

SECTION THREE. POLICY APPENDIX

I. COMPENSATION

A. Salaries

1. The maximum, minimum, and mean salaries paid within each rank will be published and distributed annually to the faculty by the Academic Affairs Office. This office will also publish a graph chart that indicates the salary distribution of all full-time faculty.
2. The salary schedule, including prerequisites, will be continually under review by the Vice President for Academic Affairs and the Faculty Affairs and Development Committee.
3. The salary of each faculty member will be reviewed annually.

B. Pro-rata Part-time and Overload Pay Scale

The part-time and overload pay scale will be published and distributed annually each September by the Academic Affairs Office.

C. Scale of Remuneration for Summer Session Instruction

1. Payment to faculty members for teaching in the summer session will be at the following rate:

Salary is computed on the basis of two percent of the preceding year's base salary at California Lutheran University for each credit hour taught. Part-time faculty receive a salary based on the published pay scale.

2. Contracts for summer session instruction will be issued as soon as possible after course enrollments are known.

D. Fringe Benefits

The University has made all necessary modifications in its several benefit programs to comply with the federal Employee Retirement Income Security Act (ERISA) requirements. In accordance with ERISA, each eligible employee is provided with a Summary Plan Description for each program, including the plan brochures, setting forth eligibility requirements and the benefits provided under ERISA.

All benefit programs are available to all employees who meet eligibility standards and are employed for more than 1,000 hours per year (generally one-half time). Benefits based on other than a percentage of salary or wage basis are prorated for those persons employed less than full time.

For more specific information about any of the fringe benefit areas, contact the Human Resources Office.

1. Unemployment Compensation

Employees who qualify under the laws of this state may be eligible to receive unemployment compensation after termination from California Lutheran University. Details as to the plan and the processes involved are available from local offices of the California State Employment Development Department (EDD).

2. State Disability

Applications are available through the individual's private physician or the EDD office.

Under the California Unemployment Insurance Code, California Lutheran University is required to deduct one percent of gross salaries and wages monthly from all employees, as consistent with current law. Benefits are payable when an employee cannot work because of sickness or injury NOT caused by the employee's job. Benefits begin on the eighth day of disability and are payable for a maximum of nine months in accordance with a basic benefit schedule based on quarterly wages earned. The University integrates S.D.I. with sick leave and vacation.

3. Worker's Compensation

Each employee is covered from the minute he or she starts to work until the workday concludes for on-the-job accidents, injuries or health hazards caused by the job. California Lutheran University pays the total cost of this insurance. This comprehensive plan covers three major areas: industrial accident (salary for days lost on the job); medical (doctors and hospitalization); and death and disability benefits.

With respect to compensation received, the employee may receive as salary only the compensation paid under the Worker's Compensation Insurance. The employee may also elect to supplement this payment with sick leave.

4. Procedures for Filing Worker's Compensation Claim

Employees must be given a claim form stating full disclosure of their rights within 24 hours of injury coming to the attention of the University.

The supervisor will do the following:

- a. Call Human Resources Office to advise of the injury;
- b. Send employees not seriously injured to Health Services and Human Resources Offices for medical authorization slip and employee report;
- c. Fill out supervisor's report and return to Human Resources Office within 24 hours of injury.

IN CASE OF AN EMERGENCY

- a. Call x3911, Campus Safety and Services, giving exact location on campus;
- b. Call Human Resources Office to advise of injury and fill out supervisor's report.

OFF HOURS - Security officers are available to transport employees to the medical clinic, if necessary.

Disability slips from the doctor should be given directly to the Human Resources Office by the injured employee when he or she returns to work.

All injured employees not requiring ambulance services must be seen by the medical facility designated by the University.

5. Social Security

The employee's W-2 form shows the amount paid each calendar year and is sent to the employee's home by the University prior to February 1 of the following year.

Faculty who are members of the clergy may be considered "self-employed" for FICA and Medicare tax purposes. Accordingly, the University will not deduct otherwise mandatory FICA/Medicare taxes from the faculty member's pay nor will the University remit payment to the U.S. government for FICA/Medicare taxes on behalf of the faculty member. Alternatively, the University will add the FICA/Medicare tax amounts to the clergy's gross pay.

6. Carrier Benefits

In cases where a plan document differs from the handbook, the plan document takes precedence. The Human Resources web page may also be accessed to review the most current benefits summary.

7. Group Medical and Hospitalization Insurance

The University provides all eligible employees the benefit of enrolling in our group medical insurance plan. Administrators with an annual half-time contract or more are eligible for enrollment within the first 30 days of commencing work at California Lutheran University. Staff employees who work 30 hours per week or more are eligible for enrollment the first of the next month after completing 30 days. Two programs are currently available: an indemnity plan and a Health Maintenance Organization (HMO). The employee may choose either plan. The University pays the premium for the employee, and the employee may elect coverage for his or her dependents provided s/he pays that portion of the premium.

An open enrollment period is held once a year during which time employees may change from one plan of coverage to the other, if they wish. Dependents who have not been previously enrolled (and were eligible for enrollment) may sign up for coverage at this time.

Applying for a change of status for insurance is the responsibility of the employee. Adding or deleting dependents or noting a change of marital status, etc., must be initiated by the employee.

Upon termination from employment at California Lutheran University, one may apply for continuation of benefits in accordance with the guidelines established through the Consolidated Omnibus Budget Reconciliation Act (COBRA) legislation. The terms of continuation are identified in the plan summary booklet. A conversion policy is also available (see Human Resources Office)

8. Group Life Insurance

The University provides a group life insurance policy to all eligible employees within the first 30 days of commencing work. Administrators with an annual half-time contract or staff who work 30 hours per week or more are eligible to enroll. The value of this benefit is equal to two times the employee's annual base salary. The value decreases after age 65. Eligibility coincides with enrollment in the University's medical insurance plan. Details of the plan are available from the Human Resources Office. (Note: Life insurance values in

excess of \$50,000 are taxable to the employee. This tax is withheld from the employee's final paycheck at the end of each calendar year.)

9. Disability Plan – Long Term

Each employee working a minimum of 32 hours per week following one year of employment will be enrolled in a long term disability plan. This insurance premium is paid for in full by California Lutheran University. Should one become totally disabled, this plan provides disability benefits equal to 60 percent of one's Covered Monthly Salary, not to exceed \$3,500 monthly. If one qualifies for benefits under the terms of this plan, payments are made on the first of the month following six consecutive months of total disability. Details of the plan are available in the Human Resources Office. Upon enrollment in the plan, individuals receive an insurance certificate summarizing the Group Total Disability Benefits Insurance from the insurance carrier.

