to renewal at the discretion of the Chief Academic Officer. A faculty member may not re-apply for tenure.

Tenure at University of the Ozarks

Tenure at the University is an honor, privilege, and responsibility granted exclusively by the Board of Trustees to those tenure-track faculty members who have demonstrated exceptional and enduring quality in their teaching, scholarship, and support for the University and its Board-approved mission of educational service. Tenure is both a way of honoring exceptional faculty performance and a means by which the University may attract and retain faculty members of high caliber. Tenure assures the faculty member that academic findings or utterance will not be circumscribed or directed by outside pressures, which could otherwise cost the faculty member's position. Tenure assures students and the public, who support and rely upon the faculty member's academic integrity, that the faculty member's statements are influenced only by the best professional judgment and not the fear of losing a job; tenure protects the faculty member against capricious dismissal.

At the University, tenured faculty members are regularly evaluated on a multi-year schedule consistent with Policy 412, rather than an annual schedule. An award of tenure provides different terms and conditions of employment as set forth in this policy but should not be construed as granting the employee a specified duration of employment with the University.

Tenure does not provide an employee with license to bully, threaten, or intimidate employees of the University, faculty or otherwise, who do not have tenure. Such behavior, or other actions or behavior described in this policy and Policy 218, may result in disciplinary action, up to and including termination, in accordance with the provisions set forth below (except in cases involving potential violations of Title IX, in which case the procedures set forth in Policy 1119 shall exclusively govern).

Dismissal of Tenured Faculty Members

The procedures set forth herein apply only to tenured faculty members.

All employees of University of the Ozarks, including tenured faculty members, agree to abide by Policy 218 and all other policies of the University that are related to their positions and roles as a University employee. Further, it is expected that tenured faculty will hold themselves to the highest degree of professional and ethical standards and that they will perform their job duties with the utmost care, consideration, scholarship, and professionalism. Occasionally, tenured faculty may not meet those standards, which can usually be remedied by normal University disciplinary processes (i.e., verbal warnings, written warnings, etc.). However, if the University and faculty member cannot remedy a problem, or if there is a problem requiring immediate action (as determined by the Chief Academic Officer and/or the President), tenured faculty members may be dismissed according to this policy.

A tenured faculty member shall only be dismissed under this policy in the following circumstances:

- Demonstrated incompetence in teaching, research, service, scholarship, or administration;
- Demonstrated dishonesty related to teaching, research, service, scholarship, or administration;
- Demonstrated neglect of duty or willful failure to perform the duties for which the faculty member is employed;
- Personal conduct that substantially impairs the individual's fulfillment of institutional responsibilities;
- Personal conduct that results in a criminal conviction or conduct that creates a conflict of interest;
- Falsification of information on employment application or other submitted information concerning qualifications for a position;
- Conduct which obstructs the University's mission or violates any of the core values of the University's Christian heritage as explained in Policy 102;
- As a result of financial exigency in accordance with University policy and procedure; and
- Significant violation of any policy in the Employee Handbook.

Dismissal Proceedings

Charges against a faculty member may be brought by the Chief Academic Officer independently, or upon the recommendation of the faculty member's immediate supervisor. To do so, the Chief Academic Officer shall communicate in writing the specific charge(s) and intent to dismiss to the faculty member, University President, Director of Human Resources, and Chair of the Professional Affairs Committee (PAC). Specific evidence substantiating the charge(s), including witness statements, documents, etc., should be included with the correspondence.

The faculty member may be suspended by the Chief Academic Officer during this process. The Chief Academic Officer shall notify the faculty member, University President, Director of Public Safety, and Director of IT in this event. Any such suspension shall be with pay and benefits.

The University utilizes the PAC to evaluate tenured faculty dismissal decisions. The PAC is responsible for evaluating charges, making inquiries, evaluating evidence, and consulting with and making a recommendation to the Chief Academic Officer and President regarding whether the tenured faculty member should be dismissed. Members of the PAC should disqualify themselves from evaluating a dismissal decision if a conflict of interest or personal bias with the faculty member exists. Alternate faculty members (selected by the Chief Academic Officer) shall replace any PAC member with such a conflict or bias.

The faculty member, within ten (10) business days of receiving the charge(s), may provide a written response to the Chief Academic Officer, with a copy to the Director of Human Resources and the Chair of the PAC. Such response should include any evidence the faculty member wishes the PAC to consider in its deliberations, including witness statements, documents, etc. If the faculty member does not respond by the established deadline, the faculty member will have waived their right to respond to the charge(s). Should the faculty member require additional time to respond, they may request additional time from the PAC, in writing. In its sole discretion, the PAC may grant one (1) extension to the faculty member, up to a maximum of three (3) additional business days.

Once the faculty member has submitted a response, or does not respond by the established deadline, the PAC shall have twenty (20) business days to complete the inquiry and present their findings in writing to the Chief Academic Officer, University President, tenured faculty member, and Director of Human Resources. During this time the PAC shall review the charges and evaluate the relevant evidence submitted by the University and faculty member, if any. In all cases, the PAC may consider relevant evidence submitted by the parties and shall not be restricted by the strict rules of legal evidence. In some cases, additional evidence may be requested and/or submitted by the parties at the discretion of the PAC during deliberation. In such cases, the non-submitting party (i.e., the University or faculty member) shall be provided with the submitted evidence shall be afforded an opportunity to submit rebuttal evidence. In no circumstance, however, shall the PAC allow or request submission of additional evidence if doing so would delay its recommendation as described below. The burden of proof that adequate reason for dismissal exists rests with the University and shall be satisfied by the evidence submitted to the PAC. All related information throughout this process will be held in the strictest confidence to protect the faculty member.

At the conclusion of the review period, the PAC will make a final recommendation which will be communicated in writing to the Chief Academic Officer, the University President, and the tenured faculty member. The recommendation shall contain a statement of the PAC's specific reasoning in support of its advice and recommendation.

The Chief Academic Officer shall make a final recommendation and shall notify the University President and the Director of Human Resources. Thereafter, the President shall review the Chief Academic Officer' and PAC's recommendations and any relevant evidence (if necessary) and shall make a determination regarding whether to retain, dismiss, or impose other disciplinary action against the faculty member. The President's decision shall be communicated in writing to the faculty member, the PAC, Chief Academic Officer, Director of Human Resources, and communicated to the Board of Trustees. If the faculty member is dismissed, termination will become effective on the date specified in the President's communication. In all cases, the President retains sole discretion over whether to follow the Chief Academic Officer' recommendation and the President's disciplinary decision cannot be appealed.

The Chief Academic Officer and the faculty member may terminate this process at any time if they agree upon a resolution of the charge(s). Notice of such a resolution must be signed by both parties and approved by the President. Upon such approval, the Chief Academic Officer will notify the Chair of the PAC, and the Director of Human Resources of the resolution. Details of the resolution shall not be included in the notice to the PAC.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Evaluations
Policy 409: Tenure Reviews
Applicability: Tenure-track Faculty

Preparation and Submission of Tenure Candidacy Files

By no later than May 1, the Chief Academic Officer will provide the University faculty with a list of those faculty members who are scheduled to apply for tenure in the following academic year. By no earlier than September 1 and no later than October 1, each scheduled faculty member will submit to the Chief Academic Officer an electronic (PDF and/or URL) version of their tenure candidacy file, which will consist of the following:

- A current curriculum vitae (c.v.);
- An opening letter of self-assessment consistent with Policy 401 and addressed to the PAC that presents and develops the candidate's primary arguments for an award of tenure (the strength and clarity of those arguments are incumbent upon the candidate);
- A section that summarizes and provides evidence to demonstrate the faculty member's excellence in teaching, as outlined in Policy 403;
- A section that summarizes and provides evidence to demonstrate the faculty member's excellence in institutional service, as outlined in Policy 403;
- A section that summarizes the faculty member's achievements in scholarly and professional development, as outlined in Policy 403; and
- A section that includes no more than three (3) letters or other demonstrations of support for the candidacy from professional colleagues and/or University employees.
- A copy of the letter written by the PAC for the candidate's third-year review;
- Copies of all other available administrative evaluations of the candidate as an employee of the University; and
- Copies of course evaluations for every University course taught by the candidate in the years since and including the year of their third-year review.

Compilation and Submission of Tenure Administrative Files

The administrative file for a faculty member's tenure candidacy will be compiled by the Chief Academic Officer in electronic format (PDF) by no later than October 1 of the candidacy year, and will consist of a Dean's letter addressed to the PAC that provides an overall assessment of the candidate's strengths and/or deficiencies as a member of the University faculty, with particular attention to the faculty member's merits for the honor of tenure and its prospect of long-term employment at the University. If the faculty member served under more than one (1) Dean, each Dean should provide a separate letter. Chief Academic Officer

Once submitted or compiled, all candidacy and administrative files will be posted with access to the files restricted to members of the PAC and administrators with fiduciary responsibilities to the University. Anyone with access will uphold the strictest confidentiality.

Review by the Professional Affairs Committee

The PAC will review and assess all candidacies for tenure according to a written schedule to be determined each year by the committee members and their elected Chair and provided to the University President and Chief Academic Officer. In reviewing the candidacies for tenure, members of the PAC will limit their deliberations and judgments to the evidence included in the candidacy and administrative files. Except in those incidents due to apparent technical problems or oversights, the committee may not request additional or clarifying information from the candidates or any of their supervisors or sponsors. When the committee has deliberated a candidacy for tenure to the satisfaction of all members present, the committee chair may call for a vote. The committee's recommendation to approve or deny the candidacy will be determined by majority vote of all members present. Tie votes will be construed as a deferral of the committee's decision until the time of a revote at the next scheduled meeting. A second tie vote on the same candidacy will be decided by the Chief Academic Officer. Upon a decisive vote, the members of the PAC will collaborate on a letter signed by the committee chair and addressed to the Chief Academic Officer that presents the committee's recommendation supported by evidentiary examples from the candidacy and administrative files. The PAC will respond in writing to any requests from the Chief Academic Officer for further explanation or clarification of its recommendations on a candidacy for tenure. A copy of the committee's letter to the Chief Academic Officer, including any subsequent clarifications, will be retained by the PAC until after the Board of Trustees' decision on the candidacy. After such decision, it will be submitted to the Director of Human Resources for inclusion in the candidate's personnel file.

Review by the Chief Academic Officer

Upon receipt of the PAC's recommendation on a tenure candidacy and the conclusion of their own review of the tenure candidate's files, the Chief Academic Officer will write a letter of recommendation to the University President to aid their decision on the candidacy. This letter will include a copy of the PAC's recommendation on the candidacy. A copy of the Chief Academic Officer's letter to the President will be retained by the Chief Academic Officer until after the Board of Trustees' decision on the candidacy. After such decision, it will be submitted to the Director of Human Resources for inclusion in the candidate's personnel file.

Review by the University President

Upon receipt of the recommendations from the PAC and the Chief Academic Officer and the conclusion of their own review of the tenure candidate's files, the President may send a recommendation to the Board of Trustees to aid in its decision on the candidacy. The President reserves the authority to deny a candidacy for tenure without presenting the candidacy for the Board's review, but the President is required to notify the Board in writing of any such denial. A copy of the President's recommendation or communication to the Board on any candidacy for tenure will be retained by the President until after the Board of Trustees' decision on the candidacy or its receipt of the President's decision to deny the candidacy. After such decision on receipt of communication the recommendation or communication will be submitted to the Director of Human Resources for inclusion in the candidate's personnel file.

Review and Decision by the Board of Trustees

At a regular meeting of the Board of Trustees (usually the Spring meeting), the Chief Academic Officer will present to the members of the Board's Committee on Academic and Student Affairs a synopsis of the President's recommendation on each candidacy for tenure presented in the current academic year, which will also include the recommendations made by the PAC and the Chief Academic Officer. The Board's procedures for vote on all candidacies for tenure will be determined by the Board's Governance Committee. The Board's vote on a decision for tenure will be final.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Evaluations
Policy 410: Statement on Faculty Promotions
Applicability: Faculty

Consistent with the traditions and practices of American higher education, all full-time faculty members of the University are appointed at a rank that informs the University's decisions on terms and expectations of their appointment. Unless otherwise authorized by the Chief Academic Officer in an initial letter of employment, members of the Tenure-track faculty or Faculty of Practice begin their University employment at the rank of Assistant Professor and may only assume subsequent ranks upon authorization of the Board of Trustees.

A faculty member may stand for promotion at the time allowed in their personnel file, but a faculty member scheduled for a promotion review may inform the Chief Academic Officer of their decision to defer the review until the following year. A faculty member may defer a review for promotion each year thereafter, at their own discretion. Promotion is not a right or obligation assumed by a faculty member according to number of years of employment. Rather, it is similar to tenure, an honor and responsibility granted in recognition of prolonged excellence and in expectation of sustained growth and productivity as a member of the University community. Except in the case of a denial of tenure, a faculty member who is denied promotion by the Board of Trustees may not stand again for promotion until the third academic year following denial.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Evaluations
Policy 411: Faculty Promotion Reviews
Applicability: Full-time Faculty

Criteria for Promotion to Associate Professor

In order to stand for promotion to Associate Professor, a faculty member must have a tenure-track appointment, and the terminal degree that such an appointment requires. Ordinarily, a tenure-track faculty member's candidacy for promotion to Associate Professor is presented as part of their candidacy for tenure, though the two candidacies may be treated separately by reviewers. The standards for both tenure and promotion to Associate Professor are similarly high, and candidates for promotion to Associate Professor should emphasize the ways in which they have surpassed the basic, minimal expectations for faculty employment as listed in Policy 403, giving particular attention to their achievements and progress in the time since their third-year reviews.

Criteria for Promotion to Associate Professor of Practice

A faculty member with an appointment of Assistant Professor of Practice may apply for promotion to Associate Professor of Practice no earlier than the sixth year of their full-time employment as a University faculty member. Since faculty members of practice are not eligible for tenure, the criteria for their promotion necessarily differ from those of candidates for promotion to Associate Professor. Candidates for promotion to Associate Professor of Practice should particularly emphasize the ways in which their achievements in teaching and institutional service have surpassed the minimal expectations for faculty employment as listed in Policy 403, especially if they lack the achievements in scholarship and professional development that are expected of tenure-track candidates for promotion to Associate Professor.

Documentable progress toward the completion of an accredited terminal degree in the faculty of practice member's appointed academic discipline may be counted as evidence in the area of professional development as explained in Policy 403. Candidates for promotion to Associate Professor of Practice should also emphasize their achievements and progress over the period of time since their third-year review. Associate Professor of Practice is the highest rank that may be held by a faculty member of practice, though a faculty member of practice may be granted a tenure-track appointment by the Chief Academic Officer upon the faculty member's attainment of an appropriate terminal degree.

Criteria for Promotion to Professor

Candidacy for promotion to the rank of Professor is reserved to those tenured faculty members who have completed at least six (6) years of continuous University appointment at the rank of Associate Professor. The standards for promotion to this highest faculty rank should be considered more exacting than those of the previous promotion. From the period since their previous promotion, a candidate must show evidence of sustained excellence in teaching, as

well as continued institutional service and professional development. Within the latter two areas, the candidate must show evidence either of significant, multi-year leadership experience in institutional service, or of published, peer-reviewed, or otherwise recognized scholarly/creative contributions to their academic discipline beyond the University.

Completion and Submission of Promotion Candidacy Files

For all promotions, procedures for the completion and submission of promotion candidacy files are the same. By no later than May 1, the Chief Academic Officer will provide all University faculty with a list of those faculty members who are scheduled to stand for promotion in the next academic year. By September 1, a faculty member who elects to defer their candidacy for promotion will notify the Chief Academic Officer of such decision in writing. By no earlier than September 1 and no later than October 1, each scheduled faculty member will submit to the Chief Academic Officer an electronic (PDF and/or URL) version of their promotion candidacy file, which will consist of the following:

- A current curriculum vitae (c.v.);
- An opening letter of self-assessment consistent with Policy 401 and addressed to the PAC that presents and develops the candidate's primary arguments for an award of promotion; the strength and clarity of those arguments are incumbent upon the candidate;
- A section that summarizes and provides evidence to demonstrate the faculty member's excellence in teaching, as outlined in Policy 403;
- A section that summarizes and provides evidence to demonstrate the faculty member's excellence in institutional service, as outlined in Policy 403;
- A section that summarizes the faculty member's achievements in scholarly and professional development, as outlined in Policy 403;
- A section that includes no more than three (3) letters or other demonstrations of support for the candidate's candidacy from professional colleagues and/or University employees.
- A copy of the letter written by the Professional Affairs Committee for the candidate's most recent review by the committee;
- A copy of the letter written by the Chief Academic Officer for the candidate's most recent post-tenure review, if applicable; and
- Copies of course evaluations for every University course taught by the candidate in the years since and including the year of their most recent PAC review or post-tenure review.

Compilation and Submission of Promotion Administrative Files

Procedures for the compilation and submission of promotion administrative files are the same for all candidacies for promotion. The administrative file for a faculty member's promotion candidacy will be submitted by the Chief Academic Officer in electronic format (PDF) by no later than October 1 of the candidacy year and will consist of a letter from PAC that provides an overall assessment of the candidate's qualifications for promotion.

Once submitted or compiled, all candidacy and administrative files will be posted and accessible only by members of the PAC and administrators with fiduciary responsibilities to the University. Anyone with access will uphold the strictest confidentiality.

Review by the Professional Affairs Committee

The PAC will review and assess all candidacies for promotion according to a written schedule to be determined each year by the committee members and their elected Chair and provided to the University President and Chief Academic Officer. In reviewing candidacies for promotion, members of the PAC will limit their deliberations and judgments to the evidence included in the candidacy and administrative files. Except in those incidents due to apparent technical problems or oversights, the committee may not request additional or clarifying information from the candidates or any of their supervisors or sponsors. When the committee has deliberated a candidacy for promotion to the satisfaction of all members present, the committee Chair may call for a vote. The committee's recommendation to approve or deny the candidacy will be determined by majority vote of all members present. Tie votes will be construed as a deferral of the committee's decision until the time of a revote at the next scheduled meeting. A second tie vote on the same candidacy will be decided by the Chief Academic Officer. Upon a decisive vote, the members of the PAC will collaborate on a letter signed by the committee Chair and addressed to the Chief Academic Officer that presents the committee's recommendation supported by evidentiary examples from the candidacy and administrative files. The PAC will respond in writing to any requests from the Chief Academic Officer for further explanation or clarification of its recommendations on a candidacy for promotion. A copy of the committee's letter to the Chief Academic Officer, including any subsequent clarifications, will be retained by the PAC until after the Board of Trustees' decision on the candidacy. After such decision, it will be submitted to the Director of Human Resources for inclusion in the candidate's personnel file.

Review by the Chief Academic Officer

Upon receipt of the PAC's recommendation on a promotion candidacy and the conclusion of their own review of the promotion candidate's files, the Chief Academic Officer will send a letter of recommendation to the University President to aid in their decision on the candidacy. The letter will include a copy of the PAC's recommendation on the candidacy. A copy of the Chief Academic Officer's letter to the President will be retained by the Chief Academic Officer until after the Board of Trustees' decision on the candidacy. After such decision, it will be submitted to the Director of Human Resources for inclusion in the candidate's personnel file.

Review by the University President

Upon receipt of the recommendations from the PAC and the Chief Academic Officer and the conclusion of their own review of the promotion candidate's files, the President may send a recommendation to the Board of Trustees to aid in its decision on the candidacy. The President reserves the authority to deny a candidacy for promotion without presenting the candidacy for the Board's review, but the President is required to notify the Board in writing of any such denial. A copy of the President's recommendation or communication to the Board on any candidacy for promotion will be retained by the President until after the Board of Trustees' decision on the candidacy or its receipt of the President's decision to deny the candidacy. After such decision or receipt of communication,

the recommendation or communication will be submitted to the Director of Human Resources for inclusion in the candidate's personnel file.

Review and Decision by the Board of Trustees

At a regular meeting of the Board of Trustees (usually the Spring meeting), the Chief Academic Officer will present to the members of the Board's Committee on Academic and Student Affairs a synopsis of the President's recommendation on each candidacy for promotion presented in the current academic year, which will also include the recommendations made by the PAC and the Chief Academic Officer. The Board's procedures for vote on all candidacies for promotion will be determined by the Board's Governance Committee.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Evaluations
Policy 412: Post-tenure Reviews
Applicability: Tenured Faculty

Each tenured faculty member is required to undergo a formal review by the University in the third year after the faculty member's award of tenure, and in every fifth year thereafter. The post-tenure review should not be construed as a means to diminish an earlier decision by the Board of Trustees on an award of tenure, but rather as a reflective and formative experience for longstanding members of the University faculty who, even well into productive and distinguished careers, may still benefit from the attention and advice of colleagues to help them engage new professional challenges, interests, or opportunities. A faculty member has the option to waive the post-tenure review if it is scheduled to occur during the final year before an announced retirement.

Preparation and Submission of Review Files

By no later than May 1, the Chief Academic Officer will provide the University faculty with a list of those faculty members who are scheduled for post-tenure review in the next academic year. By no earlier than September 1 and no later than October 1, each scheduled faculty member will submit to the Chief Academic Officer an electronic (PDF and/or URL) version of their post-tenure review file, which will consist of the following:

- a current curriculum vitae (c.v.);
- a letter of self-evaluation consistent with Policy 401 and addressed to the members of the Post-tenure Review Committee (PTRC) that discusses the faculty member's achievements, challenges, and aspirations in the areas of teaching, institutional service, and scholarship/professional development in the years since and including the year of the faculty member's last review;
- sample materials selected by the faculty member to support the primary contentions of the self-evaluation letter (these samples should address a similar range of materials to those suggested in Policies 407, 409, and 411); and
- copies of course evaluations for every University course taught by the reviewed faculty member in the years since and including the year of his or her their last review.

