



C O N C O R D I A U N I V E R S I T Y
N E B R A S K A

FACULTY
PERSONNEL HANDBOOK

2012-2013

PREFACE

The Faculty Personnel Handbook provides both formal policies and general information that help members of the faculty understand their roles and duties as members of the Concordia University community. The Handbook supplements the orientation program designed to acclimate new faculty to the University and serves as a complement to the Academic Policies Handbook, which lists all academic policies established by the faculty and approved by the Board of Regents.

This Handbook is not to be construed as a contract between the University and faculty. New situations develop constantly, and it is understood that the University administration and Board of Regents reserve the right to change, suspend, or cancel all or any part of this Handbook as circumstances may require. In addition, the provisions of this Handbook are subject to changes made in the Handbook of The Lutheran Church-Missouri Synod by the conventions of the Synod.

LETTER FROM THE PRESIDENT

Dear Colleague in Ministry:

The mission of Concordia University, Nebraska is to prepare students to serve and lead in church and world. To fulfill that mission, Concordia needs the talents, abilities, ideas, energy and enthusiasm of talented, dedicated faculty.

You are an important member of the Concordia community and are a valued member of the University's faculty. Your ministry of teaching, research and service helps the University attain its vision and achieve goals that are significant and vital to the well-being of our students' growth and development.

The Faculty Handbook performs an important function in unifying our efforts and in providing essential information regarding policies that impact both your work and non-work hours. Its purpose is to inform you of the current policies and procedures for the faculty of Concordia University, Nebraska. The Handbook exists so that reason, fairness and equity might prevail.

It is my hope and prayer that you will always view your ministry at Concordia University, Nebraska as sharing in the important task of preparing students to develop and live out lives of service and leadership in church and world. As we work and serve together, may the Lord use us to accomplish His will, to expand His Kingdom and to live and proclaim the Gospel of Jesus Christ, the one and only Savior and Lord of all.

Rev Dr. Brian L Friedrich
President and Chief Executive Officer

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SECTION 1: INTRODUCTION

1. INTRODUCTION TO CONCORDIA UNIVERSITY

1.1 History

Concordia University opened its doors on November 18, 1894, with one professor, a dozen male students and a three-year high school curriculum. Concordia has since grown into a fully accredited, coeducational University which has granted degrees to more than 20,000 students. Concordia, Nebraska is one of 10 institutions belonging to The Lutheran Church—Missouri Synod’s Concordia University System.

1.2 Statement of Mission and Commitments

Concordia University, Nebraska is a coeducational institution of higher learning committed to the Christian growth of its students. Concordia is an excellent academic and Christ-centered community equipping men and women for lives of learning, service and leadership in the church and world. Concordia’s faculty, staff and students are committed to service to the church and community and to scholarly activity and research. Concordia’s programs and activities are set forth in an explicit value system that has as its core faith in Jesus Christ as the Son of God and only Savior of the world, commitment to the Holy Scriptures as the communicator of that faith and commitment to the Lutheran Confessions as a true exposition of the Scriptures.

Concordia’s programs promote intellectual, emotional, physical and spiritual growth. They nurture religious commitment, enlarge social and cultural understanding, provide insights for Christian action in the world and facilitate the ability to communicate effectively. The programs provide an opportunity for intelligent selection of vocations for service to God, church and society, and they are designed to develop the professional competencies and commitment required for responsible participation and leadership in a complex and diverse society.

SECTION 2: ORIENTATION TO CONCORDIA FACULTY

2. ORIENTATION TO THE CONCORDIA FACULTY

2.1 Organization of the University

2.1.1 Components of the Concordia Community

Concordia University is operated under the auspices of The Lutheran Church—Missouri Synod. The Synod places responsibility for the overall governance of the institution in the hands of a Board of Regents, in part elected by the Synod in convention, in part elected by the Nebraska District of the Synod in convention, and the remainder selected by the elected members. The executive officer of the Board and the “chief spiritual, academic and administrative head” of the University is the President. The President, with the approval of the Board, establishes and appoints administrative officers who make up the Cabinet. Faculty are charged with the core institutional task of instruction; in addition, as a group, the Faculty is responsible for the formulation of institutional policies in a number of areas (see The Handbook of The Lutheran Church—Missouri Synod, 2010, 3.10.5.6.10 and 2.1.3 below), for proposal to the Board.

Professional/Technical Staff are those in non-instructional positions in the University who have managerial responsibilities. Support Staff provide a wide range of services. Finally, the University community includes students, for whom the entire enterprise exists.

2.1.2 Organization of the Faculty

The Faculty is organized into three academic colleges: the College of Education, the College of Arts and Sciences and the College of Graduate Studies. These divisions serve as the primary units of faculty activity, including curricular planning and delivery, faculty evaluation and professional growth. The College of Arts and Sciences and College of Education are each headed by a dean; the Associate Provost has primary oversight for the College of Graduate Studies. Each college is further divided into departments or programs, each headed by a department chair or program director. Deans, department chairs and program directors are appointed by the President upon recommendation of the Provost.

The Faculty and Professional/Technical Staff have three regular meetings per academic year. Additional faculty/PT meetings may be called by the President or the Provost and additional faculty business meetings and forums are held regularly. Faculty/PT and faculty business meetings are chaired by the Provost. Voting members of the faculty include all full-time faculty and members of the Cabinet without faculty rank; advisory members include graduate assistants, adjunct faculty and members of the Professional Technical staff.

SECTION 2: ORIENTATION TO CONCORDIA FACULTY

2.1.3 Responsibilities of the Faculty

Faculty responsibilities outlined in The Handbook of the Lutheran Church—Missouri Synod, 2010, (3.10.5.6.10) include the following:

- Each faculty shall recommend policy to the board of regents through the president for the admission, transfer, dismissal, or withdrawal of students, set the standards of scholarship to be maintained by students, determine criteria for graduation or failure, act on recommendations in the matter of granting certificates, diplomas, and such academic or honorary degrees as may lawfully be conferred by the institution.
- Each faculty shall develop and construct curricula implementing the recognized and established purposes of the institution and designed to attain the objectives of preparation for professional church workers and other Christian leaders approved by the Synod.
- Each faculty shall pursue the improvement of teaching and learning and the evaluation of their effectiveness in every segment of the institution and its curriculum.
- Each faculty shall recommend policy to the board of regents through the president regarding out-of-class life and activity of its students so that the co-curricular and off-campus activities of the student contribute to the attainment of the educational objectives of the institution. The faculty shall recommend such policies as will be conducive to the cultivation of a Christian deportment on the part of all students, will stimulate the creation of a cultured and academically challenging atmosphere on and about the whole campus, and will make a spiritually wholesome community life possible.
- Each faculty shall recommend policy to the board of regents through the president regarding the maintenance of wholesome conditions for faculty service and welfare.
- The faculty of each institution which prepares professional church workers directly for service in the Synod shall conform its placement policies to the provisions for the distribution of candidates and workers through the Board of Assignments of the Synod.

2.1.4 Graduate Faculty

The graduate programs of the University are the specific responsibility of the Graduate Faculty, which consists of members of the regular Faculty who have earned their terminal degree. Members of the Graduate Faculty are appointed by the President upon the recommendation of the Provost.

SECTION 2: ORIENTATION TO CONCORDIA FACULTY

2.2 General Information

2.2.1 Identification Card

- The CUNE ID card serves several functions on and off campus. These include:
Identifying employees of CUNE
- Accessing buildings on CUNE campus
- Obtaining free or reduced admission for employees to CUNE events
- Receiving discounted meals at the Janzow Campus Center
- Checking out resources at the Library

It is important to remember that ID cards are the property of CUNE. All lost or stolen cards should be reported to the Human Resource office immediately. Employees will incur a \$10 replacement fee for a lost card. Worn cards will be replaced free of charge with the presentation of the old card to Human Resources personnel.

Who is issued an employee ID card?

- Regular faculty & staff
- Temporary faculty & staff who work on the CUNE campus
- Third-party workers who work in an official capacity on the CUNE campus
- Former faculty members recognized by the Board of Regents as Emeriti Faculty
- Students

When and How to Wear your ID.

- Employees (regular or temporary) and affiliated third-party workers working in the office or classroom environment should observe the following guidelines:
- ID cards should be displayed while on the CUNE campus and working in an official capacity.
- CUNE ID cards should be worn at belt level or above and in a manner to make it completely visible.
- When off campus and acting as a representative of CUNE, employees are encouraged to wear their CUNE name badge but are not required to display the CUNE ID card.

Safety Considerations

The CUNE ID should be worn whenever possible (in the manner stated above) but may be removed for safety considerations at the discretion of the employee.

Student Employees

Student employees are required to wear their Student CUNE ID while working on the CUNE campus and in an official capacity for CUNE.

SECTION 2: ORIENTATION TO CONCORDIA FACULTY

Display of ID Card

Human Resources will issue a plastic card holder with a generic lanyard or a reel for regular and temporary employees at the start of their employment. Students may obtain a lanyard or name badge style holder from their supervisor at the start of their employment. Additional styles of lanyards are available for purchase at the Concordia Bookstore.

2.2.2 Parking and Vehicle Registration

Faculty vehicles parked on campus need to be registered with the Building and Grounds department. A Concordia University parking sticker will be issued at no cost to the employee. Parking stickers should be affixed to the driver's side of the rear bumper.

Parking areas on campus are designated as being available to faculty, staff, students and visitors. Faculty should restrict their parking to the areas designated for their use. Campus security is authorized to issue tickets for vehicles parked improperly. Fines will be assessed for receiving a ticket.

Handicapped parking spaces are available and designated in all parking lots on campus. Wider spaces for loading and unloading from vans are in parking lots as well. Please note that persons with disabilities with a properly identified vehicle may park in any faculty or staff space as well as in those designated as handicapped areas. Persons whose impairments are not obvious may be required to provide substantiation from a physician of the need for disabled parking privileges.

2.2.3 Office Space Assignment and Keys

Office assignments are made by the building manager for each building on campus. New employee building access via the identification card is given during the orientation process following a request for access from the supervisor of the new employee. New employees will receive their keys from the Human Resource office when they process their new hire paperwork. Keys requested after the new hire process will need to be picked up at the Buildings and Grounds Department, after the request has been processed.

SECTION 2: ORIENTATION TO CONCORDIA FACULTY

2.2.4 Handbooks, Directories and Other Resources

The following resources are available for faculty use:

2.2.4.1 Directories

(on the *connect*CUNE portal, Campus Life tab, in the “Directories” channel)

- Concordia Directory
- Student Directory

2.2.4.2 Handbooks and Catalogs

(on the *connect*CUNE portal, Faculty tab, “Documents – Academic” channel)

- Academic Policies Handbook - General
- Academic Policies Handbook – College of Education
- Academic Policies Handbook – College of Graduate Studies
- Faculty Personnel Handbook
- The Student Handbook
- Undergraduate and Graduate Catalogs
- Faculty Rosters (published in the Undergraduate Catalog)

2.2.5 Registration for Salary and Benefits

New faculty must complete new hire paperwork in the Human Resources Office which includes direct deposit of paychecks and Concordia Plan Service’s enrollment paperwork (see section 5.0 for more information on Compensation and Benefits).

2.2.6 Copy Services

University copy machines may be operated with department code numbers. Numbers can be obtained from department chairs.

The Copy Center (IKON) is available for larger copy jobs if they are submitted 24 hours before needed. IKON can also perform other services, including collation, stapling and binding.

2.2.7 Mail Services

Mail is picked up and delivered to campus buildings once in the morning and once in the afternoon on days when the University offices are open.

2.2.8 Phone Services

University phones are primarily for official use. All personal long-distance calls should be charged to a personal number or credit card. For guidelines on how to use the phone system, please contact the Human Resources Office (#7222).

2.2.9 Computer Access

Certain positions will require computer access as soon as possible. Approval for computer access will be granted by the Human Resource department only upon completion of new hire paperwork. Access to the CUNE network, computers, the *connect*CUNE portal, e-mail and the Banner administrative system is enabled by

SECTION 2: ORIENTATION TO CONCORDIA FACULTY

Computing Services as requested by your supervisor or the designated person for your work area.

2.2.10 Banner Self-Service

Every faculty member is given a University ID number for the Banner administrative system. The ID number is used in conjunction with a user-defined PIN number to access the secured *connectCUNE* portal and Banner Self-Service Information system. Employees may access their personal information through this system. Access to Banner Self-Service is also available through the *connectCUNE* portal. For help with your PIN number and your University ID number, please contact the Computing Services Department (#7321).

2.2.11 Electronic Communication

If authorized, you will be given access to the appropriate electronic communication systems. For example: voice mail, e-mail, Internet, Intranet. Prior to being given access, you will need to read, understand and agree to the terms of the Technology section of this handbook. By your signature upon acceptance of this handbook, you are agreeing to adhere to the rules and regulations governing all facets of electronic communication. In brief, these systems are tools that are provided to assist you in meeting the requirements of your position. However, reasonable personal use is permitted but must not interfere with an employee's productivity and is to be done during non-working hours.

2.2.12 Procurement Cards

Procurement cards (also known as p cards) are approved and authorized for some faculty positions. P-cards are credit cards which allow assigned employees to make tax-exempt University purchases. Every month around the 25th day, P-card purchases need to be reconciled. P-cards must be requested through the department chair and approved by the Provost. Questions regarding these cards may be directed to Accounts Payable (#7370).

2.2.13 Security Services

Security services are provided on campus at all time. In the event of need, call **643-3033**.

2.2.14 Food Services

Food services are provided in the Janzow Campus Center. Individual meals may be purchased and employees may sign up to have the cost of lunches eaten at the Janzow Campus Center foodservice facility deducted from their paycheck (contact the Human Resource Office to complete the appropriate form).

Arrangements for special meals may be made by contacting the Chartwells Dining Service office (x7213). The University's contract with Chartwells requires that Chartwells has the first right of refusal for any meal served on campus.

SECTION 2: ORIENTATION TO CONCORDIA FACULTY

2.2.15 University Store

Concordia Publishing House (CPH) operates the bookstore, located in the lower level of the Janzow Campus Center. The store stocks instructional texts and supplies, Concordia University items, office supplies and personal items. Instructors should submit textbook requisitions by the requested deadline to assure availability of texts on the first day of classes.

2.2.16 Athletic Facilities

The Walz Athletic Performance Complex is available for the use of faculty and their immediate families. Restrictions may apply to some facilities. Contact the Walz Athletic Performance Complex administration office for guidelines regarding use of facilities.

2.2.17 Admission to Campus Events

Identification cards are made available to all employees of Concordia University. ID cards may be used for free or reduced admission to home athletic events, concerts, plays and other events which may be designated as requiring ID cards. According to the Bylaws of the Great Plains Athletic Conference, faculty and staff members who display their ID cards will be admitted free with a guest to all regular-season conference games.

If an employee does not plan to accompany their family, the University has created a family pass. The following are the guidelines:

- \$5.00 Initial Fee.
- Renewable every year (August), without a fee – if the old card is turned in.
- \$10.00 Replacement Fee.
 - If lost.
 - If card is not turned in at the time at time of renewal and the member wants to renew the card. If they don't want to renew, then there is no issue.
- The card will allow a family member to include children, if they are accompanied by them at the time the card is presented.
- Family members that are 16 or older, have their own family pass – if the employee chooses. At age 16 – family member would have own ID to show.

2.2.18 Notary Public Service

Concordia University can provide employees notary public service for either personal or professional use at no cost. For more information, contact the Human Resource Office.

2.2.19 ATM

Automated teller machines are located in the Janzow Campus Center and Health, Human Performance and Athletic Center for use by students and Concordia University employees.

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3. GENERAL PERSONNEL POLICIES AND PROCEDURES

3.1 Work Regulations

3.1.1 Equal Opportunity

Concordia University desires to recruit and retain capable and well-qualified persons to serve as members of its faculty. It is to the advantage of each worker at the University, and ultimately to the students in attendance at Concordia, that the talents of all who serve at the University are fully utilized, all working together for the benefit of all—students, staff, faculty, the University administration and the Board of Regents.

Concordia University strives to provide equal opportunity to all employees and applicants for employment in accordance with all applicable equal opportunity rules, regulations and governing bodies.

Concordia University will not discriminate against or harass any applicant or employee in our hiring, compensating, promoting, or terminating practices because of race, color, national or ethnic origin, disability, age or sex (except where ministerial positions are required), marital status, HIV status, or genetic information. However, as an entity of The Lutheran Church--Missouri Synod (LCMS), we are exempt from the provision of the Civil Rights Act of 1964, which forbids discrimination in employment based on religion; therefore we retain the right to give preference in hiring persons who are Christian, and/or members in good standing of LCMS congregations.

Preference in holding certain employment positions is given to ordained or commissioned ministers of The LCMS. The LCMS upholds the doctrinal belief that women may not serve as ordained ministers. Therefore, women will not be considered for such positions.

3.1.2 Immigration Law Compliance

Concordia University also abides by the 1986 Immigration Reform and Control Act. It is our policy to hire only those individuals who are authorized to work in the United States. Pursuant to this law, all individuals who are offered employment will be required to submit documentary proof of their identity and employment authorization.

Employees will also be required to complete and sign, under oath, Immigration and Naturalization Service Form I-9. Form I-9 requires employees to attest that they are authorized to work in the job for which they are hired and that the documents they submitted are genuine. This is done solely for the purpose of complying with the Immigration Reform and Control Act of 1986 and will in no way result in discrimination based upon national origin or citizenship.

In addition, if the employee is authorized to work in this country for a limited period of time, before the expiration of that period he or she will be required to submit proof of employment authorization and sign another I-9 Form in order to remain employed.

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3.1.3 Harassment

As we work in ministry, it is important that all employees work as a team, so that the rights and interests of both the organization and the employees are honored. This is more critical for institutions associated with the church, where any failure to maintain high standards of behavior may affect the church body as a whole. It is for this reason that rules of conduct have been established; it is your responsibility to know and follow them both on- and off-duty. Common sense, good judgment and acceptable personal behavior on the part of all employees is expected.

3.1.4 Unlawful Harassment

Concordia University is committed to offering employment opportunity based on ability and performance, in a productive climate, free of unlawful discrimination and harassment. Accordingly, unlawful harassment of any kind by supervisors or co-workers will not be tolerated. In addition, Concordia University will protect employees, to the extent possible, from reported unlawful harassment by students and other non-employees in the workplace.

3.1.4.1 Zero Tolerance for Unlawful Harassment

Harassment because of a person's race, color, age, sex, national origin, marital status, or disability has been defined by federal and state courts and agencies as a form of unlawful discrimination. Unlawful harassment exists when:

- Supervisors or managers make submission to such conduct either an explicit or implicit term or condition of employment (including hiring, compensation, promotion, or retention);
- Submission to or rejection of such conduct is used by supervisors or managers as a basis for employment-related decisions such as promotion, performance evaluation, pay adjustment, discipline, work assignments, etc.
- Unlawful harassment may also exist when co-workers (or non-employees, such as students or vendors) engage in such conduct, when the conduct unreasonably interferes with an employee's work performance or creates an intimidating, hostile, or offensive work environment

Examples of unlawful harassment include, but are not limited to: unwelcome sexual flirtations (by members of the same or opposite sex), advances or propositions, unnecessary or unwelcome touching, graphic or verbal comments regarding a person's body, sexually or racially degrading terms or language, explicit or offensive jokes, verbal abuse because of a person's race, color, age, sex, national origin, marital status, or disability, or any other conduct that has the purpose or effect of unreasonably interfering with an employee's work performance or creating an intimidating, hostile, or offensive work environment.

As we work in ministry, it is important that all employees work as a team, so that the rights and interests of both the organization and the employees are honored. This is more critical for institutions associated with the church, where any failure to maintain high standards of behavior may affect the church body as a whole. It is for this reason that rules of conduct have been established; it is your responsibility to know and follow

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them both on- and off-duty. Common sense, good judgment and acceptable personal behavior on the part of all employees is expected.

3.1.4.2 Complaint Procedure

Any employee or applicant who feels that he or she is being harassed by another employee, supervisor or any other person because of his or her race, color, age, sex, national origin, marital status, or disability must immediately bring the incident to the attention of the Connie Butler, Director of Human Resources, who may be reached at 402-643-7332.

If that would prove to be uncomfortable or if the employee/applicant is not satisfied with the handling of the complaint, he or she must promptly bring the matter to the attention of Dave Kumm, Executive Vice President/CFO/COO, who may be reached at 402-643-7380.

Employees and applicants who are still are not satisfied or would feel more comfortable lodging their complaint with someone else must promptly contact Jenny Mueller-Roebke, Provost, who may be reached at 402-643-7374.

3.1.4.3 Investigative Process and Remedial Action

Concordia University will promptly and impartially investigate all allegations of discrimination and harassment. Although complete confidentiality cannot occur given our obligation to investigate, all such allegations will be kept confidential to the extent possible. Upon the conclusion of the investigation Concordia University will take appropriate corrective action if warranted. Violations of Concordia University's Unlawful Harassment Policy may result in disciplinary action, up to and including termination of employment.

3.1.4.4 Protection Against Retaliation

Under no circumstances will a supervisor, co-worker or student be allowed to threaten or retaliate against an employee or applicant who in good faith alleges unlawful harassment or against any individual who has participated in the investigatory process. Violations of this prohibition against retaliation may result in disciplinary action, up to and including termination of employment.

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3.1.5 Americans with Disabilities Act

CUNE recruits and hires employees based on their ability to do a job, not their disabilities. Our end goal is to hire the best qualified individual for our positions. CUNE will make every effort to make position advertisements and position applications accessible to persons with disabilities. In addition we will also make all reasonable accommodations to facilitate access to any location where it conducts interviews for person with disabilities. Our interview questions will be designed to determine the applicant's ability to perform the job and will not delve into non-job related areas.

CUNE is committed to protecting the rights provided to individuals with disabilities by the ADA. Accordingly, it will in no way retaliate against anyone who asserts the rights provided by the ADA or any state human rights law.

CUNE desires to make its facilities accessible to anyone with disabilities. If the employee is aware of areas or services in and around CUNE that are not accessible to persons with disabilities, please contact the ADA compliance officer.

Service animals accompanying persons with disabilities are welcome at CUNE. The service animal should remain with the person it is assisting at all times. If an employee is serving someone who is assisted by a service animal, please be aware that the service animal is not a pet and should not be treated as a pet. Please make every attempt not to separate the service animal from the person whom the service animal is assisting.

3.1.6 Disability Accommodations – ADA

The University will provide reasonable accommodation to qualified individuals with documented disabilities to ensure equal access and equal opportunities with regard to University employment, University educational opportunities, and the University's programs and services. A disability is defined as a physical or mental impairment that substantially limits one or more major life activities, a record of such an impairment, or being regarded as having such an impairment.

The EEOC has determined a list of impairments that automatically establish a disability. Please check with the HR office for more details.

The HR office is responsible for processing requests for employee disability accommodations.

The University is not obliged to grant specific requested accommodations if other reasonable accommodations may suffice to give the requestor equal opportunity. If an accommodation is granted, the accommodation will be reviewed annually by HR to determine whether updated documentation is needed and whether the accommodation is still appropriate and sufficient.

The employee is responsible for providing appropriate documentation for the claimed disability. Documentation means those documents and reports that are required to be presented to the University by the person requesting an accommodation before any accommodation will be offered. Documentation consists of official written communications from a relevant qualified treating health professional (such as a physician, surgeon, psychiatrist, physical therapist, etc.)

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This communication must be current and must describe the diagnosis and nature of the disability, the major life function(s) affected the functional limitations of the disability, and the prognosis. The professional may also make suggestions regarding the accommodations being requested.

The employee is responsible for cooperating with the University in attempting to reach an agreement on a reasonable accommodation.

3.1.7 GINA

GINA is a federal law that aims to eliminate the potential abuses relating to the use and disclosure of “genetic information, made more likely due to advancements in genetics”. GINA’s primary objective is to prohibit discrimination on the basis of “genetic information” in employment and health insurance plans. GINA also restricts the use of, access to and disclosure of “genetic information” based on the idea that doing so will reduce discrimination.

What does Title I of GINA prohibit?

Title 1 prohibits discrimination in group health plan premiums based on genetic information and premiums in the individual and Medigap insurance markets, and limits genetic testing and collecting genetic information in group health plan coverage, the individual insurance market, and the Medigap insurance market. Title I’s health coverage provisions apply to group health plans sponsored by private employers, unions, and state and local government employers; issuers in the group and individual health insurance markets; and issuers of Medicare supplemental (Medigap) insurance.

What does Title II of GINA prohibit or restrict?

Title II:

- Prohibits use of genetic information in employment decision-making;
- Restricts employers and other covered entities from requesting, requiring, or purchasing genetic information;
- Requires that genetic information be maintained as a confidential medical record, and places strict limits on disclosure of genetic information; and
- Provides remedies for individuals whose genetic information is acquired, used, or disclosed in violation of its protections.

GINA Safe Harbor Notification

The EEOC has suggested a notice that can be used in conjunction with an employer’s request for medical information. If such notice is given, any genetic information received in response to the medical information request will be deemed inadvertent. The notice follows:

The Genetic Information Nondiscrimination Act of 2008 (GINA) prohibits employers and other entities covered by GINA Title II from requesting or requiring genetic information of an individual or family member of the individual, except as specifically allowed by this law. To comply with the law, we are asking that you not provide any genetic information when responding to this request for medical information. ‘Genetic information’ as defined by GINA, includes an individual’s family medical history, the results of an individual’s family member sought or received genetic services, and genetic information of a fetus carried by an individual or an individual’s family member or an embryo lawfully held by an individual or family member receiving assistive reproductive services.’

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How does the inadvertent acquisition exception apply when an employer overhears a conversation which involves genetic information?

The exception applies when a manager or supervisor learns genetic information about an individual by overhearing a conversation between the individual and others. The EEOC noted that Congress did not want casual conversation among co-workers regarding health to trigger federal litigation whenever someone mentioned something that might be protected family medical history.

The exception also applies when a supervisor or manager receives family medical history directly from an individual following a general health inquiry (e.g., “How are you?” or “Did they catch it early?” as of an employee who was just diagnosed with cancer) or a question as to whether the individual has a manifested condition. Similarly, a casual question between colleagues or between a supervisor and subordinate concerning the general well-being of a parent or child would not violate GINA.

However, this exception does not apply where an employer follows up a question concerning a family member’s general health with questions that are probing in nature, such as whether other family members have the condition, or whether the individual has been tested for the condition, because the manager or supervisor should know that these questions are likely to result in the acquisition of genetic information.

What is the definition of a family member?

- A person who is a dependent of that individual as the result of marriage, birth, adoption, or placement for adoption.
- A first-degree, second-degree, third-degree, or fourth-degree relative of the individual, or of a dependent of the individual. Includes parents, siblings, children, grandparents, grandchildren, unless, aunts, nephews, nieces, half-siblings, great-grandparents, great-grandchildren, great uncles/aunts, first cousins, great-great-grandparents, great-great-grandchildren, and first cousins once-removed (i.e., the children of the individual’s cousins).

What is family medical history?

Information about the manifestation of disease or disorder in family members of the individual.

What is genetic information?

- An individual’s genetic tests;
- The genetic tests of that individual’s family members;
- The manifestation of disease or disorder in family members of the individual (family medical history);
- An individual’s request for, or receipt of, genetic services, or the participation in clinical research that includes genetic services by the individual or family member of the individual; or
- The genetic information of a fetus carried by an individual or by a pregnant woman who is a family member of the individual and the genetic information of any embryo legally held by the individual or family member using an assisted reproductive technology.

Genetic information does not include information about the sex or age of the individual, the sex or age of family members, or information about the race or ethnicity of the individual or family members that is not derived from a genetic test.

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3.1.8 Nursing Mothers

The new Patient Protection and Affordable Care Act of 2010 (PPACA) requires employers to provide a reasonable break time for an employee to express breast milk. Employers are also required to provide a place, other than a bathroom, that is shielded from view and free from intrusion from coworkers and the public, which may be used by an employee to express breast milk.

In September 2011, the state of Nebraska Legislative Bill 197 becomes effective and ensures mothers are able to breast feed their children in any public or private location where the mother is otherwise authorized to be.

If this applies to you, please consult with the Human Resource office prior to your need of a location, so that your needs may be accommodated appropriately.

3.1.9 Whistle Blower Policy

Concordia University requires Regents, officers, faculty, staff and volunteers to observe high standards of business and personal ethics in the conduct of their duties and responsibilities. Faculty, staff and representatives of the University must practice honesty and integrity in fulfilling their responsibilities and comply with **ALL** applicable laws and regulations. In addition, biblical admonitions in Matthew 18 and 1 Corinthians 6 should under grid and support the application and execution of this policy.

The objectives of a whistle blower policy are to establish policies and procedures for:

- The submission of concerns regarding questionable accounting or auditing matters by Regents, faculty, staff, officers, and other stakeholders of the University, on a confidential basis.
- The receipt, retention, and treatment of complaints received by the University regarding accounting, internal controls, and auditing matters.
- The protection of Regents, faculty, staff, officers, volunteers, and other stakeholders reporting concerns from retaliatory actions.

3.1.9.1 Reporting Responsibilities

It is the responsibility of all Regents, officers, faculty, staff and volunteers to report: (a) fraud or suspected fraud involving the University; (b) violations or suspected violations of University policy; (c) violations or suspected violations of applicable accounting or audit standards; and (d) violations or suspected violations of laws or regulations applicable to the University. Such items are referred to in this policy as a “violation.”

3.1.9.2 Retaliation

No Regent, officer or faculty or staff member or volunteer who in good faith reports a violation shall suffer harassment, retaliation or adverse employment consequence as a result of such reporting. A faculty or staff member who retaliates against someone who has reported a violation in good faith is subject to discipline up to and including termination of employment.

3.1.9.3 Reporting Violations

This policy encourages faculty and staff members to share their questions, concerns, suggestions or complaints with the person or persons who can address them properly. In most cases, a faculty or staff member’s supervisor is in the best position to address an area of concern. However, if the violation involves a supervisor, if speaking to a supervisor is not comfortable or if the supervisor does not offer a satisfactory response, the concern should be shared with the Human Resource department, the appropriate Dean, or the President. Supervisors and others receiving a report of a violation will immediately relay the report to the President, who will confer with legal counsel as necessary, take any immediate action required

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to protect the interests of the University, and forward the report to the Audit Committee. In the event the violation involves the President, the supervisor will immediately relay the report to a member of the Board of Regents, who shall immediately notify the current chair of the Audit Committee.

3.1.9.4 Handling of Reported Violations

The Audit Committee will address all reported violations. The Chair of the Audit Committee will immediately notify the Audit Committee members, the President and Chief Financial Officer of the University of any such report, to the extent these individuals are not implicated in the reported violation. All reported violations will be promptly investigated by the Audit Committee and appropriate corrective action will be taken or recommended to the Board of Regents. To the extent the reported violation involves fraud or suspected fraud, the University's fraud policy shall apply.

3.1.9.5 Acting in Good Faith

Anyone reporting a violation must act in good faith and have reasonable grounds for believing the information disclosed indicates a violation as defined in this policy. Any unfounded allegations which are made maliciously or with a reckless disregard for the truth will be grounds for disciplinary action.

3.1.9.6 Confidentiality

Reports of violations may be submitted on a confidential basis by the complainant or may be submitted anonymously. Reports of violations and the information gathered as a result of investigating a violation will be held confidential to the extent possible. Investigation information and results will not be disclosed to other persons inside or outside the University except: (a) as required by legal process duly served upon the University; (b) as reasonably required to conduct and resolve the investigation and protect the interests of the University; and (c) as necessary to pursue court proceedings or provide information and assistance to law enforcement and government agencies.

Unauthorized disclosure of such information will be grounds for disciplinary action.

+ The above policy was adapted from the sample whistleblower protection policy provided by the National Council of Nonprofit Associations. The original policy is available at www.ncna.org.

3.1.10 Fraud Policy

3.1.10.1 Background

The University's fraud policy is established to facilitate the development of controls that will aid in the detection and prevention of fraud against the University. This policy applies to any irregularity, or suspected irregularity, involving employees as well as consultants, vendors, contractors, outside agencies doing business with employees of such agencies, and/or any other parties with a business relationship with the University. Any investigative activity required will be conducted without regard to the suspected wrongdoer's length of service, position/title, or relationship to the University.

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3.1.10.2 Policy

The University's administration is responsible for the detection and prevention of fraud. For purposes of this policy, fraud is defined as the intentional, false representation, or concealment of material facts for the purpose of inducing another to act upon it to his/her injury. Fraud includes misappropriations, irregularities in bookkeeping and recordkeeping, and also includes, but is not limited to such acts as:

- Theft, embezzlement, or other misappropriations of assets
- Intentional misstatements in the University's records, including accounting records or financial statements or of program accomplishments
- Authorizing or receiving payments for goods not received or services not performed
- Authorizing or receiving payments for hours not worked
- Forgery or alteration of documents, including checks, timesheets, contracts, purchase orders, receiving reports, etc.

Any incident of fraud or potential fraud that is detected or suspected is to be reported immediately to a supervisor, the Human Resource department, President, and/or the Audit Committee as set forth in the Reporting Procedures below.

3.1.10.3 Investigation Responsibilities

The Audit Committee has the primary responsibility for the investigation of all incidents of suspected fraud as defined in this policy. If the investigation substantiates that fraudulent activities have occurred, the Audit Committee will issue reports to appropriate designated personnel and the Board of Regents. Decisions to prosecute or refer the examination results to the appropriate law enforcement and/or regulatory agencies for independent investigation will be made by the Audit Committee in conjunction with legal counsel, the President, and appropriate members of the administration, as will final decisions on disposition of the case.