10. Cafeteria Flexible Benefits Plan

Employees may elect to enroll in the University's Flexible Benefits Plan (section 125/IRS code). This program affords employees the opportunity to tax defer expenses in the following categories:

- a. Dependent medical insurance premiums
- b. Uncovered medical/dental expenses
- c. Dependent Care

Tax deferred amounts must be in accordance with limits established by the IRS and California Lutheran University. Enrollment may coincide with enrollment in the University's medical insurance program or during the annual open enrollment period. Further details of this program are available in the Human Resources Office.

11. TIAA-CREF Retirement Program

The University provides to employees who meet eligibility requirements, at its cost, a retirement annuity contract with TIAA-CREF (Teachers Insurance and Annuity Association and College Retirement Equity Fund). All eligible employees will begin participation in this retirement plan upon completing one year of service (who work a minimum of 1,000 hours or more per year—administrators, half-time annual contract, and staff who work 20 hours or more per week) and attaining age 22. In any event, however, employees in eligible categories of employment who have fully vested, fully funded benefits under the terms of an institutional retirement plan of a previous employer may begin participation in this retirement plan following employment at CLU.

Brochures about the plan are available through the Human Resources Office. Summary Plan Documents are also provided to all eligible employees.

California Lutheran University contributes the equivalent of 10 percent of the employees' regular annual salary to the plan. Contributions under this retirement plan, referred to as —Plan Contributions, will be made monthly during the years of participation, except for months in which no salary is paid. (Regular salary shall mean basic annual earnings exclusive of overtime pay.)

One's income after retirement is based on the earnings and number of years in the plan. Quarterly statements are provided directly to participants from TIAA-CREF.

The Human Resources Office holds information sessions at least twice a year to advise eligible employees of the retirement program and review investment options available through TIAA-CREF.

For clerical administrators who are on the ministerial roles of the Evangelical Lutheran Church in America, the University will contribute toward the Church's retirement plan at a level equivalent to 10 percent of the employee's regular salary.

The University Retirement Plan is in compliance with ERISA and REACT (Retirement Equity Act) and the Tax Reform Act of 1986.

12. Tax-Deferred Annuities

Employees may elect to contribute to a supplemental retirement annuity on a tax-deferred basis according to the limits established by the IRS, at any time. Plan descriptions and materials are available in the Human Resources Office. This option is available to all employees. The percentage you elect to contribute to a tax-deferred annuity must be reviewed by the Human Resources Office.

13. Dental/Vision Insurance

The University provides dental and vision insurance to eligible employees within the first 30 days of commencing work. Administrators with an annual half-time contract are eligible to enroll. Eligibility coincides with enrollment in the University's medical insurance plan. Specific plan features, lists of participating physicians and application forms are available through the Human Resources Office.

14. Employee Assistance Program

The University provides an employee assistance program to eligible employees within the first 30 days of commencing work. This managed-care program offers a full range of emotional, behavioral and psychological services to employees and eligible dependents. Faculty with an annual half-time contracts are eligible to enroll. Eligibility coincides with enrollment in the University's medical insurance plan. Eligible dependents are automatically covered. Specific plan features and application forms are available through the Human Resources Office.

15. Institutional Benefits

a. Identification Cards

Each employee is required to obtain an official California Lutheran University identification card as soon after joining the staff as possible.

The I.D. card permits the faculty member to attend many on-campus functions, including athletic events, at no cost. The same applies to immediate members of the family, including spouse and children.

Lectures and concerts for which there is no charge to California Lutheran University students are also open to employees without charge.

Remember in order to take advantage of said benefit; it is imperative that the I.D. card be shown in order to gain admission.

b. Tuition Remission for Administrators and Staff

Effective June 1, 2009 all full-time administrators and staff are eligible for 80% tuition remission for spouses, registered domestic partners and unmarried dependents (through age 23) for baccalaureate work in the undergraduate program (not to exceed 130 units) and fifth year credential work (not to exceed 36 semester units). There is a one year eligibility waiting period. The reduction does not apply to fees. Classes that are audited are not covered by this benefit. Dependents must meet admission standards and must be enrolled as regular full-time students at CLU in order to receive this benefit. Dependents must complete a minimum of 12 semester credits at CLU before becoming eligible to receive tuition remission for the Study Abroad Program.

Full-time employees enrolled in graduate and credential programs will be eligible to receive 80% tuition remission. Full-time employees will be eligible to receive 100% tuition remission for the first class and 80% for

the second class taken per term in the ADEP program. Employees are limited to receiving tuition remission for a maximum of two courses per term irrespective of the program in which they are enrolled. Tuition remission is available only to classes that are applied to the completion of a degree.

Administrators with half-time annual contracts or greater and staff who work 30 hours per week or more shall benefit proportionately to their hours of employment. Dependents are defined as natural or adopted unmarried children whose status qualifies them for exemption for federal income tax purposes. This policy excludes foreign exchange students and foster children.

Tuition remission for eligible spouses and unmarried dependents will be reduced by their scholarships and grants from other sources so that total scholarships and grants will not exceed California Lutheran University's tuition. Employees who are eligible for Cal Grants for their dependents are expected to apply through the Financial Aid Office each year by March 1st for grants awarded the following year. If a Cal grant is awarded to an employee's dependents, the University will continue to grant tuition remission. The combined total award from Cal Grant and CLU's tuition remission program may not exceed 100% of tuition costs.

Prior to registering for a course for which one is entitled to a tuition discount, it is the responsibility of the employee to first secure an application from the Human Resources Office. Only via this manner does the Business Office know what charges should be applied. This should be done at least two (2) weeks in advance of registration each term.

Administrators and staff who are enrolled in programs that require participation in internships and/or clinical practicum will be required to submit a written work schedule plan to their supervisors for approval each term in advance of enrolling in these classes. The plan must identify how enrollment in these classes will impact job performance. In order to retain eligibility for benefits, staff must work a minimum of 30 hours per week and administrators must have at least a half-time annual contract. A reduction in hours to these levels will impact vacation and sick leave accruals as well as the percentage of tuition remission granted.

Tuition remission for graduate work is available for employees only.