Preparation and Submission of Administrative Files

The administrative file for a faculty member's post-tenure review will be compiled and submitted in electronic format (PDF) to the Chief Academic Officer by no earlier than September 1 and no later than October 1 of the review year Chief Academic Officer. The administrative file will consist of a letter addressed to the members of the PTRC that provides an overall assessment of the reviewed faculty member's strengths and/or deficiencies as a member of the University faculty, with particular attention to the faculty member's ongoing opportunities for contribution and

development. The faculty member should provide a separate letter from the Chief Academic Officer.

Once submitted or compiled, all candidacy and administrative files will be posted with access to the files restricted to members of the PTRC and administrators with fiduciary responsibilities to the University. Anyone with access will uphold the strictest confidentiality.

Role of the Post-Tenure Review Committee

Post-tenure reviews are conducted by the members of the PTRC, as described in Policy 1305. The reviewers will collaborate on a letter to the reviewed faculty member that includes their assessment of the faculty member's performance as well as any suggestions or recommendations for future performance. The Chief Academic Officer will provide a copy of the letter to the reviewed faculty member and will meet in person with the faculty member to discuss its contents. A copy of the letter will be kept on file by the Director of Human Resources, and it may be consulted in the faculty member's next post-tenure review.

Plans for Remediation

If the faculty member is judged deficient by the post-tenure review, the PTRC will present a written plan of remediation for the reviewed faculty member. The faculty member's progress toward this plan will be assessed by the PTRC at the end of each of the next two semesters. If the faculty member is deemed continually deficient in the second of these assessments, they may be subject to procedures for additional remediation, suspension, or termination, at the discretion of the Chief Academic Officer and University President.

**University of the Ozarks
Employee Handbook/Policy Guide**

Section: Evaluations

**Policy 413: Evaluations and Directors Applicability:
Faculty**

Directors, as active members of the University's full-time faculty, are subject to all of the terms for professional evaluation and review that are explained in Policies 409, 411, and 412.

In their administrative roles, they are evaluated and reviewed by their supervisor in accordance with the procedures for staff evaluations that are explained in Policy 401 above. Additionally, as a part of the review process, Directors may be evaluated on their performance of supervisory duties. A failure to appropriately supervise direct reports may be used during the evaluation process and, if necessary, as a basis for disciplinary action, up to and including termination of employment. Further, the contents of Director evaluations may be used as evidence in their reviews as faculty members.

University of the Ozarks
Employee Handbook/Policy Guide
Section 500: Employee Leave Benefits
Policy 501: Holidays
Applicability: All Full-Time Employees

A holiday calendar is generated for each fiscal year in May of the preceding fiscal year. It is distributed to all employees via email at the time it is generated and at the beginning of the academic year. All full-time employees receive the paid holidays listed below.

- The week Independence Day falls on
- Juneteenth
- Labor Day
- Thanksgiving (Wednesday, Thursday, Friday)
- Christmas Eve through New Year's Day
- Good Friday
- Memorial Day

If a holiday occurs on Saturday or Sunday, it will be observed on the preceding Friday, or the following Monday as determined by the University. Employees are eligible for holiday pay immediately upon hire.

Holidays are recorded by non-exempt employees using the holiday job code and included in their compensable hours for the period. Holidays granted in accordance with this policy shall not be credited as time worked for the purpose of computing overtime.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Employee Leave Benefits
Policy 502: Vacation Leave
Applicability: All Full-Time Employees

The University provides paid vacation leave to all twelve- (12) month, full-time employees. All requests for vacation leave must be submitted by the employee via Employee Center in NetSuite. The time-off request is directed to the employee's supervisor for approval and recorded in the Time-Off Portal in NetSuite. Non-exempt employees must also document vacation leave on the Time Clock as vacation leave in the correct period. Time off granted in accordance with this policy shall not be credited as time worked for the purpose of computing overtime.

Beginning in fiscal year ("FY") 2019 (July 1, 2018) all eligible employees will, on July 1 of each fiscal year, receive a twenty- (20) day allocation of paid vacation days to be used over the course of the fiscal year. Employees hired after August 1 will receive vacation days on a prorated basis for the first year.

Employees will not be permitted to carry over any allocated but unused vacation and all allocated but unused vacation will be forfeited on June 30.

Vacation leave should be taken during periods when the employee's absence will least affect the work of the University. In cases where the University calendar limits the possible vacation periods, staff members may request vacation leave in excess of that actually allocated, provided they will receive an allocation within the next fiscal year. Employees with a negative vacation day balance at the time of separation of employment will have an amount equal to the unearned used vacation days deducted from their final paycheck. Vacation leave is allocated during absences covered by other types of leave described in this section, except during a leave of absence without pay.

Employees are encouraged to use allocated vacation days. No payments will be made in lieu of using vacation except upon separation. Employees are entitled to payment for all unused vacation time on their final paycheck. Payment for unused vacation will be prorated at a rate of 1.67 days per month for employees whose employment ends during a fiscal year.

Payment for unused vacation may not be provided in cases of involuntary separation from the University.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Employee Leave Benefits
Policy 503: Sick Leave
Applicability: All Full-time Employees

The University provides paid sick leave to full-time employees. Sick leave may be taken when sickness or injury prevents the employee's performance of duties or when a member of the employee's immediate family is ill. Immediate family includes the employee's spouse or domestic partner, child, and parents. Sick leave may also be used for medical, dental, or optical appointments.

An employee who must be absent from duty because of illness should notify their supervisor at the earliest practicable time. The employee should describe the nature of the illness and expected date and/or time of return to work. While a physician's certificate evidencing illness or disability is not required each time an employee does not report for duty because of illness or disability, the University reserves the right to require such a certificate from the employee's physician and/or a physician of the institution's choosing. It is the responsibility of the employee to request sick time using the NetSuite Employee Center. The request is then forwarded to the employee supervisor for approval and recorded in the Time-Off section on NetSuite.

Non-exempt employees will use the job code for sick leave to document time away from work as sick leave. Sick leave granted in accordance with this policy shall not be credited as time worked for the purpose of computing overtime.

Employees are eligible for fifteen (15) sick days per year, accrued at 1.25 days per month. A total of 130 days total can be accumulated by an employee. Cash payment for accumulated sick leave will not be made upon resignation, termination, retirement, or other separation from the University.

Holidays occurring during a paid sick leave period shall be paid as a holiday and not as sick leave. If an employee contracts an illness during a scheduled leave, the employee cannot substitute sick leave for any of the scheduled leave.

The University expressly prohibits all employees from using sick leave for vacation.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Employee Leave Benefits
Policy 504: Emergency Leave of Absence
Applicability: All

The University provides to all employees the opportunity to take an emergency leave of absence when an employee is faced with an emergency or unusual circumstance. This includes leave to participate in a criminal justice proceeding as the victim or a representative of the victim.

An emergency leave of absence may be granted with or without pay upon the approval of the employee's supervisor and/or President's Staff Level Administrator and the Director of Human Resources. Each request for a leave of absence will be evaluated on an individual basis and take into consideration length of service, work record, staffing needs, reason, and length of time needed. Maximum time off granted will not exceed six months. The employee may seek to have the leave extended beyond six months, but only after review of the situation and consultation with the supervisor and/or President's Staff Level Administrator.

A leave of absence without pay will start after the employee has exhausted all accrued vacation and sick time earned. The accrual of future vacation and sick time will cease for the period of a personal leave of absence. The employee may remain on the University's benefits plan, but they will be responsible for the payment of any insurance premiums. The University will continue to keep the employee on the group life insurance plan, but no retirement benefits will be allocated as there is no salary.

The University may require employees to provide a return-to-work certification after the completion of approved emergency leave. Importantly, there is no guarantee that an employee will be reinstated to their former position, or any position, after approved emergency leave, except as required by law.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Employee Leave Benefits
Policy 505: Family and Medical Leave Act
Applicability: All

Family and Medical Leave Act
See Section 1105

The University complies with the Family and Medical Leave Act (FMLA) regulations as revised. Employees should refer to the University's FMLA policy for further guidance about the FMLA. Employees may also contact the Director of Human Resources in writing (humanresources@ozarks.edu) with any questions, concerns, or disputes regarding the FMLA.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Employee Leave Benefits
Policy 506: Parental Leave
Applicability: All Full-time Employees

The University provides to eligible employees parental leave of up to thirty (30) working days for the birth or adoption of a child. Eligible employees include all full-time faculty or staff. The days must be taken consecutively, and immediately prior to or immediately following the arrival of the child. If taking the time off immediately prior to or following the arrival of the child is not in the best interest of the employee's job duties or work schedule, an appropriate time may be discussed and agreed upon by the employee, the supervisor and the Director of Human Resources. All parental leave must be taken within one year of the date of eligibility for the parental leave. Eligible employees are encouraged to be judicious in their use of the parental leave in order to maximize the presence of permanent faculty in the classroom and staff in their positions. Leave under this policy runs concurrently with FMLA, if applicable.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Employee Leave Benefits
Policy 507: Bereavement Leave
Applicability: All

The University provides to all employees paid bereavement leave of up to three (3) days due to a death in the employee's immediate family. Immediate family shall be defined as spouse, domestic partner, parent, stepparent, child, stepchild, brother, sister, grandparent, grandchild, father-in-law, mother-in-law, daughter-in-law, and son-in-law. The supervisor may make a determination of other reasons for bereavement leave. If an employee needs time in excess of three (3) days, they may use vacation leave or request an additional leave of absence with approval of their supervisor.

Time off granted in accordance with this policy shall not be credited as time worked for the purpose of computing overtime.

When members of the University's community lose loved ones to death or are faced with serious health issues affecting them or their loved ones, many on campus may learn of these circumstances through various means. However, these circumstances are private, and publicity is often the last thing desired by employees in these situations. The University respects the privacy of its employees in their personal lives, and thus does not generally publicize deaths or illnesses of those close to members of the campus community. In instances of bereavement, University employees may wish to utilize the accommodations provided by the University by this policy and may wish to work with their supervisor and the Office of Human Resources to utilize those benefits.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Employee Leave Benefits
Policy 508: Professional Leave
Applicability: All

The University provides all employees the opportunity to take paid professional leave when an absence is due to professional reasons such as educational meetings or workshops, class trips, field trips, or trips to other schools. Prior to the taking of such leave, the employee shall make provisions for classes or other responsibilities during the absence which are satisfactory with their supervisor. Non-exempt employees will record the time away as worked time in accordance with the following guidelines established by the Department of Labor (DOL) through the Fair Labor Standards Act (FLSA).

Travel away from Home Community

Travel that keeps an employee away from home overnight is travel away from home. Travel away from home is clearly worktime when it cuts across the employee's workday. The employee is simply substituting travel for other duties. The time is not only hours worked on regular working days during normal working hours but also during the corresponding hours on nonworking days. If an employee regularly works from 9 a.m. to 5 p.m. Monday through Friday, the travel time during these hours is worktime on Saturday and Sunday as well as on the other days. Regular meal period time is not counted. As an enforcement policy the DOL will not consider as worktime that time spent in travel away from home outside of regular working hours as a passenger on an airplane, train, boat, bus, or automobile.

When Private Automobile is Used in Travel away from Home Community

If an employee is offered public transportation but requests permission to drive their car instead, the employer may count as hours worked either the time spent driving the car or the time the employee would have had to count as hours worked during working hours if the employee had used the public conveyance.

Work Performed While Traveling

Any work which an employee is required to perform while traveling must be counted as hours worked. An employee who drives a truck, bus, automobile, boat, or airplane, or an employee who is required to ride therein as an assistant or helper, is working while riding, except during bona fide meal periods or when the employee is permitted to sleep in adequate facilities furnished by the employer.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Employee Leave Benefits
Policy 509: Military Leave
Applicability: All

The University commends its employees who are members of the Armed Forces of the United States. The University recognizes their commitment to the duty of protecting our country. In accordance with the Uniformed Services Employment and Reemployment Rights Act (USERRA) and Arkansas Law, all employees who are members of the Reserve Corps of the Army, the Navy, the Air Force, the Marine Corps, the Coast Guard, the National Guard, or any other active or reserve component of the armed forces of the United States or any U.S. state, when by order of the proper authority, are called to active duty or service, shall be entitled to the following upon submitting a copy of employee's official orders and a written request for military leave to the Director of Human Resources:

- A leave of absence for the period of such active service without loss of status or efficiency rating;
- Compensation for the first twenty working days of such leave during the federal (October – September) fiscal year. The employee may choose to use accrued vacation for additional days of compensation. Time away from employment after the twenty paid days and any accrued vacation time will be uncompensated;
- Health Insurance - If the military service is less than thirty-one (31) days the employer continues the health insurance for the employee. If the military duty is more than thirty (30) days, the employee may elect to continue employer sponsored health care for up to twenty-four (24) months; however, the employee will be required to pay 100% of the premium; and
- Other benefits - The University will continue group life insurance coverage and accrual of vacation and sick time for the employee. The employee also remains vested in the pension plan of the employer.

All University employees who are a member of the Armed Forces and are eligible for military duty are required to submit on an annual basis their military status to the Director of Human Resources.

While serving on annual reserve duty, an employee will be given leave without pay or they may use vacation leave.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Employee Leave Benefits
Policy 510: Jury Duty
Applicability: All

The University provides all employees with paid leave to perform jury services, so long as the employee gives reasonable notice of receipt of the summons for jury to their supervisor. Regular pay will be continued for scheduled days missed while an employee is actively participating on a jury. If an employee is released from jury duty in Johnson County or any adjacent counties after four (4) hours or less of service, they must report to work for the remainder of the day. Time off granted in accordance with this policy shall not be credited as time worked for the purpose of computing overtime.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Employee Leave Benefits
Policy 511: Time Off to Vote
Applicability: All

In accordance with Arkansas law, the University will schedule work hours of employees so that each employee has sufficient time to vote on the day of the election. Employees should consult with their supervisor if they need to use work time to vote. Non-exempt employees are required to clock out/in if they leave to vote during work time.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Employee Leave Benefits
Policy 512: Personal Leave of Absence
Applicability: All

The University provides all employees the opportunity to apply for a personal leave of absence, with or without pay, for the purpose of enhancing the personal and/or professional development of an employee and for the direct benefit of the University. An employee requesting a personal leave of absence must follow the procedure outlined below.

An employee must submit to their supervisor a written application explaining the purpose for which the leave is sought. The time limit of the leave shall be agreed upon by the applicant, the supervisor, and the President's Staff Level Administrator and will not ordinarily exceed one year. Additionally, all leaves under this policy require the approval of the President.

Time spent on leave will apply toward qualifying for retirement benefits. The tuition exemption benefit may continue during the leave with the approval of the Chief Academic Officer and the President.

Participation in the benefits plan may continue at the expense of the employee.

An employee elected to public office or appointed by the governor to a board or commission may be granted a leave or a qualified leave of absence under this policy if the office requires the employee's absence from their employment. The leave may not exceed the duration of the term in office.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Employee Leave Benefits
Policy 513: Faculty Sabbaticals
Applicability: Faculty

The University offers to full-time faculty members the opportunity to apply for sabbatical leave. A sabbatical is a paid leave of one semester at full salary and benefits or one academic year at half-salary and full benefits granted by the University for the purpose of scholarly activity or professional development that will provide significant benefit to the University's educational mission. The granting of sabbatical leaves will be contingent upon factors such as the availability of funds, the needs of the academic schedule, and the merits of the faculty member's application.

Criteria for Eligibility

A sabbatical leave may be granted only to full-time members of the faculty who have been employed by the University for at least six (6) consecutive academic years. A faculty member may apply for another sabbatical no sooner than five (5) academic years after the completion of their previous sabbatical.

Standards for Application

A faculty member must submit their application for a sabbatical to the Chief Academic Officer no later than November 1 prior to the academic year in which the sabbatical is to begin. Each application should include, at minimum:

- an explanation of the project or experience that the faculty member intends to undertake, along with a timetable for its completion;
- an explanation of how the project or experience will enhance the faculty member's contributions to the educational quality of the University; and
- a plan for the coverage of the curricular needs of the faculty member's academic program during the period of the intended sabbatical.

All applications for sabbatical will be reviewed by the Chief Academic Officer. Applicants will be notified of the decision on their application no later than January 15 of the year following submission of the application.

Obligations for Recipients

Faculty members will submit their applications with the understanding that they will assume certain obligations upon their return from a sabbatical.

Faculty members who are awarded a sabbatical will execute an agreement with the Director of Human Resources, which among other things will include:

- Committing to remain employed on a full-time basis by the University, at the University's discretion, for a period of at least two (2) consecutive academic years following the completion of the sabbatical;
- Providing the Chief Academic Officer with a written report on the faculty member's sabbatical activities no later than the end of the semester following completion of the sabbatical; and
- Providing, in consultation with the Chief Academic Officer, a public presentation no later than the end of the semester following completion of the sabbatical on any or all of those activities in order to share the fruits of the sabbatical with other members of the University community.

Failure to comply with these requirements may result in disciplinary action as outlined in Policy 218 and may also result in a demand for repayment of costs to the University and will impact future eligibility for sabbaticals.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Employee Leave Benefits
Policy 514: Paid Leave for Tenure-Track Faculty
Applicability: Faculty

At the discretion of the President and Chief Academic Officer, a paid leave with benefits may be granted to a tenure-track faculty member who has at least two (2) consecutive years of University employment and submits an exceptionally strong application that adheres to the standards described in the University's Faculty Sabbatical Policy (Policy 513). A tenure-track faculty member who is granted a paid leave must agree to fulfill the same post-leave obligations as those described in Policy 513.

University of the Ozarks
Employee Handbook/Policy Guide
Section 600: Employee Insurance Benefits
Policy 601: Insurance Overview
Applicability: All (30 hours or more per week) Employees

University of the Ozarks recognizes the value of benefits to employees and their families. The University supports employees by offering a comprehensive and competitive benefits program. For more information regarding the benefit programs, please refer to the benefits' Summary Plan Descriptions (SPD), which are found on the University of the Ozarks website. To access employees may go to www.eaglenet.ozarks.edu; login and under My Ozarks, access the benefits tab. Employees can also obtain a copy of the SPD's in the Office of the Director of Human Resources. To the extent the information provided herein conflicts with an applicable SPD or full plan document, the SPD/full plan document will control.

Insurance

Employees working on an average 30 or more hours per week are eligible for insurance coverage. Coverage is effective the first day of the month following the date of hire. Enrollment for insurance benefits is through the website: ozarksportal.com. After the initial meeting with the Director of Human Resources, a new employee will be assigned a username and password and granted access to the benefits website. The employee will have 30 days from the date of hire to complete insurance enrollment for the insurance to be effective at the appropriate time.

Subsequent enrollment changes are allowed during an open enrollment period each year in early May. The insurance plan year is July 1 to June 30 for medical and other plans. In addition, the Health Insurance Portability and Accountability Act of 1996 (HIPAA), allows plan changes during the plan year due to qualifying events. Qualifying events include marriage, divorce, birth, adoption, or placement of a child, or loss of other coverage.

Employees may make plan changes within 30 days of the date the qualifying event occurred. Employees can initiate a Life Event Change Request on the benefits website to make changes to their insurance coverage.

University of the Ozarks sponsors a Section 125 Cafeteria Plan. The Section 125 Cafeteria plan allows employees to pay certain qualified expenses (such as health and other insurance premiums) on a pre-tax basis, thereby reducing their total taxable income and increasing their spendable/take-home income. Employees will pay no federal, state, or Social Security taxes on this amount.

Enrollment is available at time of employment and during the open enrollment period held each year in May. Employees will receive communication and/or an insurance book listing providers, benefit descriptions, and premiums prior to and during open enrollment.

(Actual coverage is subject to change, and actual Policy provisions govern benefits).

University of the Ozarks
Employee Handbook/Policy Guide
Section: Employee Insurance Benefits
Policy 602: Medical Insurance
Applicability: All (20 hours or more per week) Employees

Employees working on average 20 hours or more per week are eligible for medical insurance coverage.

The University provides a choice of two major medical plans for employees:

- Plan A: High Deductible

- Plan B: PPO

- Plan C: EPO

University of the Ozarks contributes to an employee's medical insurance premium(s). Dependent and/or spousal/domestic partner coverage is available at the employee's sole expense.

University of the Ozarks**Employee Handbook/Policy Guide****Section: Employee Insurance Benefits****Policy 603: Health Savings Account/Flex Spending Account/Dependent Care FSA****Applicability: All (20 hours or more per week) Employees****Health Savings Account**

An employee enrolled in Plan A may participate in a Health Savings Account (HSA). An employee may elect monthly pre-tax payroll deductions to fund an HSA. Funds put in the HSA can be used for qualified medical deductions and expenses. The Internal Revenue Service sets the maximum amount an employee can contribute to an HSA each calendar year. The amount depends on the level of coverage the individual is enrolled in, individual coverage or spouse/family coverage. HSA participants aged 55 and over are eligible to contribute an extra \$1,000 per year to their savings account. The Health Savings Account is the employees account and is transferrable upon termination of employment.

Flexible Spending Account

All employees who work on average 20 or more hours per week are eligible to participate in a Flexible Spending Account (FSA). The employee does not have to participate in other insurance coverage options. An employee may elect monthly pre-tax payroll deductions to fund an FSA. Funds put in the FSA can be used for qualified medical deductions and expenses. The Internal Revenue Service sets the maximum amount that can be contributed to an FSA during a plan year. An election to participate in an FSA must be maintained for the full year. Unused FSA funds in excess of \$610 are forfeited at the end of the plan year. Unused funds \$610 or less will be rolled over for use in the next year.

Dependent Care Flexible Spending Account

Employees may elect to participate in the Dependent Care Flexible Spending Account. An employee may elect a monthly pre-tax payroll deduction to fund a Dependent Care FSA, up to a maximum of \$5,000.00 for a plan year. The funds in this account must be used for dependent care expenses.

More information on HSA's, FSA's or Dependent Care FSA's can be found on the benefits website or in the Benefits booklet.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Employee Insurance Benefits
Policy 604: Other Ancillary Insurance Products
Applicability: All (30 hours or more per week) Employees

Dental Insurance

The University provides access to a group dental insurance plan for employees to obtain dental insurance coverage for themselves and their dependents. The employee is responsible for the full premium for all participants.