3.1.10.4 Confidentiality

The Audit Committee will hold confidential to the extent possible all information and documents gathered or received as part of its investigation. Investigation information and results will not be disclosed to other persons inside or outside the University except: (a) as required by legal process duly served upon the University; (b) as reasonably required to conduct and resolve the investigation and protect the interests of the University; and (c) as necessary to pursue court proceedings or provide information and assistance to law enforcement and government agencies.

3.1.10.5 Authorization for Investigating Suspected Fraud

In fulfilling its investigative responsibilities, the Audit Committee shall have the authority to delegate investigative duties to the President or other senior members of the administration as it deems appropriate under the circumstances. In addition, the Audit Committee shall have the authority to seek the advice and/or contract for the services of outside firms, including law firms, CPA firms, forensic accountants and investigators, etc. Subject to the confidentiality provisions set forth above, properly designated members of the investigative team will have: 1) free and unrestricted access to all institutional records and premises, whether owned or rented; and 2) the authority to examine, copy, and/or remove all or any portion of the contents (in paper or electronic form) of files, desks, cabinets, and other storage facilities on the premises without prior knowledge or consent of any individual who may use or have custody of any such items or facilities when it is within the scope of their investigations.

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3.1.10.6 Reporting Procedures

It is the responsibility of every faculty and staff member, officer and volunteer to immediately report suspected fraud to their supervisor, the Human Resource department, the President, or a member of the Board of Regents or Audit Committee. Supervisors and others receiving a report of suspected fraud will immediately relay the report to the President, who will confer with legal counsel as necessary, take any immediate action required to protect the interests of the University and forward the report to the Audit Committee. In the event the suspected fraud involves the President, the supervisor will immediately relay the report to a member of the Board of Regents, who shall immediately notify the current Chair of the Audit Committee. The reporting individual should NOT contact the suspected individual in an effort to determine facts or demand restitution and should NOT discuss the case, facts, suspicions or allegations with anyone unless specifically asked to do so by the Audit Committee or the University's legal counsel.

All inquiries concerning the activity under investigation from the suspected individual, his or her attorney or representative, or any other inquirer should be directed to the President or other representative designated by the President or the Audit Committee. No information concerning the status of an investigation will be disclosed by a person other than a member of the investigative team who is authorized to make a statement or disclosure. The proper response to any inquiries is: "I am not at liberty to discuss this matter."

3.1.10.7 Disciplinary and/or Legal Action

The Audit Committee may direct that disciplinary action and/or legal action be taken as a result of information uncovered in an investigation initiated under this policy. Taking into account all the facts and circumstances, such action may include, but is not limited to: adverse employment action up to and including termination, contract termination, seeking reimbursement of losses or damages, and/or referral for criminal prosecution or civil action. Disciplinary action or legal action with regard to an employee of the University will be taken only in consultation with the President and appropriate members of the administration and on the advice of legal counsel. +This policy has been adapted from: Gerald M. Zack. *Fraud and Abuse in Nonprofit Organizations: A Guide to Prevention and Detection*. John Wiley and Sons, Inc., 2003.

3.1.11 Identity Theft Prevention

Identity theft is when a person's personally identifying information has been stolen.

What is personally identifying information?

- Name, social security number, date of birth, official state or government issued driver's license or identification number, alien registration number, government passport number, employer or taxpayer identification.
- Unique biometric data, such as fingerprint, voice print, retina or iris image, or other unique physical representation;
- Unique electronic identification number, address, or routing code; and
- Telecommunication identifying information or access device (as defined in 18 US 1029(e).)

Concordia University has adopted an Identity Theft Prevention Program which exists to detect, identify and evaluate identity risks with regard to protecting and securing personally identifying information here on campus (The Red Flag Rule). The program must be reviewed and reported to the University's Board of Regents on an annual basis. The Vice President for Finance and Operations/CFO is in charge of this program.

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3.1.12 FERPA

Concordia University has adopted a practice concerning access to student files in compliance with the Family Educational Rights and Privacy Act (FERPA). The Family Educational Rights and Privacy Act (FERPA) affords students certain rights with respect to their education records.

Refer to Appendix 1 - FERPA Guide for Faculty and Staff and to Student Handbook Policies 1.21A Family Educational Rights & Privacy Act (FERPA), 1.31B Disclosure of Educational Records, and 1.31C Record of Disclosure for a complete description of student rights and University responsibilities.

3.2 Synodical Workplace Rules

3.2.1 Official Doctrine – Lifestyle

Because Concordia University is owned and operated by the LCMS, all employees are expected to respect the official doctrines of the LCMS and to pursue lifestyles that are morally in harmony with its teachings.

3.2.2 Off-the-Job Conduct

Because of the religious nature and purpose of Concordia University, freedom is limited by ARTICLE II of the Constitution of The LCMS and by obligation to honor and respect the theological position of the Synod. Concordia University employees specifically agree that they are aware of the standards of Concordia regarding personal conduct outside working hours and that failure to live in accord with such standards could result in immediate termination.

CONSTITUTION OF THE LUTHERAN CHURCH-MISSOURI SYNOD

Article II Confession

The Synod, and every member of the Synod, accepts without reservation:

1. The Scriptures of the Old and the New Testament as the written Word of God and the only rule and norm of faith and of practice;
2. All the Symbolical Books of the Evangelical Lutheran Church as a true and unadulterated statement and exposition of the Word of God, to wit: the three Ecumenical Creeds (the Apostles' Creed, the Nicene Creed, the Athanasian Creed), the Unaltered Augsburg Confession, the Apology of the Augsburg Confession, the Smalcald Articles, the Large Catechism of Luther, the Small Catechism of Luther, and the Formula of Concord.

Taken from The Handbook of the LCMS, 2010, page 13.

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3.3 Workplace Rules

3.3.1 Personal Conduct

Concordia University is judged by the service it renders to its many publics. As members of the University family, faculty are ambassadors of the University. To be an effective ambassador requires courtesy, tact and diplomatic cooperation in all contacts. As a religious organization Concordia University has expectations of its faculty, staff and students, that they will conduct themselves at all times in a manner that reflects Christian principles. Conduct of a Concordia faculty member, whether in the workplace or not, which reflects negatively upon the University could result in admonition or dismissal.

3.3.2 Conflict of interest

As we work in ministry, it is important that all employees work as a team, so that the rights and interests of both the organization and the employees are honored. This is more critical for institutions associated with the church, where any failure to maintain high standards of behavior may affect the church body as a whole. It is for this reason that rules of conduct have been established; it is your responsibility to know and follow them. Common sense, good judgment and acceptable personal behavior on the part of all employees is expected.

Concordia University is fully committed to conducting its responsibilities in a manner reflecting the highest degree of integrity and honesty. The success of the University in conducting its affairs is the sum efforts of each individual-board, commission and committee member, officer and employee-in executing his or her responsibilities with good judgment and in an ethical manner.

Employees who receive honoraria or payments for any sales or services rendered to Concordia University or its entities shall disclose such information. Activities shall not be entered into which may be knowingly detrimental to the interests of the University or its entities.

Information acquired in the course of carrying out University duties shall not knowingly be used in any way that would be detrimental to the welfare of the University or its entities.

Your agreement to abide by this conflict of interest policy will be assumed by your acceptance of employment and signature acknowledging the receipt of this handbook.

Employees are encouraged to seek assistance from their supervisors with any legal or ethical concerns. However, the University realizes this may not always be possible. As a result, employees may call Human Resources at 402-643-7332 to report anything that cannot be reported to their manager/supervisor.

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3.3.3 Confidential Nature of Work

The University is also committed to protecting the privacy of individuals (employees and students) and the confidentiality of records. As an employee, you have the responsibility for making sure that this commitment to protect individual's privacy is upheld. Respecting the rights to confidentiality and privacy of information of the members of our campus community is critical. Failure to maintain this confidentiality may have a direct impact on the interest of CUNE and may result in disciplinary action including termination of employment.

If you have questions about access to information that may be sensitive in nature or that may violate the privacy rights of individuals, you should talk with your immediate supervisor. The University abides by the Family Education Rights and Privacy Act (FERPA), a federal law that protects the privacy of student education records. This law applies to schools that receive funds under an applicable program of the US Department of Education. (For more information regarding FERPA, please check with the Student Life Office, as the administrator of such records).

As a University that maintains financial accounts and records for students, the University must also implement and abide by the rules and regulations that pertain to the Federal Trade Commission's "Standards for Safeguarding Customer Information Act," otherwise known as the Gramm-Leach-Bliley Act (G-L-B Act), effective on March 23, 2003.

On September 1, 2008, Nebraska LB 674 became effective. This law imposes various restrictions on employers when using or communicating an employee's social security number. The law provides that the University may not post, display, or otherwise make available to the public or coworkers more than the last four digits of an individual's social security number; require an individual to transmit more than the last four digits of her social security number over the Internet unless encrypted or over a secure connection; require using more than four of the last four digits of a social security number to access an Internet site unless a password or other unique identifier also is required; or use more than the last four digits of an individual's social security number as an employee number.

On May 1, 2009, the University was required to comply with the Red Flag Rule. These are rules established by the Federal Trade Commission, to detect, prevent and mitigate identity theft.

The privacy of our employees is very important to us. Therefore it is the Human Resource department's policy to provide information to public/private parties only upon written authorization by the employee for which information is being requested, unless required by subpoena to provide such information to law enforcement.

3.3.4 Change of Employee Information

It is the responsibility of the faculty member to report changes in marital status, dependents, legal name, residential and mailing address(es), phone number, beneficiaries for institutionally-funded programs, and whom to notify in the event of an emergency to the Human Resources Department as soon as available or effective. Failure to do so promptly may incur loss of certain benefit programs. CUNE will only provide official notifications, including tax returns, to the last home address reported.

Faculty may change or update their emergency contact persons on Banner Self-Service at any time.

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3.3.5 Chapel

Chapel services are conducted regularly when classes are in session to provide an opportunity for students, faculty and staff to worship and praise God. The services provide a variety of experiences in worship, using various liturgical forms, different types of services and audio-visual aids which are conducive to worship. The chapel services provide a regular opportunity to meditate on the Word of God and are a means of bringing the needs of students and faculty to God in prayer. Faculty and students are encouraged to attend these services. Chapel services are held daily M-F during the fall and spring semesters.

3.3.6 Solicitations

The collection and solicitation of funds for gifts or any other reason is not allowed by the University without the written authorization of the University's Office of Advancement. Similarly, the distribution of non-University literature, written material of any nature or signs of any description is not allowed on the campus.

3.3.7 Smoking

Smoking is prohibited in all campus buildings and in all campus vehicles. Care must be exercised by smokers when extinguishing smoking materials out-of-doors. Each building has an outside designated smoking area. Entrances that are to remain smoke free are labeled with no smoking signs. Areas designated as smoking areas: Janzow Campus Center – North and South entrances, Weller Hall, North Center entrance, PE – North and Southeast entrances, Brommer – Southeast entrance, Music – Southeast entrance, Buildings and Grounds – North and South entrances. If you are unsure, please check with a building manager.

3.3.8 Official Vehicle Use

University personnel may have occasion to use vehicles owned or leased by the University. Vehicles are reserved through the Athletic Department Office. Drivers must receive annual clearance as approved University drivers through the Buildings and Grounds office and will be subject to random drug testing.

3.3.9 Equipment Use

Members of the Concordia faculty are entrusted with the use of University equipment and are expected to give this equipment proper care. If equipment is in need of repair, servicing or cleaning, report the condition to your college dean or building manager (or, for instructional media equipment, to the Instructional Technology Center coordinator and for Concordia computers, to Computing Services) for attention. University property (other than University laptops) is not to be removed from the campus without specific written clearance. Equipment check-out forms are available and must be filed prior to the removal of any equipment from the campus. The use of University equipment is limited to University use only, due to the University's tax exempt status.

3.3.10 Personal Property on Campus

The University assumes no responsibility for the personal property of faculty members brought onto the campus or used in a faculty member's office. This is also true for personal property used in the course of job-related activities. Theft and damage are often covered under homeowner's or renter's insurance, and if not presently covered, they may be included by requesting an endorsement from the policy holder's insurance

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agency. The University cannot assume reimbursement for the loss or damage of personal items, including vehicles, for any cause.

3.3.11 Purchasing Policy

It is the policy of the University not to honor the obligation of a purchase unless the goods or services have been secured with available budget and payment is made via a procurement card (p-card), a properly executed purchase order or a check requisition.

All goods or services purchased must have the approval of the budget control officer. Monthly p-card reports, purchase orders and check requisitions should have the approval of the budget control officer.

It is the policy of the University to hold the individual personally responsible for the cost of unauthorized purchases.

Items charged to a personal account remain the account holder's obligation until the item has been authorized properly and a paid receipt is presented with an Employee Expense Reimbursement Form .

3.3.12 Employment of Relatives

Concordia University permits the employment of qualified relatives of: (a) employees, (b) members of its Board of Regents, and (c) directors of Concordia Foundation Nebraska *provided* such employment does not, in the opinion of Concordia, create actual or perceived conflicts of interest. For purposes of this policy, "relative" is a spouse, child, parent, sibling, grandparent, grandchild, aunt, uncle, first cousin, or corresponding in-law or "step" relation. Concordia will endeavor to exercise sound judgment in the placement of related employees in accordance with the following guidelines:

- Qualified individuals who are relatives are generally permitted to be employed in the same building, provided no direct reporting or supervisor/management relationship exists. That is, no employee is permitted to work within the "chain of command" of a relative such that one relative's work responsibilities, salary, or career progress could be influenced or could be perceived to be influenced by the other relative.
- No relatives are permitted to work in the same department or in any other position in which Concordia believes an actual or perceived conflict of interest may exist.
- Concordia reserves the right to decide that certain positions, including, but not limited to, sensitive positions with access to confidential, personnel, health and/or financial information, may not be held by any individual who has relatives working for Concordia in any capacity.
- Employees who marry while employed are treated in accordance with these guidelines. That is, if, in the opinion of Concordia, a conflict or an apparent conflict arises as a result of the marriage, one of the employees will be: (a) transferred to another position at Concordia that the employee is qualified to perform, if practicable; or (b) terminated.

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- In addition, Concordia recognizes that at times, employees and their “close friends,” or “significant others” may be assigned to positions that create a coworker or supervisor-subordinate relationship. Concordia will, in its discretion, endeavor to exercise sound judgment with respect to the placement of employees in these situations in order to avoid the creation of a conflict or the appearance of a conflict of interest, and avoid favoritism or the appearance of favoritism.

3.3.13 Files and Records

All files, whether hard copy or electronically machine-readable, remain the exclusive property of Concordia University. University policy alone determines who has access to any file. Employees are not to share the contents of any file with others, except those employees or others with whom they have been instructed to do so on a need-to-know basis. The institution, students, other employees and third parties may be protected by federal or state law in addition to institutional policy. Non-compliance with this policy may place the individual at personal risk, as well as becoming subject to disciplinary action, possibly including dismissal.

3.3.14 Communication Media

Every employee should be aware that the University considers all media containing official institutional information as owned and accessible by the institution. This includes “campus mail,” U.S. Mail, electronic mail, voice mail, FAX documents, “Overnight” and “Express” documents, and the like. As the institutional owner, appropriate administrative employees are granted the right to search for, look at, and otherwise utilize these documents in the course of performing institutional duties. Employees should not commingle personal communications in these media or use campus facilities for utilizing these media. Concurrently, any employee accessing such information in the primary custody of another employee is expected to use such information only in the performance of their duties and not share any personal information they may have come upon in the course of the performance of their services to the institution. (Please see Section 7: Technology.)

3.3.15 University Photography and Video Policy

The University reserves the right to photograph and/or videotape students, faculty, staff and guests while on University property, during University-sponsored events or during activities where they are representing the University. These images and audio may be used in the student yearbook or by Concordia for promotional purposes, including use in University magazines, newspapers, press releases, booklets, brochures, pamphlets, newsletters, advertisements, the University website and associated sites, and other news or promotional materials.

3.3.16 Copyrighted Materials

The University in no way condones the unlicensed exchange of proprietary products. All University employees, in the performance of their duties, will refrain from aiding others in such efforts and will advise other members of the University’s community not to participate in such endeavors. Should such an activity be undertaken, the responsibility for the consequences of such activity shall remain the sole fiscal and legal responsibility of the offender. (Please see Appendix 2 - Copyright Guidelines.)

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3.3.17 Intellectual Property

Please see Appendix 10 – Intellectual Property Policy. See also [Academic Policies Handbook](#), policy 4.600.

3.3.18 Campus Safety Plan

University employees should be familiar with the campus safety plan, found online at www.cune.edu/safetyplan. Please note that parts of the plan can only be accessed from a computer that is connected to the campus network. (Please see section 6.17: Safety - CUNEAAlert.)

3.3.19 Marketing and Communication

The role of the marketing and communication office is to enhance the University's overall visibility and image through effective communication. These efforts are focused primarily on our external constituents: prospective students, parents, donors, alumni, churches, the news media or the general public (internal constituents would include: students, faculty, staff and the campus community). Publicity pieces (brochures, fliers, newsletters, PowerPoint presentations, web pages, etc.) or items using the University symbol (pens, cups, signs, bags, etc.) produced for distribution to an external audience must be coordinated with and approved by the marketing and communication office. The office will work with campus clients to determine the best production procedures.

3.3.20 Social Media and CUNE-Related Web Content

Faculty should follow the Guidelines for Social Networking and Concordia-Related Web Content found in Appendix 11.

3.3.21 Working From Home

Many faculty utilize a space in their home to work. The advancement of technology has also made working from home much easier. Anytime and anywhere a faculty member works, the University has a worker's compensation liability responsibility. Therefore the University provides the following information so that faculty members can help the University reduce the opportunity for worker's compensation liability while they are working off campus.

Faculty members who work from home should ensure that:

- there is a clearly defined workspace that is kept clean,
- the work area and space is well lit,
- exits are free of obstructions,
- the area is well ventilated and heated,
- storage is organized to minimize the risk of fire and spontaneous combustion,
- all extension cords have grounding conductors,
- exposed and frayed wiring and cords are repaired or replaced immediately upon detection,
- surge protectors are used for computers, fax machines, or printers (especially for University owned equipment),
- heavy items are securely placed on sturdy stands close to walls,
- computer components are kept out of direct sunlight and away from heaters,

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- emergency phone numbers (hospital, fire and police departments) are posted at your home worksite,
- a first aid kit is easily accessible and replenished as needed,
- portable fire extinguishers are easily accessible and serviced as needed,
- desk, chair, computer, and other equipment are of appropriate design and arranged to eliminate strain on all parts of the body, in conformance with OSHA ergonomic guidelines.

By signing the handbook acknowledgment, the faculty member agrees to:

- abide by all rules in Section 7: Technology,
- maintain a safe and secure work environment,
- report work-related injuries at the earliest reasonable opportunity (please see Worker's Compensation – Section 6.7),
- hold the University harmless for injury to others at the alternate work site,
- use University-owned equipment, records, and materials for purposes of University business only and to protect them against unauthorized or accidental access, use, modification, destruction or disclosure,
- report to the supervisor instances of loss, damage or unauthorized access as soon as possible,
- return University equipment, records and materials on the date that employment ceases,
- understand that he/she is responsible for the tax consequences, if any, of this arrangement and for conformance to any local zoning regulations.

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4. FACULTY PERSONNEL POLICIES AND PROCEDURES

4.1 Calling/Appointing New Faculty

Searches for new full-time faculty follow the procedures detailed in Appendix 6 - Procedures for Engaging New Faculty and Professional-Technical Staff.

Part-time faculty are proposed by the University dean to the Provost (for undergraduate positions) or the Associate Provost (for graduate and Degree Completion Program positions). Following an interview by the dean and Provost or Associate Provost (for first-time appointments), the Provost recommends the extension of a contract to the President.

4.2 Faculty Expectations and Load Assignments

In addition to its expectation of all personnel to comport themselves in keeping with Christian moral and ethical principles, the University has specific expectations of full-time faculty members. First, full-time faculty are expected to be model teachers in their disciplines and to provide twenty-four loadweight hours of instruction during the fall/spring semester period.

Each full-time faculty member is expected to generate a minimum of 120 student credit hours each semester and teach, at minimum, 12 hours of regular classroom instruction per year in addition to any loadweight they may receive for other tasks. Full-time faculty members who do not achieve this threshold may be assigned additional tasks or classes for no additional loadweight. This assignment will be made by the Office of the Provost in consultation with the appropriate dean and department chair.

Full-time faculty members may receive load for some administrative assignment, leave or special project. Additional teaching assignments in summer term or continuing education are contracted and paid separately.

Second, faculty are expected to remain current and active in their disciplines through such activities as research and publication/production, participation in scholarly conferences and reading.

Third, faculty are expected to be active in service to the institution (e.g., academic advising and committee work following the first year), the community and the church (both the local congregation and, as opportunities arise, the district and Synod). While the University does not expect its faculty to “punch a clock,” it is expected that a faculty member’s full professional time and energies will be devoted year-round to his/her call/appointment to the faculty. (Please see 4.10 concerning non-University employment and 5.12 concerning recesses and approved time off.)

Each semester faculty are invited to review their load assignment for the current year. Normally, load for a given class is the same as the credit hours assigned, with some exceptions for applied music, laboratories, self-studies and the like. In addition, traditional undergraduate classes with low enrollments or high enrollments receive prorated loadweight (see below).

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CLASS SIZE LOADWEIGHT MULTIPLIERS

<i>Enrollment</i>	<i>Multiplier</i>
1	0.125
2	0.25
3	0.375
4	.5
5	.625
6	0.75
7	.875
8-30	1.0
31-36	1.1
37-42	1.2
43-48	1.3
49-54	1.4
55 and above	1.5

Note: Summer courses will be prorated based on a minimum of five students per class.

4.3 Contracts, Appointments and Tenure

Adjunct faculty receive contracts of up to one semester's duration. Full-time faculty may receive either an initial-level appointment or a continuing-level appointment (see The Handbook of the LCMS, 2010, policy 3.10.5.6.2 for a full explanation of appointments at the initial and continuing levels); the latter specifies that the contract is in force until either the faculty member or the University gives six months' notice to the other.

New faculty will receive an initial-level contract that will be up for renewal (reappointment) every two years. Renewal of an initial-level contract requires the written recommendation of the department chair and college dean, following summative evaluation as described in 4.5.2.

Following the completion of six years of service as a faculty member at one or more educational institutions of the Synod, with at least the last two years having been in service to Concordia University, Nebraska, the faculty member may be eligible for promotion to a continuing-level appointment. Promotion to a continuing-level appointment requires a faculty member to have an earned doctorate or recognized terminal degree from an accredited institution and to successfully complete the summative evaluation process as outlined in 4.4 - Promotion from an Initial-Level Appointment to a Continuing Level Appointment and Advancement in Rank. Promotion to a continuing-level appointment shall not be construed as requiring or indicating advancement in rank or increase in salary.

Standards or qualifications for moving a faculty member from an initial-level appointment to continuing-level appointment are outlined in detail in The Handbook of the LCMS, 2010, policy 3.10.5.6.2. Questions about this policy and/or related contracts should be addressed to the Provost or the President.

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The granting of tenure is governed by The Handbook of the LCMS. In practice, the University has not granted tenure since 1978, except to faculty who have received tenure at another LCMS institution of higher education and accept a call or appointment to the University.

In the event of severe economic stress or the planned discontinuation of a program or field of study, the University may have to release tenured or contracted members of the faculty. If necessary, this will be done in keeping with the University's Reduction in Force (RIF) Policy (see Appendix 11 – Reduction in Force Policy. See also The Handbook of the LCMS, 2010, 3.10.5.6.7.)

4.4 Promotion from an Initial-Level Appointment to a Continuing-Level Appointment (Reappointment) and Advancement in Rank

4.4.1 Promotion from an Initial-Level Appointment to a Continuing-Level Appointment

The summative evaluation process for promotion to a continuing-level appointment is the same as that outlined below for Advancement in Rank except that:

- a. the candidate must have completed six years of service as a faculty member at one or more educational institutions of the Synod, with at least the last two years having been in service to Concordia University, Nebraska,
- b. the candidate must have an earned doctorate or recognized terminal degree from an accredited institution,
- c. the candidate will demonstrate awareness and practice as to Concordia's mission and the ways this can inform and guide the classroom learning experiences provided for students. The candidate will demonstrate an understanding as to the ways in which his/her academic discipline may connect to and be supportive of the student's faith development as a part of the undergraduate experience at Concordia, and
- d. the Summative Evaluation Committee shall consist of the college dean, the Provost and one additional faculty member at the rank of Professor.

4.4.2 Advancement in Rank

4.4.2.1 Procedures and Timeline

In September of each academic year, faculty members who are eligible for advancement in rank according to the threshold criteria of academic degree and experience (see Criteria for Appointment and Advancement in Rank, criterion 1, below) are notified by the office of the Provost. Faculty are notified of eligibility based on the records in the office of the Provost. Faculty who believe they are eligible for advancement but do not receive notification of eligibility in September should contact the Provost's office.

Eligible faculty who wish to be considered for advancement in rank are asked to complete an application form in which they 1) identify the rank being sought, 2) affirm that the educational achievement (degree) required for the specific rank has been

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obtained, and 3) detail relevant experience as described by the Appointment and Advancement in Rank Criteria, criterion 1.

Once the form has been completed the chair of the department to which the faculty member belongs will review the form, sign it and forward it to the Dean of the College. The college dean will clarify any questions about eligibility with the department chair and faculty member and forward the names of faculty who meet the threshold criteria of degree, time at rank and total professional experience and wish to be considered for Advancement in Rank to the Provost's Office.

Following consultation with the Provost and at the October Board of Regents meeting, the President will request Board approval for the number of positions available at each rank. Following Board approval of these numbers, the college dean will confer with the appropriate department chair to create a summative evaluation committee for each candidate for advancement. The Summative Evaluation Committee will evaluate the candidate using the Summative Evaluation Process outlined below.

Following the successful completion of the summative evaluation process and upon the recommendation of the Summative Evaluation Committee, the Provost will recommend individuals for advancement to the President, up to the number approved by the Board for each rank. The Board approves recommendations for advancement in rank at its January meeting and advancements take effect as of January 1 each year.

4.4.2.2 Summative Evaluation Process for Promotion from Initial-Level to Continuing-Level Appointment and Advancement in Rank

The college dean will appoint a summative evaluation committee that will be responsible for evaluating the candidate based on the Criteria for Appointment and Advancement in Rank listed below. The summative evaluation committee will normally consist of the department chair, who will serve as the chair of the Summative Evaluation Committee, two faculty members from the department of the candidate being evaluated and one faculty member from outside the primary discipline of the candidate.

The evaluation process of the committee will primarily consist of classroom observation of the candidate (see Classroom Observation Form in Appendix 10) and a review of documentation provided by the candidate via the preparation of a professional portfolio and additional documentation provided by the chair.

In the professional portfolio, the candidate should provide evidence of the Criteria for Appointment and Advancement in Rank and three letters of support (see Appendix 7 - Satisfaction of Criteria for Promotion from an Initial-Level Appointment to a Continuing-Level Appointment and Advancement in Rank and Appendix 8 – Guidelines for Professional Portfolio). Letters of support may be from individuals within or from outside of the University who are familiar with the candidate's work.

The department chair will provide documentation in the form of student surveys and advisor evaluations distributed to and collected from a representative sample of students/advisees (see Student Survey and Advisor Evaluation forms in Appendix 10) and information on course load, course enrollments and course management.

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The college dean will send each committee member a letter detailing their role and responsibilities at the time of appointment to the committee. Following a final summative evaluation meeting, the chair will forward the committee's recommendation regarding advancement to the Provost (see Summary Review Form in Appendix 10).

4.4.2.3 Criteria for Appointment and Advancement in Rank

The following are brief explanations of the criteria to be assessed in accordance with the candidate's faculty responsibilities and performance expectations. These criteria are guidelines. They should not be considered absolutes, nor should they be assumed to be a guarantee of reappointment or promotion.

Criterion 1: Academic Degree and Experience

Normally, appointment or advancement will be considered only for those who meet the following criteria. The President, in cases of exceptional merit or service, may recommend faculty to ranks for which they might not otherwise be qualified. The Board of Regents approves appointments and advancement in rank.

Graduate Assistant

Educational Achievement: Baccalaureate degree; concentrated preparation in teaching field

Experience: None required

Instructor

Educational Achievement: Master's degree

Experience: Teaching experience not required, but preferred

Assistant Professor

Educational Achievement: Master's degree; advanced academic work beyond Master's degree preferred

Experience: Minimum of 4 years of any one or a combination of the following categories:

1. Successful teaching at the elementary, secondary or University level
2. Other professional experience relevant to the appointment

Associate Professor

A. Educational Achievement: Earned doctorate or recognized terminal degree from an accredited institution

B. Experience: Minimum of ten years -

1. Six years in any one or a combination of the following categories: successful teaching at the elementary, secondary or University level (or administrative equivalent); other professional experience relevant to the appointment
2. Five years must be University teaching at the Assistant Professor rank

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Professor

- A. Educational Achievement: Earned doctorate or recognized terminal degree from an accredited institution
- B. Experience: Minimum of fifteen years -
 - 1. Ten years in any one or a combination of the following categories: successful teaching at the elementary, secondary or University level (or administrative equivalent); other professional experience relevant to the appointment
 - 2. Five years must be University teaching at the Associate Professor rank

Criterion 2: Teaching:

Effective teaching must be documented. The material should show evidence of:

- 1. Course Content Skills,
- 2. Instructional Design Skills,
- 3. Instructional Delivery Skills,
- 4. Course Management Skills,
- 5. Motivation and Mentoring Skills.

Criterion 3: Scholarship:

Candidates must submit evidence of their scholarly activity and/or production, including appropriate creative work.

Criterion 4: Service to the University:

Candidates must show evidence of service to the University, including but not limited to departmental and University committee membership, student recruitment and retention, contributions to University assessment/accreditation processes, creating and administrating conferences, festivals and other University-sponsored events, directing extra- or co-curricular student activities and additional duties not included in teaching load weight.

Criterion 5: Service to the Profession, Church, and Community:

Candidates must document that service.

Criterion 6: Administrative Responsibilities:

Candidates who have administrative responsibilities should show effective administration of their department, center, office, etc.

4.5 Evaluation

The Handbook of the LCMS, 2010, 3.10.5.6.4, states that:

“A formal procedure shall be in place to carry out performance reviews for all faculty on a regular basis to help faculty identify their strengths as well as areas in which improvement is needed (formative) and to provide the information needed to make decisions about future employment status (summative).” See pp. 174-178 for explanations of requirements for evaluation of faculty, appeal processes and review committees.

See also the BUE manual p. 8 (Formal Reviews of Faculty and Staff) and 27 (Due Process).

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4.5.1 Formative Evaluation

Formative evaluation is done for the sake of improving professional performance. At Concordia University, Nebraska it may take the form of evaluation by the faculty member him/herself, by students, by peers or administrators. It is the expectation of the University that every faculty member will participate in formative evaluation every year. At minimum, formative evaluation will consist of the following:

1. A mid-semester course evaluation for every course taught during a regular (fall and spring) semester; the instructor may use an evaluation of his/her choice using a format that will enable him/her to make modifications to improve learning during the remainder of the course.
2. A departmental course evaluation, available from the department chair, at the conclusion of every course taught. The following procedures are designed to improve student responses, protect confidentiality, standardize distribution and collection, and provide instructors with feedback to identify ways to improve their teaching. Evaluations will be:
 - distributed sometime during the final two weeks of the semester;
 - distributed and collected by someone other than the instructor (usually a student), while the instructor is not present. After completion of the evaluations, the student will deliver the evaluations to the department office or department chair (or, in the case of a department chair or program director, the college dean);
 - returned to the instructor at the end of the semester and after posting of final grades. A copy of evaluations will be kept on file by the department chair.
3. An annual meeting with the department chair or program director (or, in the case of a department chair or program director, with the college dean) that includes reflection on departmental course evaluations; review of updated vita and annual report of Activities Not Included in Formal Load weight (distributed by the Provost's office); activities, concerns, and goals related to teaching, scholarship, service and administration (if applicable); reflection on goals established in previous years; other areas of interest to the faculty member.

(See Appendix 6 - Suggestions for Self-Evaluation for possible areas of reflection and discussion.)

4.5.2 Summative Evaluation

Summative evaluation is done for the sake of personnel decisions, such as retention, change in contract status and advancement in rank. Summative evaluation is based on the general points of reference and criteria listed below:

1. Academic Degree and Experience Requirements,
2. Teaching,
3. Scholarship,
4. Service to the University,
5. Service to the Profession, Church, and Community, and possibly
6. Administrative Responsibilities.

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While all of these criteria are important, the emphasis placed on one area over the others may vary in any given evaluation year based on the needs of the individual and the University. Ordinarily teaching would be given the greatest emphasis for instructors most of the time, but there may be times that other areas would be given more emphasis, such as when the administration and faculty member agree that substantial progress toward a terminal degree should be made or when a faculty member is working on a publication project or special assignment for the University. Administration and faculty members need to be clear at all times regarding which of the areas is major and which less so.

Summative evaluation is conducted at the following points in a faculty member's career:

1. At the time of renewal (reappointment) of an initial-level appointment. Summative evaluation at this point consists of classroom observation by the department chair; review of departmental course evaluations by the department chair and college dean; satisfactory progress toward a terminal degree (if applicable); letters of recommendation from the department chair and college dean.
2. At the time of consideration for promotion from an initial-level to a continuing-level appointment. (See procedures outlined in policy 4.3.)
3. At the time of consideration for advancement in rank. (See procedures outlined in policy 4.3.)
4. At least every five years following a continuing-level appointment as required by policy 3.10.5.6.4.c, The LCMS Handbook, 2010. Summative evaluation at this point will consist of classroom observation and input by peers; review of departmental course evaluations by the college dean and Provost; submission of an updated vitae; and meeting with the college dean and Provost to review the points of reference and criteria listed above.