Tuition remission for the Ed.D. program is available to full-time employees on a limited basis beginning with the 2007-08 academic year. In order to be eligible to receive this benefit, employees must meet the enrollment criteria for admission to the program and be

recommended by their respective dean or vice president. Tuition remission for this program will be awarded at 50% to no more than 20% of an entering doctoral cohort. (Example: Four CLU employees would be eligible to receive tuition remission in a cohort of 20 students; three employees would be eligible for this benefit in a cohort of 15). The Provost and Vice President for Academic Affairs must approve all of the tuition remission awards for this program.

Those individuals selected to receive this benefit are expected to remain employed at CLU for at least four years after completion of the Ed.D. program. If an employee does not remain at CLU for a full four years, he/she will be expected to repay the value of the tuition remission given on a prorated basis depending upon the actual years of service completed after earning an Ed.D. If the institution elects not to continue employment and initiates a separation, the recipient will not be expected to repay the value of the tuition remission.

If the university terminates the employment of an individual who is enrolled in classes or whose spouse, registered domestic partner and/or unmarried children are enrolled in classes, CLU will continue to grant tuition remission through that current semester/term.

Should an employee die or become permanently disabled while spouse and/or children are enrolled, California Lutheran University will continue to grant tuition remission through that current year. Future benefits are allowed deceased employee's spouse and children if the employee has been employed for 10 or more years.

(Revised June 2010)

1. TUITION REMISSION FOR ADMINISTRATORS AND FACULTY HIRED PRIOR TO JUNE 1, 1983

Eligibility age for unmarried dependents is under age 25.

Maximum reduction of tuition is 100 percent.

All other previous terms and conditions apply as specified above.

d. Tuition Exchange Program

The Tuition Exchange (TE) is an organization that allows eligible, dependent children of faculty; administration and staff from member

institutions to attend other member institutions at significantly reduced rates. In most cases, the scholarship value matches tuition at the host institution but does not include room, board, special fees, or any other non-tuition expenses. Over 400 colleges and universities from around the country are members of the TE Program. Full-time faculty, administration and staff who have completed 3 years of full-time employment are eligible to apply for TE participation on behalf of their dependent children who must be under 23 years of age. Acceptance into this program will be for first baccalaureate degrees only. The eligibility of each student applying for a TE scholarship must be certified by the TE Liaison Officer (the Vice President for Administration and Finance) and is based on the Application for Tuition Exchange Scholarship and Certification Form, which can be obtained through the Controller's Office. The application process should begin as early as September 1 of the year preceding the anticipated college matriculation. The application deadline is November 1 prior to the year of matriculation.

A limited number of scholarships are available. In the event that the number of qualified dependent children of CLU employees exceeds the available openings into the Program, employee selection will be determined by a weighted lottery system.

Complete details of this program may be obtained through the office of the Controller.

e. Preschool and Daycare Employee Discount

California Lutheran University's Preschool provides quality preschool and childcare for dependent children of faculty, administration and staff. Priority placement in the program and employee discounts is provided. Dependent children are defined as natural or adopted children whose status qualifies them for exemption for federal income tax purposes. This policy excludes foster children.

Full-time administrators, faculty and staff are eligible to receive a 30% discount for one child and a 35% reduction for two or more children (of the total). There is no waiting period to be eligible for this benefit. The discount does not apply to other fees. Administrators and faculty who have half-time annual contracts and staff who work 30 hours per week shall benefit proportionately to their hours of employment. These discounts are limited to the above amounts specified regardless of the number of parents employed by the University.

Prior to registering at the Preschool, it is the responsibility of the employee to first secure a tuition discount application from the Human Resources

Office. Applications should be completed for each year. Once the tuition application is processed, employees may proceed to register their children in the preschool and childcare program.

f. Bookstore Discounts

Normally there will be a discount of 10 % on trade books purchased by faculty, including part-time employees. This discount will apply to books that are on hand in the bookstore. No discount will apply to special orders, but shipping and handling will not be charged.

Faculty will also receive a 10% discount on CLU clothing, gift items and cards.

The bookstore may request that faculty members present their I.D. cards for identification when the discount is requested.

g. Trip Reduction Plan

The institution participates in a Trip Reduction Plan mandated by the Ventura County Air Pollution Control District (APCD).

The focus of this plan is to reduce the number of individual commutes to the campus as specified by the APCD. Participation in CLU's incentive plan requires that employees use an alternative mode of transportation at least three times per week. This may include walking to work, riding the bus, riding a bicycle, being dropped off at work, carpooling, telecommuting. Note that the Ventura County APCD carpool definition includes adults or students, 16 years or older traveling to work or school, and/or preschool children or elders dropped off at a facility within ½ mile of the worksite. Details of the University's incentive program and registration forms are available through the Human Resources Office.

II. LEAVES

A. Leaves with Pay

1. Sick Leave

After a 90-day probationary period, each employee earns one day of paid sick leave per month for a total not to exceed 12 sick days per year. Paid sick leave may be accumulated up to a maximum of 120 days. Paid sick leave is applicable to the personal illness of the employee. After three consecutive days, the University may require a physician's Return to Work Certification. The completion of this form will also be required after an employee has been hospitalized for any period of time. This form is available through the Human Resources Web Page. Upon termination of employment, no payment will be made for unused sick leave.

Absence from work due to illness in the immediate family may be charged to sick leave upon the request of the administrator. —Immediate family is normally defined as referring to members residing in the household. There may be unusual situations that could be acceptable as exceptions to this limitation. The judgment of the appropriate Vice President or Director of Human Resources would be used in making the final decision on exceptions. The administrator should request and receive approval prior to beginning to make use of this provision.

Employees are entitled to leave under the provisions of the California Family Rights Act and the Federal Family and Medical Leave Act for a period of up to 12 workweeks during any 12-month period. To be eligible for this leave, an employee must have at least one year of service and have worked at least 1,250 hours in the immediate past 12 months prior to the leave commencing. This leave will be available for persons with a serious health condition that makes the employee unable to perform the function of his or her job. This leave may be taken on an intermittent or reduced leave schedule when it is determined that is medically necessary. If the leave is for a serious health condition of the employee and is foreseeable, the employee will give the University as much notice as is practicable.

Except to the extent that the employee has available paid sick leave, such leaves will be without pay. However, if the employee has available vacation pay, such vacation pay will be utilized during this leave after any paid available sick leave has been exhausted. The University may require that any leave requested for a serious health condition of the employee be supported by a certification issued by the health care provider for the employee.