Vision Insurance

The University provides access to a group vision insurance plan for employees to obtain vision insurance coverage for themselves and their dependents. The employee is responsible for the full premium for all participants.

Cancer, Critical Illness, and Accident Insurance Plans

The University offers its employees the opportunity to elect coverage for themselves and their dependents with the following voluntary insurance products: Cancer, Critical Illness, and Accident Plans. The employee is responsible for the full premium.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Employee Insurance Benefits
Policy 605: Life Insurance/AD&D/Long-Term Disability
Applicability: All Full-Time Employees

University of the Ozarks provides term life insurance for each full-time employee in an amount equivalent to twice the employee's annual basic compensation up to a maximum of \$50,000. The plan also provides Accidental Death and Dismemberment coverage for the same amount as life insurance coverage, as well as Long Term Disability Coverage effective 90 days after the date of the disability at 60% of employee's salary up to a maximum of \$5,000 monthly, less funds received from other sources including Social Security. The University pays the entire premium for these coverages. Coverage for these insurance products is effective the first day of the month following date of hire. It is important for employees to list and keep their beneficiaries up to date for these policies. The life insurance plan can be managed through the benefits website, <https://www.ozarksportal.com/>.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Employee Insurance Benefits
Policy 606: Voluntary Life Insurance
Applicability: All (30 hours or more per week) Employees

The University provides employees access to purchase additional life insurance through a choice of two group plans:

Plan A amounts range from \$10,000 coverage up to \$300,000 for employees, \$10,000 to \$250,000 for spouses and \$10,000 for children. The employee is responsible for the entire premium for this coverage. The Life Insurance is available as a "Guarantee Issue" at open enrollment (or the first 30 days of employment for new employees) at a coverage amount of \$150,000 for employees and \$25,000 for spouses. Increased coverage amounts requires completion of an Evidence of Insurability (EOI) form.

Plan B offers a guaranteed level premium to age 100 with rates remaining the same as at issue age, and no benefit reduction at age 65. Employee is responsible for the entire premium for this coverage. Insurance coverage is available for employee and dependents.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Employee Insurance Benefits
Policy 607: Medical Continuation
Applicability: All (20 hours or more per week) Employees

Benefit coverage for employees and their dependents on the plan continues until the last day of the month of termination of employment or retirement. Benefit coverage for faculty continues through the date of their last pay period. When an employee or their covered spouse/dependent(s) coverage has ended due to a “qualifying event”, the employee or covered spouse/dependent(s) can elect to continue the same health, dental and/or vision insurance under Medical Continuation. A qualified individual will be eligible for continued coverage for a minimum of 18 months and a maximum of 36 months depending upon the “qualifying event”. Some common qualifying events are resignation, retirement, termination of employment, or death of an employee; a reduction in an employee’s hours or a leave of absence; an employee’s divorce or legal separation; and a dependent child no longer meeting eligibility requirements. Resignation is defined as the voluntary termination of employment by the employee before the normal retirement age. All employees eligible for Medical Continuation insurance coverage will be contacted by mail at their home address by the company administering Medical Continuation for the University. The former employee will have 60 days to elect Medical Continuation coverage, retroactive to the first day of no coverage with the University.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Employee Insurance Benefits
Policy 608: Domestic Partners Benefit Policy
Applicability: All

University of the Ozarks provides coverage for qualified domestic partners (same-sex and opposite-sex), as well as dependent children of qualified domestic partners. To enroll, both the employee and domestic partner must complete a "Statement of Domestic Partnership" and submit the affidavit to the Director of Human Resources. This affidavit outlines a specific set of criteria, which must be met to qualify for domestic partner benefits. The affidavit and the information obtained will be kept confidential insofar as the law allows. Employees must notify the Director of Human Resources within 30 days should a domestic partnership be terminated.

University employees may enroll a domestic partner in the same benefit plans offered to full-time married employees. Domestic partners are subject to the same eligibility requirements and plan provisions which govern all other participants in the same benefit programs. Electing benefits may have tax implications to the employee. As a result, employees are advised to seek guidance from a tax advisor before choosing whether or not to elect benefits. Any contributions related to such coverage will be made on a post-tax basis.

For additional information concerning the University's Domestic Partner policy or for questions related to other possible benefits, please contact the Director of Human Resources at 479-979-1224.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Employee Insurance Benefits
Policy 609: Workers' Compensation
Applicability: All

All employees of the University are entitled to benefits under the provisions of the Arkansas Workers' Compensation Law. The University pays all costs associated with maintaining this insurance. The employee is required to report any work-related illness or on-the-job injury to their supervisor and/or the Director of Human Resources immediately following its occurrence. An employee and/or witness should provide a written notice of the time, place and nature of the injury and such additional information to enable the University to arrange medical treatment and complete all necessary reports.

University of the Ozarks
Employee Handbook/Policy Guide
Section 700: Employee Retirement Benefits
Policy 701: Retirement Annuity Plan, Employer Contributions
Applicability: All Full-Time Employees

Retirement Annuity Plan

University of the Ozarks administers a 403(b)-retirement annuity plan with TIAA for employee retirement accounts. The University contributes an amount equal to 8% of an employee's gross compensation each month to TIAA for all full-time employees and any employee who works more than 1000 hours per year. Participation in the retirement plan is effective the first month the employee receives compensation, and the employee is immediately fully vested. The Director of Human Resources enrolls the employee in the plan with the first contribution. The funds are initially deposited into a designated default investment fund. The employee is responsible for electing the investment options for their contributions. Employees are encouraged to set up web access to their TIAA account and continually review and manage their funds. It is the employee's responsibility to keep the beneficiary information up to date.

For more information on TIAA and employer contributions, please contact the Director of Human Resources.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Employee Retirement Benefits
Policy 702: Supplemental Retirement Annuity Plan, Employee Contributions
Applicability: All

Supplemental Retirement Annuity Plan- Employee Contributions

All employees are eligible and may elect to withhold funds, on a pre-tax basis, for contribution to a Supplemental Retirement Annuity Account. The maximum amount an employee can contribute annually is set by the IRS excluding any contribution by the University. A payroll deduction form must be completed and submitted to the Director of Human Resources to initiate this contribution. The Director of Human Resources enrolls the employee in the plan with the first contribution. The funds are initially deposited into a designated default investment fund. The employee is responsible for electing the investment options for their contributions. Employees are encouraged to set up web access to their TIAA account and continually review and manage their funds. It is also the employee's responsibility to keep the beneficiary information up to date.

For more information on TIAA and employee contributions, please contact the Director of Human Resources.

University of the Ozarks
Employee Handbook/Policy Guide
Section 800: Educational Assistance
Policy 801: Tuition Waivers
Applicability: All Full-Time Employees

Where state and federal laws and or tax codes run counter to these Educational Assistance Policies, those laws and codes prevail.

The University values employee educational pursuits and where possible, extends tuition waiver assistance to eligible employees for any course taken at the University. Participation in this waiver is voluntary. Courses may be taken for professional or personal interest.

Eligibility

Current Employees

Tuition waiver assistance is available to full-time employees who have completed a minimum period of nine months' service during the previous fiscal year subject to the following conditions:

- The employee has completed one (1) full year of continuous employment with the University in a full-time position;
- The request has been approved by the President's Staff Level Administrator of the employee's department and by the V.P. for Finance and Administration prior to date of enrollment.
- Participation in an internship or off-campus study opportunity that requires the employee to be unable to perform his or her job duties for seven (7) or more hours per week will require the employee to use accrued vacation time or obtain a leave of absence for those hours that exceed seven (7) per week.
- The employee will be unable to perform his or her job duties for a duration of seven (7) hours or less per week due to class attendance; and
- If required by the employee's supervisor, the employee has submitted and received approval on a written plan detailing how the employee will make up the lost time due to classroom attendance.

Employees may only receive a tuition waiver during periods of full-time employment and must otherwise meet the University's admission standards and, after matriculating, maintain good academic standing as defined in the University Catalog.

Retired Employees

Tuition is also available for retired University employees, age 55 or older, who, at the time of employment, were considered full-time employees. Retired employees may only enroll in one undergraduate course during both the Fall and Spring semesters. There is no limit to the number of semesters a retired employee may use this benefit.

Employee's Spouse/Domestic Partner

As used in this policy, an employee's spouse or domestic partner refers to a "legal spouse or domestic partner." Employees must complete a "Statement of Domestic Partnership" to determine benefit eligibility for a domestic partner.

Employee's spouses and domestic partners are eligible to enroll with the tuition waiver as full time or part time students if the employee is currently employed on a full-time basis and is in good academic and disciplinary standing with the institution. Spouses and domestic partners must also meet the University's admission standards and, after matriculating, maintain good academic and disciplinary standing as defined in the University Catalog and the Student Handbook. The University retains the right, in its sole discretion, to refuse or cancel immediately the tuition waiver benefit for any individual for unforeseen circumstances.

Employee Dependents

As used in this policy, a dependent is defined as: an individual: (1) under the age of 24 prior to the beginning of the term for which the benefit will be used, (2) who is unmarried, and (3) who falls into one of the following categories:

- Is a biological child of the employee;
- Is a legally adopted child of the employee;
- Is a stepchild of the employee;
- Is a biological or legally adopted child of the employee's qualified domestic partner; or
- Is a child for which the employee is the child's the legal guardian, as defined by a State Court, if the child resides with the employee; or, in instances where the child does not reside with the employee, where:
 - The employee provides support for over 50% of the child's living expenses; or
 - The employee is responsible for the child's educational expenses by virtue of a divorce decree.

Dependents are eligible to enroll with the tuition waiver as full time or part time students if the employee is currently employed on a full-time basis and is in good academic and disciplinary standing with the institution. Dependents must also meet the University's admission standards and, after matriculating, maintain good academic and disciplinary standing as defined in the University Catalog and the Student Handbook. Please note, tuition waiver funds will be treated as first in-first out

Others

In limited exceptions, the University may, in its sole discretion, provide tuition assistance to individuals not otherwise covered by this policy. Such decisions are determined in the sole discretion of the University and will be communicated to such individuals by the Director of Human Resources.

Right to Cancel

However, the University retains the right to refuse or cancel immediately the tuition waiver benefit for any individual for any reason whatsoever, at any time, with or without previous notice.

Application Process

Dependents

Employees who have a dependent interested in attending Ozarks on a tuition waiver must contact the Director of Human Resources to complete a Request for Tuition Waiver. When the Request for Tuition Waiver is completed and approved, notice will be sent to Admissions, Student Accounts and Financial Aid.

Applying for Admission

Employees, retirees, spouses and domestic partners, and dependents interested in attending Ozarks must complete the regular application for admission process, meet University admission standards and submit required documents in a timely fashion. Please refer to the University web site for additional details and to submit the application for admission.

Financial Aid, Scholarships and Outside Awards

Dependent children and their parents must submit the Free Application for Federal Student Aid (FAFSA) annually to be considered for aid beyond the amount of the tuition waiver. Students receiving outside awards must report these awards to the Office of Administrative Services.

Combination of Benefits

Institutional Scholarships and Aid

Students who are or will be receiving any type of financial aid (including scholarships or awards offered through the Office of Admission) are strongly encouraged to speak with an advisor in the Office of Administrative Services to find out how their use of the tuition waiver affects their financial aid. If the total amount of the institutional aid (waiver + scholarships) exceeds tuition, the amount of the tuition waiver will be reduced accordingly. The total of all institutional aid received, and the tuition waiver benefit may not exceed tuition. Employee dependents will receive recognition for any academic scholarships for which they qualify and will retain any program-related benefits.

Federal Aid and State Aid

Students who qualify for need-based aid and/or state funded aid will be allowed to apply those grants to on-campus room and board, fees, books or JLC fees. In some cases, the amount of the waiver will be reduced. Students who are eligible for federal and/or state aid and who live off campus will be evaluated on a case-by-case basis.

Other Outside Awards

If a student receives an outside award, the student will be allowed to apply the award to their account. Any amount exceeding billed charges will be refunded to the student up to the cost of attendance if allowed by the awarding agency. Additional information is available through the Office of Administrative Services.

Use of Tuition Waivers

Fall and Spring Terms

The tuition waiver may be used only for regularly billed tuition charges up to the amount of the waiver. The student's bill will reflect charges for room and board as well as any applicable fees such as the Jones Learning Center or laboratory fees. The tuition waiver may be used for off-campus study or study-abroad programs only when the student's tuition is due to University of the Ozarks as the result of a formal exchange agreement. In instances where there is no formal exchange agreement and/or tuition is paid to the host institution, the waiver may not be used. Use of the tuition waiver is limited to one baccalaureate degree per dependent not to exceed five (5) years of full-time study.

Summer & Winter Terms

Employee dependents, spouses, or domestic partners may use the tuition waiver benefit for summer and winter term classes.

Employee Eligibility for Participation in the Dependent Tuition Waiver Program

Initial Eligibility

Employee dependents and spouses/domestic partners become eligible for participation in the tuition waiver program at the beginning of the first full academic term following the first day of the employee's employment with the University.

Separation or Termination

In the event an employee resigns, or employment is terminated, the eligible dependent or spouse/domestic partner may complete the current academic term with the tuition waiver intact.

Death or Incapacitation

In the event an employee dies or is unable to return to work due to documented disability, any dependent or spouse/domestic partner will remain eligible for the tuition waiver for a period of 8 years following the last date of full-time employment.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Educational Assistance
Policy 802: Tuition-Exchange Programs
Applicability: All Full-Time Employees

As a benefit to full-time employees, University of the Ozarks participates in three tuition exchange programs:

- Tuition Exchange Program, (TEP), approximately 660 participating schools
- Council of Independent Colleges Tuition Exchange Program, (CIC-TEP), approximately 436 participating schools
- Association of Presbyterian Colleges and Universities, (APCU-TEP), approximately 88 participating schools

These programs, available to dependents of employees at participating institutions, allow the student to apply for a tuition discount at a participating institution of their choice. The number of students offered a tuition exchange award may be limited by the host institution or by program guidelines. At some institutions, the tuition exchange selection process is highly competitive due to the limited number of Tuition Exchanges Awards. Please contact the Director of Human Resources for additional details regarding these programs and to request a copy of the guidelines for participation. The employee dependent is responsible for adhering to all stated application deadlines. Participation in the tuition exchange program is limited to undergraduate programs and to students seeking their first undergraduate degree.

Employees and spouses/domestic partners may be eligible to participate in the tuition exchange program for post graduate study at participating universities with permission of and as qualified by University of the Ozarks.

University of the Ozarks
Employee Handbook/Policy Guide
Section 900: Employee Services
Policy 901: Employee Meal Plans
Applicability: All

Aramark Campus Dining Services offers employees the option to purchase meal plans in a block at a discounted rate from the regular single meal price. Block Plans are available in Twenty (20) Meal and Five (5) Meal Plans. The Block Plan may be used at any time from the start of the semester until the end of the summer sessions. To purchase a Block Meal Plan, contact the ARAMARK Food Services Office Manager at the ARAMARK office located in the Seay Student Center. The expense for the meal plan block can be set up as a payroll deduction through the ARAMARK office.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Employee Services
Policy 902: Campus Events/Use of Facilities
Applicability: All

Athletic Events

All University employees, their spouses/partners, and their dependents are admitted free of charge to regular season on-campus intercollegiate athletic events upon presentation of their employee I.D. card. Tournament and post-season games may have an admission charge. The University is a member of the American Southwest Conference (ASC), NCAA Division III. Currently there are twenty-one (21) men's and women's varsity teams competing in baseball, basketball, cheer/STUNT, cross-country, clay target sports, soccer, softball, swimming, track, and wrestling. Schedules are available online or from the office of the Sports Information Director.

Concerts, Play Productions and Lectures

Employees and their families are encouraged to attend events held on campus, such as: Alumni/Homecoming Weekend; Family Weekend; All Hallows Eve Concert; Lessons and Carols; Chamber Singers Spring Concert; Walton Arts & Ideas Series events; and theatre play productions. These events are also open to the public.

The Walton Arts & Ideas Series (WAIS) is a series of events, scheduled on an annual basis that usually reflects a central theme for the season. For the current year's schedule, see the University website.

Employees may generally attend the above events at no charge, but some events also offer free admission to the public.

Fitness Center

The Rawhouser Fitness Center is located in the lower level of the Seay Student Center. Anyone who wishes to use the fitness center must complete a Fitness Center/Aerobics Room Waiver Form. The form is available on the University website at EagleNET, <https://eaglenet.ozarks.edu/>, Forms, Rawhouser Fitness Center Waiver. Fitness Center hours are posted at the Center, and scheduled closings are announced via email, as well as posted at the Center.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Employee Services
Policy 903: Scheduling and Rental of University Facilities and Grounds
Applicability: All

The University owns and manages all of its facilities and grounds. The University seeks to utilize these physical resources in a prudent manner, supportive of the University's mission of educational service, but the cost to maintain and manage these properties is significant. While the primary use of University facilities is for the direct education and support of the University, the University does take advantage of opportunities to utilize its facilities to further promote the University through special events and programs, including the rental of available spaces for appropriate use by external groups or individuals. Rentals of available University facilities produce auxiliary revenue in support of the University's mission, and thus improve the quality of life, study, and work for all members of the campus community. The long-range nature of the University's academic and fiscal calendars provides the University with the ability to determine well in advance how its facilities are utilized, and when and where opportunities exist to rent otherwise idle space. Effective management of University facilities and grounds requires University employees to be proactive and forward-thinking in the scheduling of facilities.

For instance, the use of academic buildings and spaces, including the use for class-time, is scheduled well in advance through collaboration between the faculty and the registrar. Likewise, varsity athletics schedules are generally set well in advance of the coming season. Residence halls are reserved for students during the school year but sit largely empty in the summers. Additionally, to eliminate the need to displace students when special events come to campus and provide students with more capacity and comfort, the University built the Rogers Conference Center (RCC) and expanded the Borck Dining Hall. Additionally, the University is home to the Munger-Wilson Memorial Chapel, specially designed to host a variety of Christian services and ceremonies year-round for the University community, as well as guests. The dates of traditional University events such as baccalaureates, commencements, opening week and orientation activities, Board meetings, Arkansas Presbytery meetings, theatre productions, Walton Arts and Ideas Series, and Homecoming, are generally well known and space reservations established as much as two (2) years in advance.

Due to the University's goal to maximize the opportunities provided by its facilities and grounds, it will responsibly offer groups and individuals the opportunity to rent its facilities and grounds for a fee. The purposes of such rentals include, but are not limited to, conferences, camps, meetings, civic clubs, community groups, reunions, weddings, receptions, etc. Such rental arrangements are made through a contract between the University and the renter, and once scheduled, will not be changed by the University, except in the case of emergency (as determined by the Office of the University President). As such, employees of the University responsible for the scheduling of program-specific events are encouraged to coordinate the scheduling of University facilities as far in advance as possible. The failure to proactively

reserve space for University-sponsored events will be considered the responsibility of the employee(s) whose job duty it was to do so and will not result in the University cancelling or re-scheduling a contracted event.

Rate and fee schedules for rental of University properties will be set by the University and will be applied consistently to all rentals. The University reserves the right to provide space at no-charge for non-profit community service groups with small operating budgets.

Those wishing to reserve University facilities may do so through the Office of Conference Services.

University of the Ozarks
Employee Handbook/Policy Guide
Section 1000: Employee Recognition
Policy 1001: Service and Other Awards
Applicability: All

Service Awards

All University employees are invited to The Trustees' Awards Banquet held during the Spring semester to honor and recognize all employees. Hosted by the University's Board of Trustees in appreciation for all University employees, the banquet gives special recognition to employees who have completed ten years of service or for each increment of five additional years of service. Recent and impending retirees are also honored at the banquet. The employees and retirees are given a certificate of service and an opportunity to select an award of their choice.

Outstanding Faculty and Staff Awards

Generous donors to the University have established funds to recognize outstanding service to the University by faculty and staff. These awards include:

Alvin C. Broyles Outstanding Staff Award

Arnie G. Sims Outstanding Staff Award

Richard "Dick" & Kay Bagwell Outstanding Faculty Award (2 awards each year)

Awards are presented at the Trustees' Awards Banquet. Each award includes a framed citation and a monetary stipend.

The President's Above and Beyond Award

Each year the President selects an employee or someone associated with the University to receive the Rick and Shereé Niece President's Above and Beyond Award. This award is a monetary stipend.

With the exception of the President's Above and Beyond Award, nominations (including a narrative rationale) for these awards may be made by any current faculty, staff, or student. Nominations must be signed and dated and delivered to the Office of Human Resources as requested prior to the annual Trustee's Awards Banquet. Award winners will be selected by the President's Staff of the University. Awards will be merit-based and not weighted on the number of nominations for an individual nominee. Self-nominations are not permissible, and anonymous nominations will be immediately discarded. President's Staff members are ineligible for these awards.

University of the Ozarks
Employee Handbook/Policy Guide
Section 1100: Conditions of Regulatory Compliance and Conduct
Policy 1101: Equal Opportunity Employment Statement
Applicability: All

Equal Opportunity Employer

University of the Ozarks is an equal opportunity employer and complies with all applicable federal, state and local laws, including Title IX of the Education Amendments of 1972. University of the Ozarks strictly prohibits and does not tolerate discrimination against employees, applicants or any other covered persons because of race, color, religion, creed, national origin or ancestry, ethnicity, sex (including pregnancy), gender, sexual orientation, age, physical or mental disability, citizenship, past, current or prospective service in the uniformed services, genetic information, or any other characteristic protected under applicable federal, state or local law. All University employees, other workers and representatives are prohibited from engaging in unlawful discrimination. This policy applies to all terms and conditions of employment, including, but not limited to, hiring, training, promotion, discipline, compensation, benefits and termination of employment.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Conditions of Regulatory Compliance and Conduct
Policy 1102: Americans with Disabilities Act
Applicability: All

University of the Ozarks is committed to complying with the provisions of the Americans with Disabilities Act (ADA). It is University of the Ozarks' policy not to discriminate against qualified individuals with a disability with regard to any aspect of employment.