Additional summative evaluation may be requested by the faculty member or by administrators; adjunct faculty are evaluated more often, at the discretion of the department chair, program director or college dean.

In creating a 1 FTE position, some faculty may hold additional duties that are considered professional/technical in nature. Faculty ranked members that hold such positions, will participate in the annual professional/technical reviews for those duties. Supervisors for those duties will inform the individual of their intent to evaluate.

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4.6 Professional Growth

The University strongly supports programs of individual and group professional growth for its faculty. Specific forms of individual support are detailed in sections 5.14 through 5.18). In addition, the academic administration supervises a program of group growth for faculty, including seminars in August, May and January. Additional growth experiences are carried out at the college level, led by the college deans.

4.7 Academic Freedom

The Academic Freedom of the Concordia faculty is defined in the Board for University Education Board Policy Manual in the following sections: 9.1 – Higher Education Mission Statement, 9.2 – Freedoms and Opportunities, 9.3 – Responsibilities and Limitations, and 9.4 – Due Process. (See Limitations of Academic Freedom and the complete BUE statements in Appendix 9.)

All faculty members at CUNE, full-time and adjunct, receive the University's Statement of Academic Responsibility:

Faculty members at Concordia University, Seward, Nebraska, pledge themselves to conduct their teaching and research in light of the fact that Concordia is owned and operated by The Lutheran Church--Missouri Synod, a church body founded on Holy Scripture and committed to the definition of Christian truth in the three ecumenical creeds of the Christian Church, i.e., the Apostles', the Nicene, and the Athanasian Creeds, and also in the various Lutheran confessions of the Faith, i.e., the book of Concord.

While faculty members who are not members of the Synod will never be asked to compromise their personal integrity in religious matters, nevertheless, such faculty members pledge themselves not to teach or work in such a way as to call into question the integrity of the University's theological position. Furthermore, the faculty members pledge themselves to conduct their work so that faculty relationships with colleagues, students, and staff are characterized by Christian love and concern.

4.8 Office Hours

All faculty members (adjunct and full-time) are expected to maintain a schedule of office hours to facilitate student conferences and consultations. A schedule of office hours is to be posted at the office location of each faculty member. Faculty members are to present their schedule to the Provost. Faculty should schedule a minimum of one hour per week for each three hours taught.

4.9 Attendance

The Registrar's and Student Financial Services Offices are required to supply class attendance information to outside agencies in compliance with state and federal regulations regarding the disbursement of monies awarded to students through various loan and other programs. In these instances, the University must supply such information based upon data supplied by the student's class instructor. Failure to comply exposes the University to a broad range of sanctions by the regulatory agencies of the government.

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Because of these requirements, the Board of Regents has adopted the following policy regarding student attendance:

Faculty are required to take attendance and to maintain an accurate attendance record for each student in each class taught. The record of attendance is to be maintained from the first class meeting of the semester until the last, with dates of students' last class attendance carefully and systematically noted. Faculty are required to supply attendance information promptly when requested by the Registrar's Office or when directed by the Provost.

This policy simply requires that faculty maintain an accurate record of student attendance and supply attendance information to the offices indicated above when required. The Record of Student Attendance Policy does not mandate that faculty modify class attendance policies that may have been developed for individual classes, nor does it require that faculty create a policy if they do not have one already in place (see Academic Policies Handbook, 2.320).

4.10 Non-University Employment

Regular full-time members of the faculty shall gain the approval of the department chair and the Provost prior to accepting employment with any non-campus agency.

Procedures:

A. The University recognizes that certain types of employment may contribute to the effectiveness of the faculty member's performance and to the welfare of the University, the community, the state, society in general, or to the church as a whole. Whether it takes place during the regular school year or in the summer, the faculty member shall consult with the Provost securing approval prior to accepting such employment.

B. Members of the faculty may accept assignments to serve congregations as preachers, administrators of the sacraments, musicians and other functions generally attached to worship services on a single event/performance basis without the consent of the Provost.

4.11 Absences

4.11.1 Short term:

Absences from class for official business or emergency absences shall be approved in advance, if possible. Faculty members are to:

- A. Secure approval from the college dean and Provost in advance of the intended absence, using the Absence from Campus form available from the academic administrative office, and
- B. Arrange for classes during or after the absence.

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4.11.2 Long-term:

Faculty members who know they will be absent or become absent for more than a two-week period of time during the academic year or during the summer for health reasons or family medical leave approved absences, should consult with the Human Resource Department to complete family medical leave paperwork and if necessary disability paperwork. Faculty may occasionally take time off because of illness, such as the flu or a cold and are responsible for making up classes during their absence. However, long-term absences, defined as more than a consecutive two week period of time, should be addressed according to the appropriate benefit provisions and government regulations that exist. Faculty members are encouraged to make use of benefits available to them such as disability and Family Medical Leave.

4.12 LCMS Professional Church Worker Conferences

The University endeavors to make it possible for faculty members to attend conferences designated as obligatory by the church. Faculty members are to secure approval from the college dean and Provost, using the Absence from Campus form referenced above, for attendance at conferences.

Rostered faculty members must ask to be excused from attendance at the Nebraska District Church Worker's Conference if they are not able to attend. Requests to be excused are addressed to the President of the Nebraska District and may be submitted through the academic administrative office.

4.13 Academic Vestments

All full-time faculty members are expected to participate in the formal academic functions of the University. Appropriate academic vestments are required at formal academic exercises.

Participation in formal academic functions (including commencement exercises) is:

1. Expected of full-time faculty members who teach during the preceding term;
2. Expected of faculty members who are involved in administration during the preceding term;
3. Encouraged for other faculty members who are available at the time of the formal academic functions.

4.14 Retirement of Faculty and Emeritus Status

A fully retired faculty member is an individual who has no contractual obligations to provide services to the University and for whom such status had been fully recognized by the Board of Regents.

Emeritus status may be granted to fully retired persons who hold the rank of associate professor or professor and who have faithfully served Concordia University, Nebraska for ten years or have faithfully served the LCMS for twenty years at the time of their retirement from active ministry at CUNE.

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Faculty members who wish to retire fully from service at Concordia should indicate their intention to the Provost by no later than six months before their intended retirement date, with longer notice desirable if the date is to be other than June 30. Upon approval of the request by the Board of Regents, the faculty member will have no ministerial or contractual obligations to the University.

Those serving on the faculty in other than a full-time capacity will be assigned office facilities by the Provost in keeping with availability and professional/personal needs.

4.15 Faculty Nomenclature

Senior Professorships

University faculties occasionally are privileged to have among their membership an individual who gains exceptional recognition on the national level and, as a result, is called upon to devote much time off campus in service to the church, state, and nation. Such activities may make it difficult to adhere to a regular schedule of classes and may allow little time for campus assignment.

It is advantageous, however, for a University to keep such an individual on its faculty to benefit from the service which can be rendered by that person on a flexible part-time basis. Furthermore, such national prominence is a valuable asset to the institution as it reaches out in its recruitment and development activities. Finally, the individual benefits from such a continuing relationship with an educational institution in a minimal monetary way and through frequent on-going contacts with the academic environment.

Guidelines

1. Only a person who has provided meritorious service to the church, University, state, and nation (someone with national recognition on a broad scale) should be considered for such professorship.
2. The person should be invited by the Provost to serve in such a position and be recommended to the President and Board of Regents for appointment. Such an appointment would terminate at the time of retirement.
3. The person should bring national acclaim to the University and church while serving in this position.
4. The person should have the opportunity to serve at Concordia University as the individual's time permits and as Concordia has needs and opportunities for such service. This would include teaching classes, giving lectures, conducting workshops, etc.
5. The person would have full faculty privileges and voting rights while serving in the position. Minimum compensation would include housing allowance (if eligible) and Concordia Plans. Additional remuneration would be based on the amount of campus activity planned in a given year.

Visiting Professor

A faculty member visiting from another college or University who has been appointed to teach for a limited period of time.

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Visiting Scholar/Visiting Artist

A person who has made noteworthy achievements and contributions in an area of interest to the University and who, for a limited period of time, serves in an instructional capacity.

Minister of the Gospel (or Minister of Religion), Ordained and Commissioned

Only persons who are listed on the official roster of The Lutheran Church--Missouri Synod are eligible for this classification. Persons engaged in this classification are placed on the staff following the ecclesiastical procedures of The Lutheran Church--Missouri Synod. Persons in ministry on Synod's roster are to be treated as Ministers of the Gospel for payroll tax purposes, regardless of whether they have a contract or a call document for full-time or part-time status. (See Congregational Treasurer's Manual, page 1-3, section 1.120: Call, Appointment and Contract.)

4.16 Concerns and Differences Among Faculty

It is the earnest desire of the University that all faculty attain a high level of personal satisfaction in their position. Hence, the University wants to hear and judge fairly any complaints, problems and misunderstandings. Faculty should first take concerns to their department chair or college dean for discussion. Problems can be solved more easily if they are shared as soon as possible

If a mutually agreeable resolution does not evolve in the discussions with the department chair or college dean, an appeal may be made in writing, without prejudice, to the Provost and thence to the President for final disposition at the President's discretion.

4.17 Removal From Office

The Board of Regents may decline to renew the appointment of a faculty member during an initial level appointment period without formal statement of cause. (See The LCMS Handbook, 2010, 3.10.5.6.6.)

No member of the faculty on a continuing-level appointment or on an initial-level appointment except at the expiration of the term of appointment shall be removed from the faculty either by ecclesiastical authority or by the Board of Regents except for cause. (See The LCMS Handbook, 2010, 3.10.5.6.6.1.)

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The only causes for which members of the faculty may be removed from office (within the definitions stated above), other than honorable retirement, are:

Professional incompetency, including but not limited to, the criteria defined in THE LCMS Handbook, 2010, 3.10.5.6.2d;

- a. Incapacity for the performance of duty that cannot be reasonably accommodated;
- b. Insubordination or refusal to cooperate (including, but not by way of limitation, refusal to cooperate with the Concordia University Administration or violation of Concordia University policies);
- c. Poor performance (including, but not by way of limitation, any breach of this Agreement or failure to adequately perform any duty, obligation or responsibility of a faculty member or that is assigned to an Employee);
- d. Conduct unbecoming a Christian (including, but not by way of limitation, personal or professional conduct not morally exemplary of a Christian teacher); and/or
- e. Advocacy of false doctrine (including, but not by way of limitation, disregard or opposition to the teachings and doctrine of The Lutheran Church—Missouri Synod, defined further by The LCMS Handbook, 2010, 1.6.2.b.).

(See the LCMS Handbook, 2010,3.10.5.6.5.)

Positions of initial-level and continuing-level appointment faculty may be terminated by the Board of Regents under certain institutional conditions that do not reflect the competence or faithfulness of the faculty member whose position is terminated. These conditions are the following:

- a. discontinuance of a program;
- b. discontinuance of a department or division;
- c. reduction of the size of staff to maintain financial viability in compliance with policies concerning fiscal viability;
- d. discontinuance, merger or consolidation of an entire college or University operation.

(Please see The LCSM Handbook, 2010, 3.10.5.6.7 and Appendix 11 – Reduction in Force Policy.)

The Board of Regents shall have authority to investigate, hear and act on any complaint arising out of bylaw 3.10.5.6.5 (The LCMS Handbook, 2010). Please see The LCMS Handbook, 2010, 3.10.5.6.9 for a full description of the complaint and complaint review process.

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4.18 Americans with Disabilities Act (ADA)

Concordia University, in accordance with the Americans with Disabilities Act of 1990 (ADA) and Section 504 of the Rehabilitation Act of 1973, does not discriminate in the recruitment, admission, or treatment of students. Students with documented disabilities are legally entitled to request reasonable modifications, accommodations, or auxiliary aids that will enable them to participate in and benefit from all postsecondary programs and activities. Please refer to Student Handbook Policy 1.08 Americans with Disabilities Act for a complete description of ADA qualifications and procedures for requesting accommodations.

All course syllabi/course guides distributed to students should contain the following statement:

Students with a documented disability, who need reasonable accommodations, should contact ADA & Academic Support located in Link Library to arrange an appointment to discuss their individual needs. Students are also encouraged to notify their instructors immediately about any disability-related academic needs they may have. To contact the ADA and Academic Guidance Coordinator, Angel Hoppe, please call 402.643.7365 or 800.535.5494 ext. 7365 or email Angel.Hoppe@cune.edu.

4.19 Course Guide/Syllabus Statements

In addition to the ADA statement listed above, which must be placed in all syllabi/course guides distributed to students, instructors should make all students aware of the information listed below by placing the statements in syllabi/course guides or within other course materials that are easily accessed by students.

Course Workload

In the face-to-face, online, and hybrid classrooms at Concordia University, Nebraska, credit hours are amassed in a course through student-to-instructor interaction, student-to-student interaction, Blackboard activities, contact with course-specific content, assignments, assigned videos, and other activities. No matter the length of the course meeting time in weeks or the amount of face-to-face instruction in the course, students can expect to devote at least 126 hours for each 3-credit course.

Course Participation

Federal Financial Aid regulations, which Concordia observes for all students, require that students regularly participate in courses in which they are enrolled. All students must log into the course management system (Blackboard) or participate in a face-to-face session weekly in order to avoid being tagged as a non-participant. Students must use the Concordia Blackboard and e-mail messaging systems to contact instructors and advisors. Students who are unable to participate regularly in their course for any reason should contact their instructor and their advisor. Students who intend to withdraw from a course or a program should notify their instructor and advisor.

Academic Integrity

At Concordia University Nebraska, we are guided in all of our work by the values of academic integrity: honesty, trust, fairness, responsibility, and respect. As a student, you are required to demonstrate these values in all of the work you do. Participating in a

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behavior that violates academic integrity (e.g., plagiarism, unauthorized collaboration, multiple submissions, cheating on examinations, or fabricating information) will result in your being sanctioned. Violations may subject you to disciplinary action including the following: receiving a failing grade on an assignment or examination, receiving a failing grade for the course, and/or being suspended from the University.

Emergency Information

In inclement weather, check your e-mail, Blackboard, and the Concordia website (www.cune.edu) for information. Your instructor may utilize Blackboard to make-up course time, so please check Blackboard if a class is cancelled. In the event of an emergency while you are in a face-to-face class, follow the instructions of your instructor, ensure you are in a safe location, and, after you are in a safe location, check in with your instructor before leaving so that he or she can account for all students. Also, if you have not already done so, please update emergency contact information in “Banner Self-Service” on the *connect*CUNE portal (<http://connect.cune.edu>).

4.20 Faculty Relatives and Classroom Instruction

Because classroom instruction and grading requires integrity by both the instructor and the student, it is important that an instructor who has a close family member on their class roster seek permission to allow a family member to remain on that roster. Faculty members must seek approval by the Dean of the College in order for such arrangements to be granted. If the arrangement is not granted, the student’s advisor should be informed and a different course chosen.

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5. COMPENSATION AND BENEFITS TO FACULTY

5.1 Compensation

5.1.1 Payment Schedules

Concordia University employees are paid on a monthly basis, on the 27th of every month, for the entire month. If the 27th falls on a weekend or holiday, pay will occur on the last work day prior to the 27th. Direct deposit funds are available to employees by 8:00 a.m. the day of payday.

5.1.2 Method of Payment

Payment of wages is made by direct deposit to any bank of the employee's choice. The first and last pay are generally issued by check. Employees may view their pay stubs by visiting the *connectCUNE* portal, employee tab, employment details channel.

Questions regarding the "User ID" or "PIN #" should be directed to the Computing Services #7321.

5.1.3 Summer Payroll

Summer term teaching is separately assigned and contracted. Regular courses are paid at adjunct rates of pay, with proration for enrollments below five; workshops are paid according to the amount in the workshop budget (not to exceed what would be paid if it were a regular course).

5.1.4 Other Compensation

Certain assignments receive an additional stipend. The amount and payment schedule will be stated at the time of appointment.

5.1.5 Equalization Pay (Off-Set Pay)

Faculty who are eligible employees of the Concordia Retirement Plan and have minister of religion status receive a small amount of pay each month known as off-set pay. This pay relates to the contribution amount paid to the Concordia Retirement Plan. There are two different rates, determined by whether or not the employee is on the full basis or the regular basis. Off-set pay is the difference between the full basis and the regular basis retirement amount. That difference is paid to minister of religion employees that are on regular basis for retirement. This special payment assures that all workers deemed "self-employed" by Social Security are treated equitably, whether they are participating in the Concordia Retirement Plan on the full basis or the regular basis. Off-set pay is recorded as "income" for federal tax purposes.

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5.1.6 Housing Allowance for Minister of Religion Status Employees

For faculty the Board of Regents has established a policy which allows each minister of religion the ability to request on an annual basis a percentage of annual wages to be designated as housing allowance, other than the default percentage of 50%. The specific percentage designated must be within the range of 1% and 99% of the annual wage and is dependent on current pre-tax deductions. Employees must complete a Housing Allowance Request in order to change their housing allowance from the default percentage of 50%. Forms are available in the Human Resource department. Housing Allowance Requests can never be made retroactive and are only honored from the date of the request going forward.

It is the responsibility of the faculty member to justify the expenditure of this allocation to the Internal Revenue Service, or else to declare the unused portion as “unexpended ministerial housing allowance,” subject to tax.

5.1.7 Automatic Deductions

Federal and State withholding tax:

- Amounts withheld for taxes are based on earnings, marital status and the number of exemptions claimed. Nebraska employees will complete a W-4 form known as the Employee’s Withholding Exemption Certificate for both federal and state taxes. Federal and State tax deductions are done in accordance with law and the money deducted is remitted to the government as required. Employees deployed out of states other than Nebraska should contact the Human Resource office for information regarding relevant state tax information.

During the month of January (no later than January 31st) employees receive a W-2 Wage and Tax Statement. This end-of-year statement indicates the employee’s total pay and the amount of taxes that were withheld for the previous year.

Social Security & Medicare (FICA – Federal Insurance Contribution Act)

- Each lay employee of Concordia University is required to participate in this program. It is designed to provide retirement, disability, medical, and death benefits. Deductions are made at a rate established by law.

Self Employment Contribution Act (SECA)

- All Minister of Religion employees are subject to SECA, and while Concordia cannot deduct for these taxes on the same basis as it is required for lay employees, Concordia does provide a “voluntary” withholding for those ministers who so choose. Such withholding amounts are not determined by regulations, so the employee is responsible for notifying the payroll office of the amount they desire to have withheld.

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5.1.8 Other Required Deductions

In some cases, additional required deductions may include court ordered wage garnishments, wage assignments, third party levies, and income-withholding orders (child or spousal support) levied against an employee's pay. Under the federal Child Support Enforcement Act of 1984, income-withholding orders for child support take priority over all other wage withholding orders.

While it is not the intent of Concordia University to become involved in the personal affairs of its employees, we are required to follow court ordered deductions from pay. The employee will be notified by the payroll office upon receipt of the court order. The payroll office is responsible for computing the dollar amount legally allowed to be withheld from the employee's check. Employees may need to complete a form indicating dependents.

5.1.9 Voluntary Deductions or Reductions

Voluntary payroll deductions or reductions are authorized by the employee in writing. Workers should complete and sign the appropriate form provided for each type of deduction or reduction. Authorized deductions/reductions requests will remain in effect until the Human Resource office is notified of any new change in writing or the Human Resources Office notifies the employee that a new authorization is necessary.

Deductions may include gift contributions to the University, payments to credit unions, campus lunch charges, or other requested deductions. *Reductions* include tax deferred annuity contributions for the Concordia Retirement Savings Plan, flexible spending contributions, health savings account contributions or health care employee premiums.

5.1.10 Concordia Flexible Spending Account Plan (FSA)

This plan allows employees to set aside a portion of their salary pre-tax to pay for contributions to a FSA plan. These pre-tax dollars may be used for eligible health and dependent care expenses.

- Regular employees with full-time benefits are eligible.
- Elections may not exceed \$2500 annually for health and \$5000 for dependent care.
- Open enrollment occurs at the end of each calendar year for those who are eligible.
- Cattle National Bank and Trust is considered the Third Party Administrator for this plan.

Contributions may be used for the following:

- To establish a Flex-Medical account which covers family health care expenses not covered by insurance or other sources, and/or
- To establish a Flex-Dependent account which covers certain expenses involved in caring for dependents while working.

Summary Plan Descriptions, plan election forms, and claim forms are available from the Human Resource Office.

Concordia University complies with the HIPAA (Health Insurance Portability and Accountability Act) Privacy Rules (45 CFR 160 & 164).

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5.1.11 Tax Sheltered Annuities

Concordia University participates in the Concordia Retirement Savings Plan (CRSP) which is a 403(b) tax sheltered annuity plan, administrated by MetLife, and sponsored by Concordia Plan Services. Dollars contributed to this plan are eligible for matching funds. Eligibility for participation is based on the IRS Universal Availability rules and regulations for 403(b) plans.

Currently, the plan matches 50% of up to 2% of the employee's annual compensation (or a maximum of 1% of the worker's annual compensation).

Please see the section titled Concordia Plan Savings Plan under 5.2.1.5.

5.1.12 Health Savings Accounts

Health Savings accounts were created as a part of the Medicare Bill which passed in December of 2003. Health Savings Accounts are intended for use with a High Deductible Health Plan (Option Blue H.S.A). Health Savings accounts offer a tax advantaged way of lowering the premiums you pay for health insurance coverage while allowing you to invest a portion of that savings into a tax advantaged account. Money deposited into a health savings account, whether it is deposited by you or your employer under a qualified group high deductible health plan is the employee's money. These dollars can be used to pay for qualified medical expenses. These funds can be rolled over from year to year and remains with the employee.

Changes to the Health Savings Account may be made at any time, as long as the contribution/reduction amount does not exceed the established IRS amounts for the calendar year.

5.1.13 Supplemental Life Insurance

Supplemental Life Insurance is offered through Minnesota Life Insurance, a company that partners with Concordia Plan Services. Information regarding supplemental life insurance is sent directly to your home address.

5.1.14 Other Deductions

Upon your separation from employment with the University you must return all University property, tools, keys and other equipment and must pay the University all monies that you may owe included, but not limited to, any balances in your dock-in-pay. Otherwise, a deduction for the value of all unreturned materials and monies owed may be made from your final paycheck as authorized by you in the Acknowledgement section of this Handbook.

SECTION 5: COMPENSATION AND BENEFITS TO FACULTY

5.2 Benefits

The following is a list of benefits offered to employees of Concordia University. Please note that not all employees are eligible for all benefits. Each faculty member should check the benefits available to him/her based on date of employment, seniority, exempt/non-exempt classification, full-time/part-time employment, regular/temporary, service and level of employment status.

5.2.1 Concordia Plan Services

5.2.1.1 Eligibility

Benefit Eligibility Classifications (as designated by Concordia Plan Services)

- **Eligible for Benefits**
 - *Regular Employee*: Persons regularly working more than 30 hours per week for a period beyond five months.
 - *Part-time Employee*: Persons working 21-30 hours per week.
- **Not Eligible for Benefits**
 - *Part-time Employee*: Persons scheduled to work 20 hours or less per week.
 - *Temporary*: Persons scheduled to work full-time or part-time with an expectation of employment of less than 5 consecutive months.

5.2.1.2 Concordia Health Plan

Concordia University offers the Concordia Health Plan to regular employees who work more than 30 hours per week and more than 5 months per year.

Coverage under the Concordia Health Plan includes the following:

- Medical Care
 - For NE, MO and WI:
Preferred Provider Organization
Administered by Blue Cross Blue Shield, MN
1-800-793-6922
 - For other states:
Contact the Human Resource Office for Administrator/Provider Information
- Prescription Drugs
 - Administered by Express Scripts
1-800-789-7488
- Dental Care
 - Administered by CIGNA
1-800-244-6224
 - You do not have to choose a CIGNA dentist, but if you do you may receive additional benefits/savings.
- Vision Care Benefits
 - Administered by Vision Service Plan
1-800-877-7195

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- Hearing Care Discounts
National Ear Care Plan
1-800-442-8231
- Mental Health and Substance Abuse Care
Administered by CIGNA Behavioral Health
1-866-726-5267
- Employee Assistance Program (EAP)
Administered by CIGNA Behavioral Health
1-866-726-5267
- CareAllies (Health and Wellness)
The Be Well...Serve Well health and wellness program
Administered by CareAllies
1-800-605-6621
 - ✓ Health Risk Assessment
 - ✓ Health Advisor Program
 - ✓ 24-Hour Nurse Line (800-605-6621, prompt #2)
 - ✓ Disease Management Programs
 - ✓ Lifestyle Management Programs
 - ✓ Health Pregnancies, Healthy Babies Program (800-651-2960 prompt #2)
 - ✓ On-line tools

For a comprehensive explanation of benefit coverage, please visit the Concordia Plan Services website: www.concordiaplans.org, or contact them by phone at 1-888-927-7526.

Coverage in the Concordia Health Plan begins the first day of the month following the date of employment once the appropriate enrollment forms are completed. New employees have 30 days to make application for health care coverage. An employee who does not wish to participate in the Concordia Health Plan must sign a Non-Enrollment form to decline coverage.

Annually, the employer will select from several Concordia plan choices, those they wish to offer to their workers. Annually, they approve the amount to be funded of the entire premium and employees choose the plan that best fits their needs financially and medically.

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5.2.1.3 Concordia Disability and Survivor Plan

Concordia University enrolls all regular full-time employees and regular part-time employees who work more than 20 hours per week and more than 5 months per year, in the Concordia Disability and Survivor Plan.

This comprehensive plan covers up to 70 percent of gross monthly wage for eligible injury or illness. Concordia University pays the entire premium for eligible employees.

For a comprehensive explanation of benefit coverage, please visit the Concordia Plan Services website: www.concordiaplans.org, or contact them by phone at 1-888-927-7526.

Coverage begins the first day of the month following the date of employment once the appropriate enrollment forms are completed.

Concordia University pays the premium for eligible employees.

How do I use my disability benefit?

- Notify the Human Resource Office of the disability, whether maternity leave or because of illness or injury that will last or has lasted for 14 days or more. Human Resource will coordinate the use of your disability leave during your absence.
- Contact Concordia Plan Services – Disability 1-888-927-7526
- Concordia Plan Services – Disability will connect you with a Liberty Mutual caseworker. Liberty Mutual will work with you and your physician regarding your disability.

Disability Pay

- Concordia University will continue to pay your full salary until you reach your 15th day of a certified disability.
- Starting with the 15th day, your disability benefit will begin.
- Disability pay from the plan is 70 percent of your monthly compensation.
- If you are on disability for more than 3 months, the plan will pick up your benefit costs, including your premiums for health care.

Return to Work

- A Fitness for Duty Certification from your doctor must be presented to the Human Resource Office to release you to come back to work on the day you return to work.
- If you are released with restrictions, your restrictions must be clearly written on the Fitness for Duty Certification form or doctor's note.
- While on restricted work status, Concordia will periodically require a doctor's note regarding your restricted work status until you are cleared to return without restriction.

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****Family Medical Leave**

Individuals on disability are eligible for Family Medical Leave. Disability and Family Medical Leave will run concurrently.

5.2.1.4 Concordia Retirement Plan

Concordia University enrolls all regular full-time employees and regular part-time employees who work more than 20 hours per week and more than 5 months per year, in the Concordia Retirement Plan.

For a comprehensive explanation of benefit coverage, please visit the Concordia Plan Services website: www.concordiaplans.org, or contact them by phone at 1-888-927-7526.

Coverage begins the first day of the month following the date of employment once the appropriate enrollment forms are completed.

Concordia University pays the premium for eligible employees.

5.2.1.5 Concordia Retirement Savings Plan (CRSP)

Concordia University, Nebraska has elected to be a part of the Church's Plan. Because of that participation, we are able to expand benefits available to our workers.

The Concordia Retirement Savings Plan is a 403(b) Tax Deferred Savings Plan with a matching contribution component. This provides workers with an opportunity to establish a personal retirement savings account to supplement their retirement income from the Concordia Retirement Plan.

Workers whose employers are enrolled in the Church's Plan and who are members of the Concordia Retirement Plan are eligible to participate in the CRSP.

The CRSP is administrated by MetLife. MetLife will send information regarding enrollment through their website upon enrollment into the retirement plan.

For a comprehensive explanation of benefit coverage, please visit the Concordia Plan Services website: www.concordiaplans.org, or contact them by phone at 1-888-927-7526.

Currently, the plan matches 50 percent of up to two (2) percent of the employee's annual compensation (or a maximum of one (1) percent of the worker's annual compensation).

5.2.1.6 Accident Insurance Program (AIP)

This plan covers accidental death, accidental dismemberment and paralysis of the limbs.

If you are eligible to be enrolled in any of the other Concordia Worker Benefit Plans, you may enroll in the All-Cause Accident Insurance Program.

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Premiums are structured on employee or family coverage and dollar amount of coverage.

For a comprehensive explanation of benefit coverage, please visit the Concordia Plan Services website: www.concordiaplans.org, or contact them by phone at 1-888-927-7526.

While Concordia University offers this as an additional benefit plan under the umbrella of Worker Benefit Plans, it does not pay any part of this premium. Therefore as an employee option benefit, the employee assumes the cost of this premium. Premiums are deducted from the employee's monthly pay.

5.3 Family and Medical Leave

5.3.1 General Provisions

It is the policy of Concordia University to grant up to 12 weeks of family and medical leave during any 12-month period to eligible employees, in accordance with the Family and Medical Leave Act of 1993 (FMLA) and up to 26 weeks of leave in any 12-month period in compliance with the expansion of FMLA under The Support for Injured Servicemembers Act of 2007. The leave may be paid, unpaid or a combination of paid and unpaid leave, depending on the circumstances of the leave and as specified in this policy.

5.3.2 Eligibility

To qualify to take family or medical leave under this policy, the employee must meet all of the following conditions:

1. Generally, the employee must have worked for the employer for 12 months or 52 weeks. The 12 months or 52 weeks need not have been consecutive. Service that is more than 7 years old will not be counted toward the 12 months/52 weeks, unless the break was due to National Guard or Reserve military service, or a written agreement existed in which CUNE states its intention to rehire you after the break in service. For eligibility purposes, an employee will be considered to have been employed for an entire week even if the employee was on the payroll for only part of the week or if the employee is on leave during the week.
2. The employee must have worked at least 1,250 hours during the 12-month period immediately before the date when the leave is requested to commence. The principles established under the Fair Labor Standards Act (FLSA) determine the number of hours worked by an employee. The FLSA does not include time spent on paid or unpaid leave as hours worked. Consequently, these hours of leave should not be counted in determining the 1,250 hours eligibility test for an employee under FMLA.
3. The employee must work in an office or work site where 50 or more employees are employed by the University within 75 miles of that office or work site. The distance is to be calculated by using available transportation by the most direct route.

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5.3.3 Type of Leave Covered

To qualify as FMLA leave under this policy, the employee must be taking leave for one of the reasons listed below:

- The birth of a child and in order to care for that newborn child.
- The placement of a child under the age of 18 for adoption or foster care and to care for the newly placed child.
- To care for a spouse, child or parent of the employee with a serious health condition.
- The serious health condition (described below) of the employee.

An employee may take leave because of a serious health condition that makes the employee unable to perform the functions of the employee's position.

A serious health condition is defined as a condition that requires inpatient care at a hospital, hospice or residential medical care facility, including any period of incapacity or any subsequent treatment in connection with such inpatient care or a condition that requires continuing care by a licensed health care provider

This policy covers illnesses of a serious and long-term nature, resulting in recurring or lengthy absences. Generally, a chronic or long-term health condition, which, if left untreated, would result in a period of incapacity of more than three days, would be considered a serious health condition.

Employees with questions about what illnesses are covered under this FMLA policy are encouraged to consult with the Human Resource department. Ultimately, decisions as to whether, in a close situation, a condition falls under the FMLA's protection must be made on a case-by-case basis.

The University may require an employee to provide a doctor's certification of the serious health condition.

If an employee takes leave for a condition that progresses into a serious health condition and the employee requests unpaid leave as provided under this policy, the University may designate all or some portion of related leave taken as leave taken under this policy, to the extent that the earlier leave meets the necessary qualifications.

- A covered family member's active duty or call to active duty in the Armed Forces.

An employee whose spouse, son, daughter or parent either has been notified of an impending call or order to active military duty or who is already on active duty may take up to 12 weeks of leave for reasons related to or affected by the family member's call-up or service. Reasons related to the call-up or service includes helping the family member prepare for the departure or caring for children of the servicemember. The leave may commence as soon as the individual receives the call-up notice. (Son or daughter for this type of FMLA leave is defined the same as for child for other types of FMLA leave, except that the person does not have to be a minor.) This type of leave would be counted toward the employee's 12-week maximum of FMLA leave in a 12-month period.

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Employees requesting this type of FMLA leave must provide proof of the qualifying family member's call-up or active military service before leave is granted.

- To care for an injured or ill servicemember.

This leave may extend to up to 26 weeks in a 12-month period for an employee whose spouse, son, daughter, parent or next-of-kin is injured or recovering from an injury suffered while on active military duty and who is unable to perform the duties of the servicemember's office, grade, rank or rating. Next-of-kin is defined as the closest blood relative of the injured or recovering servicemember. An employee is also eligible for this type of leave when the family servicemember is receiving medical treatment, recuperation or therapy, even if the servicemember is on temporary disability retired list.

Employees requesting this type of FMLA leave must provide certification of the family member or next-of-kin's injury, recovery or need for care. This certification is not tied to a serious health condition as for other types of FMLA leave. This is the only type of FMLA leave that may extend an employee's leave entitlement beyond 12 weeks to 26 weeks. Other types of FMLA leave are included with this type of leave totaling the 26 weeks.

An eligible employee can take up to 12 weeks (or up to 26 weeks of leave to care for an injured or ill servicemember) under this policy during any 12-month period. The University will measure the 12-month period as a rolling 12-month period measured backward from the date an employee uses any leave under this policy. Each time an employee takes leave, the University will compute the amount of leave the employee has taken under this policy in the last 12 months and subtract it from the 12 weeks (or 26 weeks for the care of an injured or ill servicemember) of available leave, with the balance remaining being the amount the employee is entitled to take at that time.