2. Bereavement

In the event of a death in an administrator or staff member's immediate family (spouse, children, parents, siblings, mother-in-law, father-in-law, grandparent, grandchildren or any other relative living in the family household), bereavement leave of up to five days may be granted with pay. Individuals who are required to travel out of state may be granted up to three additional days with pay. Bereavement leave is charged against the employee's sick leave accrual.

3. Jury Duty

California Lutheran University believes that the employees should meet civic responsibilities and urges one to serve on city, state and federal juries, if and when summoned. For this purpose, a leave of absence with full pay is granted by the University for a period of up to two weeks (ten working days) provided that reasonable advanced notice of one's obligation to serve is given. One may also keep any jury fees received. It is expected that employees called for jury duty will make an effort to keep up with their work after adjournment of the court each day.

4. Military Service – Active Duty

- a. Faculty members on tenure who are drafted for military service will hold their rights, and will be granted a leave of absence consistent with applicable law.
- b. If faculty members on tenure volunteer for military service, their employment and rights are terminated, unless they formally request the University for protection of their rights. The best interests both of the University and the individual will then be considered in acting on such requests.
- c. If a faculty member not on tenure is drafted or volunteers for military service, the leave will be granted consistent with applicable law.

5. Military Service – Reserve Duty

Two weeks of leave without pay will be allowed, annually, to a faculty member who, as a member of the military reserve or the National Guard, is required to be on active duty during the regular academic year.

B. Leaves Without Pay

All leaves of absence will be considered on their individual merits. Such leaves may not guarantee one's return to the same position.

Employee's benefits paid by the University will continue for up to three months while on unpaid leave status. After the conclusion of the three months on unpaid leave status, employees are required to pay their own insurance premiums through COBRA.

Leaves must be approved by both supervisor and appropriate Vice President.

Leaves which qualify under the Family Medical Leave Act or California Family Rights Act will provide for guaranteed return to work, so long as the leave does not exceed 12 weeks.

1. Maternity Leave of Absence

Employees who are temporarily disabled and unable to work due to pregnancy related disability would be granted a maternity leave of absence without pay for the period of the disability, provided such a period should not exceed four months. The University integrates State Disability Insurance (S.D.I.) with sick leave and vacation.

Maternity leaves will be granted on the basis of a physician's written statement that an employee is no longer able to work due to a pregnancy-related disability.

An employee who is granted a maternity leave of absence will be entitled, in addition to four months, to utilize any accrued sick leave and/or vacation benefits during the period of disability or long term disability for which the employee may be eligible.

Employees planning to take a maternity leave must submit a written request to the Human Resources Office and a physician's statement. This physician's statement shall give the University reasonable notice of the date the leave will commence, the estimated duration of the leave, and the expected return to work date. The employee must inform the University of the disability as soon as the employee becomes aware. The employee's physician must advise the University of the employee's ability to continue working through the pregnancy until the anticipated date of leave. Employees returning to work after a maternity leave must have a written release from a physician verifying that they are able to return to work and safely perform their duties. Employees must use the Return to Work Certification Form to obtain a physician's release. This form is available through the Human Resources Web Page.

The employee must keep the University informed at least every 30 days during the maternity leave as to the status of their disability as well as the employee's intent to return to work upon recovery from the disability. Employees on a maternity leave of absence are not eligible to accrue vacation or sick pay while on leave, nor are they eligible to receive paid holiday benefits. At the conclusion of the employee's maternity leave, the University will reinstate the employee to the same or substantially equivalent position.

In the event that the University cannot immediately reinstate the employee for business reasons, the employee will be placed on a preferential hiring list and reinstated to the same or a substantially equivalent position at such time as a position becomes available.

Time taken as maternity leave under this provision shall not be credited against leave provided under either the Family Medical Leave Act or the California Family Rights Act.

2. Family Care Leave

Under the California Family Rights Act (FRA) and the Federal Family and Medical Leave Act (FMLA), any employee with 12 months of service and who has worked at least 1,250 hours in the immediate past twelve months, is eligible for a Family Care Leave under the terms of this policy.

Employees are entitled to a leave of up to 12 weeks in any 12-month period for the following purposes:

1. for the birth of a son or daughter of the employee and in order to care for such son or daughter;
2. for the placement of a son or daughter with the employee for adoption or foster care; (Eligibility for a leave for the birth or placement for adoption or foster care of a son or daughter expires at the end of the twelve month period beginning on the date of the birth or the placement of the child.)
3. for the care of a spouse, son, daughter or parent of the employee who has a serious health condition.

3. Foreseeable Leave

For a leave for the birth or placement of a son or daughter in which the necessity for the leave is foreseeable based on an expected birth or placement, the employee shall provide the University with not less than 30 days notice before the leave is to begin, unless there are unforeseen circumstances which preclude the 30 days notice and then the employee should give the University as much notice as is possible.

For a leave for a serious health condition of the employee's spouse, son, daughter or parent in which the necessity for a leave is foreseeable based upon a planned medical treatment, the employee shall make a reasonable effort to schedule such treatments so as not to disrupt the University's operations subject to the cooperation and approval of the health care provider for the person with the serious health condition, and the employee shall provide the University with 30 days notice prior to the commencement of a leave except in the event that circumstances prevent such notice and then employee is to provide as much notice as is practicable. Intermittent leave or reduced leave schedule may be taken in order for the employee to attend to the serious health condition of a spouse, son, daughter or parent when medically necessary.

4. Certification of a Serious Health Condition

A serious health condition is defined under the law as an illness, injury or impairment of physical or mental condition that involves in-patient care in a hospital, hospice or residential medical care facility or continuing treatment by a health care provider. It also may involve a period of incapacity whereby the individual is absent from work, school or other regular daily activity for more than three calendar days and also involves a continuing treatment by a health care provider.

The University may require that the leave for a serious health condition of an employee's spouse, son, daughter or parent be supported by a certification issued by the health care provider of the person with the serious health condition.

Employees returning to work after a leave must have a written release from a physician verifying they are able to return to work and safely perform their duties. Employees must use the Return to Work Certification Form to obtain a physician's release. This form is available through the Human Resources Web Page.

5. Coordination of Leaves and Benefits

In relationship to other leave policies, employees taking family care leave will be required to use all available vacation entitlement during the family care leave.