The University recognizes some individuals with disabilities may require reasonable accommodations. If an employee is disabled or becomes disabled (i.e. having a mental or physical impairment substantially limiting one or more of life's major activities) and requires a reasonable accommodation, the employee must contact the Director of Human Resources to begin the interactive process, which will include discussing the disability, limitations, and possible reasonable accommodations that may enable the employee to perform the essential functions of their position, make the workplace readily accessible to and usable by the employee, or otherwise allow the employee to enjoy equal benefits and privileges of employment.

University of the Ozarks will make reasonable accommodations for all employees or applicants with disabilities, provided the individual is qualified to safely perform the essential functions of their job and the accommodations do not impose an undue hardship on the University.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Conditions of Regulatory Compliance and
Conduct
Policy 1103: Confidentiality
Applicability: All

University Employees are prohibited from disclosing to external parties the University's confidential strategic, proprietary, business, and financial information. Such information includes, but is not limited to, strategic plans, development strategies, student and University preferences, personnel matters and/or actions, student information as defined in Policy 1104, financial information, and other like information, even if such information is obtained, or learned, from the University's vendors and/or affiliated entities. The University treats all such information as confidential and employees must take all appropriate action to ensure the protection, confidentiality, and security of such information. The obligation to preserve confidential information continues even after employment ends. All employees are required to sign a confidentiality agreement upon employment with the University.

However, this policy does not prohibit employees from engaging in normal business communications, when disclosure is authorized by an officer of the University or is required or mandated by applicable law or regulation. Nor is this policy in any way intended to limit employee rights to discuss the terms and conditions of their employment.

Employees who violate this policy are subject to disciplinary action up to and including termination.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Conditions of Regulatory Compliance and Conduct
Policy 1104: Family Educational Rights and Privacy Act (FERPA)
Applicability: All

All University employees who have access to student records, including, but not limited to, electronic and hard copy records must comply with the Family Educational Rights and Privacy Act (FERPA).

The Family Educational Rights and Privacy Act of 1974, also known as the Buckley Amendment, helps protect the privacy of student education records. The Act provides for the right to inspect and review education records, the right to seek to amend those records, and the right to limit disclosure of information from the records. The intent of the legislation is to protect the rights of students and to ensure the privacy and accuracy of education records. The Act applies to all institutions that are recipients of federal aid administered by the Secretary of Education.

Who is protected under FERPA?

Students, who are currently or formerly enrolled, regardless of their age or status in regard to parental dependency, are protected. Students who have applied to, but have not attended University of the Ozarks, and deceased students do not come under FERPA guidelines.

How do I view the FERPA Information?

To view FERPA information, log in to CAMS Faculty Portal on EagleNET, select My Students on left side of screen, then choose a course for a roster of students or Advisee List from the drop down. Click on Select next to student name. Student FERPA will appear at the bottom of the screen. Academic alerts related to required courses or academic probation are also shown in the Student FERPA Information. Only authorized users may access this information; if unsure of authorization or for more information, please contact the University Registrar.

What are education records?

With certain exceptions, an education record is any record (1) from which a student can be personally identified and (2) which is maintained by the University. Education records include any records in any medium (handwriting, digital media, print, e-mail, magnetic tape, film, diskette, microfilm and microfiche, video or audio tape, etc.) that are in the possession of any University official.

What is considered Directory Information?

Directory Information is information that is generally not considered harmful or an invasion of privacy if disclosed. Under the terms of FERPA, University of the Ozarks has established the following as directory information:

- Student's name;
- Identification Photo;
- Enrollment Status;
- Local address, telephone number, and university e-mail address;

- High school or educational institutions attended;
- College level and major(s)/minor(s) field of study;
- Faculty mentor and/or academic advisor;
- Dates of attendance;
- Anticipated date of graduation;
- Degrees, awards, or honors received
- Past/present participation in varsity sports and/or non-curricular activities; and
- Athletic team members: height and weight.

The previous information may be released for any purpose at the discretion of the University. However, FERPA states that each student has the right to withhold directory information, and that request will be honored by University of the Ozarks. Once restricted, that information cannot be released without the written consent of the student. A student may make such a request through the Office of Administrative Services.

Can parents access their dependent's education records?

At the postsecondary level, parents have no inherent right to inspect a student's education records. The right to inspect is limited solely to the student. Records may be released to parents ONLY under the following circumstances: (1) through the written consent of the student as documented in the FERPA section of the faculty portal, (2) in compliance with a subpoena, or (3) by producing a copy of the most recent Federal Income Tax form showing that the student was claimed as a dependent (the tax form verification must be determined each academic year through the Office of Administrative Services and will be considered valid for only that academic year).

Can faculty post grades or leave graded work in a public place, such as outside their office door?

The public posting of grades either by the student's name, student identification number, or social security number without the student's written permission is a violation of FERPA. Even with names obscured, student identifier numbers are considered personally identifiable information. Therefore, the practice of posting grades by social security number or student identification number violates FERPA. The returning of papers via an "open" distribution system, e.g., stacking them on an open table, is a violation of a student's right to privacy, unless the student submits a signed waiver to the instructor for such purpose. The instructor must keep the waiver on file in order to avoid institutional or personal liability.

Can faculty send grades to students electronically?

There is no guarantee of confidentiality in transmitting information electronically via campus e-mail or through the Internet. Faculty who wish to post or send grades to students electronically need to understand that if there is an unauthorized release of grades to someone who is not a school official, the institution would be in violation of FERPA if the student whose grades were illegally disclosed filed a complaint with the Family Policy Compliance Office. The University provides sites where students can access their grades via a secure connection. These may include Learning Management Systems (LMS), the secure student portal (My Ozarks) or other secure methods the University may adopt. Faculty are not authorized to share or post grades on an LMS not adopted by the University.

Can grade information be included when writing a letter of recommendation?

Written permission of the student is required if any information included in the recommendation is an “education record” (e.g., grades, GPA, and other non-directory information). Personal observations about the student are acceptable comments that can be included in the recommendation without the student’s written permission. The student’s permission to release non-directory information is recorded in the University SIS System.

What are the student rights with regard to the educational records?

FERPA affords eligible students the right to inspect, review and request amendment of the student’s education records. To exercise this right, a student must contact the Registrar for the appropriate process.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Conditions of Regulatory Compliance and Conduct
Policy 1105: Family and Medical Leave Act (FMLA)
Applicability: All

University of the Ozarks provides leave according to the Family and Medical Leave Act (FMLA), which provides for unpaid, job-protected leave to covered employees in certain circumstances. The terms used in this policy are defined by the applicable FMLA law.

Eligibility

To qualify for FMLA leave, employees must: (1) have worked for University of the Ozarks for at least 12 months, though it need not be consecutive; (2) worked at least 1,250 hours in the last 12 months; and (3) be employed at a work site that has 50 or more employees within 75 miles.

Leave Policy

If eligible, employees may take up to 12 or 26 weeks of family or medical leave, whichever is applicable (as explained below), within the relevant 12-month period defined below. While employees are on FMLA leave, University of the Ozarks will maintain their group health insurance coverage at the same level and under the same circumstances as when they were actively working, as explained more fully under the section titled, *Medical and Other Benefits*. Upon returning from approved FMLA leave, employees have the right to be restored to the same job or an equivalent position, subject to the terms, limitations and exceptions provided by law.

Leave Entitlement

Employees may take up to 12 weeks of unpaid FMLA leave in a 12-month period, which uses a "rolling" method that is measured backward from the date they use any FMLA leave for any of the following reasons:

- the birth of a son or daughter and in order to care for such son or daughter (leave to be completed within one year of the child's birth);
- the placement of a son or daughter with the employee for adoption or foster care and in order to care for the newly placed son or daughter (leave to be completed within one year of the child's placement);
- to care for a spouse, son, daughter or parent with a serious health condition;
- to care for the employee's own serious health condition, which renders them unable to perform any of the essential functions of their position; or
- a qualifying exigency of a spouse, son, daughter or parent who is a military member on covered active duty or call to covered active-duty status (or has been notified of an impending call or order to covered active duty).

Employees may take up to 26 weeks of unpaid FMLA leave in a single 12-month period, beginning on the first day that the employee takes FMLA leave to care for a spouse, son, daughter or next of kin who is a covered service member and who has a serious injury or illness related to active duty service, as defined by the FMLA's regulations (known as military caregiver leave).

Both Spouses Employed by University of the Ozarks

Spouses who are both employed by University of the Ozarks and eligible for FMLA leave may be limited to a:

- Combined total of 12 weeks of leave during the 12-month period if leave is requested: for the birth of a son or daughter and in order to care for such son or daughter; for the placement of a son or daughter with the employee for adoption or foster care and in order to care for the newly placed son or daughter; or to care for an employee's parent with a serious health condition.
- Combined total of 26 weeks in a single 12-month period if the leave is either for: military caregiver leave; or a combination of military caregiver leave and leave for other FMLA-qualifying reasons.

Notice of Leave

If employees need for FMLA leave is foreseeable, they must give University of the Ozarks at least 30 days' prior written notice. If this is not possible, they must at least give notice as soon as practicable (within one to two business days of learning of their need for leave). Failure to provide such notice may be grounds for delaying FMLA-protected leave, depending on the particular facts and circumstances.

Additionally, employees that are planning a medical treatment or a series of treatments or if they are taking military caregiver leave, they must consult with University of the Ozarks first regarding the dates of such treatment to work out a schedule that best suits the needs of both the employee or the covered military member, if applicable, and University of the Ozarks.

Where the need for leave is not foreseeable, employees are expected to notify University of the Ozarks within one to two business days of learning of their need for leave, except in extraordinary circumstances. University of the Ozarks has FMLA request forms available from Human Resources at (479) 979-1224 or humanresources@ozarks.edu. Please submit a written request, using this form, when requesting leave.

Certification of Need for Leave

If employees are requesting leave because of their own or a covered relation's serious health condition, they and the relevant healthcare provider must supply appropriate medical certification. Employees may obtain Medical Certification forms from Human Resources. When employees request leave, University of the Ozarks will notify them of the requirement for medical certification and when it is due (at least 15 days after they request leave). If employees provide at least 30 days' notice of medical leave, they should also provide the medical certification before leave begins. Failure to provide requested medical certification in a timely manner may result in denial of FMLA-covered leave until it is provided.

University of the Ozarks, at its expense, may require an examination by a second healthcare provider designated by University of the Ozarks. If the second healthcare provider's opinion conflicts with the original medical certification, University of the Ozarks, at its expense, may require a third, mutually agreeable, healthcare provider to conduct an examination and provide a final and binding opinion. University of the Ozarks may require subsequent medical recertification. Failure to provide requested certification within 15 days, if such as practicable, may result in delay of further leave until it is provided.

University of the Ozarks also reserves the right to require certification from a covered military member's healthcare provider if employees are requesting military caregiver leave and certification in connection with military exigency leave.

Reporting While on Leave

If employees take leave because of their own serious health condition or to care for a covered relation, they must contact University of the Ozarks on a weekly basis regarding the status of the condition and their intention to return to work. In addition, they must give notice as soon as practicable (within two business days if feasible) if the dates of leave change or are extended or initially were unknown.

Leave Is Unpaid

FMLA leave is unpaid. Employees will be required to substitute any accrued and unused vacation or sick leave for unpaid FMLA leave as described below:

- If employees request leave because of a birth, adoption or foster care placement of a child, any available paid leave pay will first be substituted for unpaid family/medical leave and run concurrently with their FMLA leave.
- If employees request leave because of their own serious health condition, or to care for a covered relation with a serious health condition, any paid leave will be substituted for any unpaid family/medical leave and run concurrently with their FMLA leave.

The substitution of available vacation or personal days for unpaid FMLA leave time does not extend the 12 or 26 weeks (whichever is applicable) of the FMLA leave period. In no case can the substitution of paid leave time for unpaid leave time result in an employee's receipt of more than 100% of their salary.

Medical and Other Benefits

During approved FMLA leave, University of the Ozarks will maintain any health benefits (if applicable) as if the employee continued to be actively employed. If paid leave is substituted for unpaid FMLA leave, University of the Ozarks will deduct their portion of the health plan premium as a regular payroll deduction. If employee leave is unpaid, they must pay their portion of the premium. Employees must contact Human Resources to make arrangements for payment of their portion of the premium. Employee healthcare coverage will cease if their premium payment is more than 30 days late. If an employee's payment is more than 15 days late, we will send the employee a letter to this effect. If we do not receive the premium payment within 15 days after the date of this letter, the employee's coverage may cease. If employees elect not to return to work for at least 30 calendar days at the end of the leave period, they will be required to

reimburse University of the Ozarks for the cost of the health benefit premiums paid by University of the Ozarks for maintaining coverage during their unpaid leave, unless they cannot return to work because of a serious health condition or other circumstances beyond their control.

Exemption for Key Employees

Key employees, defined as salaried and FMLA-eligible employees who are among the highest paid 10% of all employees at a worksite or within 75 miles of that worksite, may not be returned to their former or an equivalent position following FMLA leave if restoration of employment will cause substantial and serious economic injury to the operations of University of the Ozarks. This fact-specific determination will be made by University of the Ozarks on a case-by-case basis. University of the Ozarks will notify employees if they qualify as a key employee, and if University of the Ozarks intends to deny reinstatement and of their rights in such instances.

Intermittent and Reduced Schedule Leave

If medically necessary, FMLA leave occasioned by a serious health condition may be taken intermittently (in separate blocks of time due to a serious health condition) or on a reduced leave schedule (reducing the usual number of hours employees work per workweek or workday). FMLA leave may also be taken intermittently or on a reduced leave schedule for a qualifying exigency relating to covered military service.

If leave is unpaid, University of the Ozarks will reduce an employee's salary based on the amount of time actually worked. In addition, while they are on an intermittent or reduced schedule leave, University of the Ozarks may temporarily transfer employees to an available alternative position which better accommodates their leave schedule, and which has equivalent pay and benefits.

Returning From Leave

If employees take leave because of their own serious health condition (except if they are taking intermittent leave), they are required, as are all employees returning from other types of medical leave, to provide medical certification that they are fit to resume work. Otherwise, employees will not be permitted to resume work until it is provided.

State or Local Family and Medical Leave Laws and Other University of the Ozarks Policies

Where state or local family and medical leave laws, or other University of the Ozark's policies, offer more protections or benefits to employees, the protections or benefits that are more favorable to the employee, as provided by such laws, will apply.

Forms and Questions

All required FMLA forms are available from and must be returned to Human Resources. Employees should refer any additional questions regarding the FMLA to Human Resources.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Conditions of Regulatory Compliance and Conduct
Policy 1106: Code of Ethics
Applicability: All

All employees of University of the Ozarks community are expected to act responsibly, with integrity and honesty. The faculty, administrators, and staff of the University are to conduct themselves in ways that promote mutual trust as well as public confidence in the University. Each member of the community is expected to exhibit the highest standards in the management of financial resources, in the truthfulness of information provided to co-workers, students, and the public, and in the stewardship exhibited in the use of University resources. Employees are responsible for conducting all University-related activities in accordance with this Code of Ethics and all other applicable University policies. Those in supervisory positions have the responsibility of creating an open and supportive environment where employees feel comfortable raising questions. The entire organization benefits tremendously when employees exercise their power to prevent mistakes or wrongdoing by asking the right questions at the right times. In any business, ethical behavior does not simply happen; it is the product of clear and direct communication of behavioral expectations, modeled from the top and demonstrated by example. Again, ultimately, actions are what matters. To make this Code work, managers must be responsible for promptly addressing ethical questions or concerns raised by employees and for taking the appropriate steps to deal with such issues. At University of the Ozarks, the ethics dialogue becomes a natural part of daily work.

Reporting an Alleged Violation of the Code of Ethics

All trustees, faculty, administrators, and staff must bring good-faith suspected violations of this code of ethics to the attention of appropriate supervisory personnel (described below) in a responsible manner. Individuals are encouraged to report any action believed to be a violation of University policy, waste of University resources, or abuse of authority.

Generally, the first person to be informed of a suspected violation should be either one's immediate supervisor or the Director of the University office concerned. In those instances, in which the immediate supervisor is involved in the alleged violation, the report should be made to the person at the next highest supervisory level. If the person making the allegation of unethical behavior does not feel comfortable reporting the situation to the appropriate line administrator, they must report their concerns to the Director of Human Resources.

University of the Ozarks will appropriately investigate all alleged violations of the code of ethics. In every instance where improper behavior is found to have occurred, the University will take appropriate remedial action, based upon the particular facts discovered during the investigation. In all instances of this nature, University employees must adhere to strict confidentiality as described in Policy 1103. The University will not tolerate retaliation against employees who raise genuine ethics concerns in good faith and in an appropriate manner. Violations of this policy could result in disciplinary action, up to and including termination of employment.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Conditions of Regulatory Compliance and Conduct
Policy 1107: Statement on Academic Freedom
Applicability: All

University of the Ozarks values all members of the faculty for their dedication to their academic callings and their continual pursuit of the knowledge and experiences that allow them to grow as scholars and researchers. Such growth can only occur in a setting where faculty and their students can share ideas openly and without fear of arbitrary restraint or reprisal.

At University of the Ozarks, a faculty member is “entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties...[and is] entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject.” (1940 AAUP *Statement of Principles on Academic Freedom and Tenure*) Academic freedom allows faculty and students to engage in intellectual debate without fear of censorship or retaliation and the right to express their views—in speech, writing, and through electronic/digital communication, both on and off campus—without fear of sanction. Academic freedom does not allow faculty and students to express their views in a manner that substantially impairs the rights of others, undermines the University, or in the case of faculty members, demonstrates that they are professionally ignorant, incompetent, or dishonest with regard to their discipline or fields of expertise. Academic freedom does not protect tenured faculty members from discipline as set forth elsewhere in this handbook.

The faculty member is at one time a private citizen, a member of a learned profession, and a representative of an educational institution. When speaking or writing as a private citizen, the faculty member should be free from institutional censorship or discipline, but their special position in the University community imposes special obligations. As a person of learning and as an employee of the University, the faculty member must be accurate at all times, exercise appropriate restraint, show respect for the rights of others and for their right to express their opinions, and make every effort to indicate that they are not a spokesperson of the University.

In performance of duties, the faculty member must bear in mind their special obligations as a member of the faculty in a Christian University.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Conditions of Regulatory Compliance and Conduct
Policy 1108: Copyright Protection Policy
Applicability: All

A copyright is the exclusive legal right to reproduce, publish, sell, or distribute the matter and form of something (such as literary, musical, or artistic work). All members of the University community are expected to honor copyrights and to adhere to all related laws and principles in their work and study, appropriately citing or providing compensation for the intellectual works of others when using those works for any purpose, including but not limited to research, publication in any format, video production in any format, scholarly works, teaching, etc.. It is the individual's responsibility to become familiar with the terms and requirements of any such laws or agreements. Plagiarism is not acceptable under any circumstance and may result in disciplinary action, up to and including termination. Reproduction of copyrighted, trademarked, or patented materials (including audio and video) by copying, 3D printing, printing, photographing, scanning, or any other means is prohibited without the express permission of the owner or as otherwise allowed by law (e.g., open source, public domain).

Members of the campus community utilizing University resources for the production of material for copyright, trademark, or patent shall respect the rights of and protections for the University as set forth in the University's Board-approved Intellectual Property Policies and elsewhere in this Handbook.

Rapidly expanding technologies for the production of intellectual property by digital means will continue to result in laws and regulations related to copyrights. For instance, the *Higher Education Opportunity Act* (HEOA) was enacted in August of 2008 and is a reauthorization of The Higher Education Act of 1965. The Act now includes provisions designed to reduce copyright infringement through the use of Peer-to-Peer (P2P) file sharing. University of the Ozarks' stance is that the most critical factor in combating the illegal use of Peer-to-Peer sharing of copyrighted materials is an awareness of the federal laws regarding such materials.

Downloading or sharing music or movies without permission from the copyright holder is a violation of copyright law that can lead to civil or criminal sanctions and penalties. If the University receives notification from a copyright holder or agent, it is obligated by federal law to inform the responsible party of the claim of infringement.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Conditions of Regulatory Compliance and Conduct
Policy 1109: Intellectual Property Policy
Applicability: All

University of the Ozarks is committed to providing facilities, equipment, personnel, and information resources in an environment that protects the University while supporting the learning, teaching, scholarship, and creative activity of its faculty, students, and staff. Within this context, the University's policy on intellectual property rights is intended to:

- Encourage creativity, excellence, and innovation in teaching, scholarship, and creative activity by identifying and protecting the intellectual property rights of faculty, staff, students, and the University;
- Increase the likelihood that creative and scholarly works, ideas, and inventions produced at University of the Ozarks will be used to advance the state of knowledge, to benefit the creators and the University's research enterprise, and to contribute to the public good. (For the purposes of this document, creator(s) shall refer to any University personnel who create patentable intellectual property, copyrightable intellectual property, or any other intellectual property.);
- Acknowledge and preserve the traditional property rights of scholars and creative artists with respect to products of their intellectual and creative endeavors.; and
- Assure compliance with the provisions of contracts with external sponsors, and guide policy and process for the use of intellectual property that has been developed under work-for-hire rules or for commercial as well as scientific and scholarly value so that the creator(s) and the University share any net profits.

Who is covered: University Personnel

For purposes of the policy, University personnel refers to University faculty, administrators, office and technical staff, students, visitors, contractors, consultants and all others whose primary work affiliation is with the University, whether compensated by the University or not. As a condition of affiliation with the University, University personnel are bound by all University policies, including this one. University personnel are covered to the extent that creative work involves the use of University resources such as space, facilities, equipment, staff, or funds, as stipulated for the particular circumstances described in the sections below "Determination of Rights....."