If a husband and wife both work for the University and each wishes to take leave for the birth of a child, adoption or placement of a child in foster care, or to care for a parent (but not a parent in-law) with a serious health condition, the husband and wife may only take a combined total of 12 weeks of leave. If a husband and wife both work for the University and each wishes to take leave to care for a covered injured or ill servicemember, the husband and wife may only take a combined total of 26 weeks of leave.

5.3.4 Leave for Birth and Bonding

Under FMLA, eligible employees can take a full 12 weeks of FMLA leave (assuming that they have had not other leave-qualifying events during the 12-month period) for the birth, and to be with a healthy newborn child (so-called "bonding leave"). Bonding leave is available to either men or women, and no medical certification is required. However, bonding leave must be completed within 12 months of the date of birth or placement. When both husband and wife work for the same employer, the full amount of leave is limited to an aggregate of 12 weeks.

5.3.5 Employee Status and Benefits During Leave

While an employee is on leave, the University will continue the employee's health benefits during the leave period at the same level and under the same conditions as if the employee had continued to work.

If the employee chooses not to return to work for reasons other than a continued serious health condition of the employee or the employee's family member or a circumstance beyond the employee's control, the University will require the employee to reimburse the University the amount it paid for the employee's health insurance premium during the leave period.

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Under current University policy, the employee pays a portion of the health care premium. While on paid leave, the employer will continue to make payroll deductions to collect the employee's share of the premium. While on unpaid leave, the employee must continue to make this payment, either in person or by mail. The payment must be received in the Human Resource department the last day of each month. If the payment is more than 30 days late, the employee's health care coverage may be dropped for the duration of the leave. The employer will provide 15 days' notification prior to the employee's loss of coverage.

If the employee contributes to a life insurance or disability plan, the employer will continue making payroll deductions while the employee is on paid leave. While the employee is on unpaid leave, the employee may request continuation of such benefits and pay their portion of the premiums; or the employer may elect to maintain such benefits during the leave and pay the employee's share of the premium payments. If the employee does not continue these payments, the employer may discontinue coverage during the leave. If the employer maintains coverage, the employer may recover the costs incurred for paying the employee's share of any premiums whether or not the employee returns to work.

5.3.6 Employee Status after Leave

An employee who takes leave under this policy will be able to return to the same position or a position with equivalent status, pay, benefits and other employment terms. The position will be the same or virtually identical in terms of pay, benefits and working conditions.

The University may choose to exempt certain key employees from this requirement and not return them to the same or similar position.

5.3.7 Use of Paid and Unpaid Leave

A faculty member who is taking FMLA leave because of the employee's own serious health condition or the serious health condition of a family member will be granted up to two weeks of paid leave and counted as FMLA leave. Once the two weeks are exhausted, faculty members if receiving disability will receive 70% of their pay from Concordia Plan Services. If leave is for reasons other than for the faculty member, arrangements must be discussed with the Provost office. All paid leaves run concurrent with FMLA approved leave.

Disability leave for the birth of the child and for an employee's serious health condition, including workers' compensation leave (to the extent that it qualifies), will be designated as FMLA. For example, if an employer provides six weeks of pregnancy disability leave, the six weeks will be designated as FMLA leave and counted toward the employee's 12-week entitlement. The employee will be eligible for unpaid leave for what remains of the 12-week entitlement unless other arrangements have been made through the Provost office.

An employee, who takes approved leave for the adoption or foster care of a child, will be granted use of FMLA leave.

5.3.8 Intermittent Leave or a Reduced Work Schedule

The employee may take FMLA leave in 12 consecutive weeks, may use the leave intermittently (take a day periodically when needed over the year) or, under certain circumstances, may use the leave to reduce the work week or work day, resulting in a reduced hour schedule. In all cases, the leave may not exceed a total of 12 work weeks (or 26 work weeks to care for an injured or ill servicemember over a 12-month period).

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The University may temporarily transfer an employee to an available alternative position with equivalent pay and benefits if the alternative position would better accommodate the intermittent or reduced schedule, in instances of when leave for the employee or employee's family member is foreseeable and for planned medical treatment, including recovery from a serious health condition or to care for a child after birth, or placement for adoption or foster care.

For the birth, adoption or foster care of a child, the University and the employee must mutually agree to the schedule before the employee may take the leave intermittently or work a reduced hour schedule. Leave for birth, adoption or foster care of a child must be taken within one year of the birth or placement of the child.

If the employee is taking leave for a serious health condition or because of the serious health condition of a family member, the employee should try to reach agreement with the University before taking intermittent leave or working a reduced hour schedule. If this is not possible, then the employee must prove that the use of the leave is medically necessary. The University may require certification of the medical necessity.

5.3.9 Certification of the Serious Health Condition of the Employee or the Spouse, Child or Parent of the Employee

The University may ask for certification of the serious health condition. The employee must respond to such a request within 15 days of the request or provide a reasonable explanation for the delay. Failure to provide certification may result in a denial of continuation of leave. Medical certification may be provided by using the Certification of Health Care Provider for Employee's Serious Health Condition form or Certification of Health Care Provider for Family Member's Serious Health Condition form. Request for a medical certificate will be made in writing as part of the employer response to employee's request for leave.

Certification of the serious health condition shall include the date when the condition began, its expected duration and a brief statement of treatment. For medical leave for the employee's own medical condition, the certification must also include a statement that the employee is unable to perform work of any kind or a statement that the employee is unable to perform the essential functions of the employee's position. For a family member who is seriously ill, the certification must include a statement that the patient, the family member, requires assistance and that the employee's presence would be beneficial or desirable.

If the employee plans to take intermittent leave or work a reduced schedule, the certification must also include dates and the duration of treatment as well as a statement of medical necessity for taking intermittent leave or working a reduced schedule.

The University has the right to ask for a second opinion if it has reason to doubt the certification. The University will pay for the employee to get a certification from a second doctor, which the University will select. If necessary to resolve a conflict between the original certification and the second opinion, the University will require the opinion of a third doctor. The University and the employee will mutually select the third doctor, and the University will pay for the opinion. This third opinion will be considered final. The employee will be provisionally entitled to leave and benefits under the FMLA pending the second and/or third opinion.

5.3.10 Documentation of the Covered Family Member's Active Duty or Call to Active Duty in the Armed Forces

Employees requesting this type of servicemember FMLA leave must provide proof of the qualifying family member's call-up or active military service. This documentation may be a copy of the military orders or other official Armed Forces communication.

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5.3.11 Documentation of the Need for Servicemember FMLA Leave to Care for an Injured or Ill Servicemember

Employees requesting this type of Servicemember FMLA leave must provide documentation of the family member's or next-of-kin's injury, recovery or need for care. This documentation may be a copy of the military medical information, orders for treatment, or other official Armed Forces communication pertaining to the servicemember's injury or illness incurred on active military duty that renders the member medically unfit to perform his or her military duties.

5.3.12 Procedure for Requesting Leave for:

- the birth of a child or in order to care for that child;
- the placement of a child for adoption or foster care and to care for the newly placed child;
- 3) to care for a spouse, child or parent with a serious health condition; or
- the serious health condition of the employee

All employees requesting this type of FMLA leave must provide verbal notice with an explanation of the reason(s) for the needed leave to their immediate supervisor, who will refer the worker to the Human Resource department.

The University will provide individual notice of rights and obligations to each employee requesting leave within five business days or as soon as practicable. For employees on intermittent or recurring leave for the same incident, this notice will be provided every six months.

When an employee plans to take leave under this policy, the employee must give the University 30 days' notice. If it is not possible to give 30 days' notice, the employee must give as much notice as is practicable. An employee who is to undergo planned medical treatment is required to make a reasonable effort to schedule the treatment in order to minimize disruptions to the University's operations.

If an employee fails to provide 30 days' notice for foreseeable leave with no reasonable excuse for the delay, the leave request may be denied until at least 30 days from the date the employer receives notice. While on leave, employees are requested to report periodically to the University regarding the status of the medical condition and their intent to return to work.

5.3.13 Procedure for Requesting Leave for

- a covered family member's active duty or call to active duty in the Armed Forces
- to care for an injured or ill servicemember

All employees requesting this type of FMLA leave must provide verbal notice with an explanation of the reason(s) for the needed leave to their immediate supervisor, who will refer the worker to the Human Resource department. Leave may commence as soon as the individual receives the call-up notice.

The University's Human Resource department will provide individual notice of rights and obligations to each employee requesting leave within five business days or as soon as practicable.

An employee who anticipates the possibility of taking family or medical leave, or has any questions about the application of this policy to your particular situation, should contact the Human Resource department.

SECTION 5: COMPENSATION AND BENEFITS TO FACULTY

5.4 Maternity Leave

A pregnancy is treated in the same way as any other illness or disability for the purposes of determining whether disability benefits are payable. In this regard, the following will apply: A pregnant employee may continue to work until her physician certifies in writing that she is disabled and should cease working. If the employee works until she establishes a disability by furnishing such medical certification, she will thereafter receive payments during the time of disability to the same extent that a person is paid during disability arising from any reason as previously described.

If a pregnant employee wishes to cease work without having furnished a physician's certificate that she is disabled, she must request a leave of absence without pay. As in all other instances where a person becomes disabled while on a leave without pay, such person is not eligible for disability benefits during the previously agreed upon period of the non-paid leave.

Within 30 days prior to anticipated delivery date or earlier if possible, the employee should discuss with the Human Resource department the matter of the anticipated absence due to pregnancy. This is to insure a mutual agreement between Concordia University and the employee, and to clarify any questions.

See also Family Medical Leave sections 5.2.3 and 5.2.4.

5.5 Paternity Leave

Concordia University allows the use of Family Medical Leave for father's requesting time off due to the birth of a child. Time off will be granted through the use of Family and Medical Leave. Paternity leave should be arranged with the supervisor in advance so that your job duties may be appropriately covered during the absence.

5.6 Jury Duty or Court Leave

Notification of summons to serve on a jury should be communicated to the employee's supervisor. As a matter of good citizenship, employees are expected to serve when called upon for jury duty.

Concordia grants full pay to an employee called to jury duty if the employee remits his/her jury duty pay to the University. This transaction is to be coordinated through the Human Resources Office. If jury duty does not require the full work day, the employee is expected to report for work for the remainder of the day.

If an employee is subpoenaed for University business reasons and is required to make a court appearance, such appearance will be considered work time. Any payment by the court made to the employee should be remitted to the University. Employees subpoenaed for reasons of a personal nature, will be required to take PTO for such absences and they will be allowed to retain any payment made to them for such appearances.

5.7 Voting

In the event that an employee does not have two consecutive hours to vote while the polls are open, Nebraska laws require that Concordia University must provide employees with paid leave to cast their vote. Employees have generally used their lunch hours or time after work (5-8pm) to cast their votes. If however circumstances prevent an employee from voting during those generally accepted times, they may request in advance time off to vote with the approval of their supervisor.

SECTION 5: COMPENSATION AND BENEFITS TO FACULTY

5.8 Election

Employees who are appointed by the county to serve as an election worker must give reasonable notice to the University prior to such service. If reasonable notice is given, the employee will be excused from regularly scheduled work and will receive full pay if the employee remits his/her election duty pay to the University.

5.9 Volunteer Fire & Rescue Calls

Concordia considers volunteer efforts for the community by way of Fire and Rescue calls to be a part of its servant leadership mission. Individuals trained and certified, who volunteer in this way, will be given time away for these purposes. Individuals should complete an absence form where required to acknowledge this type of absence.

5.10 Worker's Compensation Insurance

Concordia University provides Worker's Compensation benefits for those employees covered as determined by the laws of the State of Nebraska. No premium for this coverage is charged the employee.

All injuries sustained on the job, even if you feel such to be minor, must be reported promptly to the Human Resource Office to avoid jeopardizing coverage.

5.11 Social Security

Concordia University, in accord with federal law, makes available to its faculty the coverage of Social Security (FICA) and matches deductions made from the employee's compensation as payment into the Social Security fund. An exception to this is those faculty who are ordained or commissioned ministers. They must participate in Social Security on a self-employed basis.

5.12 Recesses and Approved Time Off

Concordia faculty members are granted up to three weeks of paid approved time off per year, in addition to recesses during the academic year. Faculty must notify their college dean and the academic administrative office of their desired approved time off plans (dates and location to allow for contact in the event of emergency) and all such approved time off requests are subject to Concordia approval. Faculty are expected to attend meetings, seminars and other events planned for faculty whenever held or else request an excused absence through normal channels (4.11).

- Considerations:
 - If a faculty member resigns, approved time off cannot be used to extend a resignation date. In order for approved time off to be used, the resigning faculty member must return to their worksite location for a minimum of 2 days after such approved time off has been used, working up until their designated last day of work.
 - If a faculty member resigns, the provost has the right to alter the use of granted approved time off prior to the designated last day of work, for business necessity reasons.
 - Paid approved time off must be used concurrently with requested family medical leave.

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5.13 Observance of Anniversaries of Service

Each year, the University recognizes active members of the faculty who have served at the University for multiples of five years and those who have served in the ministries of the Church for 25, 40 or 50 years. The President's office maintains a roster of anniversary years for each faculty member.

5.14 Instructional Assistance

Each department and the University as a whole budgets for instructional assistance such as readers and laboratory assistants. After the budget is finalized, each department is informed of the amount of funds available for these services for the academic year. Each instructor assigned a reader or laboratory assistant is responsible for monitoring the student's work and for approval of time cards.

The University also provides administrative assistance for the instructional staff.

5.15 Tuition Waiver for Study at Concordia

Tuition waivers are a Concordia University employee benefit, available only to current full-time employees, their spouse, or an unmarried, dependent child age 23 or younger (exceptions for military/mission service). Employees are granted a 90 percent tuition waiver after a minimum of 1 year employment. Spouse and dependents are eligible for a 50 percent tuition waiver after 1 year of employment and 90 percent tuition waiver after 2 years of employment.

Please see Appendix 12 for complete details.

Tuition waivers for Adjunct Faculty Members are also available. Please see Appendix 17 for complete details.

5.16 Tuition Exchange

Concordia University is a member of The Tuition Exchange, Inc., a network of nearly 500 colleges and universities providing exchange opportunities for students from families with a member employed full time at a participating institution. Tuition exchange is available only to current full-time faculty, professional/technical and support staff, their spouses, or unmarried dependent children age 23 or younger (exceptions for military/mission service). Employees are eligible for consideration of acceptance into tuition exchange with a participating institution after a minimum of three (3) years of full-time employment at Concordia. Exceptions made to the three (3) year minimum will be reviewed by the President's cabinet.

Please see Appendix 13 for complete details.

5.17 Sabbatical Leaves

A member of the faculty who has served seven years at a Synodical institution of higher education may be granted a sabbatical leave to pursue a worthy project or activity (The Handbook of the LCMS 2011, 3.10.5.6.10; see also BUE Board Policy Manual 8.3). Subsequent sabbatical leaves are available after each additional seven years' service.

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Sabbatical leave may be granted by action of the Board of Regents for one semester with full pay or for an entire academic year with half-pay or a reasonable equivalent.

On recommendation of the President, the Board of Regents shall adopt an annual budget for the replacement of members of the instructional staff who are granted sabbatical leaves.

The proposals of eligible members of the faculty for sabbatical leaves within the established budgetary limits shall be presented to the Board of Regents for action by the President upon the endorsements of the appropriate college dean and the Provost.

5.18 Conferences and Professional Memberships

The University will provide financial support for attendance at conferences or professional memberships based upon annual budgetary capability. The Provost's office projects an annual budget for faculty professional development and with the deans administers the annual allocation for professional memberships and attendance at professional organization meetings and conferences.

5.19 Faculty Relocation

Concordia University provides for reasonable costs for relocation, to employees who must relocate their legal residence as a result of being newly hired. The relocation of a residence is a costly and time-consuming process. It is the intent of Concordia University to generally identify the expenses that will be paid and the administrative practices necessary to account for these expenses. No member of management (except for the President) may commit to liquidation of damages for relocation expenses without the prior approval of the Executive Vice President, CFO-COO

Applicable University positions:

- President, Cabinet Officers, Faculty and Professional Technical Staff (level 3 or higher)

Liquidated Damages:

- If an employee leaves the University prior to 2 years of service, the employee will be required to reimburse the University for all or a part of the relocation costs based on the information provided in the chart below:

Length of Services	Liquidated Damages
0 - 12 months	100%
13 – 18 months	75%
19 – 23 months	50%

To view the University Relocation Policy in its entirety, please contact the Human Resource department.

SECTION 6: HEALTH AND SAFETY

6. Health and Safety

6.1 Drug Free Work Place

6.1.2 Alcohol, Illegal Drugs and Controlled Substances

In compliance with both the Drug-Free Workplace Act of 1988, and the Drug-Free Schools and Communities Act amendments of 1989, CUNE prohibits the use, sale, transfer, possession, or being “under the influence” of alcohol, illegal drugs, or controlled substances while on the job, operating University vehicles, or on University property. “Under the influence” is defined as being unable to perform work in a safe or productive manner, and/or being in a physical or mental condition which creates a risk to the safety and well being of the affected employee, other co-workers, the public, or University property.

Employees using prescription drugs according to a physician’s instructions or using over-the-counter drugs for medicinal purposes and who work in positions that are safety-sensitive are required to notify their supervisor or Human Resource department regularly in the event such drugs would impair the employee’s physical, mental, emotional, or other faculties.

All new employees will be provided with a copy of the Employee Drug & Alcohol Program, which states our policy program and lists the local, state and federal laws which regulate and prohibit possession, use and distribution of illicit drugs and alcohol.

Annually, a distribution of the policy program approved by the Board of Regents along with a condensed version of applicable local, state or federal laws and penalties is provided to each employee through CUNE’s web portal called connectCUNE.

Violation of this policy may result in disciplinary action up to and including termination.

As a regular part of your benefits, your employer offers assistance through its Employee Assistance Plan. Employees and their family members are encouraged to seek professional help for assessing and treating substance abuse problems through the Employee Assistance Plan and Concordia Health Plan (Contact CIGNA at 1 -866-726-5267).

6.2 Environmental Health and Safety Committee (Safety Committee)

CUNE convenes a safety committee on a quarterly basis to review current safety standards, ensure compliance with federal and state regulations regarding environmental and safety issues, recommend programs and actions for compliance, develop procedures, provide training, and review current incidents and injuries.

If an employee has a safety or environment concern, please contact a building manager, one of the committee members, or the Environmental Health, Safety and Security Officer.

6.3 Critical Incident Management Team

CUNE has established a Critical Incident Management Team (CIMT) which meets on a regular basis. This team develops, implements, and evaluates strategies for handling critical incidences that may occur on campus. This team is made up of various members across campus, representing many offices. The Executive Vice President/CFO/COO is in charge of managing this program.

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6.4 Other Emergency Procedures

CUNE has established procedures and guidelines for other emergencies such as:

- Fire
- Bomb Threats
- Civil Protests
- Explosions
- Floods
- Hazardous Materials Incident
- Infrastructure Failure
- Snow or Ice Storms
- Tornados
- Violent Incidents

Please consult the Safety Manual, Chapter 24 – Critical Incident Management Plan for step by step processes for handling these types of emergencies. This Chapter may be accessed through the *connectCUNE* portal site, home tab, lower right hand corner.

6.5 Flu Season

Concordia University seeks to ensure that workplace health and safety and the well-being of students, faculty, staff, family, and visitors to the University by reducing the potential or actual exposure to the Novel Influenza A (H1N1) Virus or seasonal flu.

The University will monitor guidance and recommendations from the Centers for Disease Control (CDC) and World Health Organization (WHO), as well as state and local health officials. The University may engage its Critical Incident Plan, based on the severity of the type of flu and the season length.

Every employee is encouraged to engage in preventing illness by following preventive measures such as:

- Practicing good hygiene by washing hands often with soap and water, especially after coughing or sneezing. Alcohol-based hand cleaners are also effective. Frequently clean commonly used surfaces such as door knobs, refrigerator handles, remote controls, keyboards, counter tops, faucets, and bathroom areas.
- Cover our mouth and nose with a tissue when you cough or sneeze. If you don't have a tissue, cough or sneeze into your elbow or shoulder, not into your hands. Avoid touching your eyes, nose, or mouth.
- Stay home or at your place of residence if you are sick for at least 24 hours after you no longer have a fever or signs of a fever (have chills, feel very warm, have a flushed appearance or are sweating), except to get medical care. Staying away from others while sick, even if you are taking antiviral drugs for treatment of the flu, can prevent others from getting sick too.

SECTION 6: HEALTH AND SAFETY

- Talk to your health care provider to find out if you should be vaccinated for seasonal flu and/or H1N1 flu. People under age 25 are one of the key groups recommended by the CDC to be among the first to receive the H1N1 flu vaccine. Individuals who are at higher risk of complications may benefit from early treatment and time to recovery may be shorter for persons treated promptly with antiviral medicines upon the onset of symptoms.

The CDC discourages members of the public who are ill from visiting campus or attending institution-sponsored events until they are free of fever for at least 24 hours.

Staff who display influenza-like illness symptoms may be sent home. Those who display symptoms and refuse to leave after being asked to do so may be subject to disciplinary action. All procedures governing sick leave remain in effect. Staff must continue to follow normal leave notification procedures. Family Medical Leave may be available depending on the severity of the illness.

6.6 Accident, Injuries and Medical Emergencies

Any accident, injury or illness – such as seizures, fainting, heat exhaustion, or work related accidents, etc. that occur on campus should be immediately reported to Security (643-3033) so that the proper emergency or medical response can be made and the incident can be documented. If the incident involves the spilling of blood or other bodily fluids, advise Security at the time of the initial notification along with the exact location and as much information as is known about the nature of the illness or injury. Bleeding should only be attended to if the wound is sufficient to be life-threatening. Always wear proper personal protective equipment where blood is present to avoid the dangers associated with blood borne pathogens.

If a person has fallen, struck his/her head, or hurt his/her back or neck, do not attempt to move him or her. The best treatment you can provide while awaiting medical personnel is verbal comfort.

If you feel the injury or illness constitutes an emergency, call 911 immediately to hasten the response of paramedics. Do not attempt to administer first aid unless directed to by a 911 operator. Then contact Security.

If you know the person who is injured and have information concerning existing medical conditions, medications taken, or parental information in the case of juveniles, remain available to provide any knowledge you have to paramedics and Security. Do not engage an injured person unnecessary conversation and never discuss who was at fault or who will be responsible for paying medical bills. If the injured person is a CUNE employee, the supervisor must be notified and a report of injury must be prepared and submitted to the Human Resource department.

Work related accidents should be reported to the supervisor as soon as possible (within 24 hours for worker's compensation reporting – see section below).

6.7 Workers' Compensation

CUNE provides Workers' Compensation benefits for those employees covered as determined by the laws of the State of Nebraska. No premium for this coverage is charged the employee. All injuries sustained on the job, even those that are minor, must be reported immediately to the employee's supervisor. If the accident or injury does not require immediate medical attention, the supervisor should refer the employee to the Human Resources department to complete a workers' compensation claim form. In an emergency, the supervisor should immediately contact 911, arrange for emergency medical assistance, and then notify the University's Environmental Health, Safety and Security Officer and the Human Resource department.

SECTION 6: HEALTH AND SAFETY

The University's Environmental Health, Safety and Security Officer will thoroughly investigate any incidents or accidents by questioning the injured worker, as well any witnesses in the immediate area. Medical expenses for work related injuries will be paid in accordance with the provisions of the Nebraska Worker's Compensation Act.

Work related accidents should be reported to the supervisor immediately so that a Worker's Compensation report can be completed within 24 hours of the accident occurring. Failure to report an accident or injury within 24 hours may result in the delay or denial of a worker's claim.

If an injury is sustained on the job and the effect of that injury is not known within 24 hours, worker should report the work related injury to the Human Resource department as soon as is practical. Work related injuries reported outside of a 3 month timeframe, will be deemed to have been reported in an unreasonable time frame and may be denied.

6.7.1 Investigation Cooperation

Employees are expected to fully cooperate and not interfere with internal or external investigations. Forms of interference may include but are not limited to destruction or withholding of documents and evidence, refusal to participate in an investigation, or providing false information, which may result in disciplinary action up to and including termination.

6.8 Safe Workplace

State and federal law as well as Concordia policy, make the safety and health of our employees the first consideration in operating our University. Safety and health in our University must be a part of every operation, and every employee's responsibility at all levels. It is the intent of CUNE to comply with all laws concerning the operation of the University and the health and safety of our employees and the public. To do this, we must constantly be aware of conditions in all work areas that can produce or lead to injuries. No employee is required to work a job known to be unsafe or dangerous to their health. Your cooperation in detecting hazards, reporting dangerous conditions and controlling workplace hazards is a condition of employment. Inform your supervisor immediately of any situation beyond your ability or authority to correct. Employees will not be disciplined or suffer any retaliation for reporting a safety violation in good faith.

6.9 Danger to Oneself or Campus Community

Behaviors that cause or threaten to cause harm to oneself or other individuals will be taken very seriously. If an employee or a student indicates to a member of the CUNE, Nebraska community (students, faculty, staff, parents, etc.) that they are considering self harm, or indicate a potential danger to oneself or others, intervention will be required. The communication and/or behavior will be reported to appropriate personnel. If the threat pertains to a fellow employee or a student, report the communication/behavior to your immediate supervisor. If your supervisor is unavailable, report the communication/behavior to the Campus Pastor or the Human Resource department immediately. Supervisors should relay the information as quickly as possible to the appropriate personnel (Campus Pastor, Cabinet Officer, medical professional or mental health provider) so that timely intervention may occur.

If the individual reported is an employee, a determination regarding return to work will be made in conjunction with the seriousness of the situation.

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6.10 Suspicious Persons

It is sometimes difficult to determine who does or does not belong on campus. There are occasions, however, when we encounter an individual who does not appear to have a valid reason to be on campus. There are other situations where a person's actions, such as prowling parking lots and peering into vehicles, or their comments raise suspicion. If you encounter an individual or situation you feel is out of place or suspicious, contact Security immediately (643-3033) and provide a description of the person's actions and any other pertinent information. Security will attempt to identify the individual to determine if they have a legitimate reason to be on campus.

6.11 Court Orders

Any person who has filed an Order of Protection or Harassment Injunction and believes the named person may attempt to contact him/her on campus, should notify Security (643-3033). Security will require a copy of the Civil Court Order and will ask for a physical description of the person named in the order as well as a photo, if possible, and a description of their vehicle. If a violation of the order occurs, Security will assist in filing a report of the incident and will also assist the Police Department in follow-up actions.

6.12 Right to Know - Campus Crime Report

The Crime Awareness and Campus Security Act of 1990 requires each educational institution to prepare and distribute a security report annually or make it available to employees on the website. You can access this report at: www.cune.edu/campuslife/righttoknow.htm. This report must provide statistics concerning the occurrence on campus of certain crimes reported to campus security or local police agencies. The crimes that must be reported are:

- Murder
- Rape
- Robbery
- Aggravated Assault
- Burglary
- Motor Vehicle Theft
- Liquor Law Violations
- Drug Abuse Violations
- Weapons Possessions

The Director of Student Life and Student Activities updates this report annually.

6.13 Hazardous Materials

For information regarding blood borne pathogens, infectious waste, and hazardous waste please consult the safety manual, Chapters 3 and 4.

<http://www.cune.edu/safety/safety3.doc.pdf>, <http://www.cune.edu/safety/safety4.doc.pdf>.

Any employee who may be exposed to bodily fluids in the course of employment duties will be given protective wear in order to minimize the risk of transmission of communicable disease. The University will make available the Hepatitis B vaccination series to all employees who have been identified as having the potential for occupational exposure. Training is provided at the time of initial assignments to tasks where occupation exposure may occur.

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Employees who have not received special blood borne pathogens training should immediately notify the Environment Health and Safety Officer (7415, 7286 or after hours 643-3033) of any situation involving contact with bodily fluids such as blood.

DO NOT ATTEMPT TO CLEAN UP BODY FLUID SPILLS YOURSELF!

6.14 Contagious Diseases/Life Threatening Illness

CUNE understands that employees with life-threatening, contagious, and/or debilitating illnesses such as cancer, heart disease, hepatitis, acquired immune deficiency syndrome (AIDS), and other medical conditions may wish to continue working. The organization respects and supports this wish, provided the employee can maintain required performance and attendance standards and the condition does not pose a health or safety threat to the employee, his/her fellow employees, or the general public.

Employee's health condition is generally a private and personal matter and consequently the University will protect the confidentiality of the situation and any information or documentation relating to it. CUNE will instruct its employees to do the same to the extent consistent with the organization's obligation to the employee, the general public, and the organization itself. CUNE recognizes and retains the right to request medical examinations and/or consultations at organization expense regarding the employee's medical condition.

When supervisors become aware of potentially life-threatening, contagious, and/or debilitating conditions, Human Resources should be consulted as soon as possible. The evaluation of the potential challenges that accompany these conditions will be handled on a case-by-case basis and will consider existing medical and scientific evidence. Human Resource will consult with legal counsel regarding the appropriate employee and safety related laws and regulations that may be applicable.

When dealing with situations involving life-threatening, contagious, and/or debilitating illnesses, supervisors should:

- Contact Human Resources if there is a concern that the nature of an employee's illness may endanger the employee, fellow employees, students, vendors or the general public;
- Contact Human Resources to determine if a statement should be obtained from the employee's attending physician that continued presence at work will pose no danger to the employee, fellow employees, students, vendors or general public;
- Make reasonable accommodations for employees with these illnesses consistent with business needs;
- Consider transfer of an employee with a life-threatening, contagious, and/or debilitating illness who requests such a transfer. Unless there is objective evidence of an illness and/or disability posing a threat to fellow employees, the organization will not transfer other employees out of the work area except by normal practice and procedure;
- Be sensitive and responsive to fellow employees' concerns and utilize the employee education available through Human Resources;
- Arrange for any leave time the employee may need, including FMLA; and
- Be sensitive to the fact that continued employment for an employee with a life-threatening, contagious, and or debilitating illness may sometimes be therapeutically important in the remission or recovery process or may help to prolong that employee's life.

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6.15 Auto Safety

Please consult the University's safety plan for information relating to auto safety (see University Safety Plan, Chapter 18, on the *connect*CUNE portal.)

6.16 Weapons

To ensure that Concordia maintains a workplace safe and free of violence for all employees, students and visitors, Concordia prohibits the possession or use of dangerous weapons on university property or while performing University business. A license or permit to carry or possess any weapon does not supersede Concordia policy.

"Concordia Property" is defined to include all University/Foundation-owned or leased buildings and surrounding areas such as sidewalks, walkways, driveways, green spaces and parking lots under Concordia's ownership or control. It also includes all Concordia-owned or leased vehicles and all vehicles that come onto Concordia property.

"Dangerous Weapons" includes, but is not limited to, firearms, explosives, knives (except knife-like tools necessary for work), swords and other weapons or objects that might be considered dangerous and that are capable of being used to inflict severe bodily injury upon another. Employees are responsible for making sure that any item possessed by the employee is not a "Dangerous Weapon."

Any employee who violates this policy is subject to disciplinary action, up to and including termination. Any visitor who violates this policy will be denied access to the Concordia property. If you observe a person on campus with a firearm or other deadly weapon, contact Security (643-3033) immediately. If a person is threatening others, call 911 immediately.

6.17 CUNEAlert

What is CUNEAlert?

CUNEAlert is a service of Connect-ED. This service will allow Concordia University, Nebraska's administration and security professionals to reach students, faculty and staff with time-sensitive information during unforeseen events or emergencies through voice, e-mail and text messaging. During critical situations, the University can use this system to reach you with pertinent information and provide details on the appropriate response.

This information will not be shared with other entities, and it will be kept private and confidential. This is used only for Concordia University, Nebraska's communication purpose with you. Keep in mind that the most important purpose of this system is for the University to contact you with details and instructions for your immediate safety, so be sure that you have provided information for us to contact you. There is room for additional numbers, and you are welcome to provide information about others whom you wish to receive these messages.

The system will be used in a natural disaster, accident or intentional critical event on campus. The University administration, campus security personnel and/or Critical Incident Management Team will initiate emergency communication. If applicable, messages will be coordinated with law enforcement and emergency management authorities.

What does CUNE Alert look or sound like?

Phone: When you receive a call from CUNE Alert, your caller ID will display "402-643-7350." When you receive a CUNE Alert text message, your caller ID will display #23177." You may wish to save this number in your contact list as "CUNE Alert." It is best if you do not call back to the caller ID number, because you will likely get a busy signal, rather check your voicemail, text message inbox or e-mail inbox for a message from CUNE Alert.

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E-mail: For e-mails, the e-mail ID will be from cunealert@cune.edu

Recording via phone: When listening to a message, please be aware that background noise will cause the system to ‘stop and start.’ It is calibrated very delicately to determine whether a person or a voicemail box has picked up the phone, the background noise may affect the delivery. If possible, move to a quiet area, or press, the “mute” button on your phone.

Recording via phone: If you missed any part of the message, please stay on the line and press** (star) to hear the message again.

6.18 Terms to Know

6.18.1 Evacuation

It may become necessary to evacuate a building, several buildings or the entire campus. Follow the instructions given to you if this situation becomes necessary. Buildings and Grounds staff will secure any evacuated buildings and place systems in a safe condition.

6.18.2 Lockdown

When/if a situation arises (active shooter or other event) that endangers people, it may become necessary to temporarily lock-down a building, several buildings or all buildings. The action required of the building occupants will be to lock all doors and windows, not allowing entrance or exit to anyone until the all clear has sounded.