After all available vacation pay has been exhausted, absence from work due to illness in the immediate family may be charged to sick leave pay upon the request of the employee. Immediate family is normally defined as referring to members residing in the household. There may be unusual situations that could be acceptable as exceptions to this limitation. The appropriate Vice President or Director of Human Resources shall make the final decision on

exceptions. After all pay entitlements under the provisions of other University leave policies have been exhausted, the remainder of the leave will be unpaid.

6. Time Off to Visit Child's School

Each employee of California Lutheran University shall be allowed up to four hours of excused absence per child per school year for purposes of visits to the child's school. A request for an excused absence should be made to the employee's supervisor as soon as the employee is aware of the need to visit the child's school. This policy relates to child in kindergarten through grade 12. A child shall include natural, adopted, foster, stepchild or legal ward living with or apart from the employee. The University reserves the right to request written confirmation from the school with respect to the date of such visit.

III. WORKING CONDITIONS

A. Closure

The Board of Regents or the President of the University, or people acting under their authority, may close the University due to circumstances beyond the University's control that impair its ability to continue normal operations. Such circumstances may include, but are not limited to, inclement weather, natural disaster, labor disputes, national emergencies, or other forces majeure. During such periods of closure, term employees shall be considered to be on leave of absence with pay, until otherwise notified.

Announcement of the closure of the University shall be disseminated by means of local radio stations. During such occurrences, the employees are requested to monitor the stations for information.

B. Disaster Plan

The Emergency Operations Plan is designed to coordinate the use of University and community resources to protect life and property immediately following a major natural or accidental disaster on the CLU campus. It is placed into operation whenever an emergency affecting the campus cannot be controlled through normal channels. The primary emergencies envisioned by this plan are a major earthquake or other natural disasters.

Copies of the detailed Emergency Operations Plan document may be obtained from the Campus Safety and Services Office. It is also posted on the CLU web page.

C. Equal Employment Opportunity

The continuing policy of California Lutheran University is to afford equal opportunities for all qualified individuals, regardless of their race, creed, color, age, national origin, ethnic origin, ancestry, religion, sex, sexual orientation, marital status, non job-related handicap or veteran status. No person shall be excluded from participation in, be denied the benefits of, or be subjected to discrimination in any program, activity or facility of the University on the basis of these factors.

It is also the policy of the University that these principles should guide interactions between all employees.

D. Nonsexist Use of Language

Language can be a powerful, although unconscious, tool in reinforcing sexism. In order to maintain high standards of scholarship in both written materials and oral presentation, the University community should consciously work toward inclusive modes of expression, that is, modes that do not discriminate on the basis of sex.

Avoiding sexist language means making a conscientious effort to choose words that are accurate, clear and unbiased. Word choice should convey underlying assumptions and attitudes of sex equality on the part of the writer or speaker.

Changes in the style and content of publications, lectures and public relations material should indicate an awareness of the following:

Male nouns and pronouns should no longer be considered appropriate as generic terms when referring to both sexes (e.g., substitute "one" or "person" or use the plural form).

People can no longer be identified by fixed roles or stereotyped duties. Sex typing can, in fact, be diminished by the use of terms that are not sex-specific and the use of examples that do not limit men or women to traditional roles (e.g., substitute police officer for policeman, homemaker for housewife, Mary Jones for Mrs. John Jones).

E. Outside Activities

See Section Two. II.E. "Outside Employment and/or Professional Activity."

F. Conflict of Interest

See Section Two. IV. B. 2. "Conflict of Interest."

G. Hazardous Waste Disposal

Employees who handle toxic or hazardous substances on behalf of the University are required to maintain, use, and dispose of such substances in accordance with applicable state, federal, and local laws and regulations as a condition of their employment. The employee may obtain assistance in ascertaining her or his obligations under these laws and regulations from the Director of Campus Safety and Services. Any employee who violates any such laws, unless such violation occurs despite reasonable reliance upon advice given by the University, shall be deemed to have acted outside the scope of her or his authority.

H. Release of Information About Students (Family Education Rights and Privacy Act)

All employees who administer student educational records are required to comply with the University's F.E.R.P.A. nondisclosure policy. Violation of said policy shall be deemed to be a breach of duty.

Annually, California Lutheran University informs students of their rights under the Family Educational Rights and Privacy Act of 1974, as amended (FERPA, also known as the Buckley Amendment). The act was designed to protect the privacy of education records, to establish the right of students to inspect and review their education records, and to provide procedures to correct inaccurate or misleading information in those education records through the hearing process. Students also have the right to file complaints with the FERPA office concerning alleged failures by the institution to comply with the act.

The act allows students the right to inspect their education records and provides that colleges and universities will maintain the confidentiality of those records. At CLU no one outside the institution will have access to a student's education records without the student's written consent, with the exception of parents who claim the student as a dependent for tax purposes. The University will inform parents if there has been a change in the student's academic standing; specifically, if the student is placed on probation or suspension or is removed from those statuses. A copy of the full text of the law is available in the Registrar's Office.

I. Fund-raising Policy

All fund-raising activities conducted on behalf of or in the name of the University by any employee shall be subject to the proper coordination and approval of the Vice President for University Advancement. Grants or gifts may not be accepted on behalf of the University unless approved by the President of the University.

Employees may not solicit funds on behalf of any organization, other than an approved University organization, on University property unless prior approval is received from the Vice President for University Advancement in consultation with the Vice President for Administration and Finance. Employees may not sell or solicit the sale of products on University property or on work time other than University-approved products, the sale of which is part of the employee's job duties or responsibilities.

No one shall appropriate to her or his own use, or the use of another, the University name, logo, seal, emblem or any other trademarks or service marks of the University without the written permission of the Vice President for University Advancement.

J. Smoking Policy

Smoking is prohibited in administrative offices (including private administrative offices), faculty offices, all meeting rooms on campus, and within 20 feet of the entrance of a building.

For the health and protection of all employees, this policy is in accordance with ordinances established by the city of Thousand Oaks.