What is covered: Intellectual Property

All intellectual property produced at or for the University by University personnel (defined above) is covered by this policy. Intellectual property shall include, for example and without limitation: inventions, creative works, patentable subject matter, copyrightable materials, business procedures, electronic or paper documents, software (including source code and object code), multimedia or audiovisual materials, photographs, trademarks, trade secrets, and other intellectual property. For purposes of this policy, patentable intellectual property and copyrightable property shall be defined as follows:

- “Patentable intellectual property” shall include, without limitation (despite the fact that these may not benefit from patent protection), all inventions, business procedures and discoveries, and all other patentable subject matter that is patentable under U.S. law or foreign law (whether or not produced in the U.S.); and
- “Copyrightable intellectual property” shall include without limitation, all creative works, electronic or paper documents, software (including source code and object code), multimedia or audiovisual materials, and photographs, and any other materials that may be copyrightable under U.S. law or foreign law (whether or not produced in the U.S.).

Patentable Intellectual Property

Responsibility for Disclosure of Patentable Intellectual Property

University personnel who alone or in association with others create patentable intellectual property shall disclose the patentable intellectual property to the University. Such disclosure shall be made when it can be reasonably concluded that patentable intellectual property has been created, and sufficiently in advance of any publications, presentation, or other public disclosure, to allow time for possible action that protects rights to the patentable intellectual property for the creator and the University. Creators shall seek the advice of the University’s Chief Academic Officer and University Counsel in determining whether the subject matter is patentable.

Determination of Rights to Patentable Subject Matter

Except as set forth below, the creator of patentable intellectual property shall retain their rights, and the University shall not assert ownership rights. The University will assert ownership rights to patentable intellectual property developed under any of the following circumstances (“Qualifying Patentable Circumstances”):

- Development was funded by an externally sponsored grant, gift, or research program or by any agreement which allocates rights to the University;
- Development required University resources (e.g., facilities, equipment, funding) beyond those routinely available to all University personnel;
- The creator was assigned, directed, or specifically funded by the University to develop the patentable intellectual property; and
- The patentable intellectual property was developed by administrators or staff in the course of their employment duties.

Under a Qualifying Patentable Circumstance, the creator must assign their patentable intellectual property rights to the University. The University shall retain sole discretion to determine whether a Qualifying Patentable Circumstance has occurred.

Copyrightable Intellectual Property

Responsibility for Disclosure of Copyrightable Intellectual Property

In contrast to historical business practice, the tradition of academic institutions is to give faculty members the right to retain ownership of their copyrightable intellectual property. This policy protects that traditional right. Creators are not obligated to disclose the creation of copyrightable intellectual property, even when the product might have commercial value, unless the copyrightable intellectual property was developed under one of the conditions listed in this Guide for Intellectual Property in which case the creator must disclose the copyrightable intellectual property to the University's Chief Academic Officer.

Determination of Rights to Copyrightable Intellectual Property

Except as set forth below, the creator of copyrightable intellectual property shall retain his/her rights, and the University shall not assert ownership rights. However, the creator shall grant non-exclusive, royalty-free, perpetual licenses to the University for copyrightable intellectual property, so that the University may continue to use such copyrightable intellectual property for educational purposes. The University will assert ownership rights to copyrightable intellectual property developed under any of the following circumstances ("Qualifying Copyrightable Circumstances"):

- Development was funded as part of an externally sponsored grant, gift, or research program under an agreement which allocates rights to the University;
- A faculty member was assigned, directed, or specifically funded by the University to develop the copyrightable intellectual property, or the University has negotiated an understanding or formal contract with the creator;
- The copyrightable intellectual property was developed by administrators or other non-faculty employees in the course of employment duties and constitutes work for hire under U.S. law. (The following will not be considered work for hire: course notes, scholarly and creative work, and/or textbooks created by non-faculty employees as part of the teaching and learning environment.); and
- The copyrightable intellectual property was developed with extraordinary or substantially more use of University resources (e.g., disproportionate use of staff time, networks, facilities, equipment, or direct funding) than would normally be provided for the creator's employment duties.

Under a Qualifying Copyrightable Circumstance, the creator must assign their copyrightable intellectual property rights to the University. The University shall retain sole discretion to determine whether a Qualifying Copyrightable Circumstance has occurred.

Unless otherwise directed by the supervisor, in cases where the University asserts ownership rights to copyrightable intellectual property created by University personnel, the creator shall be granted a non-exclusive, non-transferable, royalty-free license to use and share that copyrightable intellectual property for non-commercial purposes for the duration of their employment by the University. Continued use and sharing of such copyrightable intellectual

property following employment at the University of the Ozarks requires permission from the University's Chief Academic Officer.

The creator of copyrightable intellectual property will be deemed to grant the University a royalty-free, non-exclusive, non-transferable, worldwide, and irrevocable license for educational or promotional use by the University of any copyrightable intellectual property that has been freely and voluntarily submitted to a University official for educational or promotional use, unless a written agreement to the contrary is established. (While the University receives a right to use this material, the creators of such material may register copyrights in their own names or assign rights to others.)

Intellectual Property other than Patentable Intellectual Property or Copyrightable Intellectual Property

Responsibility for Disclosure of Intellectual Property other than patentable intellectual property or copyrightable intellectual property

University personnel who alone or in association with others create intellectual property other than patentable intellectual property or copyrightable intellectual property shall disclose the intellectual property to the University. Such disclosure must be made sufficiently in advance of any publications, presentation, or other public disclosure to allow time for possible action that protects rights to the intellectual property for the creator and the University. Creators shall seek the advice of the University's Chief Academic Officer in determining whether the subject matter is intellectual property other than patentable intellectual property or copyrightable intellectual property.

Determination of Rights to Intellectual Property

Except as set forth in this document, the creator of intellectual property other than patentable intellectual property or copyrightable intellectual property shall retain his/her rights, and the University shall not assert ownership rights. The creator(s) of intellectual property other than patentable intellectual property or copyrightable intellectual property shall assign his/her rights in such intellectual property to the University and the University will assert ownership rights to such intellectual property developed under any of the following circumstances ("Qualifying Intellectual Property Circumstances"):

- Development was funded by an externally sponsored grant, gift, or research program or by any agreement which allocates rights to the University;
- Development required University resources (e.g., facilities, equipment, funding) beyond those routinely available to all University personnel;
- The creator was assigned, directed, or specifically funded by the University to develop the patentable intellectual property; and
- The patentable intellectual property was developed by administrators or staff in the course of employment duties.

Under a Qualifying Intellectual Property Circumstance, the creator must assign their intellectual property rights to the University. The University shall retain sole discretion to determine whether a Qualifying Intellectual Property Circumstance has occurred.

Further Actions

For all patentable intellectual property or copyrightable intellectual property for which the University retains or asserts ownership, the creator warrants the work does not infringe on the patent(s) and/or copyright(s) of others and agrees to cooperate with the University and take all actions necessary to perfect title to patentable intellectual property and/or copyrightable intellectual property to the University. The creator also agrees to assign the rights and perfect title to the University to any continuation or divisional applications related to said patentable intellectual property. The creator also agrees to assign to the University the rights and perfect title to any derivative works to the copyrightable intellectual property.

Special Agreements

Since the University aims to encourage creativity, it reserves the right to allow some flexibility in applying this policy on a case-by-case basis. In such cases, ownership of materials or derivative works developed pursuant to a special agreement between the University and the creator will be governed by the provisions of any such agreement.

Reservation of Rights

The University reserves all, and does not waive any, of its legal rights in intellectual property created by University personnel covered by this Guide to Intellectual Property.

Administration of Intellectual Property

The University's Chief Academic Officer will be ultimately responsible for, but may delegate, day-to-day management of all University intellectual property issues, and shall be empowered to negotiate the University's rights under these policies. Intellectual property disclosable hereunder shall be disclosed to the Chief Academic Officer, who will be responsible for timely review of all disclosures. The Chief Academic Officer will complete a review of the patentability and marketability of the intellectual property and make a decision regarding the protection and the commercialization of the intellectual property. The Chief Academic Officer shall be responsible for working with creators, obtaining patent, copyright, or other protection of intellectual property owned by the University hereunder, and for marketing and licensing of all such intellectual property rights. The Chief Academic Officer shall also set up and manage individual expense and income accounts for intellectual property that is vested in the University under this policy.

For any work in which the University asserts ownership interest under this policy, the University and the creator(s) will share any annual net revenue (revenues less recovery of all legal and other costs involved in protecting the intellectual property rights of the work, licensing costs, and other related administrative costs) in the following percentages, unless different contractual agreements have been reached in relation to particular works.

Net Revenue	Creator(s)	University of the Ozarks
< \$5,000	100%	0%
\$5,000 - \$24,999	75%	25%
\$25,000 - \$100,000	60%	40%
> \$100,000	50%	50%

If a work involves more than one employee as creator, the creators will divide their share equally unless they provide the University with an alternative revenue distribution agreed upon by the creators and memorialized in an agreement executed by the Chief Academic Officer of the University.

Conflict Resolution

Administration of this policy shall be the responsibility of the University's Chief Academic Officer. Questions should be directed to the Chief Academic Officer regarding the application, interpretation or implementation of the policy, or regarding disagreement among creators concerning assignment of rights or sharing of royalties. Disagreement with any determination made by the Chief Academic Officer may be directed to the President of the University or his/her designee for a final determination.

Use of University of the Ozarks' Name, Mark, or Insignia

University of the Ozarks has registered the names, logos, and trademarks of the University with the United States Patent and Trademark Office. Respect all laws regarding copyrights, trademarks, rights of publicity, and other third-party rights. To minimize the risk of copyright violation, you should provide references to the source(s) of information you use and accurately cite copyrighted works you identify. Do not infringe on University of the Ozarks' logos, brand names, taglines, slogans, or other trademarks.

Use of the University's name, seal or logo on any and all University materials, including letterhead and business cards, is standardized and regulated by the Office of Public Relations.

Changes to the Intellectual Property Policy

University of the Ozarks reserves the right to change this policy from time to time. Proposed changes normally will be developed by the University's Chief Academic Officer, in consultation with appropriate administrators, representatives, or committees of the University. Substantive revisions to this policy will be submitted by the President to the Board of Trustees for approval.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Conditions of Regulatory Compliance and Conduct
Policy 1110: IT Resources and Communication Policy/Acceptable Use Policy
Applicability: All

University of the Ozarks' computers, networks, communications systems, and other Information Technology (IT) resources are intended for business purposes only (except for limited personal use as described below) during working time and at all other times. To protect University of the Ozarks and its employees, it is the University's policy to restrict the use of all IT resources and communications systems as described below. Each user is responsible for using these resources and systems in a productive, ethical, and lawful manner.

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

The use of University of the Ozarks' IT resources and communications systems by an employee shall signify their understanding of, and agreement with, the terms and conditions of this policy as a condition of employment.

Administration of this Policy

The IT Department and/or the President's Staff is responsible for the administration of this policy. If you have any questions regarding this policy, please contact the Office of Human Resources, which will assist with coordinating communication with appropriate personnel.

Security, Access, and Passwords

Security of University of the Ozarks' IT resources and communications systems is the responsibility of the IT, including approval and control of employees' and others' access to systems and suspension or termination of access in cases of misuse and when a user is no longer an employee or otherwise is ineligible to use the systems.

It is the responsibility of each employee to adhere to IT security guidelines including but not limited to the creation, format, and scheduled changes of passwords. All usernames, pass codes, passwords, and information used or stored on the University's computers, networks, and systems are the property of University of the Ozarks. No employee may use a username, pass code, password, or method of encryption that has not been issued to that employee or authorized in advance by University of the Ozarks.

No employee shall share usernames, pass codes, or passwords with any other person, except for the administrative assistant assigned to that employee. An employee shall immediately inform the IT Department if s/he knows or suspects that any username, pass code, or password has been improperly shared or used, or that IT security has been violated in any way.

Resources and Systems Covered by This Policy

This policy governs all IT resources and communications systems owned by or available at University of the Ozarks and all use of such resources and systems when accessed using an employee's own resources, including but not limited to:

- Email systems and accounts;
- Internet and intranet access;
- Telephones and voicemail systems, including wired and mobile phones, smartphones, and pagers;
- Printers, photocopiers, and scanners;
- Fax machines, e-fax systems, and modems;
- All other associated computer, network, and communications systems, hardware, peripherals, and software, including network key fobs and other devices; and
- Closed-circuit television (CCTV) and all other physical security systems and devices, including access key cards and fobs.

No Expectation of Privacy

All contents of the University of the Ozarks' IT resources and communications systems are the property of University of the Ozarks. Therefore, employees should have no expectation of privacy whatsoever in any message, file, data, document, facsimile, telephone conversation, social media post, conversation, or any other kind or form of information or communication transmitted to, received, or printed from, or stored or recorded on the University's electronic information and communications systems.

You are expressly advised that to prevent against misuse, University of the Ozarks reserves the right to monitor, intercept, and review, without further notice, every employee's activities using the University's IT resources and communication systems, including but not limited to email (both outgoing and incoming), telephone conversations and voice mail recordings, instant messages, and internet and social media postings and activities, and you consent to such monitoring by your acknowledgement of this policy and your use of such resources and systems. This might include, without limitation, the monitoring, intercepting, accessing, recording, disclosing, inspecting, reviewing, retrieving, and printing of transactions, messages, communications, postings, logins, recordings, and other uses of the systems as well as keystroke capturing and other network monitoring technologies.

University of the Ozarks may also store copies of such data and communications for a period of time after they are created and may delete such copies from time to time without notice.

Do not use University of the Ozarks' IT resources and communications systems for any matter that you desire to be kept private or confidential from the University.

Network Systems

University of the Ozarks maintains integrated computer and data communications networks to facilitate all aspects of its business. Never sign on to any network equipment using the password or username of another employee. No employees should access, attempt to access, alter, or delete any network document except in furtherance of authorized University business.

Downloading and Installing Software/Website Agreements

Email and downloading from the internet are prime sources of viruses and other malicious software. Therefore, no one may download or install any software or shareware to their hard drive that is not expressly authorized or approved by the IT Department. In addition, employees may not accept the terms or conditions of website agreements without first obtaining approval from the IT Department.

Confidentiality and Proprietary Rights

University of the Ozarks' confidential information and intellectual property (including trade secrets) are extremely valuable to University of the Ozarks. Treat them accordingly and do not jeopardize them through business or personal use of electronic communications systems, including email, text messaging, internet access, social media, and telephone conversations and voice mail. Disclosure of the University's confidential information to anyone outside University of the Ozarks and use of the University's intellectual property is subject to the University's Confidentiality Policy. Consult a supervisor if unsure whether to disclose confidential information to particular individuals or unsure how to safeguard the University's proprietary rights.

This policy also prohibits use of University of the Ozarks' IT resources and communications systems in any manner that would infringe on or violate the proprietary rights of third parties. Electronic communications systems provide easy access to vast amounts of information, including material that is protected by copyright, trademark, patent the University's, and/or trade secret law. Never knowingly use or distribute any such material downloaded from the internet or received by email without the prior written permission of the University of the Ozarks Office of Human Resources.

Email and Text Messaging

University of the Ozarks provides certain employees with access to email and/or text messaging systems for use in connection with performing their job duties. University of the Ozarks seeks to provide stable and secure email and text messaging systems (including SMS and internet-based instant messaging) with rapid, consistent delivery times that promote communication for business purposes without incurring unnecessary costs or generating messages that are unproductive for the recipient. Many of the policies described below governing use of the University's email and text messaging systems are aimed at reducing the overall volume of messages flowing through and stored on the network, reducing the size of individual messages, and making the system more efficient and secure.

Spam

Unfortunately, users of email and text messaging will occasionally receive unsolicited commercial or bulk messages (spam) which, aside from being a nuisance and a drain on IT resources, might be a means to spread computer viruses and other malicious software. Avoid opening unsolicited messages and report any suspicious messages to the administrator. Delete all spam immediately. Do not reply to the message in any way, even if it states that you can request to be removed from its distribution list. If delivery persists, contact the email administrator who will block any incoming messages from that address.

Users should be aware that spammers have the ability to access email addresses that are listed as senders or recipients on email messages, on websites, user discussion groups, and other internet areas. Therefore, you should be cautious about using and disclosing your University email address. If you use email for information gathering purposes, we strongly recommend that you not use your University email address, but rather establish a separate email account for that purpose with a free email service, such as yahoo.com, hotmail.com, or google.com.

Telephone and Voicemail

University of the Ozarks provides landline and/or mobile telephone access and voicemail systems to certain employees for use in connection with performing their job duties. To prevent misuse of University of the Ozarks' IT resources, telephone conversations and voicemail messages of every employee may, without notice, be monitored, recorded, and reviewed. University of the Ozarks may also store recorded telephone conversations and voicemail messages for a period of time after they take place and may delete such recordings from time to time.

Inappropriate Use of the University's IT Resources and Communications Systems

Users are never permitted to use the University's IT resources and communications systems, including email, text messaging, internet access, social media, telephones, and voicemail, for any inappropriate or unlawful purpose, or in any manner that violates any University policy. This includes but is not limited to:

- Misrepresenting yourself as another individual or the University;
- Sending, posting, recording, or encouraging receipt of messages or information that violates the University's anti-discrimination and anti-harassment policies;
- Revealing proprietary or confidential information, including official University of the Ozarks information, or intellectual property without authorization;
- Conducting or soliciting illegal activities;
- Representing your personal opinion as that of University of the Ozarks;
- Interfering with the performance of your job or the jobs of other University of the Ozarks employees; and
- For any other purpose that violates University of the Ozarks policies or practices.

Discipline

Employees who violate any provision of this policy are subject to discipline, up to and including termination of employment.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Conditions of Regulatory Compliance and Conduct
Policy 1111: Statement on Use of Social Media
Applicability: All

Purpose

University of the Ozarks recognizes that the internet provides unique opportunities to participate in interactive discussions and share information on particular topics using a wide variety of social media, such as Facebook, LinkedIn, Twitter, Instagram, Pinterest, Tumblr, blogs, and wikis. However, employees' use of social media can pose risks to University of the Ozarks' confidential and proprietary information, reputation, and brands, can expose the University to discrimination and harassment claims, and can jeopardize University of the Ozarks' compliance with business rules and laws.

To minimize these business and legal risks, to avoid loss of productivity and distraction from employees' job performance, and to ensure that the University's IT resources, and communications systems are used appropriately as explained below, University of the Ozarks expects its employees to adhere to the following guidelines and rules regarding social media use.

Compliance with Related Policies and Agreements

All of the University's other policies that might apply to social media use remain in full force and effect. Employees should always adhere to them when using social media. In particular, the following policy must be kept in mind.

Social media should never be used in a way that violates any University policies or employee obligations. If social media activity violates any of the University's policies in another forum, it will also violate them in an online forum. For example, employees are prohibited from using social media in such a way as to:

- Violate University of the Ozarks' IT resources and communications systems policies;
- Violate University of the Ozarks' confidentiality and proprietary rights policies;
- Circumvent University of the Ozarks' ethics and standards of conduct policies;
- Engage in unlawful harassment;
- Circumvent policies prohibiting unlawful discrimination against current employees or applicants for employment;
- Violate any other laws or ethical standards
- Use social media in a false or misleading way; and
- Violate FERPA.

Employees who violate University of the Ozarks' policies may be subject to discipline, up to and including termination of employment.

Personal Use of Social Media

The University recognizes that employees may wish to post on social media for personal use at the office or using the University's computers, wired and wireless networks, and other IT resources and communications systems. The University authorizes this use during non-working time so long as it does not involve vulgar, obscene, threatening, intimidating, or harassing content (i.e., not otherwise protected or required by law), does not violate any other University policies or employee obligations, and does not interfere with employment responsibilities or productivity.

No Expectation of Privacy

All contents of University of the Ozarks' IT resources and communications systems are the property of University of the Ozarks. Therefore, employees should have no expectation of privacy whatsoever in any message, files, data, document, facsimile, telephone conversation, social media post, conversation or message, or any other kind of information or communications transmitted to, received or printed from, or stored or recorded on University of the Ozarks' electronic information and communications systems.

University employees are expressly advised that in order to prevent misuse, and maintain production and discipline, the **University reserves the right to monitor, intercept, and review, without further notice, every employee's activity using the University's IT resources and communications systems (Policy 1110).**

University of the Ozarks also may store copies of such data or communications for a period of time after they are created and may delete such copies from time to time without notice.

Business Use of Social Media

If employees are required to use social media as part of their job duties, for University of the Ozarks' marketing, public relations, recruitment, corporate communications, or other business purposes, they must do so in accordance with departmental policies and procedures, as well as general University policies and procedures. Note that University of the Ozarks owns all social media accounts used on behalf of the University or otherwise for business purposes, including any and all log-in information, passwords, and content associated with each account, such as "followers" and contacts. University of the Ozarks owns all such information and content regardless of the employee that opens the account or uses it and will retain all such information and content regardless of separation of any employee from employment with University of the Ozarks. If job duties require speaking on behalf of University of the Ozarks in a social media environment, employees must still seek approval for such communication from their supervisor, who may require them to receive training before they do so and impose certain requirements and restrictions regarding their activities. Likewise, if contacted for comment about University of the Ozarks for publication, including in any social media outlet, direct the inquiry to the Office of Public Relations and do not respond without written approval.

This policy is not intended to restrict communications or actions protected or required by state or federal law.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Conditions of Regulatory Compliance and Conduct
Policy 1112: Email Distribution List Policy
Applicability: All

It is a University expectation that all students, faculty, and staff will use their University email account for all email communication to and from University offices and officials. Email messages are retained in the inbox for 45 days, after which they are automatically deleted – unless saved elsewhere. Once an account has been terminated, email may not be retained unless required by law. University of the Ozarks cannot make any guarantee, explicit or implied, regarding the privacy of electronic mail. Occasionally, University personnel may see all or part of an electronic message during routine system maintenance. Reasonable effort is made to respect the privacy of email, but the content of email messages may be examined at any time as allowed by law. Information contained in electronic messages may be used in disciplinary proceedings. Student email accounts will remain active for up to three (3) months after graduation. Employee email accounts may be closed immediately after the last day of employment.