6.18.3 Shelter-in-place

“Shelter-in-place” means to take immediate shelter where you are-at home, work, school or in between. It may also mean “seal the room;” in other words, take steps to prevent outside air from coming in. This is because local authorities may instruct you to “shelter-in-place” if chemical or radiological contaminants are released to the environment. It is important to listen to TV or radio to understand whether the authorities wish you to merely remain indoors or to take additional steps to protect you or your family.

6.18.4 Tornado warning

A tornado warning is issued when a tornado is indicated by radar or sighted by spotters; therefore, people in the affected area should seek safe shelter immediately.

6.18.5 Tornado watch

This is issued by the National Weather Service when conditions are favorable for the development of tornadoes in and close to the watch area. During the watch, people should review tornado safety rules and be prepared to move to a place of safety if threatening weather approaches.

SECTION 7: TECHNOLOGY

7. Technology

As an employee of Concordia University your position may require privileges which include access to the University's information resources including the network, computers, applications and the internet. Upon acceptance of your account information and signed acknowledgement of receiving this handbook you will be granted Network and Internet access in your office.

If you or anyone you allow to access your account (itself a violation) violates these terms of usage, your access may be denied or withdrawn. In addition, you may be subject to disciplinary action, up to and including termination.

By accepting your account password and related information and accessing the University's information resources, you agree to adhere to these provisions. You also agree to report any network or internet misuse to Computing Services. Misuse includes interfering with the operation of Concordia's information resources and electronic data, interfering with the work of other staff, using University resources to harass individuals or using information resources to engage in illegal or unethical activities. Note that interfering with computer resources might violate Nebraska law.

Access to University information resources extends throughout the term of your employment. Specific access to particular resources is controlled based on your position's needs.

Employees are required to adhere to the University's electronic writing and content guidelines and use information resources appropriately and legally. In particular, you should use electronic communication tools with civility, politeness and a concern for the welfare of others. The University will determine what materials, files, information, software, communications and other content and activity are permitted or prohibited as outlined below.

7.1 Banned Activity

Banned activities include but are not limited to the following:

- Using, transmitting, receiving, or seeking inappropriate, offensive, vulgar, suggestive, obscene, abusive, harassing, belligerent, threatening, defamatory or misleading language or materials.
- Revealing personal information to anyone, such as the home address, telephone number, birth date, Social Security number, registration data or personnel information of any person.
- Making ethnic, sexual-preference or gender-related slurs or jokes, particularly in electronic communication or stored documents.
- Using University information resources to engage in illegal activities, violating the Employee Handbook or encouraging others to do so. Examples:
 - Selling or providing substances prohibited in the University's employment policy or the Employee Handbook.
 - Accessing, transmitting, receiving or seeking unauthorized, confidential information about students, faculty, staff, donors and constituents.
 - Conducting unauthorized or non-University business.
 - Viewing, transmitting, downloading or searching for obscene, pornographic or illegal materials.
 - Accessing folders, files, work product, documents or other information to which you do not have authorized access or intercepting communications intended for others.

SECTION 7: TECHNOLOGY

- Using the user name and password of any other user to access any University information resource for any purpose, even if that user provides the user name and password to you. Note that you should report this action to your supervisor.
- Downloading or transmitting the University's confidential information.
- Causing harm or damaging property and data of the University or any other user.
- Downloading or transmitting copyrighted materials without permission from the copyright holder. Even when materials on the network or the internet are not marked with the copyright symbol, employees should assume all materials are protected under copyright laws – unless explicit permission to use the materials is granted.
- Using another employee's account in a manner that deceives recipients into believing someone other than you is communication or accessing the network or internet.
- Uploading a virus, other harmful software or corrupted data onto the University's information resources or vandalizing the University's information resources by disclosing or sharing passwords and/or impersonating others.
- Using software that is not properly licensed from the vendor or is not approved by the University.
- Jeopardizing the security of access, the network or other internet networks by disclosing or sharing passwords and/or impersonating others.
- Accessing or attempting to access controversial or offensive materials. Network and Internet access may expose employees to illegal, defamatory, inaccurate, or offensive materials. Employees must avoid these sites. If you know of employees who are visiting offensive or harmful sites, report that use to the Computing Services Department.
- Using University information resources to conduct unauthorized personal business, including operating a commercial vendor. Limited personal use (e.g. purchasing a book from Amazon, making an airline reservation for paid time off) is generally permitted. Always check with your supervisor to make sure your use is permitted.
- Wasting the University's computer resources. Specifically, do not waste printer toner or paper. Do not send electronic chain letters. Do not send e-mail copies to nonessential readers. Do not send e-mail to group lists unless it is appropriate for everyone on a list to receive the e-mail. Check with your supervisor for appropriate use of University-wide e-mail tools, including University listserves.
- Encouraging associates to view, download, or search for materials, files, information, software, or other offensive, defamatory, misleading, infringing or illegal content.

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7.2 Confidential Information

Employees may have access to confidential information about the University, our employees, and students. Except with the approval of your supervisor, do not use e-mail to communicate confidential material. It is extremely easy for e-mails to be accidentally or inappropriately forwarded, printed or distributed. This can result in a breach of the University's privacy policy. When a matter is personal, it may be more appropriate to send a hard copy, place a phone call, or meet in person.

7.3 Privacy

TECHNOLOGY AND PRIVACY OF INFORMATION POLICY

Computer and telecommunication technology provide a variety of means for communicating and transferring information. These include, but are not limited to, electronic mail, voice mail, telephone communication, cellular communication, and video communication. Technological developments may incorporate other forms in the future.

All faculty, staff members, and students are advised that:

1. The technology to which you have access, the information stored in it, and the information transferred through it are the property of Concordia. These facilities and resources are for use in carrying out your duties as an employee or as arranged by Concordia with students. Appropriate personal use is also permitted within these same limitations. Commercial use is prohibited.
2. During the course of normal maintenance operations, during checks to insure security, or at the request of the president, authorized personnel may monitor the use of these facilities and resources, and they may examine information found there. You have no reasonable right of privacy while using these Concordia-owned systems. You have no reasonable expectation of privacy while using these or any other Concordia-owned systems or property. The University reserves the right to monitor the work, work areas and work product of its employees.
3. Any activities or information deemed inappropriate by Concordia or which may be unlawful will be reported to the proper authorities for further action. Inappropriate activities include, but are not limited to, viewing or transmitting obscene materials, harassment of any sort and interfering with the use of these facilities by others. Concordia will cooperate fully with law enforcement agencies in their investigation of unlawful events.

SECTION 7: TECHNOLOGY

7.4 Noncompliance

Your use of the University's information resources is a privilege, not a right. If you violate these guidelines, at minimum, your access to these information resources will be terminated, perhaps for the duration of your tenure with the University. Breaches include violating provisions described in this Handbook and by failing to report violations of other users. ***Permitting another person to use your account or password to access the University's information resources, including, but not limited to someone whose access has been denied or terminated, is a violation of these guidelines.*** Should another user violate these guidelines while using your account, you will be held responsible and both of you will be subject to disciplinary action. Criminal violations may lead to criminal or civil prosecution.

7.5 Electronic Mail

The University provides employees with electronic communications tools, including an email system. These guidelines govern employees' use of the email system, apply to use of the University's email systems whether such access is from on-campus or from off-campus locations, including, but not limited to the employees' homes, airports and hotels. The University's email rules and guidelines apply to full-time employees, part-time employees, independent contractors, interns, consultants and other third parties. Any employee who violates these guidelines is subject to disciplinary action, up to and including termination. The University email system exists primarily for business purposes. Employees may use the University's email system for personal use only in accordance with this policy. An employee should not use personal email software (Hotmail, etc.) for business or personal communications at the office without prior approval of your supervisor.

Employees may use email to communicate with spouse, children and other family members. Personal use of email should normally be limited to lunch breaks and work breaks and, in any case, must not interfere with worker productivity during business hours. Employees should not use email during otherwise productive business hours. Employees are prohibited from using email to operate a business, conduct an external job search, solicit money for personal gain, campaign for political causes or candidates, or promote or solicit fund for other personal causes. Email messages created, transmitted and stored on University computer systems are the property of the University. The University reserves the right to monitor all e-mail transmitted via the University computer system. Employees have no reasonable expectation of privacy when it comes to business and personal use of the University's email system.

At any time and without notice, any and all usage of email and any and all files, information, software and other content created, sent, received, downloaded, uploaded, accessed or stored in connection with employee usage, may be monitored, inspected, copied, reviewed and stored. Employees are prohibited from using email to engage in activities or transmit content that is harassing, discriminatory, menacing, threatening, obscene, defamatory, or in any way objectionable or offensive.

Unless authorized to do so, employees are prohibited from using email to transmit confidential information to outside parties. Employees may not access, send, receive, solicit, print, copy, or reply to confidential or proprietary information about the University, employees, students, vendors and other business associates. Confidential information includes, but is not limited to employee lists, credit card numbers, Social Security numbers, employee performance reviews, salary details, student lists, passwords and information that could be detrimental to the University and employees, students, alumni, donors and others in the Concordia community were it to be inappropriately distributed.

SECTION 7: TECHNOLOGY

Email messages are considered to be written business records and are subject to the University's written and consistently applied rules and policies for retaining and deleting business records. Email records are also written documents that are discoverable as evidence for legal purposes.

7.6 Software

Concordia University requires that all software used by Concordia-owned computer systems be properly and legally licensed for use at the University. All Concordia University employees, in the performance of their duties, will refrain from aiding others in using software that is not properly licensed. Should any Concordia employee use inappropriately licensed software on a University-owned computer, the responsibility for the consequences of such activity shall remain the sole fiscal and legal responsibility of the offender.

Computing Services is responsible for the administration of all software products and the deployment of such software. Please contact Computing Services for questions regarding acquiring and using software legally and appropriately.

7.7 Data Security

Data is considered a primary asset for Concordia University. As such, security of data is necessary in today's environment because data processing represents a concentration of valuable assets in the form of information, equipment and personnel. Dependence on information systems creates a unique vulnerability for Concordia University.

Security and privacy both focus on controlling unauthorized access to data. Security compromises or privacy violations could jeopardize our ability to provide service; cause loss of revenue through fraud or destruction of confidential data; violate student and employee privacy; or reduce our credibility and reputation with other entities.

CUNE's objective is to ensure that data is protected in all of its forms, on all media, during all phases of its life cycle, from unauthorized or inappropriate access, use, modification, disclosure or destruction. This policy applies to all of our data assets that exist in any of our processing environments (collectively all applications, systems, and networks that we own or operate or that are operated by our agents).

Other than data defined as public, which is accessible to all identified and authenticated users, all data and processing resources are only accessible on a need-to-know basis to specifically identified, authenticated, and authorized entities.

A data security breach would have severe consequences to CUNE and its ability to provide services. Intentional misuse resulting in a breach of any part will result in disciplinary action up to and including termination and criminal investigation where warranted and subject to civil criminal penalties.

It is the responsibility of all employees to immediately report any data breach, intentional or accidental, to both your supervisor and to Computing Services (x7321). While the data security is the responsibility of every employee, it is overseen by Computing Services and the Critical Incident Management Team.

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7.8 Destruction of Sensitive Materials

Hackers and industrial spies have long used “dumpster diving” as a method for gathering sensitive information which has taken on new meaning in the electronic information age. Sensitive materials must be thoroughly sanitized before being discarded whether in print or electronic form.

Papers with sensitive and personally identifiable information should be placed into the locked shred bins located in various buildings on campus. CUNE has hired a shredding company to come to campus and shred these types of documents. Check with your supervisor to determine the location of the shred bin for your work area.

For disposal of other types of electronic media (CD-ROMS, external storage devices, magnetic media, etc.) please contact Computing Services for assistance.

7.9 Backup Your Data

In order to ensure that any University documents are properly backed up, they must be stored on a University file server. Check with your supervisor and Computing Services for proper access procedures. Specifically, any files stored locally on your computer rather than on a University file server may be lost in the event of a hardware failure.

7.10 Systematic Removal of Access

Unauthorized access to University information resources can cause serious damage to the organization. Disgruntled employees can use lingering accesses to enter systems or office space. Hackers can use inactive accounts to enter systems unnoticed. Potential damage includes theft of funds, equipment or intellectual property, disclosure of confidential information, and/or damage to property or personnel.

When an employee leaves the University’s employ their accesses must be immediately revoked. Human Resources initiates systematic removal of accesses with Computing Services. When a consultant, vendor, or volunteer leaves, their supervisor must ensure accesses are removed. Employees must only have the accesses their position requires. When roles change, supervisors must rescind unneeded accesses.

Each department has unique accesses that must also be addressed. When an employee leaves, the employee or their supervisor will contact financial institutions, vendors, and any other external organizations where the individual is listed as a point of contact in order to update external contact lists and change authorization passwords. Removal of access should be documented and routine.

7.11 Laptops

The loss of a laptop can cause irreparable harm to the organization. Laptops must be secured and used responsibly to prevent compromise of sensitive information or unauthorized network access.

Computing Services has taken measures to address the threats laptop users face. Your active involvement is critical to complete the equation.

- Do not leave a laptop unattended at any time.
- Laptops are equipped with firewall software to defend against hacking attempts on public networks and the Internet.

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- Electrical surges: You may wish to protect your laptop from electrical spikes by plugging its power into a working surge protector when possible.
- The loss of a laptop is a serious security incident. In the event a laptop is lost or stolen, or you believe it may have been used or compromised by a third party, immediately contact Computing Services.

7.12 Unauthorized Disclosure

Unauthorized disclosure of sensitive information represents a serious threat to the organization. Unintentional disclosure can occur over the many distribution methods available today:

Websites, databases, application software, files, printouts, e-mail, phone, and voicemail must be carefully controlled. One common mistake is forwarding internal e-mail to external parties with sensitive information attached in a file or buried at the bottom of a long string of messages. Internal e-mail addresses may be inappropriately shared in this manner as well.

Do not disclose sensitive or personally identifiable information to consultants or coworkers, unless they have a business related need-to-know that has been approved by your supervisor.

Key questions for both you and your supervisor are “What are you using the information for?” and “Who will you share it with?”

There may be penalties for disclosing sensitive information to unauthorized persons.

SECTION 8: EXPENSES

8. Expenses

8.1 Expense Reporting and Requirements

Employees that will be required to travel or hold positions that require use of a purchase card (p-card) are expected to abide by all the rules and regulations established by way of University policy for expenditures. For that reason, Concordia University has developed a set of guidelines which governs expenses incurred for the University.

The primary responsibility for determining the appropriateness and validity of expenditures lies with the employee incurring the expenses and the approver of the expenditures. Employees are expected to be conservative in their spending; managers are expected to be diligent in their review.

Our policy relies upon the mature, reasoned judgment of employees and the recognition of their fiduciary obligations to senior management and the University.

Travel, entertainment, meetings and expenses incurred for the advancement of University business are a required and generally recognized means of conducting business. All reasonable expenses incurred to further Concordia University interest will be reimbursed.

Exceptions are expenses that:

- Did not benefit the University's purposes
- Are of a purely personal nature
- Are not reasonable in the circumstances

The University expects that employees will treat expenses with the same discretion and prudence as if they were using their own money.

Please contact the Business Services Office for guidelines regarding expenses and reporting requirements.

8.2 Purchasing Card

What is a Purchasing Card or P-Card?

The Purchasing Card program is designed and intended to more effectively meet your purchasing and travel needs. The card streamlines and simplifies the purchasing and accounts payable functions, reduces transactions costs, and improves vendor relations. The Purchasing Card (P-Card) is a tool that facilitates the timely acquisition of materials, automates data transactions for accounting purposes, supports travel services and offers flexible controls to help ensure proper usage.

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The Purchasing Card Program reduces the time and paperwork associated with purchases under \$1000, invoices and checks. The P-Card also offers an alternative to a variety of processes including petty cash, check requests, low dollar purchase orders and travel reimbursement. The Purchasing Card is to be used for all of your purchases of goods or services on behalf of your organization, including travel-related purchases, if your card is authorized for travel. **The Purchasing Card Program is not intended to avoid or bypass** applicable procurement and travel policies, but rather to complement the existing policies. Please remember that at no time is the purchase of “alcohol” beverages allowed. Please see Appendix 14, Purchase Card Policy and Appendix 15, Business Expense Policy.

8.3 Electronic Devices – Cell Phones/Smart Phones

8.3.1 Eligibility for Financial Support of Cell Phone Expenses

Employees shall be eligible for financial support based upon the University’s expectations and the following general guidelines:

- Employees serving as officers or senior management of the University.
- Employees serving in a management position which requires them to be available on a 24/7 basis.
- Employees who travel regularly on behalf of the University.
- Employees who hold positions where job demands immediate access to them as an employee.

8.3.2 Eligibility Classifications Based on Job Expectations

Cell phone financial support is based on Concordia’s job expectations of the employee. Before purchasing a phone, an employee will fill out the *attached form* for approval and submit a final approved copy to Human Resources. A copy also needs to be attached to an expense reimbursement form for the purchase of a phone.

- Major User:
 - Expected to have 24/7 access to e-mail, incoming calls and voicemail messages.
 - Job description will include phone requirement.
- Minor User:
 - Supports employee’s position while traveling, but not required.
 - Allows the employee to make and receive calls as well as check voicemail.
 - Employee has access to e-mail through their University provided laptop during appropriate times.
 - Cabinet approval is required and the cost associated must fit into the department’s current budget.

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8.3.3 Phone Plans and Equipment

A member of the cabinet must authorize an employee for financial support of a cell phone based upon the eligibility requirements of this policy. An employee who incurs business charges on a personal cell phone will not be reimbursed.

- Major cell phone users:
 - Are provided a reimbursement to purchase a phone every 3 years for up to \$100 (receipt required).
 - Are provided a monthly stipend of \$60.
 - The phone and plan are owned by the employee.
 - In order for a MAJOR user to receive e-mail, the phone must be able to interact with our exchange e-mail server. To accomplish this, the phone must have ACTIVASYNC and an e-mail client.
- Minor cell phone users:
 - Are provided a reimbursement to purchase a phone every 3 years for up to \$40 (receipt required).
 - Are provided a monthly stipend of \$25.
 - The phone and plan are owned by the employee.

IRS Notice 2011-72 and a Memorandum for All Field Examination Operations considers business use of a cell phone as excludable from the employee's income as a working condition fringe, provided that the cell phone is for primarily noncompensatory business reasons. In addition the memo indicates that reimbursement plans are reasonable if calculated so as not to exceed expenses the employee actually incurred in maintaining the cell phone (i.e, not unusual or excessive expenses). Based on this information, the stipend amount received will not be considered as taxable income.

8.3.4 Safety Issues for Cell Phone Use

Concordia University is aware that many employees use mobile, cellular and/or wireless communication devices (collectively "cell phones") in the course and scope of performing their duties and responsibilities for Concordia. Concordia understands that distractions may arise when cell phones are used by employees, especially while operating a motor vehicle. Because Concordia prides itself on providing a safe and healthful workplace for its employees and Concordia desires to minimize any potential safety risk to its employees and others, Concordia has adopted the following rules with respect to the use of cell phones by University employees:

Employees must at all times act prudently in their use (i.e., dialing, talking, listening, texting) of cell phones in the course and scope of their employment with Concordia.

Employees should avoid discussing confidential University information during any cell phone conversation or by texting.

Employees whose job responsibilities include regular or occasional driving and use of a cell phone for business are expected to refrain from using their phone while driving. Safety must come before all other concerns. Regardless of the circumstances, including slow or stopped traffic, employees are strongly encouraged to pull off to the side of the road and safely stop the vehicle before placing or accepting a call. If acceptance of a call is unavoidable and pulling over is not an option, employees are expected to keep the call short, use hands-free options if

SECTION 8: EXPENSES

available, refrain from discussion of complicated or emotional discussions and keep their eyes on the road.

Special care should be taken in situations where there is traffic, inclement weather or the employee is driving in an unfamiliar area. Under no circumstances are employees allowed to place themselves or others at risk of harm to fulfill business needs.

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

8.3.5 State Laws and Cell Phone Use

It is also the responsibility of the employee to know and abide by the cell phone use laws of any state they are traveling in and through. Any violations of state law and consequences of such violation will be at the expense of the employee. The employer shall not be held liable for any such actions.

For a list of state laws regarding cell phone use please visit the website:

http://www.ghsa.org/html/stateinfo/laws/cellphone_laws.html

8.3.6 Special Responsibilities for Managerial Staff

As with any policy, management employees are expected to serve as role models for proper compliance with the provisions above and are encouraged to regularly remind employees of their responsibilities in complying with this policy.

Violations of this policy will be subject to possible disciplinary action, which could include termination.

8.3.7 Accounting

In all cases, documented cell phone costs incurred while performing Concordia University will be expensed to the department for which the phone is primarily used.

8.3.8 Cell Phone Privacy Expectation

Employees that use a cell phone for business purposes, understand that the Privacy policy applies to cell phones, including text messages and phone calls/messages in the course of business, and that employees have no reasonable expectation of privacy in their use of such technology for Concordia business. See section 7.3 under Technology.

8.4 Interview Expense Reimbursement

8.4.1 Employee Expense

Interview expenses are managed by the Human Resource department. Employees who have incurred interview expenses with a potential candidate for a position should complete their p-card report and forward it to the Human Resource department for final signoff of the expense. The itemized receipt for the expense should be submitted, listing on the receipt what it was for. If the expense was for a meal, the names of the individuals attending the meal should be listed on the backside of the receipt. Meal expenses should be kept to a minimum and be conservative in nature. Meal expenses for more than 2 Concordia University employees must be approved by the Human Resource department. Reimbursement for alcohol is not allowed by University policy.

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8.4.2 Candidate Expense

Candidates who have incurred expenses will complete a request for reimbursement form. The Human Resource department will work with the candidate to make sure all expenses incurred were pre-approved or pre-arranged and known. Generally candidates for professional/technical positions from outside of the Lincoln/Seward area are reimbursed for reasonable travel expense incurred while traveling to the University's campus.

SECTION 9: HANDBOOK ADMINISTRATION

9. HANDBOOK ADMINISTRATION

9.1 Responsibility

The Provost Office is responsible for the administration of the Handbook

9.1 Handbook Dissemination

The Faculty Personnel Handbook is given as a hard copy document to all new employees. Employees are expected to read and understand the guidelines listed in the handbook. The Faculty Personnel Handbook is also available to employees through the *connectCUNE* web portal, located on the “employee” and “faculty” tabs.

9.2 Annual Review

Each year the Provost reviews the Faculty Personnel Handbook to make sure it is current with Federal and state rules and regulations. However, there may be times that require the handbook to be updated during the year. At these times, employees will be notified by e-mail regarding changes.

9.3 Legal Review

Periodically the Faculty Personnel Handbook is reviewed by legal counsel to insure the handbook is in compliance with Federal and State laws as well as its appropriateness regarding the University’s rules and requirements.

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Appendix 1: FERPA Guide for Faculty and Staff

Family Educational Rights and Privacy Act of 1974

Faculty & Staff Responsibility

Education records are confidential. Protect them as such; use them only for legitimate purposes in the completion of your responsibilities as an employee of Concordia. Education records may be files stored electronically, on paper, in e-mail, or displayed on a computer screen. They must be secure and available only to those entitled to access to that information.

Note: This brief guide is by no means a complete resource. Some cases will raise questions not answered here. Contact the Registrar, Provost, or Director of Student Life for answers in those cases.

Students have these specific rights from FERPA:

- The right to inspect and review education records;
- The right to seek to have the records amended;
- The right to have some control over the disclosure of information from the records.

All students attending Concordia, regardless of age, have these rights. All institutions receiving funds under any program administered by the Secretary of Education must comply. Non-compliance may result in the Secretary withholding funds from Concordia.

Education Records are:

- directly related to a student, and
- maintained by Concordia or an agent of Concordia.

Education Records are not:

- sole possession records,
- employment records,
- medical records, or
- post-attendance records.

Information in educational records, the release of which is not considered to be harmful or an invasion of privacy, is Directory Information. Directory information can be released unless the student has requested it not be released. Concordia University defines directory information as a student's name, address, telephone listing, E-mail address, photograph, date and place of birth, major, dates of attendance, grade level, enrollment status (grad/undergrad, full/part-time), participation in officially recognized activities and sports, weight and height of members of athletic teams, and degrees, honors and awards received.

The following information may never be released without previous, written student consent:

- Social Security Number

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- Student ID (J Number)
- Citizenship
- Gender
- Religious Preference
- Grades
- GPA

Additional things you must not do:

- Use SSN or J# (Banner ID number) of students in a public posting of grades or other information.
- Publish any type of document which would link a student's name with either the student's SSN or J#.
- Leave graded papers, exams, or other student materials in an open place where others would be able to see the grades.
- Circulate a class roster that has SSNs or J#s or grades on it, for example, as an attendance roster.
- Discuss the progress or capabilities or performance of any student with anyone other than the student (including parents) without the consent of the student.
- Provide a class roster or other list of students to anyone who does not have a legitimate educational purpose at Concordia University, Nebraska.
- Provide student schedules to anyone or assist anyone other than Concordia employees in finding a student on campus.
- Use educational records of any student for any personal purpose.

NOTE: In case of an emergency, use good judgment to assist emergency personnel as appropriate.

In the unlikely event you receive a subpoena asking for student records:

- Send a copy of the subpoena to the Director of Student Services immediately. Concordia will need to reply in a timely manner. You will receive instructions on how to proceed.
- Maintain the original subpoena in the office in which it was received.
- Do not mention the subpoena to the student until you receive instructions.

For more information, or to suggest changes to this document, contact Brad Woodruff, Undergraduate Registrar. BWoodruff@cune.edu

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Appendix 2: Copyright Guidelines

Copying for Classroom Use

The reproduction or recording of copyrighted works for classroom or teaching laboratory purposes, such as criticism, comment, teaching, scholarship, or research, is permitted, if all of the following minimum fair use standards for permissible copying are observed:

1. Multiple copies prepared for class distribution do not exceed one copy per student in the particular course.
2. The copying meets the tests of brevity described in the following guidelines:
 - (a) With respect to poetry, “brevity” is deemed to mean a complete poem if less than 250 words and if printed on not more than two pages or, if from a longer poem, an excerpt of not more than 250 words.
 - (b) With respect to prose, “brevity” is deemed to mean either a complete article, story or essay of less than 2,500 words, or an excerpt from any prose work of not more than 1,000 words or 10% of the work, whichever is less, but in any event a minimum of 500 words. These limits are not violated by the completion of an unfinished line of a poem or of an unfinished prose paragraph.
 - (c) With respect to illustrations, “brevity” is deemed to mean one chart, graph, diagram, drawing, cartoon or picture per book or per periodical issue.
 - (d) With respect to “special” works (i.e., certain works that combine language with illustrations, sometimes intended for children, and that fall short of 2,500 words in their entirety), “brevity” is deemed to mean an excerpt comprising not more than two of the published pages and containing not more than 10% of the words found in the text itself.
3. The copying meets the tests of spontaneity as described in the following guidelines:
 - (a) The copying is at the instance and inspiration of the individual who orders the reproductions or recording to be prepared and distributed.
 - (b) The inspiration and decision to use the work and the moment of its use for maximum teaching effectiveness are so close in time that it would be unreasonable to expect a timely reply to a request for permission from the owner of the copyright.
4. The copying meets the cumulative effect tests described in the following guidelines:
 - (a) The copied material will be used in only one course offered in the college in which the instructor ordering the copies holds an academic appointment.
 - (b) Not more than one short poem, article, story, essay or two excerpts may be copied from works by the same author, nor more than three from the same collective work or periodical volume, during the same quarter or semester.
 - (c) Not more than nine instances of such multiple copying shall be ordered for any one course during the same quarter or semester.
 - (d) The limitations stated in (b) and (c) do not apply to current new periodicals and newspapers and current news sections of other periodicals.

“Off-the-Air” Videotaping Guidelines

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The guidelines referenced above are as follows:

1. The guidelines were developed to apply only to off-air recording by non-profit institutions.
2. A broadcast program may be recorded off-air simultaneously with broadcast transmission (including simultaneous cable re-transmission) and retained by a non-profit educational institution for a period not to exceed the first forty-five (45) consecutive calendar days after date of recording. Upon conclusion of such retention, all off-air recordings must be erased or destroyed immediately. (Broadcast programs are television programs transmitted by television stations for reception by the general public without charge.)
3. Off-air recordings may be used once by individual teachers in the course of relevant teaching activities, and repeated only once when instructional reinforcement is necessary, in classrooms and similar places devoted to instruction within a single building, cluster or campus, as well as in the homes of students receiving formalized home instruction, during the first ten (10) consecutive school days in the forty-five (45) calendar day retention period. School days are school session days – not counting weekends, holidays, vacations, examination periods, or other scheduled interruptions – within the forty-five (45) calendar day retention period.
4. Off-air recordings may be made only at the request of and used by individual teachers, and may not be regularly recorded in anticipation of requests. No broadcast program may be recorded off-air more than once at the request of the same teacher, regardless of the number of times the program may be broadcast.
5. A limited number of copies may be produced from each off-air recording to meet the legitimate needs of teachers under these guidelines. Each such additional copy shall be subject to all provisions governing the original recording.
6. After the first ten (10) consecutive school days, off-air recordings may be used up to the end of the forty-five (45) calendar day retention period only for teacher evaluation purposes, i.e., to determine whether or not to include the broadcast program in the teaching curriculum, and may not be used in the recording institution for student exhibition or any other non-evaluation purposes without authorization.
7. Off-air recordings need not be used in their entirety, but the recorded programs may not be altered from their original content. Off-air recordings may not be physically or electronically combined or merged to constitute teaching anthologies or compilations.
8. All copies of off-air recordings must include the copyright notice on the broadcast program as recorded.
9. Educational institutions are expected to establish appropriate control procedures to maintain the integrity of these guidelines.

For videotapes that a University or seminary desires to keep and/or show for longer than the period specified in the guidelines, the University or seminary has several options. These options are: (1) obtain the permission of the copyright holder for each individual program, (2) enter into a licensing agreement with the copyright holder or an agent of the copyright holder for the videotaping and retaining of more than one

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program (of course, only applicable to certain programs and copyright holders), or (3) if available, purchase a copy of the videotaped program. One or more of these solutions may be available for any programs already videotaped, so you may want to investigate all of the possibilities before erasing videotapes. However, when making inquiries about programs already taped, we advise the University or seminary to proceed cautiously.

If the videotape only will be shown by an instructor or pupils in a classroom in the course of face-to-face teaching activities, the right to show the program publicly need not be obtained. However, if the videotape will be shown under circumstances other than those listed, the right to show the videotape “publicly” also must be obtained, by purchase or permission.

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Appendix 3: Procedures for Engaging New Faculty

1.0 Persons involved in searches:

- 1.1 The authority to replace or add personnel to the Faculty at Concordia University lies with the Board of Regents, as the appointing and calling body of the University. Thus, the Board must approve by name all long-term (over one year), fulltime additions to either group (subject to the prerogative of the LCMS Board for University Education to extend or withhold “prior approval” for certain positions).
- 1.2 Under the overall authority of the Board, the chief personnel officer of the University is the President of the University. The President must approve in advance all recommendations for Faculty additions which come before the Board for action, as well as all short-term (one year or less) or part-time additions.
- 1.3 Serving as the designated administrative officers assisting the President, the following persons are responsible for the conduct of searches in their respective areas: for faculty (including professional librarians), the Provost; for professional/technical staff, the Cabinet officer in whose area of responsibility the staff member will primarily serve.
- 1.4 Ordinarily, the Provost (or their designated official) will conduct the search with the advice and counsel of a search committee, whose composition is described below (2.2). Exceptions to the use of a search committee will be permitted only in instances where the process must be expedited greatly in the interests of time and will require the explicit approval of the President. (Less drastic alterations of the following procedures may be approved by the designated Cabinet officer, but even such changes are to be minimized in the interest of collegiality, consistency and due process.)

2.0 Summary of Search Procedures:

- 2.1 A search begins with a request from Provost to the President (In the case of faculty, the process will regularly be initiated by the college dean to the Provost.)
- 2.2 Once the President gives his approval, the Provost will appoint a search committee, to be chaired either by the Provost, or designee, in the case of teaching faculty, by the appropriate college dean. The committee will consist of no less than four additional persons, three from the unit in which the position is to be filled and one from outside. (In the case of faculty this will mean the department chair, if there is one, plus two additional members of the department and one faculty member from outside of the department.)

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- 2.3 Once the stated deadline for nominations/applications has passed (or a suitable interval, in the event that the position opening notice contains no deadline), it will be the task of the search committee to sift among the various candidates, to recommend to the Provost and thence to the President a “short list” of candidates for on-campus interview. Generally, this list will consist of two, or at most three, names; in rare cases, the committee may recommend that only one person be interviewed and/or that the interview(s) be conducted by phone. The recommendation for interviews is to be accompanied, on request, by all committee files on the search to date, and the Provost and/or the President have the right to add or delete from the recommended list, normally upon consultation with the committee.

As it draws up its recommended interview list, the search committee is to take into account, at minimum, all required, submitted materials and the recommendations obtained from the referees named by the candidates. At its option, the search committee may also seek information on the candidates from sources of its choosing or from the candidates themselves, via written or phone interviews. At all points in the search process, appropriate legal requirements for non-discrimination, confidentiality and due process, as well as Christian principles of fairness and concern for reputation, will be observed.

- 2.4 Once the Provost and the President have approved a list for interviews, the search committee chair is to make arrangements (through the office of Human Resources) with the candidates for their visit. Normally, the interview process will include only the candidate (and not his/her spouse), but the Provost may, with the President’s approval, request that the spouse be present and participate in specified portions of the process. Interview procedures are specified in section 3.0 below. Concurrently with arranging interviews, the search committee chair should ask the Human Resource office to write to all nominees and applicants who are not to be interviewed, informing them that they are no longer being considered “at this time.”