K. Alcohol Abuse/Drug-free Workplace and Campus Policy – In Progress

1. Definitions

For purposes of this section and the following subsections, the following terms shall be defined as provided:

- a. "Controlled substance" means a controlled substance identified or described in Schedules I through V of section 202 of the Controlled Substances Act (21 U.S.C. 812) as further defined by regulation at 21 C.F.R. 1300.11 through 1300.15, and/or as defined by the state of California, as amended from time to time;
- b. "Conviction" means a finding of guilt (including a plea of no lo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the federal or state criminal drug statutes;
- c. "Criminal drug statute" means a federal, state, or other non-federal criminal statute involving the manufacture, distribution, dispensing, use or possession of any controlled substance;
- d. "Grant" means an award of financial assistance, including a cooperative agreement, in the form of money, or property in lieu of money, by a federal agency directly to a grantee. The term grant includes block grant and entitlement grant programs, whether or not exempted from coverage under the grants management government-wide regulation (Uniform Administrative Local Governments). The term does not include technical assistance which provides services instead of money or other assistance in the form of loans, loan guarantees, interest subsidies, insurance or direct appropriations; or any veterans' benefits to individuals, i.e., any benefit to veterans, their families or survivors by virtue of the service of a veteran in the Armed Forces of the United States.

2. General Statement

The University prohibits the unlawful or unauthorized manufacture, distribution, dispensing, possession or consumption, sale or use of controlled substances on or in University-owned or -controlled property or in the course of University business or activities. The University prohibits the distribution, dispensing, possession, consumption, sale or use of alcoholic beverages on or in University-owned or -controlled property and facilities. Individuals or entities including, but not limited to, students, employees, contractors, agents, volunteers or invitees, who violate this policy shall be subject to discipline, termination/dismissal, debarment, arrest or citation, as applicable. Additionally, employees or students who violate this policy may be required to participate satisfactorily in a drug or alcohol abuse assistance or rehabilitation program approved by the University.

University employees and independent contractors must not report to work or be on University controlled property while under the influence of any drugs or alcohol or other substance which will in any way affect their work performance, alertness, coordination or response, or affect the safety of others on the job, or which would affect their ability to appropriately represent the University.

Any employee who is required to use a medically prescribed or over-the-counter drug which may impair or affect the employee's alertness, coordination or responses must advise their supervisor of this fact before reporting to work. It is the employee's responsibility to determine whether or not a prescribed or over-the-counter drug may impair his or her job performance. The University reserves the right to require any employee using prescribed or over-the-counter drugs to provide a physician's certification that the use of the drug will not impair the ability of the employee to perform his or her job properly and safely.

3. Grants/Recipients/Participants

Employees who are authorized to work on any grant shall, as a condition of acceptance of and prior to commencing any such work, be required to abide by the provisions of and to execute and deliver to the University a certification on a form as follows.

4. University Response

No later than 30 calendar days after receiving a notification of a drug statute conviction as required in section K. 3. above, the University shall act as follows, with respect to any employee so convicted:

- a. take personnel action against such employee to include any range of authorized disciplinary actions up to termination/dismissal; and/or
- b. require such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved by the University.

In addition, the University shall notify the agency, which awarded the grant under which the employee was working at the time of the incident leading to the conviction, of the notification received under section K.3., no later than 10 calendar days after actual receipt.

5. Education

The University, through the Human Resources Office, annually distributes to employees, faculty and students information concerning the dangers of alcohol and drug abuse in the workplace, the provisions of section K. 1. above, available drug or alcohol counseling, rehabilitation and employee assistance programs, and the personnel actions which employees are subject to as a consequence of their violation of the provisions of section K. 2. above, or the conviction of a criminal drug statute for a violation occurring on or in University-owned or -controlled property or in the course of University business or activities.

L. Political Activity and Public Statements

See Section Two. II.E.3.

M. Use of University Facilities and Services

Faculty members may use University facilities when the use is connected to their scholarly activities. The use is subject to the availability of the facilities and must be scheduled through the appropriate scheduling authority.

Outside activities may be conducted in the individual's assigned office space so long as they are not substantial and do not interfere with the work of other faculty, staff or administration, and as long as they are in keeping with the University's mission.

Faculty secretaries, on an "as available" basis, may assist in the preparation of scholarly, non-revenue generating work.

N. Use of University Name and Seal

The University's name and seal are the exclusive property of the University and, consequently, may not be used in connection with goods or services offered or bank accounts held by any outside organization or individual without the prior

permission of the President of the University. Faculty members publish a considerable number of reports in the forms of bulletins, circulars, scientific articles, monographs, and books, some of which are copyrighted and others of which are not. Material from such recognized publications is, of course, quotable, and proper recognition should be given to both the individual author and to the University in connection with the quotations.

Official stationery may not be used in connection with “outside activities” *except with respect to those academic and scholarly activities described in Section Two.IV.F.* No report or statement relating to outside activities may use the name of California Lutheran University. The use of official University titles for personal gain or publicity is prohibited without the written approval of the President.

IV. LIBRARY AND COMPUTER USE POLICIES

See CLU Home Page, Academic Resources and Technology, ISS (Information Services and Systems), Pearson Library, Services and Policies. This information is updated regularly.

V. RESEARCH AND PUBLICATION

A. Protection of Human and Animal Subjects in Research

PROCEDURES FOR OBTAINING INSTITUTIONAL APPROVAL FOR THE USE OF ANIMALS AND HUMAN PARTICIPANTS

The IRB (or the PreBoard Reviewer) will review all projects involving animals and human participants. Projects may be approved, disapproved, approved with modifications, or identified for pending action that will require the submission of additional information requested by the IRB. The IRB will inform investigators of its decision in writing.

1. Criteria for Approval

Projects will not be approved if they do not conform to the Institutional Guidelines for Treatment of Animals and Human Participants in Research (page 3) or the Institutional Guidelines for Animal Use and Care (page 6).

2. Categories of Review

Full Board Review: A review by the entire IRB will be required for all initial studies, and for subsequent studies that do not meet the criteria outlined below.

Expedited Review: Some studies (including, but not limited to, collection of hair/nail clippings, excreta, data using non-invasive procedures typically employed in clinical practice, voice recordings, notes) that clearly and obviously satisfy the Institutional Guidelines for Treatment of Human Participants in Research (page 3) or the Institutional Guidelines for Animal Use and Care (page 6) may receive expedited review by the PreBoard Reviewer if a similar study has been previously assigned an approval number.

Exempt: Some studies (including, but not limited to, some surveys, field interviews, naturalistic observations, educational evaluation and testing) that involve only minimal risk to participants and animals may be exempt from full IRB review. In these cases, researchers must still submit an application requesting exempt status and full review.