Employees must abide by all other University policies when sending email. Employees should consider the content of the message, whether each recipient of the email is an individual with a need to know the information, and whether an alternative means of communication would be appropriate. In other words, employees must exercise good judgment during their email communications.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Conditions of Regulatory Compliance and Conduct
Policy 1113: Political Activity
Applicability: All

University of the Ozarks is committed to being a responsible corporate citizen. The University complies with all applicable laws, rules, and regulations regarding the use of its funds, assets, and resources in connection with political activity. Accordingly, University of the Ozarks encourages its employees to:

- Take an active interest in fostering the principles of good government in their community; and
- Participate in permitted political activity, provided that such activity occurs only in an employee's individual capacity and not on the University's behalf or time, or with the use of any of University funds, assets, or other resources.

It is University of the Ozarks' policy to make no political contributions, or use any of its funds, assets, or other company resources, to benefit: candidates; parties; lobbyists; political action committees; special interests groups; etc. Accordingly, employees may not use any University funds, assets, or other resources to directly or indirectly support any such person or group.

Notwithstanding the foregoing paragraph, employees may make personal political contributions and participate in political activities of their own choosing during non-work hours, provided that such contributions and activities only occur in an individual and private capacity and without use of University resources. University of the Ozarks will not reimburse any employee for any time or funds used for personal political contributions or activities.

Further, employees may not represent University of the Ozarks on policy issues, unless the employee is expressly authorized to do so by the University President. Accordingly, if an employee personally participates in the political process, that employee may not implicitly or explicitly suggest or give the appearance in any way that the employee's personal view or position is one that is held or supported by University of the Ozarks. Consistent with the above-referenced commitments and rules, and by way of non-exhaustive examples only, an employee may not:

- use University stationery, email, telephones, computers, printers, or copiers in connection with an employee's personal political activities;
- provide political candidates or organizations with access to University mailing lists, vendor lists, employee lists, office space, telephones, photocopiers, computers, office supplies, or other University resources;

- post a hyperlink to a political candidate's or organization's website or social media account on a website or social media account owned or operated by University of the Ozarks; or
- allow the employee's employment by University of the Ozarks to be used in support of or against any political candidate, issue, or cause.

An employee's personal, lawful political contributions and activities, or decision not to make or participate in political contributions and activities, will not influence an employee's compensation, job security, or opportunities for advancement. This policy is not intended to preclude, or contradict, the University's policies on Academic Freedom.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Conditions of Regulatory Compliance and Conduct
Policy 1114: Whistleblower Policy
Applicability: All

The University's Commitment

The University expects its officers, trustees, and employees (collectively "representatives") to observe high standards of business and personal ethics in the conduct of their activities, duties and responsibilities. Representatives of the University must practice honesty and integrity in fulfilling all University responsibilities and comply with all applicable laws and regulations.

The purpose of the Whistleblower Policy is to provide all representatives a confidential and effective means for reporting wrongful conduct. It is the policy of the University to conduct business according to the highest level of ethical standards and professional integrity. The University shall maintain a workplace that is free of fraudulent activity and unethical behavior so as to maintain complete confidence of our trustees, employees and business partners.

Wrongful Conduct

Wrongful Conduct includes any fraudulent or unethical behavior ("Wrongful Conduct"). By way of example, Wrongful Conduct includes any serious violation of the University's policy; violation of applicable State and Federal Law; or use of the University's property, resources or authority for personal gain or other non-university related purpose except as provided under the University's policy. This type of Wrongful Conduct is not intended to be an exclusive listing of Wrongful Conduct encompassed by the Whistleblower Policy. The Whistleblower Policy is intended to encourage representatives to raise good faith concerns about Wrongful Conduct prior to seeking resolution outside the University.

Good Faith Reporting

Any representative filing a report of Wrongful Conduct must act in good faith and have reasonable grounds for believing the information disclosed indicates Wrongful Conduct. The representative is not responsible for proving the truth of the reported Wrongful Conduct, investigating the Wrongful Conduct or determining fault or corrective measures. Appropriate management of the University is charged with these responsibilities. However, any representative who does not act in good faith in reporting alleged Wrongful Conduct which is known to be false or is made with reckless disregard as to its truth, shall be subject to disciplinary action up to, and including, termination or disassociation from the University where and when appropriate.

Confidential Reporting Procedure

Any representative may report Wrongful Conduct in writing to the President of the University. If a Trustee or supervisor receives a written report of Wrongful Conduct, it will be forwarded to the President immediately unless the Wrongful Conduct implicates the President. If the Wrongful Conduct implicates the President, the representative may report the Wrongful Conduct to any

member of the Executive Committee of the Board of Trustees. Any Report of Wrongful Conduct may be submitted on a confidential basis. Wrongful Conduct submitted on a confidential basis will be kept confidential to the extent possible and consistent with the need to conduct an adequate investigation.

All reports of Wrongful Conduct will be promptly investigated, and appropriate corrective action taken if warranted. Representatives are expected to cooperate in the investigation of reported Wrongful Conduct and hold such cooperation in confidence and consistent with this policy to the extent permitted by law. If an investigation indicates that corrective action is required, the University President or Executive Committee of the Board will decide what steps should be taken to rectify the Wrongful Conduct and avoid its reoccurrence. The Whistleblower, if identified, will be notified of any decision and action taken, if any, by the Executive Committee of the Board as a result of the reported Wrongful Conduct.

No Retaliation

The purpose of the Whistleblower Policy is to protect representatives who want to report Wrongful Conduct with the assurance of not being a target of subsequent recrimination. No representative who in good faith reports Wrongful Conduct will suffer harassment, retaliation or disadvantage. Any representative who retaliates against anyone who has reported Wrongful Conduct in good faith, shall be subject to appropriate disciplinary action up to and including termination or disassociation from the University. Any Whistleblower who believes they have been retaliated against, shall report the retaliation following the same procedure as when they reported the Wrongful Conduct.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Conditions of Regulatory Compliance and Conduct
Policy 1115: Conflicts of Interest
Applicability: All

University of the Ozarks expects its employees to conduct their business according to the highest ethical standards of conduct and to comply with all applicable laws. This policy is intended to increase awareness of potential conflicts of interest and establish a procedure for reporting them.

Conflict of Interest

University of the Ozarks prohibits all employees from using their position with the University or the University's relationships for private gain or to obtain benefits for themselves or members of their family. For purposes of this policy, a potential conflict of interest occurs when an employee's outside interests (for example, financial or personal interests) interfere with the University's interests or the employee's work-related duties. For example, a conflict of interest may occur when an employee is in a position to influence a decision that may result in a personal gain for the employee or the employee's family member as a result of the University's dealings.

Favors and Gifts

University decisions should be made in the best interests of University of the Ozarks. The University prohibits employees from seeking or accepting any gifts, favors, entertainment, payment or loans for themselves or their family members from any party doing business with the University except for gifts of less than \$100.00 or if approved from the employee's department head. Cash should never be accepted. If an employee violates this policy, University of the Ozarks will take prompt corrective action, including discipline, if appropriate

Reporting Procedure

If an employee becomes aware of any potential conflict of interest or ethical concern regarding their employment or that of another employee at the University, they must promptly speak to, write or otherwise contact their direct supervisor as soon as possible. They should be as detailed as possible. University of the Ozarks will investigate all concerns regarding conflicts of interest and determine whether a conflict of interest exists and what action should be taken.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Conditions of Regulatory Compliance and Conduct
Policy 1116: Faculty/Staff Work Outside the Institution
Applicability: All

Pursuant to the University's policy on Conflicts of Interest, (Policy 1115), full-time members of the University faculty and staff are prohibited from leveraging employment at the University, and the resources and platform that employment provides, to teach or work for other institutions (including online instruction) or to hold other outside employment in ways that compete with the University's interests or disrupt the employees' thorough and earnest performance. All full-time faculty members must obtain written approval from the Chief Academic Officer, and Director of Human Resources in order to engage in outside employment during the academic year. All full-time staff members must obtain written approval from their immediate supervisor and the Director of Human Resources in order to engage in outside employment. The University maintains sole discretion to interpret and determine violations of this policy.

Failure to request approval for such outside employment, or to engage in such employment without authorization, may result in disciplinary action, up to and including termination of employment.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Conditions of Regulatory Compliance and Conduct
Policy 1117: Discipline and Corrective Action
Applicability: All

University of the Ozarks promotes a productive and professional work environment by expecting all employees to adhere to the following:

- Performing their job duties to the satisfaction of the University;
- Adhering to established departmental or supervisors' rules and procedures;
- Complying with all University policies and applicable federal, state, and local law;
- Acting with honesty and integrity; and
- Respecting the rights of others in or related to the work environment, including and with regard to direct or indirect interactions that occur face-to-face or through any medium of communication (e.g., writing, video, social media, digital means, etc.).

Violation of the above may lead to disciplinary action. All imposed discipline, up to and including suspension and/or termination, is intended to either correct or modify an individual's conduct, deter such conduct on the part of others, and/or to protect the rights of the University and everyone working at, or associated with, the University.

Discipline may take the form of verbal or written warnings, suspension with or without pay, or termination of employment. An employee may also be suspended with or without pay during any investigation of possible misconduct. All disciplinary action may take into account the seriousness and frequency of the offense, the employee's past record (including work history and earlier disciplinary record), and the circumstances surrounding the particular case. The University reserves the right to impose, in its sole discretion, any particular level of discipline depending on the circumstances. The foregoing in no way compromises or qualifies the University's employment-at-will policy (Policy 201). However, for tenured faculty members only, the University extends certain rights related to disciplinary action as set forth in Policy 408.

Consultation with the appropriate President's Staff Level Administrator and the Director of Human Resources is mandatory before issuing a suspension or termination.

All disciplinary actions, including verbal ones, should be thoroughly documented. Such documentation must articulate to the disciplined employee what behavior needs to be corrected, what measures must be taken to correct unacceptable behavior, what opportunities (if any) will be provided to correct the situation, and what the consequences are of continued improper conduct or inadequate performance. The employee should be given a copy of the documentation and should be asked to sign that they received it. Again, the foregoing in no way compromises or qualifies the University's employment-at-will policy (Policy 201).

University of the Ozarks
Employee Handbook/Policy Guide
Section: Conditions of Regulatory Compliance and Conduct
Policy 1118: Non-Discrimination and Anti-Harassment Policy
Applicability: All

University of the Ozarks is an equal opportunity employer and complies with all applicable federal, state and local laws, including Title IX of the Education Amendments of 1972. University of the Ozarks strictly prohibits and does not tolerate discrimination against employees, applicants or any other covered persons because of race, color, religion, creed, national origin or ancestry, ethnicity, sex (including pregnancy), gender, age, physical or mental disability, citizenship, past, current or prospective service in the uniformed services, genetic information, or any other characteristic protected under applicable federal, state or local law. All University employees, other workers and representatives are prohibited from engaging in unlawful discrimination. This policy applies to all terms and conditions of employment, including, but not limited to, hiring, training, promotion, discipline, compensation, benefits and termination of employment.

All Unlawful Harassment Prohibited

University of the Ozarks strictly prohibits and does not tolerate harassment against employees or any other covered persons because of race, religion, creed, national origin, ancestry, sex (including pregnancy), gender, age, physical or mental disability, citizenship, past, current or prospective service in the uniformed services, genetic information, or any other characteristic protected under applicable federal, state or local law.

Sexual Harassment

All University of the Ozarks employees, other workers and representatives (including vendors and customers) are prohibited from harassing employees and other covered persons based on that individual's sex or gender and regardless of the harasser's sex or gender.

Sexual harassment means any harassment based on someone's sex or gender. It includes harassment that is not sexual in nature (for example, offensive remarks about an individual's sex or gender), as well as any unwelcome sexual advances or requests for sexual favors or any other conduct of a sexual nature, when any of the following is true:

- Submission to the advance, request or conduct is made either explicitly or implicitly a term or condition of employment;
- Submission to or rejection of the advance, request or conduct is used as a basis for employment decisions; or
- Such advances, requests or conduct have the purpose or effect of substantially or unreasonably interfering with an employee's work performance by creating an intimidating, hostile or offensive work environment.

University of the Ozarks will not tolerate any form of sexual harassment, regardless of whether it is:

- **Verbal and/or written** (for example, epithets, derogatory statements, slurs, sexually related comments or jokes, unwelcome sexual advances or requests for sexual favors);
- **Physical** (for example, assault or inappropriate physical contact); or
- **Visual** (for example, displaying sexually suggestive posters cartoons or drawings, sending inappropriate adult-themed gifts, leering or making sexual gestures).

Other Types of Harassment

University of the Ozarks' anti-harassment policy applies equally to harassment based on an employee's race, religion, creed, national origin, sexual orientation, ancestry, age, physical or mental disability, citizenship, genetic information, past, present or prospective service in the uniformed services, or any other characteristic protected under applicable federal, state or local law. Such harassment often takes a similar form to sexual harassment and includes harassment that is:

- **Verbal and/or written** (for example, epithets, derogatory statements, slurs, comments or jokes);
- **Physical** (for example, assault or inappropriate physical contact); or
- **Visual** (for example, displaying posters, cartoons, or drawings, or making derogatory gestures).

Complaint Procedure

If you are subjected to any conduct that you believe violates this policy, you must promptly speak to, write or otherwise contact the Office of Human Resources or a member of the University's President's Staff as soon as possible following the offending conduct. The complaint should be as detailed as possible, including the names of all individuals involved and any witnesses. University of the Ozarks will directly and thoroughly investigate the facts and circumstances of all claims of perceived discrimination and will take prompt corrective action, if appropriate.

Additionally, any manager or supervisor who observes discriminatory conduct must report the conduct to their supervisor, the Office of Human Resources, or a member of University's President's Staff so that an investigation can be made, and corrective action taken, if appropriate.

No Retaliation

No one will be subject to, and the University prohibits, any form of discipline, reprisal, intimidation or retaliation for good faith reports or complaints of incidents of discrimination or harassment of any kind, pursuing any discrimination claim or cooperating in related investigations.

University of the Ozarks is committed to enforcing this policy against all forms of discrimination. However, the effectiveness of our efforts depends largely on employees telling us about

inappropriate workplace conduct. If employees feel that they or someone else may have been subjected to conduct that violates this policy, they must report it immediately. If employees do not report discriminatory conduct, the University may not become aware of a possible violation of this policy and may not be able to take appropriate corrective action.

Violations of this Policy

Any employee, regardless of position or title, whom the Human Resources Department determines has subjected an individual to discrimination or retaliation in violation of this policy will be subject to discipline, up to and including termination of employment.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Conditions of Regulatory Compliance and Conduct
Policy 1119: Title IX Policy
Applicability: All

Please refer to this website for the updated Title IX policy: <https://ozarks.edu/current-students/title-ix/>

University of the Ozarks
Employee Handbook/Policy Guide
Section: Conditions of Regulatory Compliance and Conduct
Policy 1120: Drug Free Workplace / Substance Abuse in the Workplace Policy
Applicability: All

Commitment to a Drug and Alcohol-free Workplace

University of the Ozarks is committed to providing a safe, healthy and productive work environment. Consistent with this commitment, this policy establishes the University's intent to maintain a drug and alcohol-free workplace. Being under the influence of alcohol or illegal drugs (as classified under federal, state or local laws, including marijuana) while on the job poses serious health and safety risks to employees and members of the public/others, which is not tolerated.

Prohibited Conduct

The University expressly prohibits the following activities at any time that employees are either on duty or conducting University business (either on or away from University's premises), or on University's premises (whether or not the employee is working). The University prohibits:

- the use, abuse or being under the influence of alcohol, illegal drugs or other impairing substances;
- the possession, sale, purchase, transfer or transit of any illegal or unauthorized drug, including prescription medication that is not prescribed to the employee or drug-related paraphernalia; or
- the illegal use or abuse of prescription drugs.

Nothing in this policy is meant to prohibit the appropriate use of over-the-counter medication or other medication that is legally prescribed under both federal and state law, to the extent that it does not impair an employee's job performance or safety or the safety of others. Employees who take over-the-counter medication or other medication that can legally be prescribed under both federal and state law to treat a disability should inform their supervisors if they believe the medication (without revealing the name of the medication) will impair their job performance, safety or the safety of others, or if they believe they need a reasonable accommodation before reporting to work while under the influence of that medication.

University-sponsored Events

From time to time, the University may sponsor social or business-related events at which alcohol is served. This policy does not prohibit the use or consumption of alcohol at such events. However, if employees choose to consume alcohol at such events, they must do so responsibly and maintain their obligation to conduct themselves properly and professionally at all times with colleagues and/or University guests.

Workplace Searches and Inspections

In order to achieve the goals of this policy and maintain a safe, healthy and productive work environment, the University reserves the right at all times to inspect employees, as well as their surroundings and possessions, for substances or materials in violation of this policy. This right extends to the search or inspection of clothing, desks, lockers, bags, briefcases, containers, packages, boxes, tools and toolboxes, lunch boxes and employer-owned or leased vehicles and any vehicles on University property where prohibited items may be concealed. Employees should have no expectation of privacy while on University premises.

Drug Testing

In furtherance of this commitment to a Drug and Alcohol-free workplace, the University maintains a policy in which job applicants and current employees may be requested or required to submit to drug and alcohol testing in certain situations. This policy is intended to comply with applicable laws regarding drug and alcohol testing and current and prospective employee privacy rights.

Pre-employment Testing

All job applicants may be subject to drug and alcohol testing. All offers of employment with the University may be conditioned on the applicant submitting to and successfully completing and passing a drug and alcohol test in accordance with the testing procedures described in this policy if required to do so.

Testing Based on Reasonable Suspicion

Employees may be asked to submit to a drug and alcohol test if an employee's supervisor or other person in authority has a reasonable suspicion, based on objective factors such as the employee's appearance, speech, behavior or other conduct and facts, that the employee possesses or is under the influence of unlawful drugs, such as marijuana, or alcohol, or both.

Periodic/Random Testing

Employees in safety or security-sensitive positions as determined in the University's sole discretion are subject to drug and alcohol testing on a random basis.

Post-Incident Testing

Employees involved in any work-related accident or incident involving the violation of any safety or security procedures may be required to submit to drug and alcohol testing if the University determines that drug use is likely to have contributed to the incident and a drug test can accurately identify impairment caused by drug use. Post-Incident testing may occur even if the incident did not result in injury to any person or any property damage.

Testing Procedures

All drug and alcohol testing under this policy will be conducted by an independent testing facility, which will obtain the individual's written consent prior to testing. The University will pay for the full cost of the test. Employees will be compensated at their regular rate of pay for time spent submitting to a drug and alcohol test required by the University. Employees suspected of working while under the influence of illegal drugs or alcohol will be suspended with pay until the

University receives the results of a drug and alcohol test from the testing facility and any other information the University may require making an appropriate determination.

Confidentiality

All records relating to an employee or applicant's drug and alcohol test results will be kept confidential and maintained separately from the individual's personnel file in a manner consistent with applicable law.

Consequences of a Positive Test

Employees who test positive will be subject to discipline, up to and including immediate termination of employment. Job applicants who test positive may have their conditional job offers withdrawn.

Consequences for Refusing to Submit to Testing or Failing to Complete the Test

Employees who refuse to submit to testing as required by the University or who fail to complete the test will be subject to discipline, up to and including immediate termination of employment. Job applicants who refuse to submit to drug and alcohol testing will be deemed to have withdrawn themselves from the application process and will no longer be considered for employment.

Convictions of Drug Offenses

Any employee convicted under a criminal drug statute must report that conviction to his/her immediate supervisor as soon as is reasonably practicable, but no later than within five (5) days of the conviction. The supervisor must immediately report the conviction to the Director of Human Resources. Failure to report such conviction will result in disciplinary action up to and including termination.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Conditions of Regulatory Compliance and Conduct
Policy 1121: Tobacco Free Policy
Applicability: All

University of the Ozarks acknowledges and supports the findings of the surgeon general that tobacco use in any form, active and passive, is a significant health risk. In light of these health risks, and in support of a safe and healthy learning, working, and living environment, the University is a 100% tobacco-free institution.

This policy applies to all faculty, staff, students, clients, contractors, and visitors to the University. The policy will be in effect twenty-four (24) hours per day, seven (7) days per week.

For the purpose of this policy, tobacco is defined to include any lighted or unlighted cigarettes, e-cigarettes, cigars, cigarillos, hookah products; any other smoking products; and any smokeless, spit or spit-less, dissolvable, or inhaled tobacco products in any form.

Use of any tobacco products is prohibited on all University property, University-owned or leased properties, and University-owned, leased or rented vehicles. This includes but is not limited to all building interiors, University sidewalks, parking lots, athletic fields and recreational areas.

Smoking and tobacco materials must be extinguished and disposed of properly prior to entering University of the Ozarks property. Improper disposal includes, but is not limited to:

- spitting smokeless tobacco products on University property;
- littering (i.e., discarded cigarette butts); or
- any disposal that creates fire hazards.

Advertising of tobacco products is prohibited on University property.

University of the Ozarks will provide cessation programs and resource information; including the Arkansas Department of Health Free Tobacco Quit-line number 1-800-QUIT-NOW or <http://StampOutSmoking.com>.

Individuals violating the policy will be provided with a written copy of the tobacco-free policy upon their first offense. Repeat offenders may be subject to disciplinary action by their supervisor as provided in Policy 1117.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Conditions of Regulatory Compliance and Conduct
Policy 1122: Workplace Violence Prevention
Applicability: All

University of the Ozarks is committed to providing a safe, violence-free workplace for our employees. With this commitment we discourage employees from engaging in any physical confrontation with a violent or potentially violent individual or from behaving in a threatening or violent manner. Threats, threatening language, bullying, intimidation or any other acts of aggression or violence made toward or by any employee will not be tolerated. A threat may include any verbal or physical harassment or abuse, attempts to intimidate others, menacing gestures, stalking, or any other hostile, aggressive, and/or destructive actions taken for the purpose of intimidation. This policy covers any violent or potentially violent behavior that occurs in or related to (i.e., social media, cyber-bullying) the workplace or at University sponsored activities or functions.