- 2.5 Taking into account its own experience with those interviewed, together with the evaluations of others involved in the process, the search committee is to recommend to the Provost either (a) that none of those interviewed be offered the position and that the search be continued, or (b) that one or more of those interviewed is fully suitable for the position and should be considered for an appointment. While the search committee is encouraged to share its views on the relative strengths and weaknesses of the candidates, formal ranking is discouraged, so as to minimize both conflict with those who must pass on the committee’s recommendations and prejudice against a new colleague should the decision be to offer the position to other than the committee’s first choice.

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- 2.6 The Provost will notify the President of the committee's recommendation, together with his/her own endorsement, rejection or modification of that recommendation. The President will then determine whom (if anyone) to recommend to the Board of Regents. (Normally, the President's recommendation will consist of a summary of the position description and the curriculum vitae of the candidate.)

As before, the Provost and the President have full access to all files on the search in reaching their decisions, and they are encouraged to consult with the search committee, especially if they are inclined to differ with its recommendations.

- 2.7 Once the Board of Regents has extended an appointment, the President (or, at his option, the designated Cabinet officer) will contact the individual to inform him/her of the Board's action. The President or the designated Cabinet officer will then inform any other interviewees of the Board's decision and that the official end of the search awaits the acceptance of the appointment.

- 2.8 The Provost will consult with the President to determine the best way to assist the new appointee in reaching a decision which takes into full account the needs of the University and the opportunities for service at Concordia. Regularly, this may include a (second) visit to campus, including the appointee's spouse, at University expense.

- 2.9 Should the appointee accept the Board's appointment, the human resource office will arrange for a suitable announcement to the University community and to external publics. The search committee will coordinate efforts to welcome the appointee as a new colleague to the University. The Provost will dismiss the committee with thanks pending the completion of their assignment to coordinate the welcome.

- 2.10 Should the appointee decline the Board's appointment, the Provost is to meet with the search committee to determine at what point in the process to resume the search.

- 2.11 The expenses of the search process are to be borne by the human resources office.

3.0 Procedures for Interviews

- 3.1 The expenses of interviews are borne by the University (Please see Section 8.4 – Interview Expense Reimbursement). If a candidate chooses to be accompanied by his/her spouse, the spouse's expenses for meals and housing while in Seward are paid by the University; other expenses of the spouse are the responsibility of the candidate. If the University requests that

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the spouse accompany the candidate, the expenses of both the candidate and the spouse will be borne by the interview account in the president's office. Normally, interviews will be scheduled over approximately a day and a half, or two and a half days if over a weekend, to afford the candidate some opportunity to tour the campus and the community and to interact socially with prospective colleagues (3.5 below).

3.2 The search committee chair will set up the interview schedule through the Human Resource office, which is to include at least the following persons (and may, at his/her option, include others):

- (a) the search committee as a group;
- (b) the search committee chair;
- (c) for faculty and for p/t staff whose assignment is likely to include teaching, the (college) dean(s) not chairing the search committee;
- (d) for faculty and for p/t staff whose assignment is likely to include teaching, the Provost;
- (e) for faculty and, as appropriate, for p/t staff, students;
- (f) the President; and
- (g) the Director of Human Resources.

The schedule should be arranged so that the candidate is briefed on what s/he may expect during the interview process and following it, at the beginning and end of the visit, respectively. Normally, this will be the responsibility of the search committee chair or Human Resource Office.

3.3 Particular evaluative responsibility is assigned as follows (although interview topics are not hereby limited):

- (a) the search committee is charged to determine the competence of the candidate in his/her discipline or other assignment(s);
- (b) in the case of interviews for faculty, the appropriate college dean is charged to determine the teaching competence of the candidate (and s/he may elect to require a demonstration of teaching in the course of the interview process);
- (c) the designated Cabinet officer is charged to determine the suitability of the candidate for service at Concordia insofar as this is a Lutheran Christian academic community (i.e., issues of spirituality and people-skills).

3.4 For all interviews, discussions of salary are reserved for the President. The purpose of the interview with the Director of Human Resources is to acquaint the candidate with the benefits package provided to Concordia faculty and p/t staff and with other logistical and financial details about which the candidate may inquire.

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- 3.5 In addition to the formal interviews, the on-campus visit will normally include an opportunity for the candidate to interact socially with prospective colleagues with whom s/he will deal regularly, should s/he accept appointment at Concordia.
- 3.6 All of those who conduct interviews with the candidate (except for the President and Provost) are to return an evaluation form to the designated Cabinet officer within 24 hours of their interview.

SUMMARY OF TASK

The Search Committee:

- 1) Seeks to generate candidate names
- 2) Screens candidates, recommends "short list" for interview
- 3) Interviews candidates on approved "short list," responsible especially to determine competence of candidate in field of search
- 4) Following interviews, recommends suitable candidate(s), if any, for offer of appointment to Cabinet officer
- 5) If appointee declines, meets with Cabinet officer to determine where to resume search
- 6) If appointee accepts, coordinates efforts to welcome new colleague to the University

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Appendix 4: Satisfaction of Criteria for Promotion from an Initial-Level Appointment to a Continuing-Level Appointment and Advancement in Rank

Satisfaction of degree and experience requirements, demonstration of teaching effectiveness, and documentation of scholarship (including creative work), service to the University, and service to their professions, churches, and communities are required of all candidates for reappointment and advancement in rank. In addition, candidates will submit documentation of administrative contributions, in accordance with their load-weight agreements. The following guidelines provide a partial list (i.e. not exclusive) of accepted faculty activities and attainments that show achievement in the required and optional fields.

Criterion 1: Academic Degree and Experience:

1. Academic degrees
2. Numbers of years of service and in rank
3. Experience at other institutions (when appropriate)

Criterion 2: Teaching:

Teaching Regular Course Offerings

1. Course Content Skills (e.g. knowledge of the field and current scholarship appropriately reflected in course)
2. Course Design Skills (e.g. effective, well-thought-out structure, organization and sequence reflected in clear, helpful course syllabi; assignments that extend and enhance learning; assessment criteria reflecting goals of the course; appropriate difficulty)
3. Course Delivery Skills (e.g. dynamic, productive class leadership; effective communication; appropriate use of resources and technology; productive class time)
4. Course Management Skills (e.g. organizing and managing class/lab effectively; appropriate pace; submission of S.O.A.P. reports and communication of progress in course to students; timely submission of grades, managing incompletes)
5. Motivation and Mentoring Skills (e.g. promoting enthusiasm and appreciation for the course; modeling professional behavior; availability outside of class; advising students on program of study)

The assessment of these criteria may be based on documentation from course and advisor evaluations, classroom observations, review of course materials, analysis of course content, course enrollments and statistics received from the registrar's (or other) office.

Criterion 3: Scholarship:

Publications

1. Scholarly Books

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2. Textbooks
3. Journal Articles
4. Reviews
5. Non-Referenced Material
6. Invited/Contributed Papers
7. Invited/Contributed Presentations
8. Poster Sessions
9. Creative writing
10. Publication of musical composition
11. Professional music recordings
12. Creation of commissioned work of art

Creative Production

1. Presenting recitals and exhibitions
2. Staging, directing or acting in musical, theatrical, and dance productions
3. Exhibiting paintings, sculptures, and other creative arts
4. Developing software/media

Ongoing Research

1. Scientific investigations, both theoretical and applied
2. Investigations of educationally relevant problems

Continued Study

1. Graduate courses, progress toward advanced or multiple degrees
2. Study abroad

Professional Activity

1. Membership in professional organizations
2. Attendance of academic conferences and professional meetings

Professional Recognition

1. Awards, honors, or invited presentation
2. Advanced degrees or certificates

Criterion 4: Service to the University:

Elected, appointed, and voluntary roles

1. Serving on departmental, college, or University committees and task forces
2. Serving on undergraduate or graduate council
3. Sponsoring or advising student groups
4. Chairing any committee (student, faculty, etc.)
5. Participating in recruitment/retention activities (e.g. open houses, meeting with current students, prospective student calls and on-campus visits)
6. Fulfilling regularly designated roles (e.g. commencement marshal, assisting in chapel)
7. Contributing to University assessment and accreditation processes and procedures
8. Successful grant writing
9. Collaborating with colleagues within and outside of the department
10. Mentoring and assisting new and adjunct faculty

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Criterion 5: Service to the Profession, Church, and Community:

Profession

1. Activity in a professional organization (holding office, serving on committees of boards)
2. Consulting to organizations, corporations, or other educational institutions in one's field of expertise

Church

1. Leadership appointments and/or elected office in the church
2. Service on church boards and committees
3. Leadership and/or presentations in the church

Community

1. Holding office in local, state, or national civic activities and organizations
2. Applying academic expertise in the local, state, or national community without pay or profit

Criterion 6: Administrative Responsibilities:

1. Effective leadership of the relevant unit (department, office, etc.)
2. Timely discharge of administrative duties
3. Good stewardship of human, financial and other resources

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Appendix 5: Guidelines for Professional Portfolio

SOME SUGGESTIONS FOR AN EXCELLENT PROFESSIONAL PORTFOLIO

1. Your portfolio should demonstrate the nature and extent of your professional activity in the following areas:
 - a. Teaching,
 - b. Scholarship,
 - c. Service to the University,
 - d. Service to the Profession, Church, and Community, and possibly
 - e. Administrative Responsibilities.The balance among these components will be unique to your particular academic discipline and this particular time in your professional life and development.
2. While length is not the most major consideration in suggesting the quality of your portfolio, it should be of sufficient quantitative substance so as to give a complete picture of your professional profile at this point in time. Please review Faculty Personnel Handbook, Appendix 7 – Satisfaction of Criteria for Promotion, as you consider which aspects of your teaching, scholarship, service and other responsibilities to document and highlight in your portfolio.
3. Components should include:
 - a. One-two page statement of your educational philosophy.
 - b. Updated professional vita.
 - c. Summary of your doctoral thesis/dissertation or your master's program and discussion of the ways in which it may currently inform your teaching content or teaching strategies.
 - d. Sample course assignments and sample student work (with permission) to demonstrate the rigor and expectations inherent in your courses.
 - e. Examples of research, scholarly work, or additional scholarly activities beyond your classroom teaching.
 - f. Discussion of service to the University and profession and service to church or community beyond the Concordia campus.
 - g. Three letters of support or recommendation from those familiar with your work, especially in areas of your involvement beyond the Concordia campus community.
 - h. Any additional information that you think would be helpful in presenting the most complete picture of your professional accomplishment and involvement at this particular point in time.
4. In your statement of educational philosophy, it is appropriate to identify the priorities you have in your work with your students, the gifts you see that our Lord has given you, and the manner in which you are serving as a steward of those gifts to touch the lives of others.

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5. Quite important: include considerable reflection on the various components of your portfolio to discuss what you have learned about your professional development and your ongoing challenges for continued strengthening.
6. The above statements are representative guidelines. You do not need to limit the components of your portfolio to only these aspects; you should feel free to include additional components that capture more fully your work.

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Appendix 6: Suggestions for Self Evaluation

This form may be used by a faculty member for self-evaluation and for points of discussion with the department chair during annual meetings for formative evaluation.

Describe and reflect on your own abilities and accomplishments during the past year in each of the following areas.

Teaching

- Communication skills
- Knowledge of subject matter
- Willingness to experiment
- Facilitation of student learning
- Use of varied and appropriate teaching strategies
- Use of technology, including Blackboard
- Evaluation strategies
- Outcome-based assessment of student learning
- Integrating faith/supporting faith development

Relationships with students

- Advising and/or mentoring roles
- Knowledge of students' academic and personal needs
- Appropriate use of referral systems available to assist students
- Recruitment and retention efforts

Administration (if applicable)

- Skill in ordering tasks
- Goal setting and accomplishment
- Effective communication with department, college and University faculty and staff

Scholarship and creative activity

- Publications, performances or shows
- Professional memberships
- Participation in scholarly organizations and meetings
- Development of curricular materials for classes
- Participation in in-service activities which enhance teaching skills

Service to the University, church and community

- Civic agency roles
- Service to church
- Volunteer activities
- On-campus service, including committee assignments

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Appendix 7: Summative Evaluation Review Forms

Form A – Student Survey

Student Survey

Name of faculty member _____

For the next series of statements, please check the response of your choice and include any comments:

	Strongly Agree	Agree	Undecided	Disagree	Strongly Disagree	No Ability to Judge
1. The professor is knowledgeable about the subject matter.						
Comment:						
2. The professor helps me increase my knowledge of the subject area.						
Comment:						
3. The professor demonstrates the relevance of the subject matter.						
Comment:						
4. The professor clearly presents the requirements of the course.						
Comment:						
5. The professor organizes the course content well.						
Comment:						
6. The professor provides clear procedures for assessing student learning (such as tests, projects, papers, etc.)						
Comment:						
7. The professor provides feedback on assignments and test quickly enough to benefit me.						
Comment:						

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8. The professor communicates the subject matter effectively.						
Comment:						

9. The professor uses techniques that promote learning.						
Comment:						

10. The professor organizes and manages the class/lab effectively.						
Comment:						

11. The professor treats students fairly.						
Comment:						

12. The professor encourages an environment of mutual respect in the classroom/lab.						
Comment:						

13. The professor stimulates my interest in the subject matter.						
Comment:						

14. The professor encourages a learning atmosphere in the classroom/lab.						
Comment:						

15. The professor demonstrates professional behavior when working with students.						
Comment:						

16. The professor is willing to help me when I need assistance.						
Comment:						

17. The professor is concerned with my success as a student.						
Comment:						

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Form B – Advisor Evaluation Form (To be distributed by the Director of Advising and Retention Management annually.)

Advisor Evaluation Form

Professor _____ Department _____

Date of Evaluation _____ Your class status (circle one) SR JR SO

For the next series of statement, please check the response of your choice.

	Strongly Agree	Agree	Uncertain	Disagree	Strongly Disagree	No Ability To Judge
My advisor is genuinely interested in me and my academic progress.						
My advisor keeps regular office hours and is generally available for advising.						
My advisor is friendly, helpful and understanding.						
My advisor encourages me to assume responsibility for decisions.						
My advisor encourages me to look for scheduling alternatives.						
My advisor assists me in planning schedules for future semesters.						
My advisor has adequate knowledge of courses and requirements.						
My advisor is knowledgeable about career options/requirements or is able to refer me to other sources for that information.						

9. Would you recommend this advisor to other students? YES NO

10. Do you have any final comments you would like to make about your advisor?

Form C – Classroom Observation Form

Classroom Observation

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Fill in where applicable

Faculty Member's Name-

Observer's Name _____

Date _____

Course _____

1. Uses class time effectively.
2. Presents information at a rate the students can follow.
3. Uses relevant examples and illustrations.
4. Stimulates interest in the subject.
5. Presents students with challenging situations and tasks.
6. Uses a variety of teaching strategies and techniques.
7. Asks though provoking questions.
8. Encourages students to use their own ideas.
9. Clears up points of confusion raised by students.
10. Answers student questions in a positive way.
11. Relates to students in a positive way.

Additional comments:

Strengths:

Areas for improvement:

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Form D – Summative Evaluation Committee Summary Review Form (to be completed by each member of the Summative Evaluation Committee)

Summary Review Form

Please summarize your comments based on the review of the portfolio and other supporting documents.

Performance in Teaching

Performance in Scholarship

Performance in Service

Summarizing Points

Strengths of the faculty member:

Suggestions for change for the faculty member:

Do you believe the faculty member should be retained and/or promoted?

Please return to the Department Chair.

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Appendix 8: Reduction in Force (RIF) Policy

The assumptions set out below are intended to establish a context for the initiation and implementation of the Reduction in Force (RIF) Policy of Concordia University, Nebraska. Due to this limited purpose, the assumptions are independent of the “working” or implementation portion of the Reduction in Force Policy. The actions of the administrators that implement the Reduction in Force Policy shall not in any way be dependent upon or constrained by the stated assumptions.

Assumptions

1. The University may need to reduce the number of faculty members in some specified area of its employ for what it regards as good and legitimate reasons (e.g., lack of student enrollment in offered programs, lack of selected University programs, etc.).
2. Because an institution’s needs may change over time due to foreseeable as well as unforeseeable circumstances, it is as natural at times for an institution to decrease its instructional force as it is for the institution to increase its instructional force at other times. A well-designed RIF policy should prevent the institution from acting capriciously and should help the faculty member obtain a realistic assessment of his/her professional future with the institution at any given point in time.
3. While the rights of faculty members must be defined and protected by an adequate RIF policy, it is equally important to define and to protect the rights of the institution as it adjusts the size of its faculty in the face of changing needs.
4. A RIF policy should be designed and applied with due consideration being given to compassionate treatment of the individual. This does not imply that the individual will continue to be employed regardless of the changing needs of Concordia. Examples: Need for continued family employment or unwillingness on the part of the worker to relocate, cannot of themselves, be considered as sufficient basis for continued employment.
5. RIF is a process for removing from the institution competent faculty members whose services no longer fit into the plans of the institution. The process of RIF is not designed to remove from the faculty persons who are considered to be incompetent. It is assumed that removal for incompetence must be dealt with, but through procedures outside the RIF process.
6. Tenure or a continuing contract does not mean that the institution will continue to employ a faculty member to the date of his/her legal retirement with no consideration being given to the extent to which such employment serves to meet specific institutional needs. (cf. Faculty Personnel Handbook, 4.6)

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7. Tenure or a continuing contract does mean that the institution can dismiss a faculty member only after it follows the channels of carefully defined and publicized due process policy.
8. The theology of the call does not exclude the possibility of extending a call with a termination date. The theology of the call does not exclude the possibility of systematically declaring that the calling relationship with an individual has ceased or will cease to exist.

Implementation

Affected Faculty

This Reduction in Force Policy shall apply only to the instructional faculty of the University. Instructional faculty shall be defined as those employees of the University who hold academic rank (i.e., professor, associate professor, assistant professor, instructor and graduate assistant) and whose responsibilities may include the teaching of courses (cf., The Handbook of the LCMS, 2007, 3.8.3.8.7).

Procedure

1. The employment of a faculty member working under provisions of a contract with a termination date may be terminated at the time that the contract expires. The institution is under no obligation to offer such a faculty member an explanation of why the contract is not to be renewed. Faculty members whose contracts are not to be renewed must receive written notice of the intent to terminate at least six (6) months prior to the expiration of the contract. A faculty member whose position is terminated upon expiration of a contract shall have no further rights under or by reason of this policy
2. Faculty members who have agreed to waive tenure shall be treated in the same way as tenured faculty members are treated under the provision of this policy.
3. Tenured faculty members or faculty members with continuing contracts whose employment is to be terminated in accordance with this policy shall be informed of such intent in writing at least twelve months prior to the effective date of the termination. During the final six months of tenure or service, such faculty member may upon written request and subject to the approval of the President, be released from all professional duties to allow him/her to apply all of his/her time and energy to the process of relocation and/or revision of his/her professional future.
4. Tenured faculty members or faculty members with continuing contracts whose employment is scheduled for termination have a right to appeal through the Faculty Hearings Committee (cf. Academic Policy 1.517). A written appeal must be filed with the chair of the committee within 60 days of notification of termination clearly stating any and all basis of appeal. Failure to file the appeal within the stated time period shall constitute a waiver of the hearing. A hearing shall be scheduled at a mutually convenient time within 30 days. The committee shall, within one week after

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the hearing, make a recommendation to the President as to whether the procedural provisions of this policy have been met. The committee shall not have authority to review the decision to invoke the policy nor will the documentation of the action be available to the committee. The Provost shall represent the institution's interests at all hearings.

5. Subject to the conditions stated in this paragraph, a faculty position deleted through the process of RIF may not be re-established for a period of three years from the date that termination becomes effective. If the institution should decide to re-establish the position before the three years have elapsed, the faculty member previously removed from the position shall be offered the renewed position and shall have 30 days within which to accept the offer. This "right of first offer" is subject to the requirement that the offeree must be able to fill the re-established position on a full-time basis at the beginning of the school semester in which the position is resumed.
6. When it has been determined by the Board of Regents, being duly advised by the President, Provost and Deans, that a reduction in force is necessary, and when the academic area or individual has been identified, that Dean will inform the person(s) affected why the lot has fallen on him/her, and how the institution will endeavor to help him/her find an alternative ministry.
7. Documentation of the need to invoke the RIF process shall be directed and reviewed by the Board of Regents. The basis for such documentation must be clearly articulated, must clearly define the basis on which RIF may be invoked and must be distributed in advance among all faculty members who might be affected by such action.
8. Grounds for invoking the RIF policy must include, but not be limited to, the following:
 - a. Changing Enrollment: An increased enrollment in a course, program or department may require a shift in faculty resources with a resulting reduction in force in another course, department or program, while decreased enrollment in a course, program or department may also indicate that a reduction in faculty would be beneficial to the institution.
 - b. Financial Resource Budget Considerations: The institution must operate with finite financial resources. Long-term goals for the institution cannot be jeopardized by short-term interests that are deemed not to be in the best interests of the institution.
 - c. Program Changes: Because the institution does operate with finite financial resources, not all programs that are desirable are feasible. Difficult decisions must be made as to which programs or courses are to be initiated and which are to be limited or discontinued.

Identification of RIF Candidates

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Implementation of the RIF policy and all actions there under shall be by authority and direction of the Board of Regents, as advised by the President, the Provost and Dean.

1. Subject to the authority of the Board of Regents, the President, Provost and Deans will determine the academic area(s) or department(s) in which a reduction in force would best serve the institution's needs.
2. The Provost and the Dean in the affected academic area(s) or department(s) will determine the most probable candidates for termination of positions and ultimately the individuals whose positions are to be terminated. The Dean may choose to enlist the membership of the department in this selection.

The following criteria will be used in the identification and selection of faculty candidates whose positions are to be terminated:

- A. First consideration will be given to retaining faculty whose expertise is necessary for the programs of the University.
- B. Other factors that will influence the selection process are:
 - The professional training and degrees of the faculty member
 - The length of service of the individual
 - The future potential for the use of the individual's abilities
 - The records of past service to the church or profession in terms of conferences, service, and publications
 - The past and potential contributions to the overall University programs
 - The hopes and aspirations of the faculty member for future ministry to the church
 - The best use of the talents of all the faculty for useful ministry
 - The ability, willingness, and potential for retraining as outlined in Concordia's tenure policy
3. The Provost and Dean will then work with the faculty member whose position is to be terminated to try to minimize the trauma of the termination.

Termination

- I. The Provost and/or Dean will inform the identified individual of why the termination of his/her position is indicated.
- II. The Provost and/or Dean will work with the faculty member in his or her efforts to find a suitable alternate ministry.

Assistance for Terminated Individuals

1. The Provost and/or Dean will assist a faculty member whose position has been terminated in the search for a new position for a one-year period. Within this time period the Provost and/or Dean will help the faculty member locate available

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positions in the academic community and provide references and recommendations as needed.

2. Alternate ministries within Concordia will be considered if desired and if they seem feasible, but a faculty member whose position has been terminated shall not have priority for these positions solely for the fact that his/her former position was terminated through this policy.
3. The goal will be to find an alternate ministry as soon as possible after an individual has been notified of pending termination.
4. The individual may, upon written request and approval by the president, terminate employment with Concordia at short notice should a suitable opportunity arise. What constitutes sufficient notice shall be determined by the President on a case-by-case basis.
5. The institution will support the individual with leniency as to time away from faculty assignments during the transition period from notice of position termination until such faculty member's duties at Concordia terminate.
6. In all efforts, all persons involved will try to make this a positive action and a cooperative effort among the fellowship of believers seeking the will of God insofar as it can be determined.

Notwithstanding any other provision herein, the Board of Regents of Concordia University reserves the right to modify, suspend, change or amend the foregoing Reduction in Force Policy at any time. The adoption of this policy shall confer no contractual rights upon the staff of Concordia University with reference thereto, and is a matter of management prerogative for the efficient management of the University.

Notice of Nondiscriminatory Policy as to Reduction in Force Procedures

The Concordia University, Seward, Reduction in Force Policy is a process for reducing the number of faculty in an academic area or department as an adjustment to the institution's changing needs. The policy shall not be applied to discriminate upon any prohibited basis as provided for by law.

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Appendix 9: Academic Freedom

Limitation of Academic Freedom

Faculty members are pledged to the Scriptures as the inspired and inerrant Word of God and to the Lutheran Confessions. They are expected to honor, to uphold and to teach in accordance with synodically adopted doctrinal statements.

Faculty members are encouraged to study the synodically adopted doctrinal statements as well as the Scriptures and the Confessions. Should they judge the synodically adopted doctrinal statements to be out of harmony with the Scriptures and the Confessions, they are to test their findings and opinions with their peer group, namely, the faculty and the Board of Regents of the institution of which they are a part, and then to present them to the Commission on Theology and Church Relations before bringing them to the Synod itself. Meanwhile they are to refrain in brotherly love from disseminating such dissident findings as doctrinal opinions in the classroom and/or among the students, as well as in other situations and places as will cause confusion and offense in the church.

Examples of pertinent synodical statements are in Handbook section 1.09; Resolution 3-17 of the 1962 Convention; Resolution 2-08 of 1965; Resolution 2-04 of 1967; Resolution 2-27 of 1969; Resolution 2-21 of 1971; Resolution 2-12 of 1973; and Resolution 3-01 of 1973.

Board for University Education Board Policy Manual, policy 9.0 – Academic Freedom:

9.1 Higher Education Mission Statement

“The colleges, universities, and seminaries of The Lutheran Church-Missouri Synod exist to supply the higher education services needed to accomplish the mission of the church.

“Strongly committed to the Lutheran concept of vocation, synodical colleges and universities are liberal arts institutions which provide a Christ-centered spiritual and value-oriented environment for men and women who will be Christians in the church and in secular occupations.

“The objectives of the Synod included the recruitment and education of professional church workers. Therefore, central to the system of synodical higher education is the preparation of those who are called to serve through preaching, teaching, and related vocations. Professional preparation for the pastoral ministry is the special assignment of the Synod’s seminaries.”

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9.2 Freedom and Opportunities

1. Much of value can be learned from the concepts of academic freedom that are commonly found in American culture. However, academic freedom and its related responsibilities as recognized and practiced in the Concordias have their fundamental basis in the Christian identity of our institutions of higher education.
2. A Concordia campus views academic freedom and responsibility as an expression of the reality of the scriptural Lutheran faith. As agencies of The Lutheran Church-Missouri Synod, the Concordias express the confessional significance of believing in Christ and His Scriptures, teaching the scriptural Lutheran faith, and confessing the Gospel to the world.
3. A Concordia campus is a Christian community, characterized by a high awareness of the reality and importance of collegial relationships and commitments.
4. A Concordia campus values the centrality of a Lutheran understanding of Law, Gospel, and the forgiveness of Christ for all. This reality permeates classrooms, administrative work, and human relations among all campus constituencies.
5. A Concordia campus provides opportunities for faculty to integrate faith, life, and learning. This includes opportunities to address issues in our contemporary environment from the standpoint of informed Lutheran scholarships.
6. A Concordia campus values the individuality of each faculty member and respects the right of faculty to hold diverse opinions. The right of persons to retain the convictions of their faith and conscience is respected, but the institution has specific expectations regarding the presentation of doctrinal teaching.
7. A Concordia campus expects its faculty to exhibit a strong commitment to scholarship and the professional expectations of the various academic disciplines. The pursuit of knowledge through intellectual inquiry and research is highly valued as a mark of institutional excellence.
8. A Concordia campus respects the right and responsibility of faculty members to present the empirical and historical subject matter involved in their scholarly disciplines. Scholarly information related to the subject matter may be presented, provided the manner of presentation is within the parameters of the responsibilities and limitations listed below.

9.3 Responsibilities and Limitations

1. A Concordia faculty member may present and discuss concepts that conflict with synodical teachings, including historical information and the results of research in a faculty member's discipline. The corresponding responsibilities are that the faculty member presents the material in a manner that encourages constructive insights and enhanced understanding of the issues, that he/she presents a fair and accurate

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description of the synodical position, and that he/she does not advocate a position contrary to that of the Synod.

2. A Concordia faculty member acknowledges that he/she functions within a community that has multiple dimensions (e.g., campus, congregations, The Lutheran Church-Missouri Synod, the church-at-large, society). As a responsible colleague, the faculty member has a clear awareness of the position of respect and responsibility that those communities confer upon faculty members.
3. A Concordia faculty member acknowledges that in certain situations he/she will voluntarily limit his/her expression of opinions and convictions. Such limitations involve a professional and personal judgment regarding the appropriateness of the message to the audience, so that the mission of the institution and of the church is supported rather than hindered.
4. A Concordia faculty member affirms that expressions of academic freedom are primarily a matter of individual and professional responsibility.
5. A Concordia faculty member will ordinarily confine his/her teachings and counseling of the institution's students to his/her areas of professional expertise.
6. A Concordia faculty member, when engaged in publication and public presentation, will do so with the awareness that there is always a tacit association of the professor with the institution.
7. A Concordia faculty member acknowledges that he/she is serving an institution that is an entity owned and operated by The Lutheran Church-Missouri Synod, and that the Synod expects its mission, values, and teachings to be clearly taught and reflected in its institutions.
8. A Concordia faculty member will work peacefully under the Constitution, Bylaws, and policies of The Lutheran Church-Missouri Synod, its Board for University Education, and the institution.
9. A Concordia faculty member will not actively promote a doctrinal position that is in opposition to the doctrinal position of the LCMS. A Concordia faculty member accepts responsibility for becoming knowledgeable regarding the teachings of The Lutheran Church-Missouri Synod on the theological topics and issues related to his/her academic responsibilities.

9.4 Due Process

1. The fundamental purpose of due process regarding academic freedom responsibilities is to protect the academic freedom of the faculty member and to uphold the policies and positions of the institution. The attitude of all involved should be inclined to humility and forgiveness.

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2. Each institution is responsible for maintaining clearly stated procedures for due process that include the process described in the 2007 LCMS Handbook 3.8.3.8.5, 3.8.3.8.8, 3.8.3.8.9.

9.5 Implementation

Written acceptance of the preceding “Responsibilities and Limitations” is required for all faculty members. This applies to new and renewal contracts as well as offers of regular appointment. Faculty with tenure or open-ended contracts shall sign the above “Responsibilities and Limitations” one time.

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Appendix 10: Intellectual Property Policy

Preamble

The administration, faculty, staff and students of Concordia University, Nebraska (“University”) are stewards of the many gifts given to them by their Creator and each strive to use these gifts to advance the mission of the Church and the University.

Together, the University community believes that the University’s mission to equip men and women for lives of learning, service and leadership in church and world is best served by creating an intellectual environment whereby creative efforts and innovations can be encouraged and rewarded, while still retaining for the University and its learning community reasonable access to, and use of, the intellectual property for whose creation the University has provided assistance.

The University supports the development, production, and dissemination of intellectual property by its community members. The University also expects its faculty, staff and students to make every reasonable effort in good faith to comply with all copyright laws.

The overarching philosophy behind this policy is one of respect. The University respects the ideas and contributions of its community members, and respects their right to control the ideas and products they create. The faculty respects the University’s need to maintain records, to access both official University documents and documents on University technology for a variety of reasons, and to expect that official University materials and materials created for the University at the request of the University remain the property of and under the control of the University itself.

Definitions

When used in this agreement, the term “Intellectual Property” shall be understood collectively to mean copyrights, patents, patent applications, discoveries, and products which are not protectable under the U.S. patent laws and copyrights. The terms “Faculty” or “Faculty Member” shall be understood to mean anyone employed by the University to teach a course.

Ownership of Intellectual Property

In general, the creator owns the copyright. Intellectual property created, made, or originated by a faculty member shall be the sole and exclusive property of the faculty member author or inventor, except as he or she may voluntarily choose to transfer such property, in full, or in part, except as provided below:

- a. In accepting grants, fellowships, or other donations for research projects from private business or industry and from the federal government, the University generally must obligate itself to such sponsors under invention and patent clauses in the agreement with such sponsors. In these situations, the sponsor and/or the University may be the owner.
- b. A written agreement between the University and Faculty member provides otherwise.

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The University shall own copyright only in the following four circumstances:

1. The University expressly directs a faculty member to create a specified work, or the work is created as a specific requirement of employment or as an assigned institutional duty that may, for example, be included in a written job description or an employment agreement. Examples may include the University directing and supporting a faculty member to create course material specifically for a classroom or distance-learning course which will be taught by multiple faculty members.
This does not include materials produced during the normal course of teaching, research, artistic endeavors or other scholarly work, even though faculty are expected to engage in those activities as part of their employment.
2. The faculty member/author has voluntarily transferred the copyright, in whole or in part to the institution. Such transfer shall be in the form of a written document signed by the faculty member author.
3. The University (including without limitation natural persons, employees, agents, consultants and contractors of the University) contributed to a "joint work" under the Copyright Act. The University can exercise joint ownership under this clause when it has contributed specialized services and facilities to the production of the work that goes beyond what is traditionally provided to faculty members generally in the preparation of their course materials.
4. The University will own copyright to works created in the course of an administrative assignment, such as planning documents, reports to external agencies, and policy statements.

Such arrangements are to be agreed to in writing, in advance, and in full conformance with other provisions of this policy.

Use of Intellectual Property

Material created for ordinary teaching use in a class and in department programs, such as course handouts, assignments and tests, shall remain the property of the faculty author, but the University shall be permitted to use such material for internal instructional, educational, and administrative purposes, including satisfying requests of accreditation agencies for faculty-authored syllabi and course descriptions.

In an agreement transferring copyright for such works to a publisher, faculty authors shall provide rights for the University to use such works for internal instructional, educational and administrative purposes.

Materials created for Concordia University courses shall in general not be used for courses at other institutions while the faculty member is employed by Concordia University, unless agreed to beforehand in writing by the University. Normal teaching materials created by a faculty member for Concordia University courses may be used at other institutions after that instructor has left Concordia, provided that the materials no longer contain material owned or copyrighted by Concordia University.