3. Review Procedure

Five (5) completed copies of the Application to Use Human Participants in Research or the Institutional Review Board Application to Use Animals in Research and Teaching must be submitted to receive full IRB review; two (2) completed copies must be submitted for expedited and exempt reviews. Applications to use human participants submitted for full or expedited review must include a copy of the proposed informed consent form. Written consent may be waived if (a) the signed consent form may link the participant to his or her data and thus violate confidentiality or (b) the study clearly and obviously presents only minimal risk to participants.

INSTITUTIONAL GUIDELINES FOR TREATMENT OF HUMAN PARTICIPANTS IN RESEARCH¹

1. It is the investigator's responsibility to ensure that the participants' dignity and welfare are protected and that federal, state, and professional standards governing the conduct of research are met. Approval by the IRB does not preclude the necessity of obtaining approval from other governing agencies related to the study. For example, researchers studying patients in a hospital may also be required to obtain approval from the person or committee overseeing such practices at that hospital.
2. Participation in any research project must be voluntary. Participants have the right to decline to participate in any study; participants may terminate their participation in any study at any time. The investigator has the responsibility to ensure that participants understand these rights.
3. Studies may be evaluated to ascertain the degree to which participants are at risk, and any potential risk to participants must be offset by potential benefits of the research to participants or its potential contribution to knowledge. If the risk/benefit ratio is unacceptable, alternative designs must be considered or the study will not be approved and must not be conducted. Research that is redundant or trivial is not an appropriate use of energy and resources will not be approved.
4. If participants are deemed to be at risk, the investigator must obtain informed consent² prior to their participation. Informed consent requires the obligations and responsibilities of both the investigator and participants to be stated in language that is easily understandable by each. The investigator must honor all obligations detailed in the informed consent procedure (page 5). Participants must be informed of any aspects of the research that might influence their choice to participate; any inquiries about any aspects of the study must be answered to the satisfaction of the participants. Anything other than full disclosure requires additional steps to ensure that the participants' welfare and dignity are protected. Research involving children or people with impairments will require special informed consent procedures to be approved in advance by the IRB.
5. If the methodological requirements of a study require the use of deception, the risk/benefit ratio must be assessed (as in 3 above). Before such a study is conducted, the investigator must (a) determine whether deception is, in fact, a methodological necessity, (b) investigate the feasibility of using alternative procedures that do not involve deception, and (c) ensure that participants receive a full and sufficient explanation for the use of deception as soon as deception is no longer necessary.
6. During the conduct of a study, the investigator is responsible for the ethical treatment of research participants by collaborators, assistants, students, and employees, all of whom must maintain ethical standards of treatment.
7. It is the responsibility of the investigator to protect the participants from physical and mental discomfort, harm and danger during the course of research. Procedures for contacting the investigator for a reasonable period of time following the conclusion of a study should be established

¹ Adapted and paraphrased. Source: American Psychological Association (1990). Ethical principles of psychologists (Amended June 2, 1989). *American Psychologist*, 45, 390-395.

² Guidelines for Written Informed Consent are found on page 5.

and communicated to the participant in the event that questions or concerns about his or her role in the study arise.

8. At the conclusion of the study, the investigator will, in a timely fashion, provide all participants with a complete disclosure of the nature of the study; any misconceptions and questions will be settled at this time. Procedures for contacting the investigator for a reasonable period of time following the conclusion of a study should be established and communicated to the participant in the event that questions or concerns about his or her role in the study arise.

9. The investigator has the responsibility of ensuring and maintaining participants' confidentiality and/or anonymity. Participants must be assured that the information they provide to an investigator during the course of a study is confidential or anonymous unless otherwise agreed upon in advance. All informed consent forms must be retained in a locked storage compartment separate from the study's data in order to ensure confidentiality and anonymity. If others may have access to consent forms and data, participants must be informed that others indeed may gain access to this information. Moreover, in this case every effort must be exerted to maintain confidentiality, and these steps must be explained to participants as part of the informed consent procedure.

10. The University shall respect the right of students of conscientious refusal to participate in human experimentation. When a student expresses conscientious objections to engaging in a study or exercise that uses human participants, the student and the instructor will attempt to negotiate an alternative that is in the instructor's judgment an effective substitute.

11. Instructors shall make known in the syllabi any uses of human participants in a course, and students shall make known any reservations about participating in the use of such participants by the second class after receiving the syllabus in order to facilitate planning for alternatives.

12. Students and faculty unable to reach agreement on accommodation of conscientious refusal may file an appeal for mediation with the appropriate Academic Dean.

ELEMENTS OF INFORMED CONSENT

Researchers must obtain the informed consent of their participants, or the informed consent of parents or legal guardians for participants who are less than 18 years of age. The researcher should have two copies of the consent form signed by the participant who will keep one for future reference, if needed.

In the case of questionnaire research, it is generally not necessary to include an informed consent signature, as a return of the questionnaire implies consent by the participant.

The informed consent statement must include the following:

1. Statement of who is doing the study (class, research organization, researcher, etc.). (This should be the same as item 11 below.)
2. Statement of the purpose of the study.
3. Statement of the use that will be made of the data.

4. Accurate description of the methodology in lay language.
5. Statement indicating the length of time the participant will be involved.
6. Statement of risks/benefits, if any, to the participant.
7. Statement of anonymity and data confidentiality. If data is to be analyzed in aggregate, please so specify.
8. Statement that participant may withdraw from the study at any time without prejudice. For example: If extra credit is given, withdrawal will not penalize participant from receiving course credit.
9. Statement that participant may choose not to respond to any or all items of a questionnaire.
10. Statement offering to answer any questions the participant may have about the research before and after it is carried out.
11. Name, title, address, and phone number of principal researcher(s) and names of all collaborators, or if a class project, the name of the class.
12. Line for the signature of the participant (except in questionnaire/survey research).
13. (a) Statement that participants are 18 years of age or older
or
(b) If participants are under 18 years old, separate statements of informed consent, appropriately worded for participants (i.e. children or adolescents) and their parents.