All University of the Ozarks employees have the responsibility of keeping the work environment free from violence or potential violence. Any employee who witnesses or is the recipient of violent behavior should promptly inform their supervisor, the Director of Public Safety or the Director of Human Resources. All good-faith complaints will be promptly investigated and, if appropriate, disciplinary action, up to and including termination, may be issued. Importantly, no employee will be subject to retaliation, intimidation, or discipline as a result of reporting a threat in good faith under this policy.

Any individual engaging in violence against the University, its employees, or its property may be prosecuted to the full extent of the law.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Conditions of Regulatory Compliance and Conduct
Policy 1123: Minors and Children in the Workplace Policy
Applicability: All

Educational and recreational opportunities abound at University of the Ozarks and are not limited solely to college-age or non-traditional students. As a matter of corporate citizenship, care for its employees, and to a reasonable extent, the University welcomes children to campus for a variety of events providing they are well-behaved, and their presence does not create an unnecessary distraction to any member of the University community. Examples of places or events where appropriately aged and behaved children are welcome on campus might include the Robson Memorial Library, Campus Perks, Rogers Conference Center (RCC), athletic events, special educational or recreational opportunities, theatrical productions and art displays (when age-appropriate), camps and conferences, and spiritual events and programs.

Children of employees are not allowed on campus when:

- the presence of a child or children creates a clear risk of harm to the child or children, to members of the campus community, or to the University;
- the presence of the child or children creates an unnecessary distraction;
- the child is ill;
- the child is in areas where confidential information is or may be discussed;
- the presence of a child might discourage a student or employee from seeking information or services they need;
- the child is attempting to use any employee's computer or access the university's computer systems through any unauthorized means; and
- in a manner that amounts to routine or regular day care.

The University does not accept liability for the well-being of children on campus and expects parents or guardians to exercise appropriate supervision and control of children in their care at all times. Employees and supervisors are expected to maintain an atmosphere of professionalism on campus, conducive to the academic and educational pursuits of the University's students. In instances where a child on campus is judged as being at risk, or as causing risk or distraction to others, supervisors will take appropriate steps to correct the problem. These steps may include, but are not limited to, requesting the child's parent(s) or other immediate caretaker to remove the child from campus, or seeking the assistance of campus security or local law enforcement agencies in appropriately handling the problem. The failure of an employee to follow the directive of a supervisor or other appropriate representative of the University or local, state, or federal government to follow directives in such circumstances may be grounds for disciplinary action. The University retains the right to restrict from University property individuals or groups of any age if it perceives the presence of such to be a risk to the University, members of the University community, or any visitors.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Conditions of Regulatory Compliance and Conduct
Policy 1124: Ozarks Alert
Applicability: All

Ozarks Alert is a mass notification system which serves as the University's means of official communication in emergency situations such as inclement weather, intruder(s) on campus, initiating campus lockdown, or other relevant community information. Alerts can be communicated by email, text, voice call, Facebook, Twitter, the University website, and push notifications off a single platform.

Employees can register to receive Ozarks Alert messages by accessing <http://www.Ozarks.edu/eplan> and completing the Community Profile Form.

Ozarks Alert will give users the freedom to communicate with each other through the following features:

- Indoor Positioning System (IPS);
- Reports;
- Friend Watch; and
- additional communication capabilities.

It is expected the Ozarks Alert system will be utilized by everyone on campus; as everyone has the responsibility of maintaining a safe community.

Cell phone users can also download the "911Shield" (all one word) app from the "play store" or "app store" to register. "911Shield" allows app users the ability to access emergency, safety, and weather documents at the touch of a button.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Conditions of Regulatory Compliance and Conduct
Policy 1125: Inclement Weather Work Policy
Applicability: All

In times of inclement weather, members of the University's administration and the Department of Public Safety consult each other to determine if there is reason for the campus to close. If the campus remains open, employees should use their best judgment in reporting to work. If an employee feels it is unsafe to travel to campus, they should inform their supervisor to seek direction as to how to proceed and make reasonable accommodations to complete their work in a timely manner. If an employee is unable to report for work due to inclement weather, and the University is otherwise open, it is a day missed and **will not** count as a vacation day or a sick day.

Please remember that regardless of the weather, the University serves a student population of which approximately 74% live on campus.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Conditions of Regulatory Compliance and Conduct
Policy 1126: Employee Vehicles, Parking, and Bicycles Policy
Applicability: All

EMPLOYEE VEHICLES

Students, staff, and faculty who drive motor vehicles on campus must register their vehicle and receive a parking permit from the Department of Public Safety. The parking permit is to be displayed in or on the vehicle at all times while on campus.

Parking

Students, staff, and faculty who drive motor vehicles on campus must register their vehicle and receive a parking permit from the Department of Public Safety. The parking permit must be displayed in or on the vehicle at all times while on campus. Campus maps indicating parking lots/areas can be obtained from the Department of Public Safety. There are a few “special parking” areas on campus in which students, staff, and faculty are not allowed to park. These “special parking” areas are visitor’s parking spaces (at any time) and Campus Perks parking spaces (between the hours of 7 AM-10 PM or when Campus Perks is open for business). Accessible parking spaces (disabled spaces) may only be utilized by those with the proper placards on or in their vehicles. Temporary Accessible parking space permits can be obtained from the Department of Public Safety in the event of specific injury or medical condition of which documentation will need to be presented. Students, staff, and faculty members who inappropriately park in these areas or in no-parking zones are subject to parking tickets, fines, and the possibility of the vehicle being towed. Students, staff, and faculty members failing to register their vehicles will be ticketed, fined, and subject to disciplinary action. If a vehicle is being used temporarily, a temporary parking permit may also be obtained from the Department of Public Safety free of charge.

Citations & Appeal Process

All tickets must be paid within thirty (30) days. A person receiving a parking citation may make a payment or appeal the violation. Payments must be made in the Office of Administrative Services located in the Mabree Administration Building. A person has two weeks to submit an appeal. All appeals must be filed in the Public Safety Office in writing or by email within two weeks of the citation date. Appeals will be heard by appointment only. The student or employee must be present at the time of their scheduled appeal date, or the appeal will be voided. Upon receiving an appeal in writing, the student or employee will be contacted by email and asked to schedule an appointment time for the appeal hearing. The assigned appeals hearing Officer of the Department of Public Safety will oversee the appeal hearing. At least two members of the appeal hearing panel must be present to conduct the appeal hearing. Hearing decisions can be made at the time of the hearing or can be made at a later date not to exceed three (3) business days at which time the appellant will be notified. All decisions of the appeal hearing panel will be final. Citations upheld by the appeal hearing panel will be paid at the Office of Administrative

Services within thirty (30) days of the citation date. A service charge of \$10 is applied to each citation not paid within thirty (30) days.

Citation Fees for Violations

No Parking Decal	\$ 25
Parking in Visitors Parking	\$ 25
Parking on the Grass/Sidewalk	\$ 50
Double Parking/Blocking	\$ 50
Parking in Accessible Parking	\$ 50
Parking in a No Parking Area	\$ 50
Parking in a Fire Zone	\$100
Dangerous operation	\$250

Towing Procedure

More than three repeated violations of parking regulations, or failure to move a vehicle from a restricted area after sufficient attempts of notification by the Department of Public Safety, may result in the towing of the vehicle at the owner's expense and/or additional disciplinary action by the University. Any vehicle parked on University property not properly registered with the Department of Public Safety may be towed at the owner's expense upon the identification of any parking violation. University of the Ozarks is not accountable and will not be held accountable for any damages to property received in the process of towing a vehicle.

BICYCLES

Bicycles on Campus

It is imperative that everyone practice safety when riding and storing a bicycle on campus. Registration of a bike with the Department of Public Safety is required and free and will allow the University to assist in safeguarding property. Due to thefts of bicycles and damages to property, any bicycle found not properly stored or registered on University property will be impounded by the Department of Public Safety. Impounded bicycles will not to be released until a fee/fine of \$10.00 is paid in the Office of Administrative Services and proof of payment is provided to the Department of Public Safety.

Bicycles used on campus should not be locked to or leaned against lamp posts, handrails, buildings, or other campus property not intended to host bicycles since this action creates safety escape hazards, interferes with maintenance work, and causes damage to the property and the bike. If an improperly stowed bicycle is locked, it may be necessary for the chain or lock to be cut. Bicycles are not allowed in any area of the residence halls or grounds other than in the provided bicycle racks around the campus. Bicycles chained to trees, shrubs, stairs, rails, or other prohibited areas will be removed immediately. Violation of this policy may result in fines, impoundment, and possible judicial action. Bicycles remaining at the end of the academic year are considered abandoned. If this occurs, the locks or chains will be cut and depending on condition of the bicycle, they will be either disposed of or donated.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Conditions of Regulatory Compliance and Conduct
Policy 1127: Document Retention Policy
Applicability: All

University of the Ozarks has established and maintains a Document Retention Policy to provide guidance in managing University information/data from creation through destruction. For additional information or to obtain needed information contact your supervisor or the responsible department.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Conditions of Regulatory Compliance and Conduct
Policy 1128: Animals on Campus Policy Applicability: All
Effective

The University protects the rights of individuals with disabilities to possess service animals, as those terms are defined by the Americans with Disabilities Act (ADA), on campus and, if applicable, in campus buildings or on athletics fields. Non-service animals are also permitted on campus for research purposes in accordance with proper University procedures (including Policy 1305 on Institutional Care and Use Committee).

Pets, however, are not permitted in campus buildings or on athletics fields. In limited circumstances, pets on short leashes or in cages/carriers, and under the *immediate* control of their owner, may be walked or carried through campus grounds (not inside buildings or on athletics fields) provided they pose no threat or distraction, and that they leave no sign of their passing. Pet owners who are asked by their supervisor, University administrative staff, or campus security to remove their pet from campus are expected to do so immediately. Failure to obey such directives may be grounds for disciplinary action up to and including termination. If necessary, local law enforcement and/or animal control agencies will be asked to correct a problem with an animal on campus.

**University of the Ozarks Employee
Handbook/Policy Guide
Section: Conditions of Regulatory Compliance and Conduct
Policy 1129: University Purchase Card Policy
Applicability: All**

University of the Ozarks allows certain employees to carry a purchase card issued in their name to make purchases on behalf of the University. With the convenience of carrying a personalized University purchase card comes responsibility. Failure to comply with the following guidelines will result in the loss of the card.

Card Request/Approval

An employee purchase card requires the approval of a President's Staff Level Administrator. If an employee believes their job requires use of a purchase card, they should provide evidence of that need to their supervisor, who will submit a request to a President's Staff Level Administrator.

Card Administration

The Office of Administrative Services administers the purchase cards program under the direction of the University Controller.

Purchase Cardholder Responsibilities

Card Security

It is expected that cardholders will:

- protect the confidentiality of the card and card information at all times.; and
- notify their supervisor and the Office of Administrative Services immediately if the card is lost or stolen.

Cardholders may not share the card with any other individual, including students or co-workers.

Purchase Cardholder Responsibilities

Card Purchases

It is expected that cardholders will use the purchase card for University-related purchases only. Purchases are to be approved by the supervisor and made in conjunction with the job duties. Cardholders may not make personal purchases with the University purchase card or use the purchase card for any reason that would violate any local, state, or federal laws.

Purchase Cardholder Responsibilities

Receipts

Cardholders will retain all original, itemized receipts for all purchases made on the purchase card. These receipts will be required with the submission of the electronic monthly expense report. Receipts must be legible and complete, include the name and address of the merchant,

the date of transaction, detail of transaction, and total amount of purchase. Meal receipts must include both the detail portion and the summary with tip section.

Purchase Cardholder Responsibilities

Expense Reports

Cardholders must submit an electronic monthly expense report by the 7th day of the following month for each month with card activity. The electronic expense report will include copies of all itemized receipts, the applicable account to which the charge needs to be expensed, as well as any other pertinent information that the cardholder's supervisor will need to approve the expense report. Step-by-step instructions detailing the monthly expense report submission process is made available to all cardholders by the University accountant.

Purchase Cardholder

'Three Strikes and You're Out' Policy

For the Office of Administrative Services to effectively process the University's financial records in relation to purchase card charges, it is imperative that all cardholders comply with the purchase card policies. To facilitate this process, the Office of Administrative Services has adopted a 'Three Strikes and You're Out' policy.

Per this policy, a 'strike' occurs when a cardholder fails to comply with one or more of the purchase card responsibilities. Possible 'strikes' may include, but are not limited to:

- Late submission of monthly expense report;
- Personal charge(s) made on a university purchase card;
- Expense reports with missing receipts and/or illegible receipts; and
- Excessive use of missing receipt forms.

All 'strikes' will be assessed at the discretion of the University Controller. When a cardholder warrants a strike, they will be notified of the 'strike' through their Ozarks' email account. The cardholder's direct supervisor, President's Staff Level Administrator, and the Director of Human Resources will all be notified of the 'strike' as well.

- STRIKE ONE – If a cardholder commits a 'strike'; they will receive an email notification of the occurrence and the details. No further action will be taken.
- STRIKE TWO – If a cardholder commits a second 'strike' (within a consecutive 12-month period), they will receive an email notification of the second occurrence and the details. The cardholder will lose card privileges for sixty (60) days from the date of the email notification.
- STRIKE THREE – Once a third 'strike' has been committed (within a consecutive 12-month period), the cardholder will lose card privileges indefinitely. They will receive an email notification stating that their University purchase card has been cancelled.

A cardholder receiving a 'strike' because of a personal purchase on a University purchase card is expected to make immediate restitution to the University in the amount of the personal charge. Failure to do so may result in temporary or permanent loss of their card privilege, regardless of which strike #; as well as, other employment-related actions.

There is no appeal process if card privileges are revoked. This policy becomes effective immediately. All cardholders must sign card agreements. Any cardholder that has failed to return a signed agreement will have their card temporarily suspended until the new agreement has been signed and turned in to the Office of Administrative Services.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Conditions of Regulatory Compliance and Conduct
Policy 1130: Fundraising Protections and Restrictions
Applicability: All

As a private, non-profit, charitable corporation described by section 501(c)3 of the Internal Revenue Service Code, University of the Ozarks relies heavily on private fundraising to achieve its mission. The University receives virtually no direct local, state, or federal tax support for its general operation, and is thus heavily dependent upon the generosity of donors to provide a high-quality educational environment for its students. Private charitable gifts help to underwrite core operating costs of the University, including but not limited to employee salaries, employee benefits, student scholarships, faculty and staff development, and the construction and/or maintenance of all University facilities. Improper use or leveraging of the University's resources (human or monetary), name, or charitable status for private fundraising by an employee is considered a conflict of interest could compromise the gift revenue-generating potential of a donor to the University. Accordingly, such activity is prohibited in accordance with this policy.

The University's private fundraising initiatives are directed by the Office of University Advancement. The fundraising functions of the Office of Advancement are tied directly to Board-approved goals and policies including the University's Mission, Strategic Plan, Master Facilities Plan, Campaign Plans, and short-term and long-term Budget Plans. As such, fundraising for campus activities, programs, clubs, organizations, and projects must be approved and allocated through the University's budget planning and management process (e.g., Division and program budgets, Student Government Association [SGA]), not through special fundraising projects.

Fundraising through Public Grants:

While some local, state, or federal public grants (and some private grants not related to the University's strategic goals) may be beneficial to Ozarks, the procurement, implementation, management, and reporting of such grants is not the responsibility of the Office of Advancement (including the director of major [private] grants). Grants from public funding sources often have proverbial "strings attached" and in many cases the ultimate cost of obtaining such a grant outweighs or negates its benefit. Costs/risks include requirements for cash and/or in-kind matches from the University, the leveraging of University resources for purposes not directly tied to its strategic goals, exposure of the University to various forms of liability, and public access to the University's proprietary information. Accordingly, only the President may approve fundraising initiatives of this nature.

Fundraising for Other Charities:

Because the University is itself a charitable organization, formal University communication systems (including, but not limited to, its computerized information system, email system, Website, printing/copying systems, postal system, telephone system, etc.) may not be used to solicit charitable support for other, non-University of the Ozarks charitable organizations. To do otherwise confuses supporters of the University, may make them question the University's need for their support, and/or might make University donors question the University's stewardship of their gifts.

As a function of the University's value for corporate citizenship, the University may make carefully considered, impactful contributions to the local community. These contributions are determined at the President's Staff level with the assistance of the Office of Public Relations.

Fundraising for University Programs and Groups:

The University's Office of Advancement is the management and administrative arm of the University sanctioned by the University's Board of Trustees to direct and oversee fundraising initiatives of the University. As such, all fund-raising efforts for University Programs and Groups must be communicated solely by, or with the express approval of, the Office of Advancement. For clarity, members of the campus community must keep in mind the following:

- Direct office-to-office solicitation by on-campus and off-campus groups is prohibited;
- Off-campus, door-to-door fundraisers are prohibited. This rule helps protect the local community from illicit individuals and/or groups who claim to represent the University and fraudulently solicit donations from members of the community; and
- Business donation solicitations are prohibited. Specifically, campus organizations are prohibited from requesting from the local community "free" items that are to be used as prizes or "give-a-ways."

Nothing in this policy prohibits Ozarks organizations from partnering with a business or organization as a volunteer in a fund-raising endeavor. However, such organizations may not use the name or purpose of the University to promote the third-party fund-raising endeavor without permission of the University's Office of Public Relations, 479-979-1433.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Conditions of Regulatory Compliance and Conduct
Policy 1131: Voicemail and Out-of-Office Email Notification Policy
Applicability: All

University employees must record a voicemail greeting on their business phone so that the individuals who reach their extension will know with whom they are leaving a message, and that they have reached the correct department. Employees must listen to their messages and delete or save them in a timely manner. Undeleted and saved messages will accumulate, and the telephone will lock employees out and prevent them from retrieving any messages.

University employees are encouraged to leave an out-of-office notification on their email and voicemail when away from campus for an extended period of time. These messages should include an estimate of time away and contact information for immediate assistance.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Conditions of Regulatory Compliance and Conduct
Policy 1132: Benefits Plan
Oversight Committee
Applicability: All

In keeping with best business practices for non-profit corporations that provide a 403(B)-retirement plan for employees, and to comply with the Employee Retirement Income Security Act of 1974 (ERISA), the University shall have a Benefits Plan Oversight Committee (BPOC). This committee shall be chaired by the University's director of human resources (DHR) and shall have three (3) exempt staff members (not including the DHR), two (2) faculty members, and one (1) non-exempt staff member. The University's chief financial officer and vice president for finance and administration (VPFA) is an ex-officio member. Committee members other than the DHR and VPFA are appointed to the BPOC by the president for terms of no more than three years. Committee members may be replaced, and vacancies on the Committee filled, at any time at the president's discretion, the president making every effort to keep the Committee fully staffed at all times.

Committee members are considered to be fiduciaries of the University and of the 403(B) Plan, and are thus required to act prudently, in good faith, with care and loyalty in executing their responsibilities. The Committee reports and recommendations are made to the Finance and Facilities Committee as necessary, but no less than annually at the fall full Board Meeting. The Committee's reports shall be made to the Finance and Facilities Committee by the VPFA and/or the DHR and shall be reported out by the Committee to the full Board as needed, but no less than annually at the fall full Board Meeting.

The fundamental responsibility of the BPOC as delegated by the Board of Trustees of University of the Ozarks shall be the governance of the University's 403(B) retirement plan as managed by the Teachers Insurance and Annuity Association of America-College Retirement Equities Fund (TIAA-CREF), and/or such other plan(s) as may be officially adopted by formal action of the University's Board. The Committee will comply with ERISA and any other relevant state and federal laws, and may use outside professional and or legal counsel, in person or in writing, as necessary to support its work and enhance its due diligence.

The BPOC shall also undertake due diligence reviews of all employee benefits as set forth in the University of the Ozarks Employee Handbook, including Section 500 (Employee Leave Benefits), Section 600 (Employee Insurance Benefits), Section 700 (Employee Retirement Benefits), Section 800 (Educational Assistance), and Section 900 (Employee Recognition). These reviews shall take place at least once every three years, or more frequently if required by legal and/or regulatory changes, or if other changes in circumstances affecting the University require changes in any particular benefits policy. In performing all reviews of, and recommending changes or additions to, any employee benefits policy, committee members and trustees shall adhere to their fiduciary responsibility to the University.

University of the Ozarks
Employee Handbook/Policy Guide
Section 1200: Academic and Instructional Policies
Policy 1201: Office Hours
Applicability: Faculty

All full-time faculty members must be available in their offices for consultation at regular and posted times for a minimum of five (5) hours per week. The office hours must fall between the hours of 8:00 a.m. and 5:00 p.m. on any day when classes are officially in session. A faculty member's office hours must be posted visibly outside their office door and must also be kept on file in the appropriate divisional office. It is understood that faculty members will also make themselves available for consultation with students at other mutually arranged times when necessary.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Academic and Instructional Policies
Policy 1202: Academic Advising
Applicability: Faculty

Assignment of Advisees

Every student enrolled at the University is formally advised on academic and curricular matters by one faculty member who is either selected by the student or assigned to the student by the University Registrar. Procedures for the assignment of academic advisors are outlined in the University catalog. Advisees are not assigned to adjunct faculty, visiting faculty, or instructors.

Responsibilities of Academic Advisors

An advisor's minimal responsibilities for pre-registration of advisees are explained anew each semester through email communications from the Registrar's office. A student's advisor is ultimately responsible for overseeing the advisee's pre-registration process, which includes consultation on the advisee's course selection, reconciling the advisee's course preferences with their remaining curricular requirements, and de-activating the advisee's pre-registration flag to enable the advisee to register online.