Intellectual property owned by the University may generally be used by faculty members in the performance of their duties at the University; provided, however, that the

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University may prohibit such use upon written notice to the faculty member (e.g., in the case where a research sponsor has prohibited such use). Any other faculty member use of intellectual property owned by the University must be approved by the University. Faculty members are encouraged to negotiate with the University a contract which clearly delineates the use and dissemination of any of the above work. Any and all trademarks, service marks, trade names, and other indicia, marks and designations of the University are the sole and exclusive property of the University. Such marks are not included under the term intellectual property and no rights to any of such marks are granted and/or conveyed to any faculty member hereunder.

Distribution of any funds generated

Funds received by the faculty member from the sale, licensing, rental, lease and/or other disposition of intellectual property owned by the faculty member author or inventor shall be allocated and expended as determined solely by the faculty member author or inventor.

Funds received by the University from the sale, licensing, rental, lease and/or other disposition of intellectual property owned by the University shall be allocated and expended as determined solely by the University.

Funds received by the faculty member and the University from the sale of intellectual property owned jointly by the faculty member and the University shall be allocated and expended in accordance with a specific agreement. If no written agreement is in place, then the parties agree to submit the issue to an ad hoc committee appointed by the Undergraduate Council or Graduate Council, as appropriate.

How to resolve emerging issues and disputes

Committees of faculty, administration and library staff will be appointed as needed to periodically review this policy in light of emerging technological and legal issues and will also hear arguments in the event of a copyright dispute. These committees will present their recommendations to the Undergraduate Council and to the University president and the provost.

Policy based on suggestions and guidelines created by
American Association of University Professors, 1012 Fourteenth Street, NW, Suite
#500; Washington, DC 20005

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Appendix 11: Social Networking Sites and Concordia-Related Web Content Policy

These guidelines are set forward in the spirit of a collective commitment to communicating well on the social web and to assist the marketing department in implementing a social media strategy. This strategy has been designed to support our community first, but also to give prospective students, alumni, and friends of the University a chance to see the vibrancy of our campus and academic life. Additionally, this strategy relies on members of our community engaging with prospective students, alumni and friends of the University across the social web. Our goal to grow enrollment and donors is supported when our community has conversations with those outside of our campus grounds. To that end, it is assumed that our policy has to be flexible enough to allow our faculty and staff to approach relationship building online on their own terms.

Summary of Guidelines

The following is a quick summary of the guidelines set out below:

- Make sure to register all pages and profiles you create with your supervisor and the marketing department (see www.cune.edu/socialmediapolicy for a quick form to do this)
- Competing sites—those that overlap with the aims of the official Concordia website or social media strategy—are not allowed.
- Before you create a page or profile, make sure that you have clearly sorted out your purpose for creating that page or profile.
- If you are creating a profile that will expire after a year, term or season, make sure you have a clear exit strategy in place before you start.
- Remember that you are representing the University when you converse online.
- You may use official Concordia logos on your pages. Make sure to follow any applicable guidelines for logo use.
- When interacting online, authenticity, openness, transparency, and ethics should guide your dealings. Seek dialogue. Don't treat social network sites as virtual billboards.
- Negative comments on your pages or profiles are okay from time to time, but you should remove any harmful, offensive or illegal posts immediately.
- Be sure to carefully vet any and all friends before you approve a friend request.
- Make sure to include a disclaimer stating that you are not speaking on behalf of Concordia on all personal sites or profiles you maintain.
- Be sensitive to the terms and conditions of any third-party site you join. Make sure you understand copyright implications.
- Make sure that all profiles you create on behalf of Concordia link back to cune.edu.

Registering your pages and profiles

You are free (and encouraged) to create new sites and pages that help you communicate with prospective students, alumni and friends of the University, but before you do, you should speak with your supervisor (or the student life office in the case of student groups) and the new media director. For a quick form to do this visit www.cune.edu/socialmediapolicy This isn't simply about getting approval; it's also about making sure the marketing department knows which profiles are active so we can track

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our engagement across departments. You do not need to register personal accounts with Concordia.

For example, you don't need to let us know about the following (but if you want to, we'll add you as friends):

- A personal Facebook account
- A personal Twitter account
- A personal LinkedIn profile

However, you should let us know about the following (including, but not limited to):

- A department Facebook page
- A team Twitter account
- An arts photo album on Flickr
- A student activity tumble log on Tumblr
- A student organization YouTube Channel

Alerting the marketing department will also help us avoid duplication of pages and any competing sites issues (see the next section). As soon as possible, the marketing department should be given administrative privileges for any new pages or profiles that represent departments, clubs or teams. Access allows us to respond more quickly in the event of a problem (such as the unavailability or departure of the staff member who has administrative control of the page). Also, if you plan to transfer administrative rights to a registered page you're administering, you should notify your supervisor and the marketing office before you do so.

Ownership of Concordia-associated social networking sites

Concordia-associated social networking sites should be created with Concordia's future social networking efforts in mind. For this reason, a Concordia-associated social networking site is considered an asset of the University that may continue regardless of who created it. It is not owned or co-owned by an employee of Concordia, his or her proxy, or another organization. If a history professor leaves the University, for example, Concordia would want to retain his or her Concordia-associated social networking or at least retain that option. The professor may remove his own administrative rights, but should make it a simple matter for the University to add the succeeding professor in an administrative role. Typically this will be taken care of by including the new media director as an administrator. It may, however, mean passing along a password and account information.

Competing Sites

You should contact your supervisor and Concordia's new media director prior to establishing websites/pages that may overlap the goals of official pages within cune.edu.

The aim of the competing pages/sites policy is intended to protect the efficiency, quality and long-term expectations of users.

Efficiency and quality: We want to efficiently maintain our institutional site and make sure it gets the attention needed to accomplish goals related to recruitment, reputation (branding), and development efforts.

Long-term safety: Pages within cune.edu should and will continue to be maintained regardless of whether specific personnel are employed by the University or available

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from one day to the next. Goals, for example, of institutional web pages for academic departments, offices, events, performance groups (programs) at Concordia:

- Provide an institutionally backed web address for the public (i.e. cune.edu/program)
- Market the program to potential recruits, their parents and donors
- Make available news/features about the program

Sites/pages that are clearly okay:

A personal blog with comments from a coach, for example, about the season is clearly okay. As long as this type of site is clearly and directly associated with the coach rather than the team in general, there should be no "competing sites" problems. While there would obviously be some overlap as far as the information shared, the site is not attempting to also replicate the aims of the institutional site. News about the team is shared, for example, in a coach or player comments or with links to cune.edu rather than in a game recap or another type of press release. Contact information about joining the program, etc., refers people to pages within the cune.edu site.

Sites/pages that are clearly out of bounds for employees or proxies:

Site/pages that, because of the domain name chosen, the site's title, or in other information, may create confusion as to whether they are the primary Concordia-backed site for a program are out of bounds. For example, www.concordiaspeech.org would cause confusion about the official source of news about forensics at Concordia.

Stating Your Purpose

Before you start your page or profile, it's a good idea to think through what you're committing to and why you're doing it. If you'd like some help thinking through it, give the marketing department a call. We're glad to help.

In general though, here are some things to think about:

- What's the goal of the page? How does it fit within your team or department goals?
- Does a similar page already exist? Could you achieve the same using a page that already exists?
- Does the site you're planning to use reach your audience's demographic?
- How much time are you willing to spend keeping content up-to-date and relevant?
- Do you have the resources you need (both time and technology) to actively participate on the site?
- How long are you planning to maintain the page?
- Will users be able to upload photos or videos?
- How do you plan to protect the Concordia brand?
- How will you measure success?
- Exiting a Profile

Before you start a new page or profile, you should have a plan in place for how long the association between Concordia University and the page will last. In many cases, the association will be indefinite (as in departmental or team pages), but in other cases it

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may be only for a season or term. If you plan to shut the page down or stop engaging with the community after a specific time, please make sure to have an exit strategy in place. Our aim here is to avoid damage to the Concordia University, Nebraska brand due to neglect of a site. If you are unsure how to plan for an exit, contact the marketing department.

Use of the Concordia University, Nebraska Brand

We encourage you to put the logo of your team, club or group on third party sites. If your page doesn't have its own logo, you are free to use one from www.cune.edu/logo, provided you agree to follow the usage guidelines listed there. Remember that using an official Concordia logo gives the impression that your page or profile is an official, authorized page of the University as a whole, so your engagement should reflect that. Whenever possible, any logos you place on third party sites should link back to cune.edu. If this isn't possible, please make sure to list cune.edu in your profile or another prominent place on your page. If you have a question about logo usage, please contact the marketing department.

Engaging with your audience

When engaging with users online, use common sense, be authentic and take responsibility for posts. Have fun, but treat each interaction as if it was something that a prospective student, a prospective student's family, alum or donor would see. They likely will. Remember that our audience also includes folks who may know nothing at all about Concordia.

Look for opportunities to participate and interact. The goal of interaction online is to start conversations with posts, not to post ads. In addition, look for way to add information or news that may not be available through institutional channels like the Broadcaster, website or news releases. Remember that users expect different types of interaction on each network (e.g. what's appropriate for Facebook might not always work for Twitter, etc.), so be sensitive to their preferences. We want to avoid the sense that we are infiltrating a user's space in order to broadcast our message. Before you post, ask yourself, "Will what I post add value to this specific community?"

Negative, Harmful, Offensive, and Illegal Content

Should your audience post negative content on your page, site, or profile, it may be your first impulse to delete it, but unless the comment is slanderous or offensive, you should allow it to remain, publishing a public response in defense of your position instead. The goal in these instances is not to start a mud-slinging match, but to show the online community that you

are able to handle criticism positively. In many cases, you may be surprised that people who agree with you will come to your aid in supporting your position. If all negative comments are removed all of the time, the site will lose credibility because it lacks authenticity. Think of negative comments as a pinch of salt in your batch of cookies.

However, should a comment be harmful, offensive, or illegal (including spam), take measures to remove the content immediately. Refer first to the third-party site's method of reporting offensive behavior, then remove the harmful, offensive, or illegal content if you are able.

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There may be some instances where networks do not allow you to remove the comments of other users. In these cases, simply follow the procedures outlined by the site for reporting abuse, and follow up until appropriate action has been taken by the site.

Friends/Fans/Followers

Depending on the networks you are in, you may have the option to establish friend, fan, or follower connections. If the network or profile has an open follower model (e.g. Twitter—people can follow you, but you are not obligated to follow them back), in general, you should allow everyone to follow you with the exception of obvious spam accounts or accounts that are clearly harmful, offensive, or illegal. When deciding whom to follow or approve as a mutual connection (a Facebook “friend”) make sure to review your potential friend’s profile or page carefully before you do so. If the conduct of any of your “friends” becomes harmful, offensive, or illegal, make sure to review your connection with him or her and consider removing the friend connection if necessary.

Personal disclaimers

If you maintain any kind of personal site, be it a personal blog, microblogging account (though a service like Twitter, Posterous, Tumblr, et al), or anything else, please make sure to include a disclaimer stating that all of the content on your site is a matter of your own personal thoughts, opinions or research, and should not be construed as the official position of Concordia University, Nebraska. For transparency’s sake, this disclaimer is designed to help users understand that you are posting of your own volition, protecting you and the University should there be any questions of the source of any content included on your personal site.

For example, this is what one staff member says on his blog: “This blog is a reflection of my own thoughts and opinions. It has nothing whatsoever to do with any employer, past or present.” On sites that limit your biography to a certain number of characters (such as Twitter), something as simple as “My posts are my own” will suffice.

Blogs related to Concordia University

If you’d like to write for a blog that is directly related to your work at Concordia, we’d love to help you make that possible. Please talk to the director of marketing to learn more.

Copyright, Intellectual Property and other Legal considerations.

Every third party site you join will have its own privacy policy and set of terms and conditions. Make sure you review these documents carefully (don’t just click the “I agree box” without reading through them). This is vitally important not only for your own protection, but also for the protection of your pages. For example, Facebook presently prevents all Fan pages from administering contests through the Facebook platform (e.g. “upload a picture of yourself in a Concordia t-shirt and win a prize”) unless fan page owner agrees to spend \$30,000 per month in advertising. If you are found in violation of this term of service, they can shut your page down indefinitely and without warning. If you plan to share your own intellectual property online, it’s a good idea to copyright your work. An easy, free, and open way to do so is through the Creative Commons Copyright. You can find more about Creative Commons and create your own copyright license at <http://creativecommons.org>

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If you are sharing your intellectual property on any third-party site (i.e. not a site that you host), make sure that you read their terms and conditions carefully to determine who owns the data you put on the site. Some sites are clear that users own their own data, while others state that the site may retain the rights to anything posted. If you are unsure about any copyright issue, the marketing department will be able to assist you.

Links

The goal of Concordia's distributed social media strategy is to engage and join in conversation with prospective students, alumni, and friends of the University across the web where they are interacting. While it's important to have these conversations in the places where they occur organically, it's also important to point back to cune.edu where people can attain information about their formal relationship with Concordia—e.g. cune.edu is the place where prospects can get official information about class offerings, financial aid, and apply for admission.

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Appendix 12: Tuition Waiver Policy for Courses Offered By CUNE

Tuition waivers are a Concordia University employee benefit, available only to current full-time employees, their spouse, or an unmarried, dependent child age 23 or younger (exceptions for military/mission service). Employees are granted a 90% tuition waiver after a minimum of 1-year employment. Spouse and dependents are eligible for a 50% tuition waiver after 1 year of employment and 90% tuition waiver after 2 years of employment.

1. Employees and spouses are eligible for undergraduate, continuing education, or graduate –level course tuition waivers. Dependents are eligible for undergraduate level coursework only.
 - a. Graduate level coursework for the MBA program is waived at the 70% tuition waiver rate (instead of the 90% as stated above).
2. Tuition waivers for spouses taking continuing education or graduate coursework may be considered a taxable fringe benefit by the IRS and will be added to the employee's payroll for taxation purposes.
3. Application for eligibility for tuition waivers is required to be turned into Student Financial Services BEFORE classes begin for any semester or session (Form is available from the Financial Services Office by request or on the web through the connectCUNE portal).
4. Full-time students MUST complete Institutional Financial Aid Form (IFAF). Please visit the CUNE website @ www.cune.edu/2937 to complete the form.
5. For full-time students, the FAFSA is required to be filed by the May 1 deadline prior to the new academic year.
6. There is no waiver of any fees or special charges, including laboratory fees, applied music fees, application fees, online course fees, general fees, or any other fees.
7. Only regularly scheduled academic year or summer school Concordia University courses are included in the tuition waiver program. Students who enroll may have their tuition waived provided class enrollment minimums are obtained without counting waived students. Students should check with the registrar's office regarding class enrollment size. If minimum enrollments are not achieved the administration reserves the right to bill students at the established rates.
8. Independent study courses cannot be waived under this policy.
9. Full-time employees must have supervisor/manager approval of their class schedule prior to the beginning of a class to be eligible for the waiver in that period. Staff tuition waiver forms can be found through the web on the connectCUNE portal, employee tab, Tuition Waiver – All others.
10. Dependent children of employees are eligible for tuition waivers for undergraduate programs, including dual credit high school courses (taken for college credit). Total hours taken cannot exceed 164 credit hours. These hours can be taken during regular semester or summer sessions. To receive the tuition waiver for a semester, the 10% employee cost must be paid each semester or summer period prior to census (Free Add/Drop) date.

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11. Tuition waivers will not be granted for classes that are needed to repeat a class that was failed by the student earlier. If a student does not meet standard minimum academic requirements established for scholarship at Concordia University, Nebraska, they are ineligible to receive tuition waiver, but may reapply for the waiver in future semesters provided their GPA achieves minimum standards. Reacceptance into the program requires approval from the Provost.
12. Tuition waivers are defined as the balances to be waived after all government, district, NACC and institutional awarded financial aid funds have been applied to a student account. All full-time students are required to file for government, district or NACC aid. Other outside aid/scholarships can be applied against remaining tuition, fees or room and board charges. Outside scholarships and aid in excess of University charges for tuition, fees, and room and board will be netted against the tuition waiver.
13. Graduate assistants (not spouses or dependents) are eligible for full tuition waivers for courses approved by the Provost. The number of credit hours allowed for a graduate assistant must be approved by the graduate assistant supervisor and designated Vice President. Graduate assistant tuition waiver forms can be found through the web on the connectCUNE portal, my records tab, student employment, Tuition Waiver – graduate assistant.
14. Members of the Board of Regents and their spouses are eligible for the graduate tuition waiver and their dependent children are eligible for the undergraduate tuition waiver only. The waiver will be reported as income to them on a 1099 to the IRS.
15. The Tuition Waiver Policy is administered by Student Financial Services.

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Appendix 13: Tuition Exchange

In the spring of 2000, Concordia University, Nebraska (CUNE) joined The Tuition Exchange, Inc., which is a network of over 600 colleges and universities providing exchange opportunities for students from families with a member employed full-time at a participating institution. CUNE entered this network in order to recruit new faculty whose dependent children were already participating in the Tuition Exchange (TE) program. In 2007, we were pleased to be able to expand our participation to include full-time faculty and staff already employed at CUNE as described below. While the program will continue to have as its prime objective, the recruitment of new faculty, we anticipate that current faculty and staff will wish to explore this opportunity.

TE is a CUNE employee program. It is available only to current full-time faculty, professional/technical and support staff, their spouses, or an unmarried dependent children age 23 or younger (exceptions for military/mission service).

This TE policy is administered by the CUNE Tuition Exchange Liaison. This position is appointed by the president's cabinet.

- Applications for eligibility in TE are required to be turned into the Tuition Exchange Liaison. No employee is guaranteed acceptance into the program. CUNE must have students from other participating TE institutions in attendance to keep the number of import students and export students in balance. The president's cabinet reviews this balance annually and then determines the number of open spots that will be made available for each academic year through the lottery system.
- Requirements for those wishing to enroll in an institution that is not a member of the TE Cooperative:
 - The eligibility of applicants will be reviewed based on the following criteria:
 - Minimum of three (3) years of employment at CUNE. Exceptions made to the minimum years of employment requirement will be reviewed by the president's cabinet.
 - High school cumulative GPA of 2.5 and ACT 18.
 - Must have applied to a participating institution.
 - Applications are due by September 30th and, if necessary, the selection of approved applications will be through a lottery system held on October 1st of each year. A student chosen in the lottery drawing are then eligible to apply for TE scholarships at participating institutions. If a student decides to forfeit this opportunity, prior to December 31 of that year, another drawing will occur for those individuals not selected, if still interested.
 - Each student export will be charged a fee equal to 10% of CUNE's tuition in order to participate.
- As part of the TE program, CUNE is a member of the TE Cooperative. Co-op members are permitted to exchange students between each other and not be charged for exports resulting from these exchanges. Because these exports are not counted against our balance the criteria for eligibility is not the same as those wishing to enroll in an institution not participating in the TE Co-op and there is not a limit on the number of open spots available for each academic year.
 - The eligibility requirements of applicants wishing to enroll at a Co-op member institution is the same as the CUNE Employee Tuition Waiver policy which can be found in the employee handbook.
 - Each student will be charged a fee in order to participate equal to:
 - 50% of CUNE's tuition with a minimum of one (1) year of employment.
 - 10% of CUNE's tuition with a minimum of two (2) years of employment.
 - Since there is not a limit on the number open spots, there is no deadline for the application and the approval of the application is automatic.
- All CUNE approved applicants are then eligible to apply for TE scholarships at participating institutions. TE scholarships are indeed scholarships, not fringe benefits. Some TE institutions limit

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the number of incoming TE scholarships; therefore, the fact that an institution belongs to TE does not guarantee a scholarship offer from that institution.

- Once approved for a TE scholarship, you are eligible to participate for 4 years or 8 semesters. This term must be continuous. If the student discontinues for a semester he/she will have to re-apply but is not guaranteed re-acceptance into the program.
- Each student is required to maintain the minimum requirements of the receiving TE institution's guidelines for annual re-certification into the program. The receiving institution may deny renewal if the student has failed to meet its conditions and terms of the scholarship award.
- Visit **www.tuitionexchange.org** for a list of participating TE institutions (including a list of institutions participating in the Co-op program). Contact the Tuition Exchange Liaison directly with questions.

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Appendix 14: Purchase Card Policy (P-Card)

Objectives:

The Purchase Card Program of Concordia University is designed to streamline business processes, reduce employee financial burden, and automate portions of the accounts payable function.

Specifically, the Purchase Card is primarily focused on the travel and low-dollar purchases, giving employees a mechanism to make these purchases using a tool provided by their employer.

The use of the Purchase Card is intended to result in productivity gains by reducing transaction processing time and expense on the part of the cardholder and the accounting staff through the use of the on-line allocation tool, Expense Management.

Policy

Card Issuance and Use

Cards will be issued only to employees of the University upon approval of a cabinet member . The card can be recalled or changed by the organization at anytime. If an employee has been issued a Purchase Card, all purchases where a credit card can be used must be made with the CUNE Purchasing Card, not a personal card. Cardholders are responsible for proper usage of the cards. Their supervisors (approvers) are responsible for monitoring usage and compliance with applicable policies.

The purchase of goods and services must be done in compliance with all applicable CUNE policies including the Air Travel, Hotel and transportation policy, the Travel Expense policy and the various purchasing policies. **The Purchase Card may not be used for personal charges of ANY kind.**

The card is restricted from all cash-back transactions. In the event a cardholder returns goods or receives a credit, the credit must be applied to the cardholders card, not received in cash.

Allocation of Charges and Monthly Statement Processing

Using Expense Management, each card transaction will be initially charged to the departments default Purchase Card FOAPAL number set up by the business office. All transactions must be reviewed and re-allocated from this account prior to the end of the current billing cycle. No charges are allowed to pass to the CUNE financial system (Banner) with this default number.

Cardholders and approvers must follow the monthly cycle processing schedule. Through out the month card holders need to complete transactions as the charges are incurred. Once transactions are completed they are electronically submitted to approving managers. Managers have until the last day of the month to approve all transactions electronically.

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At the end of each monthly cycle (25th day), the cardholder must submit all appropriate documentation to accounts payable by the 30th of each month. This allows us to post to the proper expense accounts for the monthly budget reports.

Procedures

Procedures are outlined in the Purchasing Card User Manual.

I. What is a Purchasing Card or P-Card?

The Purchasing Card program is designed and intended to more effectively meet your purchasing and travel needs. The card streamlines and simplifies the purchasing and accounts payable functions, reduces transactions costs, and improves vendor relations. The Purchasing Card (P-Card) is a tool that facilitates the timely acquisition of materials, automates data transactions for accounting purposes, supports travel services and offers flexible controls to help ensure proper usage.

The Purchasing Card Program reduces the time and paperwork associated with purchases under \$1500, invoices and checks. The P-Card also offers an alternative to a variety of processes including petty cash, check requests, low dollar purchase orders, and travel reimbursement. The Purchasing Card is to be used for all of your purchases of goods or services on behalf of your organization, including travel-related purchases, if your card is authorized for travel. **The Purchasing Card Program is not intended to avoid or bypass applicable procurement and travel policies, but rather to complement the existing policies.**

This document provides information about the process, the types of purchases that can and cannot be made, records that must be maintained and reconciled for each cycle and other pertinent information.

Please remember you are committing the funds for the organization you work for each time you use the Purchasing Card. The use of the Purchasing Card results in a liability to the organization you work for – not a personal liability for the Cardholder. The Cardholders credit rating will not be affected.

You are the person responsible for all charges made to the card that has been issued to you. Intentional misuse or fraudulent abuse may result in disciplinary action, reduction in credit limit, card revocation or suspension, letter of reprimand, suspension, legal action and or termination.

The Purchase Card should be treated with the same level of care used with personal credit cards. The card must not be loaned to another person. It is recommended that the only person to use the Purchasing Card is the person whose name appears on the front of the card. While the use of the card by others is not encouraged, there are times where it may be necessary. The purchasing card account number should be guarded carefully. Do not post it or write it in any location that is accessible to others.

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You are directly responsible for all charges made to your card.

A. How It Works

The Purchasing Card is a Visa card issued by US Bank. It works much like a personal credit card. However, each card has custom designed features, with built-in controls to meet the specific needs of the cardholder and organization. These controls include limits on the number of transactions and dollar amounts of those transactions on a monthly (cycle), daily and individual transaction basis. **In addition, the CUNE Tax Exempt number is imprinted on the card below the cardholder name.** Imprinting this number on the card should assist in making tax exempt purchases. Ultimately, however, it is the vendors decision as to whether they will charge us tax.

The process is fully automated allowing all purchases to be tracked and easily managed. ProCard Inc. is the third party administrator for these reporting purposes. ProCard provides an Internet application, called Expense Management, to view and monitor transactions for each credit card issued, 24 hours after a purchase has been made. Cardholders and their supervisor update each transaction in order to allow for the electronic uploading of data directly into the Banner system. Electronic uploading of the data removes the need to file a check request or a travel expense report for reimbursement. (There is a reconciliation process - see page 11.)

II. How To Obtain A Purchasing Card

Purchasing Cards are issued to individual employees at the request of their Cabinet Owner and upon approval of the Purchase Card administrator.

To obtain a P-card, the cardholder should:

- Complete a Purchasing Card Application and Agreement, available from the Business Office
- Sign the form and obtain signature approval from your Cabinet Officer. An employee must have the approval of the President, if applicant is the Cabinet Officer.
- Send the form via interoffice mail to the Accounts Payable Department for review and approval.
- Upon approval, the Accounts Payable Department will request the card from US Bank and the card will be issued in about 10 working days.
- You will receive the card from the Accounts Payable Department once all the necessary paperwork is on file and you will be required to electronically activate the card using the instructions provided with the card.
- Upon receipt of the card, the cardholder should immediately sign the back of the card in permanent ink.

A. Credit Card Limits

The Purchasing Card Program provides enhanced control for each transaction. When you present the card to a vendor, they request a purchase authorization. The Visa system validates the transaction against pre-set limits. These preset limits are assigned

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to the card when it is issued to you and are based on how you will use the card (domestic travel, frequent international travel, low dollar purchases). All transactions are approved or declined instantaneously based on these limits and restrictions.

These limits are:

- Single purchase dollar limit of \$1,500 (unless approval of higher limit)
- Total cycle (approximately 30 days) dollar limit of \$5,000 (unless approval of higher limit)
- Number of transactions per day limit
- Number of transactions per cycle limit
- Merchant categories (what types of places the card can be used/not used)
- Types of vendors (Liquor Stores)

When one of these limits is reached, purchases will be declined. Under no circumstances should a transaction be split in order to bypass the single transaction dollar limit. Splitting of transactions to bypass the single transaction dollar limit will be considered an abuse and subject to disciplinary action.

B. Increases In Your Credit Limit

In the unlikely event that you find your credit limit is too restrictive, you may speak to your Cabinet Officer or next level of management (if you are the Cabinet Officer) and request an increase. If your next level of management determines an increase is warranted, the on-line form Request for Credit Limit Increase should be completed and signed by your Cabinet Officer or next level of management and sent to the purchasing card administrator. A decision will be reached based upon:

- The requested amount of the increase;
- History of adherence to the program rules;
- Prior usage; and
- Need as outlined in the request,

Notification of the decision will be sent to both the cardholder and the cardholders supervisor. All requests are individually considered and increases are not automatically granted.

C. Transfer Or Termination Of Cardholders

1. Transfer within the Same Unit

When cardholders are transferred from one area to another and the FOAPAL number changes, the Cabinet Officer must send an e-mail to the Purchasing Card Program Administrator providing the employee name, date of transfer, card number, current FOAPAL number and the new FOAPAL number to be charged. Failure to complete the e-mail as described will result in charges being made to an incorrect FOAPAL. The responsibility to complete general ledger entries to reverse the charges and charge them to the new FOAPAL is the responsibility of the Cabinet Officer or their representative.

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2. Transfer From Unit To Another Within The Same Organization

P-Cards do not necessarily need to be deactivated when cardholders are transferred from one unit to another, assuming the new position requires the employee to continue to have a card. However, the department the cardholder is leaving should collect the card and turn it into the Purchasing Card Administrator. The cardholders should complete a Purchasing Card Application and Agreement with the new default FOAPAL and Cabinet Officer signature in order for the new department to accept responsibility for the charges going forward. The card will be updated and returned to the cardholder upon receipt of the new application.

3. Termination of employment or termination of P-card

When a cardholder has provided notice they intend to leave their position or when a cardholder is terminated, their card should be given immediately to their supervisor. The party who received the card should contact the purchasing card administrator and request the card be cancelled. The party to whom the card was returned should 1.) confirm the request to cancel the card by notifying the purchasing card administrator and 2.) cut the card in half and send it to the purchasing card administrator. Notice of termination and the destroyed card must be sent to the purchasing card administrator within five calendar days after the verbal notice is given by the employee to cancel the card. If not received within the time period as specified, the matter will be referred to the next level of management.

The employees department is responsible for all charges made to any card prior to termination, as directed by the US Bank agreement. **It is the responsibility of the supervisor to recover the purchasing card from the employee prior to their dismissal.**

III. How to Use the Purchasing Card - Policy For P - Cards

Users of the Purchasing Cards will typically fall into one of three cardholder profiles:

- Low Dollar Purchaser (<\$1500)
- Domestic Traveler
- International Traveler

Each of these profiles has unique limits and characteristics associate with the use of the card. Be sure you are familiar with the limitation of your card.

A. Obtaining Goods and Services with the Purchasing Card

Purchases using the Purchasing Card can be transacted in person, by phone, mail, fax, or by e-commerce. Below are some things to keep in mind when making purchases.

In-person Purchases

- Make sure to point out the tax exempt number embossed on the front of the card so that you are not charged sales tax when purchasing goods or services.

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- Always keep your receipts because they will be needed for end-of-cycle account reconciliation and may be requested by auditors if your account is selected for review.

Phone/Mail/ or Fax Purchases

- Point out your organizations tax exempt status and tax exempt number when making the purchase.
- In addition to the cost of the goods or services you are purchasing, there may be shipping, handling, delivery charges, or other transaction fees added to your purchase. Ask about these charges and make sure the total cost will not exceed your single purchase dollar limit before finalizing the purchase.
- Always provide the supplier with a complete mailing address. This should include the 800 North Columbia address, your department name, and an attention name.
- Inform the supplier that a copy of the charge receipt must be included with the shipment.
- Always keep your receipts because they will be needed for end-of-cycle account reconciliation and may be requested by auditors if your account is selected for review.

INTERNET PURCHASES

- Calculate total purchase cost to be sure that the purchase can be completed within your single purchase limit
- Where possible, store order information on your computer or print out orders before submitting them. Keep these records to compare to actual deliveries (quantities, model numbers, prices, etc.).
- Always keep your receipts because they will be needed for end-of-cycle account reconciliation and may be requested by auditors if your account is selected for review.

B. Purchasing Goods & Services

Purchasing Cards are to be used for the purchase of low dollar commodities and services for use in your job, or the use of others, as you and your management deem appropriate. Low dollar purchases, as defined in the Purchasing Policy and Procedures, are goods or services less than \$1500. (Exception: No software or computer hardware may be purchased using a Purchasing Card with exception for the IT Department.)

The Purchasing Card may not be used to purchase any goods or services over \$1500 with the exception of travel related purchases if you are authorized. The issuance of a P-Card does not exempt the cardholder or the department from any provisions of the following:

- The Business Travel Expense Policy and Procedure;

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- The Purchasing Policy and Procedures;
- The Computer Purchasing Policy & Procedure;

Examples of what can be purchased:

- Books, videotapes, subscriptions
- Travel Accommodations (air, hotel, car rental, fuel, etc)*

Examples of what cannot be purchased:

- Software
- Personal Computers, printers and other computer system hardware (with exception of IT department)
- Items for personal use
- Any personal purchases

* IF YOU ARE AUTHORIZED FOR TRAVEL USAGE

C. Organization/Division Procedures

Please refer to your supervisor for processes and guidelines specific to you in addition to those established for the program. Your department may impose more restrictive usage guidelines.

D. How To Use The Purchasing Card For Commodity Purchases

The Purchasing Card may be used to purchase approved goods at the point of sale, over the phone, by fax, or mail (for web purchases, see page 9).

1. **Identify:** Identify if the purchase is appropriate for the P-Card by determining if your transaction total is \$1500 or less. If over \$1500, the purchase must be processed with established purchasing policy and procedures. Note, computer related software or equipment cannot be purchased using a purchasing card and must have a purchase order issued regardless of amount, as per existing policies. (with exception of the IT department)
2. **Contact:** Call or go to the vendors place of business and place the order. If calling, advise the vendor that you are calling from Concordia University and you will be making a Visa Purchasing Card Purchase. **Emphasize that it is a tax-exempt purchase.** Please note: the tax-exempt number is imprinted on the card under your name. However, this information is not automatically passed to the vendor through the magnetic strip.
3. **Order:** Give the vendor the cards account number and expiration date on your P-Card. **Under no circumstances should the vendor indicate the Purchasing Card number on any address label or packing list. Listing this information would threaten the security of your card, which you are responsible to protect.** Inform the vendor not to send a bill or invoice to the cardholder. Submitting an invoice for a charge card transaction may result in duplicate payment.
4. **Retain:** Retain all documentation pertaining to the purchase. It will be required later.
5. **Inspect:** Inspect the shipment when it is received or picked up. In case of returns, the cardholder is responsible for coordinating the return directly with the vendor.

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E. Internet Purchasing Guidelines

The Purchasing Card can facilitate the purchase of goods and services via the Internet. Purchases made on the Internet are subject to the same policies as any other Purchasing Card transaction. You must follow these guidelines when using your Purchasing Card on the Internet:

- Purchase only from known and trusted vendors;
- Make sure the site is secure;
- Use caution when providing personal information about yourself your organization.