Access to University Catalog

It is the further responsibility of all academic advisors to be familiar with the academic requirements and policies for all major and minor programs for their advisees, as well as the general education curriculum as a whole. These requirements and policies are listed in the version of the University Catalog adopted by the advisee, according either to year of the advisee's matriculation (by default) or to the advisee's permissible choice (if recorded with the University Registrar). Different years' versions of the University Catalog are posted and arranged by year on the University website.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Academic and Instructional Policies
Policy 1203: Course Syllabi
Applicability: Faculty

Within the first week of classes, each University faculty member must provide their students with access to a syllabus for each class taught for academic credit in the current semester (including practica, internships, and directed studies). Copies of these syllabi must also be provided to the University Registrar. All course syllabi must include, at minimum, the following information:

- Instructor's contact information and office hours;
- Number and title of course;
- Catalog course description;
- Measurable course objectives and intended outcomes;
- Required and recommended texts or instructional materials;
- Explanation of instructor's attendance policy;
- Summary of required graded assignments;
- Instructor's policy for missed exams and assignments;
- Summary of instructor's evaluation of student work, including grading scale;
- Summary of instructor's expectations and guidelines for student conduct (including any of the instructor's criteria for removing students from class);
- The University's official ADA Statement: "If any member of the class has a documented disability and needs special accommodations, the instructor will work with the student and the Student Success Center or the Jones Learning Center to provide reasonable accommodation to ensure the student a fair opportunity to perform in this class. In order to plan for optimal success, please advise the instructor of the disability and the desired accommodation as soon as possible. Students are strongly encouraged to notify the instructor during the first week of classes. Without ample planning/preparation time, we cannot assure the availability of needed accommodations in a timely manner."; and
- The University's official statement on Academic Integrity: "All student work must be done in accordance with the University's Academic Integrity policy as stated in the Student Handbook. There will be severe grade penalties for acts of plagiarism, cheating, copying of another student's work, counterfeit work, theft of tests and unauthorized reuse of work. At the very least, a first offense may entail a reprimand, report of the incident to the Chief Academic Officer, and the University Registrar, and a failing grade for the assignment/test; a second offense will result in a failing grade for the course. However, if the incident is sufficiently serious—e.g., an entire assignment borrowed almost word-for-word from an online site and turned in as one's own work—the instructor reserves the right to issue a failing grade for the course, even if it is a first offense."

Beyond these minimal requirements, faculty members are encouraged to include in their syllabi other information that they feel their students should know about their courses. Additionally, they are encouraged to design their syllabi in any way they consider most effective.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Academic and Instructional Policies
Policy 1204: Submission of Grades and Academic Alerts
Applicability: Faculty

Midterm and Final Grades

Each semester, the University Registrar will send instructors information about the deadlines and submission processes for midterm and final grades. It is the responsibility of every instructor to comply with those instructions so that students, advisors, and administration may receive and respond to those grades in a timely manner.

Incomplete Grades

Instructors may only submit a final course grade of "I" if the student is made aware of the current University Catalog's policy for timely completion of the incomplete course requirements and with and Chief Academic Officer approval.

Anytime Alerts

All instructors are encouraged to make use of the University's alert system to submit academic or behavioral alerts on any of their students at any point of the academic year. It is the responsibility of instructors to follow up in a timely manner on any inquiries about the alerts that they have submitted.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Academic and Instructional Policies
Policy 1205: Grade Changes and Appeals
Applicability: Faculty

After the due date for final grade submission, an instructor may request to change a student's final submitted grade if the instructor believes that a miscalculation or other error in procedure resulted in the submission or issuing of an incorrect final grade. To initiate such a grade change, the instructor must complete a form provided by the University Registrar and submit the completed form to the Chief Academic Officer.

The Chief Academic Officer may either approve the instructor's request and notify the University Registrar of the grade change or refer the request to the Academic Affairs Committee for its recommendation.

Grade Appeal by Student

The University supports instructors' rights to determine their own policies and procedures for their evaluation of their students' academic work, but it also supports the rights of students to due process in instances where they are unable to resolve grade disputes through the preferred means of student-instructor conference. Formal grade appeals by students must be initiated within one (1) year of the issuing of the disputed grade, though exceptions may be made at the discretion of the Chief Academic Officer.

Written Appeal and Rebuttal

A student initiates the grade appeal process by writing a formal appeal and submitting it to the Chief Academic Officer of the pertinent academic program. Chief Academic Officer provides a copy of the student's written appeal to the instructor whose grade is under appeal; the instructor may then submit to Chief Academic Officer a written rebuttal to the student's appeal. Chief Academic Officer then meets with both the student and instructor in an effort to help resolve the appeal. If the appeal is not resolved within the Chief Academic Officer, then the Chief Academic Officer forwards copies of the student's appeal and the instructor's rebuttal to Academic Affairs Committee.

Hearings for Grade Appeal

Chief Academic Officer The Academic Affairs Committee (AAC), will arrange and conduct separate hearings for the student and instructor. Both the student and instructor may be accompanied by a chosen representative at their respective hearings. The Academic Affairs Committee may decide to convene a third hearing to include both the student and the instructor with their respective representatives. Based on its determinations from the hearings, the Academic Affairs Committee will notify both the student and the instructor of its recommendations for resolving the grade dispute and will then forward its recommendation to the Chief Academic Officer who will then notify the University Registrar of the decision.

**University of the Ozarks Employee
Handbook/Policy Guide
Section: Academic and Instructional Policies
Policy 1206: Maintenance of Course Records
Applicability: Faculty**

Instructors should be diligent in assigning and recording grades for their students' work throughout the semester. Additionally, grade results for each course must be preserved by the instructor for a minimum of five (5) years after the course's completion.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Academic and Instructional Policies
Policy 1207: Course Evaluations
Applicability: Faculty

The University will administer meaningful, anonymous evaluations for each credited courses (including practica and directed studies) wherein enrollments exceed one (1) student. The University upholds the right to students' confidentiality in the course evaluation process. Thus, instructors are not permitted to be in the presence of their students while course evaluations are being completed and submitted.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Academic and Instructional Policies
Policy 1208: Academic Integrity of Students
Applicability: Faculty

Students are informed in various ways, including through their course syllabi (see Policy 1203) of their obligations to uphold standards of academic integrity in their work. It is the responsibility of the faculty to protect those standards by responding to any instance where one of their students has appeared to violate them. Faculty members may use their own professional discretion in determining how to respond to violations that appear to be the result of the student's inexperience or misinformation, but egregious acts of plagiarism or the copying of other students' work should be met with stringent penalty. Even for a first offense, such penalties may include the issuing of a grade of zero (0) on a paper, examination or assignment, or the immediate issuing of a failing grade for the course. Any penalty issued for a student's violation of academic integrity must be reported in a timely manner to the Chief Academic Officer and to the University Registrar, who will maintain a record of the incident and notify the student's advisor of the offense and punishment. Faculty who issue any such penalty must maintain documentation of the violation for a minimum of five (5) years since students have the right to appeal such penalties as part of the grade appeal process (see Policy 1205). Copies of said documentation shall be included in the timely report to the Chief Academic Officer and the University Registrar.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Academic and Instructional Policies
Policy 1209: McElree Funding for Faculty Development
Applicability: Faculty

The Dr. Helen McElree Faculty Enrichment fund was established by Dr. McElree, a 1947 graduate of the University and retired professor of biology/immunology at Emporia State University, to support full-time faculty at Ozarks as practicing scholars. Calls for proposals for funding from faculty members are issued, along with deadlines, at least annually by either the office of the President or that of the Chief Academic Officer.

The explicit intent of this funding is “to promote and enrich the academic culture of the University by providing opportunities to the faculty that have the clear potential of supporting and enhancing faculty creativity and scholarship. Examples, without limitation, include support for travel, room and board for attendance of professional meetings, research projects, professional development opportunities, etc. Distributions may be used to bring guest lecturers and programs to campus. Distributions may be used to assist the University in providing sabbaticals or educational leave for faculty (including the coverage of costs for re-placement instructors), etc. Broad allocation of distributed funds across the faculty is allowed as a way of enhancing academic enrichment for many or all faculty members in any given year. Allocation of the funds shall be determined by the Chief Academic Officer or Office of the President in consultation with the Chief Financial Officer, and with final approval of the President.”

Selection of McElree Fund recipients is based on the quality of the proposed enrichment project; the project’s enhancement of the applicant’s scholarly knowledge, teaching skills, and professional satisfaction; and the quality of and adherence to the application guidelines. As set forth above, McElree grants may be provided for a broad range of enrichment opportunities for individual faculty, groups of faculty, or the entire faculty. However, McElree grants are not generally intended to underwrite course offerings that are or would be offered by the University on a routine basis, including study-abroad programs, or routine sabbaticals for which funding is allocated in the University’s annual operating budget. The use of Faculty development/enrichment funds allocated in the annual budget may be required in combination with McElree Funds to underwrite enrichment proposals/activities. While generous, McElree Funds are limited and should not be relied upon in the enrichment planning process without prior approval by the Chief Academic Officer and the Office of the President.

University of the Ozarks
Employee Handbook/Policy Guide
Section 1300: Faculty Governance
Policy 1301: Academic Divisions
Applicability: Faculty

The University's major and minor academic programs are organized for administrative purposes into three (3) academic divisions. Full-time faculty members are assigned to an academic division according to the divisional placement of their appointed academic program(s). Adjunct instructors and other part-time faculty members are administered within the division that corresponds to the program or programs of the courses they are assigned to teach. All interdivisional courses are administered by the Chief Academic Officer.

Division of Social Sciences

The Division of Social Sciences houses major programs in Accounting, Business Administration, Communication Studies, Elementary Education, Physical Education, Political Science, and Sociology.

It houses minor programs in Accounting, Business Administration, Communication Studies, Economics, Film Studies, Management, Marketing, Education, Criminal Justice, Media, Production, Military Science, Political Science, Strategic Communication, and Sociology.

Division of Natural Science and Mathematics

The Division of Natural Science and Mathematics houses major programs in Biology, Chemistry, Environmental Studies, Health Science, Mathematics, and Psychology.

It houses minor programs in Biology, Chemistry, Environmental Studies, Health Science, Mathematics, Psychology, and Sustainable Agriculture.

Division of Humanities and Fine Arts

The Division of Humanities and Fine Arts houses major programs in Art, English, History, Music, Philosophy, Religion, Spanish, and Theatre.

It houses minor programs in American Studies, Art, English, History, Interfaith Studies, Music, Philosophy, Religion, Spanish, and Theatre.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Faculty Governance
Policy 1303: Academic Directors
Applicability: Faculty

Academic Directors are members of the full-time faculty who are appointed by the University President or Chief Academic Officer to oversee official programs associated with the University's curriculum or other areas of its educational mission. The length of appointment, terms, and responsibilities of each Academic Director will be included in the Academic Director's personnel file and may be updated as necessary by the appointing party/position.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Faculty Governance
Policy 1304: Faculty Senate
Applicability: Faculty

The Faculty Senate is the University faculty's primary forum and voice in the exercise of the following institutional responsibilities entrusted to it under the authority of the Board of Trustees: the deliberation of academic policy; the stewardship of the University's curriculum; and the offering of counsel on matters pertinent to the University's educational mission.

The Faculty Senate holds its scheduled meetings during the regular Fall and Spring semester sessions of the academic year. Special meetings of the Faculty Senate may be called by the University President, the Chief Academic Officer, or the Senate Moderator.

Membership and Voting Rights

All faculty members with current, full-time appointments are authorized to vote on all policies or resolutions under the Faculty Senate's consideration. Voting members are required to sign in at and attend all scheduled and called meetings of the Faculty Senate, though on occasion they may be excused from attending by the Senate Moderator.

A voting member of the Faculty Senate who is excused by the Senate Moderator for an absence related to professional or University-sponsored activity may submit to the Senate Moderator and secretary a proxy vote on all non-amended items listed on the agenda for the pertinent meeting.

The Chief Academic Officer is an ex-officio, non-voting member of the Faculty Senate. Ex-officio, non-voting members of the Faculty Senate may also include the University President and any University staff member or guest invited by the Senate Moderator or appointed by the Chief Academic Officer, usually for informational, advisory, and/or clerical purposes.

Senate Moderator

The Senate Moderator is elected in even years to a two- (2) year term by majority vote of the Faculty Senate during the last scheduled meeting of the academic year. Procedures for any necessary run-off election will be determined by the current Senate Moderator in consultation with those voting members present at the meeting. Nominations for the position may be offered from the floor of Faculty Senate.

The Senate Moderator is charged with the following duties:

- presiding over all meetings of the Faculty Senate;
- arranging the recording of minutes;
- appointing the individual to offer the opening prayer at each meeting;
- appointing the Parliamentarian for upholding Robert's Rules of Order; and
- exercising all other rights and responsibilities as assigned to the Senate Moderator in this policy.

All meetings of the Faculty Senate will follow the procedures stipulated in the Employee Handbook or in Robert's Rules of Order, unless members of the Faculty Senate vote to suspend one of Robert's Rules of Order by 2/3 majority of the full-time faculty. The Senate Moderator is authorized to make procedural rulings, reversible by simple majority of the Faculty Senate.

Agendas for each meeting are prepared and distributed in advance electronically to members of the Faculty Senate by the Senate Moderator. Agendas will distinguish items of actionable policy subject to the Faculty Senate's discussion and vote from those non-actionable items that are open for discussion only.

Senate Proposals

The Faculty Senate is entrusted with the discussion of all substantive proposals from its own members and other University employees that pertain to the University's curriculum and academic policies, practices, and procedures, including but not limited to changes in the University Catalog and faculty policies in the Employee Handbook. Proposals passed by the vote of Faculty Senate are referred to the Chief Academic Officer, who will then forward them through the University President to the Board of Trustees for its consideration. However, in its discretion and as determined by its Governance Committee, the Board may refuse to address any given proposal. In order to allow members of the Board sufficient time for careful consideration of the Senate's proposals, it will be the practice of the Senate not to forward to the Board any substantive academic or other proposals made less than two (2) months prior to a regular Board meeting.

Any of the University's standing or ad-hoc committees may submit proposals as action items for the Faculty Senate. The Chief Academic Officer, as chair of the AAC, will submit as items for Faculty Senate action, all proposals for substantive change to academic policy or the University's curriculum that have been approved by the AAC, and will regularly inform the Faculty Senate of AAC decisions that pertain to more minor academic matters, pursuant to the procedures explained in Policy 1305. Any member of the President's Staff as outlined in Policy 108 may submit a proposal for Faculty Senate action.

Discussions and Votes

All substantive proposals, having been appropriately placed on the agenda will be discussed on the floor of Faculty Senate. Proposals for the agenda of the next meeting of the Faculty Senate may be made from the floor. When a vote is called, the vote may be taken publicly unless a private ballot is requested in advance or from the floor by any voting member of the Faculty Senate. The means for issuing and counting private ballots will be arranged by the Senate Moderator. All Faculty Senate proposals must pass by a 2/3 majority, except for all motions-to-table, which must pass by simple majority.

Minutes

Minutes for each meeting of the Faculty Senate are recorded by the Senate Secretary, who is appointed by the Chief Academic Officer. They are shared electronically with voting members of the Faculty Senate for their review and are submitted for the Faculty Senate's official revisions and/or approval at the next scheduled meeting of the Faculty Senate. Once approved, the minutes of each session are archived by the Faculty Senate and made available to the campus community on EagleNET.

Faculty Senate Representative to the Board of Trustees

The Faculty Senate's Representative to the Board of Trustees is elected by the Faculty Senate to a three- (3) year term in the first scheduled meeting of the calendar year in which the Representative's term is scheduled to begin. The newly elected Representative will accompany the current Representative to the next scheduled meetings of the Board of Trustees and will begin their own term at the first Board meeting of the following academic year.

The Faculty Senate's Representative to the Board of Trustees is elected to serve as a liaison between the Faculty Senate and the Board, a charge which involves sharing and contextualizing information that aids the Board, the administration, and the faculty in fulfilling their mutually supporting responsibilities to the University. The Representative will attend: all plenary, non-executive sessions of the Board during the Board's scheduled meetings; the meetings of the Board's Committee on Academic and Student Affairs; and meetings of other non-executive Board committees. The Representative will give a formal address to the Board on behalf of Faculty Senate at each Fall and Spring Board meeting and will report during the Faculty Senate's next scheduled meeting on the Board's recent actions.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Faculty Governance
Policy 1305: Standing Committees
Applicability: Faculty and Staff

Committees are crucial components in the University's shared governance. They provide full-time faculty members with opportunities to nurture the mission of the University and to work with other University employees in the stewardship of the institution as a whole. Standing committees are those committees endowed by the Board of Trustees with continuous prerogatives and responsibilities within particular areas of the University's operations. Each of these committees is charged with the review of pertinent proposals brought by University constituents, but members of these committees also have the right to bring their own proposals to their committees' consideration. The minutes for each of these committees will be archived by the committee chair and forwarded to the Chief Academic Officer.

Academic Affairs Committee

The Academic Affairs Committee (AAC) is charged with the review of all proposals from University faculty, administration, staff, or student organizations pertinent to the academic and curricular policies of the University. Such proposals include, but are not limited to, proposals for new courses, changes in academic program requirements, and modifications to the University's general education curriculum. The AAC may also be called by the Chief Academic Officer to deliberate on grade changes and grade appeals as detailed in Policy 1205. Resolutions of the AAC are determined by majority vote. The Chief Academic Officer will notify Faculty Senate on a monthly basis of all AAC resolutions, and the Senate Moderator will forward from the AAC all matters of academic policy that require the Faculty Senate's further consideration and vote as outlined in Policy 1304.

Membership of the AAC consists of the Chief Academic Officer, Assistant Chief Academic Officer (Chair), five (5) members of the faculty elected to one (1) or two (2) year terms, and the University Registrar (non-voting, ex officio), academic program coordinator (secretary).

Professional Affairs Committee

The Professional Affairs Committee (PAC) is charged with reviewing and assessing the professional performance of full-time faculty members who are undergoing scheduled reviews or applying for tenure and/or promotion. Additional information on the charges and protocol of the PAC in these reviews is included in Policies 407, 409, and 411. Select members of the PAC are also included in the process for post-tenure reviews as outlined in Policy 412.

The PAC is also responsible for evaluating tenured faculty member dismissal recommendations from the Chief Academic Officer. This process and the PAC's role in evaluating such recommendations is set forth in more detail in Policy 408.

Membership of the PAC consists of one (1) tenured faculty member elected to a two- (2) year term from and by each of the academic divisions and three (3) tenured faculty members elected at large to two- (2) year terms by the Faculty Senate. The Chair of the PAC is elected annually by PAC members.

Post-tenure Review Committee

The Post-tenure Review Committee (PTRC) is charged with the evaluation of all faculty members who stand for their scheduled post-tenure reviews as stipulated in Policy 412.

Membership of the PTRC consists of the Chief Academic Officer, and four (4) other faculty members selected from the PAC by the Chief Academic Officer. Different members of the PAC may be selected for different post-tenure reviews conducted within a given year.

Assessment Committee

The Assessment Committee is charged with developing, implementing, and coordinating plans, in line with accreditation standards and best educational practices, for enabling the University's programs to measure their progress toward their intended outcomes and to identify needs for their continued improvement.

Membership of the Assessment Committee consists of the staff member responsible for institutional research (Chair), four (4) faculty members, at least two (2) tenured, elected to two- (2) year terms by the Faculty Senate, and other University staff appointed at the discretion of the committee Chair.

Academic Standing Committee

The Academic Standing Committee (ASC) is charged with reviewing the academic records of those students who fall out of academic good standing; the ASC determines the academic status of each such student by applying its own discretion to the standards for academic status that are outlined in the University Catalog.

Membership of the ASC consists of the Registrar (Chair), the Dean of Students, the Director of Ozarks Experience, the faculty athletic representative, and three members of the faculty elected to 3-year terms.

Student Enrichment Fund Selection Committee

The Student Enrichment Fund Selection Committee is charged with oversight and disbursement of funds made available by the University to assist students in their curricular and co-curricular opportunities, including internships and study abroad.

Membership of the Student Enrichment Fund Selection Committee consists of the Vice President for Student Success or their designee (Chair), the University Accountant, the Assistant Director of Financial Aid, the Vice President for Marketing and Enrollment or their designee, the Political Science faculty member who coordinates the Clayton Russell Fund, and two (2) full-time faculty members elected to two-(2) year terms by the Faculty Senate.

Institutional Animal Care and Use Committee

The Institutional Animal Care and Use Committee (IACUC) exists to assure that the use of animals for teaching and research adheres to the federally mandated and other regulatory charges of IACUC as set forth in the IACUC Handbook, section 13(b) of the Animal Welfare Act (AWA), the Public Health Service Policy (PHS) (IV), and section 2.31(c) of the Animal Welfare Act Regulations (AWAR), including all related, mandated record keeping. The IACUC is also empowered to consider concerns/issues on the care and use of animals that arise from complaints brought by the public or by any University employee, as per the guidelines found in the IACUC Handbook. The IACUC will meet annually to review and inspect the University's program and facilities for humane care and use of animals and to complete and send to the Chief Academic Officer all reports related to the above evaluations.

In accordance with AWAR and PHS policy, the IACUC must consist of a minimum of five (5) members. The University President or a designee annually appoints the IACUC members and Chair. Members should include: (1) the Chair, who must be a faculty member with a graduate degree in the biological sciences, medicine, or veterinary medicine; (2) a local veterinarian who is certified by the American College of Laboratory and Animal Medicine (ACLAM) or who has experience in the use of the species in question and is neither affiliated in any way with the University nor an immediate family member of a University affiliate; (3) a faculty or staff member in a nonscientific area; (4) a practicing scientist who has experience in research with animals; (5) a community member who is neither affiliated in any way with the University nor is an immediate family member of a University affiliate, and who is qualified to represent the general community's interest in the proper care and treatment of animals. When necessary, (1) and (4) may be the same committee member.

University of the Ozarks
Employee Handbook/Policy Guide
Section: Faculty Governance
Policy 1306: Ad-hoc Committees
Applicability: Faculty and Staff

Special committees for specific purposes may be organized through a request to the Senate Moderator by the Board of Trustees, individual faculty members, University administrators, the Faculty Senate, or other University committees. Such committees, unless authorized by the Board, must be authorized by the University President or Chief Academic Officer. The University President and Chief Academic Officer are ex-officio members of all ad-hoc committees unless otherwise stipulated by the Board.