* Reputable Vendors

You must be sure the vendor is legitimate. You may not use your card to make purchases on on-line auction sites. It is strongly recommended that you only do business with companies that you know and trust outside of the web. The best sites will fully disclose warranties and additional costs (e.g. shipping) before you enter your purchase information. Some vendors will provide a safe shopping guarantee.

* Secure Communications

When you switch from browsing to buying, the merchant should issue a prompt that tells you the transaction is being switched to a secure system. A safe site will display a symbol of an unbroken key or a picture of a closed lock, usually in the lower right corner of your web browser, in the status bar.

* Privacy Protection

Every time you buy on-line and often when you simply request information from a web site, you leave behind a digital trail of information that may be exchanged between merchants without your knowledge or approval. Look for a clearly stated Privacy Policy on the merchants web site. If you don't see one, reconsider divulging personal or corporate information. Please be aware that the process of requesting information on-line or buying on-line may place you on unwanted mailing list from the vendor or others to whom they may sell their customer lists.

F. Travel

A Purchasing Card designed for travelers is available to those people who regularly travel. There are two versions for travelers: one designed for people who typically travel domestically and one for those who typically travel internationally. These cards allow for air travel (both Internet and agency purchases) lodging, car rental, gasoline for car rental and meals. **Note that personal expenses should not be charged to your account.** Again, be reminded that the P-Card must be used in compliance with the **Business Travel Expense Policy and Procedure.**

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G. Insurance Coverage

The U.S. Bank One Card program also offers insurance coverage and assistance programs.

Primary Auto Rental Insurance

Visa Primary Auto Rental Insurance automatically provides primary coverage up to the actual cash value of most rental cars for damage or theft of rentals up to 31 consecutive days, worldwide. Certain restrictions, limitations, and exclusions apply. For current coverage, refer to the Visa Commercial Card Benefits Package, which was provided at time of card issuance.

Eligibility for Visa Corporate Auto Rental Insurance (ARI)

Visa Corporate ARI provides primary coverage worldwide up to the actual cash value of most rental cars for damage due to collision or theft for rental periods which, neither exceed nor are intended to exceed 31 consecutive days. Certain restrictions, limitations and exclusions apply.

The entire rental transaction must be charged to your U.S. Bank One Card to activate the Visa ARI (Collision/Loss Damage Waiver) coverage. This means you must use your U.S. Bank One Card to initiate and complete the entire rental transaction.

You must decline the car rental company's collision damage waiver (CDW/LDW) option, or similar provision, if offered by the car rental company.

Visa Corporate ARI coverage is collision damage coverage only. It does not cover injury to persons, nor to property other than the rental car as it was originally manufactured.

Visa Corporate ARI coverage is not valid in certain areas outside the U.S. where prohibited by law or by the car rental agency's policy.

Most rental cars are covered. Please refer to the detailed list in the Visa Commercial Card Benefits Package, which was provided at time of card issuance.

If you have an accident, immediately, but no later than 20 days following the date of damage or theft, call the Visa Assistance Center at (800) VISA-911 or your claim will be denied. If you are located outside the U.S., use the appropriate international toll-free number shown in the critical addresses and phone numbers section in the front of this publication. The rental agency is not responsible for filing your claim under this program unless you are traveling outside the U.S. and sign a cardholder assignment form (which will be provided by the rental agency).

Filing a Claim

When filing an auto rental insurance claim, contact your Program Administrator for specific details.

Worldwide Automatic Travel Accident Insurance

As a U.S. Bank One Card cardholder or U.S. Bank Central Travel System account user, you, your spouse and your children will participate in the Plan and will each be insured automatically while traveling worldwide for business purposes, against Accidental Bodily Injuries that are the sole cause of death or dismemberment arising from an Accident that occurs while riding in, boarding or alighting from any aircraft or land or water conveyance which is a Common Carrier licensed to carry passengers for hire, including regularly scheduled licensed common carrier charter flights, provided the entire travel fare(s) has been charged to your U.S. Bank One Card account. You can also purchase Common Carrier tickets for fellow employees.

1. For the most up-to-date coverage details, refer to individual insurance disclosures.

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2. Not applicable to residents of certain states.
3. Only unmarried dependent children under age 19 (23 if a full-time student at an accredited college or University) will be covered.
4. "Common carrier" does not include a conveyance operated for sport, recreation, and/or sightseeing activities or for any aircraft or device for aerial navigation except as expressly provided in the policy.

Common Carrier tickets acquired with redeemed frequent flyer points or coupons are covered when used for business travel. Any fees due to the airline for these tickets must be charged to the U.S. Bank One Card account. In cases where ticketing may be done on board an aircraft, tickets must be purchased with your U.S. Bank One Card before boarding, rather than in-flight. If the ticket(s) has been purchased prior to departure for the terminal, coverage is provided for travel by common carrier (including taxi, bus, train, or airport limousine), directly to the terminal. Coverage continues after arrival at the terminal near your destination, during travel by common carrier from the terminal to the next destination.

A complete disclosure is available from your U.S. Bank One Card Program Administrator.

Filing a Claim

When filing a travel accident insurance claim, contact your Program Administrator for complete details.

H. Excess Lost/Damaged Luggage Coverage

U.S. Bank will reimburse a cardholder for lost or damaged luggage if the common carrier's payment for the loss or damage is less than the cardholder's claim. This is called "excess lost/damaged luggage coverage."

U.S. Bank provides excess lost/damaged luggage coverage for both checked and carried-on articles when the cardholder's entire ticket is charged to a U.S. Bank One Card or central travel system account. Consideration for reimbursement from U.S. Bank will be made only if the common carrier acknowledges the claim and makes a monetary reimbursement. Cardholders are eligible to receive excess reimbursement for the cost of replacement luggage and its contents up to the lesser of:

1. The amount paid to the cardholder by the common carrier; or
2. \$1,250

Total combined payment will not exceed claim amount.

Filing a claim

See your Program Administrator for complete details when filing a lost/damaged luggage claim.

I. Returns, Credits And Disputed Items

If you have a problem with a purchased item or billing resulting from the use of the Visa Purchasing Card, you should first try to reach a resolution with the provider of the product or service. In most cases, disputes can be resolved directly between the cardholder and the supplier.

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1. Resolving Errors and Disputes

There may be an error or billing (missing credit) dispute when you receive your end of cycle account statement. Disputed billing can result from failure to receive goods or services charged, fraud or misuse, altered charges, defective merchandise, incorrect amounts, duplicate charges, etc. Each cardholder and their department are ultimately responsible for resolving erroneous or disputed charges. These charges must typically be resolved with the vendor from whom the services or goods were purchased.

- Call the vendor to report the discrepancy.
- Make note of the interaction and resolution and keep it with your receipts.
- If you are unable to reach agreement with the vendor, file a formal dispute with US Bank. The preferred method is to fax them the **Disputed Charge Form**.
- US Bank will try to help with all disputes; however, they are only required by law to investigate charges within 60 days of the original statement date. After 60 days they will try to help, but it becomes more difficult to obtain detailed receipt information from the merchants.
- US Banks Customer Service reps can be reached at (800) 393-3526 if you have questions regarding the status of the dispute.
- If you are unable to reach an acceptable solution to the dispute, call the CUNE Business Office at Ext. 7370.

2. Returns

Returns are handled just like any credit card purchase. Bring or ship the item back to the supplier (based upon the supplier return policy) along with the purchase receipt and request that a credit be placed on your card account. If the item is shipped, keep a copy of the shipping form in case further follow up is required. Keep copies of all relevant documents.

3. Credits

The supplier should issue credit for any item that has been discussed and agreed to for return. The credit will appear on a subsequent statement and on Expense Management. Any item purchased with the Visa Purchasing Card that is returned **MUST** be returned for credit to be applied against your card. **DO NOT** accept a refund in cash.

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J. What If The Supplier Does Not Accept Credit Cards

All vendors who accept VISA will accept a VISA purchasing card unless we have restricted your access to them. If they do not accept VISA, we strongly encourage the cardholder to work with the business office to identify a different vendor for the purchase. If there are no alternatives, either complete the transaction and submit a check request for reimbursement or submit a purchase order/requisition. If submitting a purchase order/requisition, please indicate the reason why the purchasing card was not used. Ask the supplier if they are interested in accepting Visa. (Note: When responding to suppliers inquiries, explain how our purchasing card works and the benefits they will realize from accepting the card. Since they are paid in 2-3 days, less a small transaction fee, suppliers will never need to follow-up on purchasing card payments. In addition, since invoices no longer need to be prepared and mailed, suppliers will also save time and money. Suppliers requiring additional information should be referred to the **Purchasing Card Administrator.**)

As indicated above, some vendors have been blocked from usage in the program. If you present your purchasing card to any of these merchants, the transaction will be declined. It is likely that any merchant you currently utilize as a source for products or services will accept your purchasing card. If you are declined and feel the decline should not have occurred, you may contact the bank customer service at U.S. Bank at (800) 393-3526 to determine if:

- You were declined because of the merchant blocking,
- You were declined because you may have exceeded your spending limits or,
- You were declined because you may have exceeded the number of transactions limit for your card.

If you are declined because your employer has blocked this merchant or merchant-type, contact the purchasing card administrator to review the card restrictions.

The purchasing card cannot be used for the following goods or services:

- Cash advances, ATM or other cash-back. transactions
- Purchases in violation of any other CUNE purchasing, travel expense, etc. policies.
- ANY personal charges including the employees portion of travel expenses (extended trip expenses for personal time [hotel, car rental, etc.]
- See the Travel Expense policy and various purchasing policies for more details on acceptable purchases.

Additional goods or services may be specifically included or excluded for individual cardholders.

If you are unsure if you can use your card at a business or if you feel you should be able to use your card at a business that you have been denied, please contact the Purchasing Card Administrator. You will not be able to use your card at ATMs or for cash-back purposes from merchants.

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IV. How Do I Account for the Transactions

A. Reconciliation and Approval of Charges - Overview

The Cardholders supervisor is ultimately responsible for reviewing and reconciling transactions for the P-Card. By authorizing the issuance of a card, the department accepts responsibility for all charges associated with the card. In assuming this responsibility, the department through their internal reviews and controls, is responsible for assuring that the cardholders use of the card is appropriate and done in accordance with all relative policies and procedure.

There are two parts to the review process. One is done monthly at the end of each billing cycle. The other is done on an ongoing, regular basis via the Internet.

B. Approval of Charges

Every month after the cycle closes each cardholder will review the listing of transactions available on-line through Expense Management.

- When the US Bank statement is received or prior to receipt on Expense Management:
 - The cardholder should review each of the charges listed for accuracy.
 - The cardholder should attach to the statement the receipts for every transaction listed.

These receipts should be affixed to an 8½ . x 11. sheet of white paper.

- Before completing the steps below, the cardholder **MUST** be sure that, for each transaction listed on the statement, they have logged into Expense Management and re-allocated the charges to the appropriate general ledger account (see section C, below). Once this is done:
 - The cardholder should run print the Expense Report from the Account Statement section in the Expense Management. Be sure the dates of this report correspond to the time period of this current cycle. This report will show how the cardholder allocated the charges.
 - The report should be reviewed for accuracy and signed by the cardholder.
 - The US Bank Expense Report and the receipts should be forward to the accounting department.
- The Supervisor
 - The supervisor reviews the information on line;
 - Charges are properly allocated to GL accounts (FOAPAL s)
 - All charges comply with the organizations policies; and
 - The charges are within the authority granted to the cardholder by the department.
 - Upon approval of the supervisor/reviewer, the reviewed will indicate approval

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If there are questions or discrepancies, the supervisor should review with the cardholder, reconcile discrepancies and then forward to Accounting.

C. Transaction Review and FOAPAL Updating

Each time you use your P-Card, the transaction information is captured in VISAs database. This data is transferred each day ProCards Expense Management system. Expense Management is an on-line application that allows cardholders and their supervisors to view and update transaction data. Ultimately, this data is uploaded on a scheduled basis into the CUNE Banner financial system. Transaction data is captured each time you use your card - vendor, date, amount, tax, etc. When your card is originally set-up, a FOAPAL set up by the Business Office is designated as the default account number. Until you make changes to the billing using Expense Management, all charges using your card are charged to this default number. We require that all transactions be reviewed in Expense Management each cycle and that all charges & credits are re-directed to an appropriate general ledger number. (Summary: No transactions can be charged to the default FOAPAL.) You are required to go into Expense Management and change the FOAPAL number for each transaction. Please note that all transactions will be expensed as of the date of transaction (no pre-paid travel expenses, no deferment of expense). NO transactions can be charged to balance sheet accounts.

Transactions are available on Expense Management daily (current through previous workday) and can be edited and saved throughout the month. The Purchasing Card administrator will send an e-mail notice to cardholders and their supervisors prior to cycle closing listing a deadline date for edits. The deadline date is the date the ProCard Administrator will complete the process to close off edits. At that time, the Expense Management data will be collected and uploaded to Banner for inclusion in the monthly budget reports. Any edits submitted after the deadline date will have to be submitted via a Journal Entry. (Repeated late submissions will result in the cancellation of card privileges.)

Specific instructions on how to use Expense Management are available in the Expense Management User Manual.

Additionally, every cardholder should watch for any discrepancies in transaction data and begin dispute procedures, if necessary. Refer any disputed charges to the vendor (see the Disputed Charges Form for directions). Report unauthorized or improper use of cards to the Business Office immediately. Budget control officers in each department should review your monthly budget reports and verify that the charges have posted to the correct accounts.

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D. Proof Of Purchase Documentation

Cardholders are responsible for maintaining adequate transaction documentation for all purchases of goods, services and travel. Documentation must support the business purpose of all transactions made with the P-Card. Supporting documentation should include the following items:

- Copy of an order form or application when available
- Packing slip
- Original cashier receipt or vendor invoice.
- Hotel, Gasoline, Rental Car Receipts
- Proof of airline ticket purchase

Although you may or may not be required to retain documentation under the purchasing, travel or accounting policy, the party who approves your card expenses or your management may want such documentation.

E. Purchasing Card Audit Activity

To ensure the continued success of the Purchasing Card Program and to meet audit requirements, random audits will be made by appropriate personnel. The random audits are to help ensure adherence to related policies and procedures.

V. Key Contacts-Who To Call

A. Lost or Stolen Cards

Call U.S. Bank at (800) 344-5696 (24 hours/7 days a week) to cancel or report a lost/stolen purchasing card.

- Call US Bank at 800/ 344-5696 to report your card as lost or stolen.
- You will need to provide the P-Card account number (card number) or your social security number in order for US Bank to cancel the card. They may ask for other information in order to determine your identity.
- Tell the customer service rep that the lost/stolen card is a Procurement Card as opposed to a regular MasterCard or Visa.
- Have the most recent transaction information available (i.e. when, where and dollar amount) as the bank's customer service rep will usually ask about the most recent authorized transaction.

If the card is reported missing before any fraudulent activity can take place, your organization will be relieved of liability. If fraudulent charges are posted before the card is reported, the cardholders department may be responsible for them.

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If a purchasing card needs to be cancelled or reported lost/stolen, your manager, director, or executive director should be notified as soon as possible after contacting U.S. Bank. The cardholder should send an e-mail memo to the purchasing card administrator indicating: the card number, date and the time the card was cancelled or reported lost/stolen to US Bank.

B. Missing Statements/ Other Needs

U.S. Banks should be contacted at 800/344-5696 for any other emergencies, account inquiries, billing information or if you did not receive a monthly memo statement.

C. Obtaining CUNE Information: P-Card Policy Questions, Forms, Other Information

CALL THE PURCHASING CARD ADMINISTRATOR AT EXT. 7370 (800) 535-5494

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Appendix 15: Business Expense Policy

Statement of General Policy

Purpose

The need for standardization of both documentation and reporting of business expenses and the increasing reporting requirement of the Internal Revenue Service and other regulatory bodies dictate that all employees of the company be guided by a common set of expense guidelines. This policy sets forth those guidelines and will be revised as needed.

This policy applies to all employees.

Policy

The primary responsibility for determining the appropriateness and validity of expenditures lies with the employee incurring the expenses and the approver of the expenditures. Employees are expected to be conservative in their spending; managers are expected to be diligent in their review.

Our policy relies upon the mature, reasoned judgment of employees and the recognition of their fiduciary obligations to senior management and the company.

Travel, entertainment, meetings and expenses incurred for the advancement of company business are a required and generally recognized means of conducting business. All reasonable expenses incurred to further Concordia University interest will be reimbursed.

Exceptions are expenses that:

Did not benefit the company's purposes

Are of a purely personal nature

Are not reasonable in the circumstances

These will not be reimbursed. All expenditures, of course, must be made in accordance with laws and regulations of all jurisdictions in which the company operates.

The general policy requires the following:

Cardholders may not approve their own expenditures.

Concordia University funds must be treated with the same discretion and prudence as an employee's own. No employee may use an expense account to enhance their standard of living or to augment their compensation.

All disbursements are to be described accurately and fully on expense reports or Expense Management reports.

The expense approver must ensure that expenditures are in compliance with and are documented as required by this policy.

Expenses charged to the U.S. Bank[®] One Card must be submitted on expense reports or through our electronic expense reporting system. Original receipts are required. Photocopies of the bills are not acceptable.

Whenever possible, the employee's U.S. Bank One Card should be used for business expenditures. Personal credit cards and cash should be used only when the U.S. Bank One Card is not accepted.

The U.S. Bank One Card is a charge card, not a credit card. Balances on a charge card must be paid in full each month.

Annual credit card fees for any card other than the U.S. Bank One Card are not reimbursable.

Employees who do not have a one card should use the company's central U.S. Bank account when ordering transportation tickets. The company account can be used with our designated travel agency. Pre-approval by Kerry Beckmann in Accounts Payable is required before the company account may be used.

Expenses incurred in regular travel between home and place of business (e.g., gas, tolls, parking, mass transit fares) are not reimbursable expenditures.

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Travel

Airline and Rail Tickets

All airline and rail tickets should be purchased with the employee's U.S. Bank One Card.

In unusual circumstances, the company account can be used. However, pre-approval from Kerry Beckmann in Accounts Payable is required. Employees who do not use their U.S. Bank One Card or the company account are responsible for obtaining their own refund for unused or partially used tickets.

Restrictions on Airline Tickets

Spousal Travel

On limited occasions, a spouse or significant other is permitted to accompany an employee on business trips. All expenses for the spouse should be paid directly by the employee or reimbursed to Concordia University by the last business day of the month that the expense was incurred.

Tickets for Affiliate Employees or Consultants

Affiliate employees or consultants must make their own travel arrangements, pay for the costs and then be reimbursed through their office.

If exceptional circumstances arise, (e.g., persons who lack access to credit traveling for job interviews), the department arranging the interview should contact Kerry Beckmann in Accounts Payable about using the company account for this purpose.

Personal Travel While on a Business Trip

Occasionally, an employee on a business trip will decide to include some personal travel. This is acceptable provided that:

The primary purpose of the trip is business

No extra expense to the company is involved

Personal travel does not interfere with the trip's business objective

Unused or Partially Used Tickets

Unused or partially used airline or rail tickets charged to the employee's U.S. Bank One Card must be returned to the designated travel agency for credit. All credits should be reflected on the expense report form.

Unused restricted tickets must be returned to Kerry Beckmann in Accounts Payable.

Personal Travel

Employees cannot use their U.S. Bank One Card or the company central account for booking personal travel. Employees are responsible for obtaining their own refunds for unused or partially used tickets regarding personal travel.

Lodging

Hotel, Laundry, Valet, Tips, Telephone, Postage

The company expects an employee traveling on company business to incur only reasonable charges. Hotel suites are permitted in limited instances, such as when they are to be used for meetings.

Hotel bills should be charged on the employee's U.S. Bank One Card and not charged to the company.

Laundry and valet expenditures should only be incurred on extended trips over five continuous days.

Do not charge telephone calls to your hotel bill. Most hotels have significant mark-ups on telephone calls. Employees should charge their phone calls to their one card.

Employees who are billed directly for phone calls should pay the bill and then submit an expense report for reimbursement.

Employees are allowed one personal call per day when traveling.

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Lodging Costs

All lodging and related, allowable hotel charges must be placed on your U.S. Bank One Card. Good judgment as to the cost of the hotel should be used.

Hospitality for Lodging

A gift up to \$50 is permissible where lodging was provided rather than a hotel expense incurred.

Auto Expense

Rental Cars, Taxis, Limousines

Favorable corporate car rental rates are available from **National Rent A Car (1-800-CAR-RENT) or Budget Rent A Car (1-800-BUDGET4)**.

To obtain these rates, employees should identify themselves and show their corporate I.D. These are available from Kerry Beckmann in Accounts Payable, Ext #7370.

Optional insurance coverage should be declined.

The use of limousines is strictly limited to special circumstances. There must be a valid reason for not using taxis or rental cars.

All employees should request a mid-size or smaller car. If this class car is not available, the car rental company will provide a full-size car at no additional cost. If a group of employees are traveling together, a larger vehicle may be rented.

Reimbursement for the use of taxis or car service after working overtime is at the discretion of the employee's supervisor.

In renting cars or using taxi and limousine services, an employee should use the U.S. Bank One Card to charge the fare whenever possible.

Tolls, Parking

Tolls and parking charges incurred for company business are reimbursable. Use your U.S. Bank One Card whenever possible.

Business Use of Personal Auto

Employees will be reimbursed for mileage incurred during business use of a personal auto. Generally, you will be reimbursed for using your personal car when it is less than the cost of renting a car (including gas). Please contact Kerry Beckmann in Accounts Payable, Ext. #7370 to obtain the mileage reimbursement rate.

Meals While Traveling

The cost of meals while traveling on business is a reimbursable expense. During business trips, when dining with family or friends, only the cost of the employee's meal is reimbursable. When expensing meals, please note the following:

Detachable tabs from dinner checks are not considered valid receipts and will not be accepted.

A register receipt or credit card receipt if above \$10 or a copy of the dinner check must be submitted.

Tips must not exceed 20% of the cost of the meal.

Alcohol is considered a non-reimbursable expense.

If meal is for more than one individual, receipt should describe who attended and the business purpose. This information can be written on the back of the receipt itself or on the expense report.

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Meetings, Entertainment, Entertainment Tickets

Meetings and entertainment expenses are reimbursable only if a substantial and bona fide business discussion, with a company employee or representative present, occurs during, directly before or directly after the meal or event.

Directly before or directly after means the same day. In the case of out-of-town business, the meal or event can take place the day before or the day after the business discussion.

Tickets to the theater or athletic events for entertaining business guests are reimbursable subject to the same criteria (i.e., a company employee or representative must be present and a bona fide business discussion must take place during, before or after the event). Costs of entertaining business associates at home are also reimbursable, subject to prudence and good judgment.

Meeting and entertainment charges must, without exception, be approved by someone who was not in attendance. Generally, this means the senior employee present should include the cost of the meeting or entertainment on an expense report. The senior employee need not pay the bill if this person:

Belongs to a different unit than the employee who submits the bill

Is attending a business function as a guest or is traveling within the territory of a another employee

Approvers must be members of the department or company incurring the charge.

Incidental Expenses

Incidental expenses include business purchases such as subscriptions, books and periodicals; incremental costs incurred for baby-sitting services due to travel; and meal expenses for necessary overtime work at the supervisor's discretion.

Late Fees and Finance Charges

Late payment fees on an employee's U.S. Bank One Card, incurred through personal fault, are not reimbursable. Employees must ensure that their approved expense reports are received by Kerry Beckmann in Accounts Payable no later than the payment due date on their U.S. Bank One Card statement.

Meal Expense for Overtime Work

Meal expenses for necessary overtime work are at the supervisor's discretion. These expenses must be occasional, of reasonable cost and have an invoice to support the expense, regardless of the amount.

Foreign Exchange Conversion

Employees should use their U.S. Bank One Card whenever possible while conducting business outside of the U.S. Foreign currency transactions will be converted to U.S. dollars and both amounts will appear on your one card statement along with the conversion rate used.

Non-Reimbursable Expenses

This policy is intended to ensure that employees:

Are reimbursed for all permissible expenditures made for the benefit of the company

May travel in reasonable comfort and safety

It is not intended to reimburse employees for daily costs, other than meals, which would be incurred if not traveling

Examples of specific items that are not reimbursable are:

Personal reading matter

Airline club memberships

Personal items such as luggage, briefcases, or handbags

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Fees for use of health clubs while traveling
Traffic fines or court costs
ATM advances (only the business expenses for which full or partial advances are used are reimbursable)
Gambling losses
Hotel in-room movies
Personal credit card and checking account fees
House sitting and pet care costs
Alcohol

Travel Advances

Travel advances are not allowed for employees who have a purchasing card assigned to them. If an employee needs a travel advance, please contact the business office.

General Requirements

The requirements for expense reports and approvals are as follows:

Copies of expense reports are not accepted unless approved by the Business Office.

Expense reports will be processed as any other invoice.

All expenses included on the expense report must be accompanied by a valid receipt, and a brief explanation of the expense. Credit card statements will not be accepted as evidence of a receipt.

All expense reports must be approved and signed by your immediate Supervisor/Manager.

All expense reports must be submitted within 5 days of incurring the expense.

Concordia University reserves the right to withhold reimbursement while it investigates expense report items.

These requirements may be modified at any time at the discretion of the Chief Financial Officer.

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Appendix 16: Guidelines for Use of Institutionally-Supported Web Publishing Tools

Introduction

Web content is a key business asset of the University, and not all content is created (nor should it be) in the marketing office. For the sake of the business aims of the University (namely recruiting more students and fostering better relationships with alumni, donors and friends), it is paramount to strategically place the important and valuable content coming from faculty members, staff, student organizations and collaborative events.

With the addition of WordPress and other web publishing tools for campus, we have simple-to-use, powerful applications that can be put to use almost instantly by faculty, staff and students. Tools this powerful, however, do have a downside if they are not coordinated well with the existing and future aims of the www.cune.edu site and social media efforts.

It is therefore important to establish conditions for use and of institutionally-supported web publishing tools for both individuals and groups on campus.

Types of Sites

The sites that may be developed using web publishing tools will typically fall into one the following categories:

Personal sites: Faculty, staff and students will have the ability to publish personal sites marked with each individual's name (e.g. in the case of WordPress, wp.cune.edu/johnsmith for faculty/staff and wp.cune.org/janesmith for students). Provided these sites follow the guidelines listed below, there are no restrictions on the creation of personal sites.

Special project blogs/sites: Faculty and staff members may wish to create or collaborate on the creation of a site for a special project. These sites will need to undergo simple review process (outlined in "Site / Project Review Procedure" below) before they are created. Any member of the faculty or staff may request such a page using the Site / Project Review Procedure.

Official student group pages: Official student groups may wish to collaborate on the creation of their own site. These sites will need to undergo simple review process (outlined in "Site / Project Review Procedure" below) before they are created. Only the official faculty advisor of a student group may request such a page using the Site / Project Review Procedure.

Content Placement Oversight

All proposals sites or projects beyond personal blogs/sites will undergo a brief review with marketing within one business week of their request to determine *how* and *where* content should be placed.

This review process helps the marketing office fulfill its institutional charter of providing a consistent and cohesive web experience to constituents (prospective students, current students, alumni, donors and friends of the Concordia) as they work toward achieving strategic aims (e.g. enrollment, campaign performance, etc.).

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Because marketing only shaping *how* and *where* content is placed, this review process allows the University to keep academic freedom in place while we also protecting its business aims.

If there are additional issues to sort through during a review a particular project (e.g. FERPA or ADA issues), the marketing department will make an appropriate referral.

Site / Project Request Procedure

Those requesting a special group site will go through the following procedure:

1. Initiate the request by completing the form at **<http://www.cune.edu/webpublishingpolicy>**
2. Meet with marketing within one week of submission to review how and where content will be placed
3. Marketing will forward requests for new sites to Computing Services
4. The site will undergo periodic review to help ensure freshness of content and a site's fidelity to its original scope as defined upon request for the site

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Sample Web Form

Requestor's Name *

<input type="text"/>	<input type="text"/>
----------------------	----------------------

First

Last

Email *

Department *

Title of Proposed Site *

Please describe and state the purpose of the proposed site *

If you are not the only administrator, who else will serve as an administrator? *

To what audience will this site be available? *

If the site is not an ongoing project, when will it no longer be needed and why? *

How often do you anticipate the site will be updated? *

Please explain your proposed update schedule. *

I have read and agree to the posted Concordia policy document for institutionally-supported web publishing tools *

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Site / Project Review Policies

Because the marketing office entrusted with determining the placement of content beyond personal blogs/sites, that office will evaluate new projects for placement with these types of questions:

1. Is the proposed content something we already do within the www.cune.edu site? Should it be?

If proposed content is something we do already on the site, we can discuss ways to assist the work being done on the content area on cune.edu.

If the content should be on www.cune.edu but isn't already—we will determine a development timeline for the project and collaborative management of the content (e.g. Student Services "For Parents" Blog found at www.cune.edu/parents).

If the content doesn't overlap what we are doing already, we will talk about if/how we can help in the development and promotion of the new site.

2. Do the web pages compete with current or future plans?

The University's overall content strategy isn't always directly apparent by looking at the site. Marketing constantly has projects in the pipeline that need to be considered when determining the placement of content.

If the proposed project competes with projects in the marketing pipeline, we will collaborate regarding the direction of those projects and their development timeline.

3. Should the web pages be private, limited to campus visitors only or others by proxy logins?

In some cases, content should be limited to campus viewers only (e.g. a site that hosts private assessment information).

4. How often will the site be updated? When will it fulfill its purpose?

How will the site meet minimum goals for the frequency of updates? How will the site remain live and active for visitors?

Conditions for Use

- After their initial development, sites should remain under the scope of the purpose as outlined during the site / project review.
- All personal sites should be named as such and should not grow in their purpose beyond *personal* entries (e.g. classroom experiences, papers and research work, upcoming projects, travel). Personal sites should not, for example, take on the guise of representation, official or otherwise, for campus groups (e.g. "The Underground English Department Page").
- To maintain the credibility of our web presence, sites should ensure the real names of all site administrators are listed publicly.

- All sites also must include a statement of purpose, indicating the scope and purpose of the site and its relationship to Concordia University, Nebraska and www.cune.edu.
- Sites that do not meet minimum goals for content updates or that fail to meet the conditions for use may be removed.

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- Sites shall not be used for fundraising purposes, whether personal or for the University.
- Because competing, duplicative efforts hinder efforts to provide clarity and consistency to visitors, all individuals who use institutionally-supported web publishing tools should observe and follow the University's "Competing Sites" policy, as included under the *Guidelines for Use of Social Networking Sites and Concordia-Related Web Content* in the Faculty and Staff handbooks (see below).

Competing Sites

You should contact your supervisor and Concordia's new media director prior to establishing websites/pages that may overlap the goals of official pages within www.cune.edu.

The aim of the competing pages/sites policy is intended to protect the efficiency, quality and long-term expectations of users.

Efficiency and quality: We want to efficiently maintain our institutional site and make sure it gets the attention needed to accomplish goals related to recruitment, reputation (branding), and development efforts.

Long-term safety: Pages within www.cune.edu should and will continue to be maintained regardless of whether specific personnel are employed by the university or available from one day to the next.

Goals, for example, of institutional web pages for academic departments, offices, events, performance groups (programs) at Concordia:

- Provide an institutionally backed web address for the public (i.e. www.cune.edu/program)
- Market the program to potential recruits, their parents and donors
- Make available news/features about the program

Sites/pages that are clearly okay:

A personal blog with comments from a coach, for example, about the season is clearly okay. As long as this type of site is clearly and directly associated with the coach rather than the team in general, there should be no "competing sites" problems.

While there would obviously be some overlap as far as the information shared, the site is not attempting to also replicate the aims of the institutional site. News about the team is shared, for example, in a coach's or player's comments or with links to www.cune.edu rather than in a game recap or another type of press release. Contact information about joining the program, etc., refers people to pages within the www.cune.edu site.

Sites/pages that are clearly out of bounds for employees or proxies:

Site/pages that, because of the domain name chosen, the site's title, or in other information, may create confusion as to whether they are the primary Concordia-backed site for a program are out of bounds.

For example, www.concordiaspeech.org would cause confusion about the official source of news about forensics at Concordia.

Conditions for account suspension

Cabinet members and/or the president of the University may suspend, remove or place other conditions on any institutionally-supported web publishing account.

APPENDICES

Appendix 17: Tuition Waiver Benefit for Adjunct Faculty Members

1. To become eligible to claim this benefit, adjunct faculty members must have previously taught 6 credit hours at Concordia. This is a one-time pre-requisite.
2. Adjunct faculty members are eligible for a tuition waiver of up to 3 credit hours of Concordia classes per semester. Concordia's MBA classes are available, but the waiver will cover only 50% of the tuition expense; the student must pay the remaining 50% of MBA tuition.
3. Only regularly scheduled academic year or summer school Concordia classes are included in the tuition waiver program. Independent study courses are not eligible under this policy.
4. The tuition waiver will be provided ONLY IF the required class enrollment minimums are obtained without counting the waived students. If minimum enrollments are not achieved, the administration reserves the right to bill students at the established rates.
5. This waiver must be applied to the semester that the instructor is teaching in. The waiver does not roll over to the next semester; if it is not used, it is void.
6. The waiver is available only to the primary instructor; it is not transferrable to family members or other people.
7. The waiver does not apply to fees, books or other charges.
8. An application for the tuition waiver must be turned into Student Financial Services BEFORE class begins EACH semester. The application form is available in Student Financial Services by request. Failure to complete the form by the required timeframe will result in the loss of the tuition benefit for the semester. The tuition waiver program is administered by Student Financial Services.
9. To receive the tuition waiver, any outstanding prior balances owed to the University must be paid prior to course registration.
10. Tuition waivers for continuing education or graduate coursework may be considered a taxable fringe benefit by the IRS and will be added to the employee's payroll for taxation purposes.