INSTITUTIONAL GUIDELINES FOR ANIMAL USE AND CARE³

1. Animals shall be used only for the purpose of seeking potentially significant knowledge (in research) or for the purpose of significantly advancing students' knowledge (in teaching). The potential benefits of the knowledge shall be weighed against the necessity of using animals to obtain it, the amount of suffering animals would experience, and the number of animals that would be used. The use of animals that is redundant or trivial is not an appropriate use of energy and resources will not be approved.
2. Care and use of animals shall be in accordance with the National Research Council's *Guide for the Care and Use of Laboratory Animals*⁴ and *The Biomedical Investigator's Handbook*⁵, and the laws and regulations referenced within these publications. Laws and regulations notwithstanding, an

³ Adapted, with revisions and additions, from the American Physiological Society, *Statements on Animal Usage*, the American Psychological Association, *Ethical Principles of Psychologists, Principle 10: Care and Use of Animals*, and the Animal Behavior Society, *Guidelines for the Use of Animals in Education*.

⁴ *Guide for the Care and Use of Laboratory Animals*, National Research Council, 1996.

⁵ *The Biomedical Investigator's Handbook for Researchers using Animal Models*, (2nd edition), Foundation for Biomedical Research, 1987.

animal's immediate protection is the responsibility of the scientist. Investigators studying free-living animals should take precautions to minimize interference with individuals as well as the populations or ecosystems of which they are a part.

3. All procedures involving animals shall be closely supervised by a scientist trained in research methods, experienced in the care of laboratory animals, and dedicated to the welfare of the animals.

4. All experimental procedures (surgical and non-surgical) must be carried out in such a way as to minimize pain and distress to the animal. For example, appropriate anesthetics must be used to eliminate sensibility to pain during surgical procedures. Techniques to avoid infection and minimize pain must be followed during and after surgery. The postoperative care of animals shall be such as to minimize discomfort and pain, and in every case be at least equivalent to accepted practices in veterinary medicine.

5. If a study requires the death of an animal, the most rapid, painless, and humane method of euthanasia consistent with the study must be used.

6. When animals are used by students, it is the responsibility of the instructor to ensure that all students under his/her supervision have received explicit instruction in experimental methods and in the care and handling of the species being used. Student work shall be under the direct supervision of an experienced teacher or investigator. Responsibilities and activities of students shall be consistent with their competencies and maturity. Instructors are ultimately responsible for the welfare of all animals used by their students.

7. Only animals that are lawfully acquired shall be used in laboratory research and teaching.

8. The University shall respect the right of students of conscientious refusal to participate in activities involving the use of animals. When a student expresses conscientious objections to engaging in a study or exercise that uses animals, the student and the instructor will attempt to negotiate an alternative that is in the instructor's judgment an effective substitute.

9. Instructors shall make known in their syllabi any uses of animals in a course, and students shall make known any reservations about participating in the use of such animals by the second class after receiving the syllabus in order to facilitate planning for alternatives.

10. Students and faculty unable to reach agreement on accommodation of conscientious refusal may file an appeal for mediation with the appropriate Academic Dean.

B. Academic Fraud and Scientific Misconduct

See Section Two.IV.C.

C. Copyright Law Compliance – In progress.

D. Sale of Employee-Created Materials to University Students

Faculty and staff members often create materials in which they hold commercial interests and which might be used in courses or programs which the faculty or staff member is teaching or administering for the University. It is the policy of the University that faculty or staff members may require students to purchase materials in which the faculty or staff members holds a commercial interest for courses taught or programs administered by that faculty or staff member. In these situations, however, the faculty or staff member shall assign all income rights for all the materials sold to the University. Any income thus received shall be placed in a special fund which shall then be made available by application to faculty and staff members in order to promote research, publication, or other creative efforts.

VI. EXPENSE REIMBURSEMENT

A. General Policy

CLU employees will be reimbursed for reasonable and appropriately documented expenses incurred on authorized University business. All such expenditures must generally be approved in advance by the appropriate supervisor before submitting the necessary forms and accompanying documentation to the Business Office.

All expenses incurred and any advances received by an employee are the personal liability of the employee until she or he has complied with these policies.

B. Scope

This policy is intended to cover foreign and domestic travel as well as other business expenses incurred on behalf of the University regardless of the source of funds. However, terms of contracts or grants, departmental guidelines, etc., will take precedence if they are more restrictive.

C. Travel Arrangements

The University's exclusive travel agency is responsible for offering the lowest applicable rates for air, auto, and hotel charges. Their use is required for commercial transportation, except where impracticable, and then only with prior approval from the appropriate senior administrator.

The travel agency will provide ticket delivery service for all domestic and international flights, regardless of origin, and assist with passport and visa requirements.

D. Travel and Entertainment Expenses

Travel expenses are reimbursable only when the specific trip is authorized in advance by the appropriate supervisor. Vacation or other leave taken in conjunction with reimbursable travel must be requested and approved prior to departure.

Local business travel, parking, meals and entertainment, on or off campus, are considered proper University expenses only if they are related to the conduct of University business and only if they are authorized by the supervisor. Reimbursement for expenses is not provided when University colleagues dine together within a 25-mile radius of the campus.

The University will reimburse the reasonable cost of meals of the employee and business guests while the employee is traveling away from campus overnight. Unless directly related to the business purpose of the meal, the cost of meals for family or social friends accompanying the employee is personal expenses of the employee.

E. Transportation Expenses

Employees are expected to travel by the most direct route using the most economical and reasonable mode of travel available. If an employee travels on official business by an indirect route, reimbursement will be based on charges as would have been incurred by traveling the most direct route. Additional time required for such indirect travel will be charged to vacation or leave without pay in accordance with policies regarding such absence.

Travelers belonging to frequent flyer programs may not refuse a better fare on one airline in order to book frequent flyer miles on another. Reservations are to be made on as timely a basis as necessary to secure reduced fares. The traveler must review tickets for accuracy at the time of delivery and become aware of cancellation penalties.

F. Taxi, Local Bus, and Limousine Fares

Employees are expected to use the most economical source of local transportation available to meet their needs. All commercial vehicle rentals and fares should be booked through the University travel agency whenever feasible.

G. Auto Rental Fees

Car rental service may be used only when other ground transportation is not practicable or cost of public transportation (or taxi cabs) is greater than the rental charges.

The least costly available vehicle (economy or compact car) and rental arrangement (discount rental) are to be used, taking into consideration the number of passengers, luggage or equipment, etc. Travelers should request an educational institution rate. When a more costly rental is employed, reimbursement may be limited to the amount of the less expensive rental.

NOTE: Extra Insurance: The University will not reimburse or pay for the collision damage waiver commonly offered by rental companies, except for rentals in foreign countries. If personal accident insurance is elected on rentals, it is at the traveler's personal expense. The vehicle should be rented in the name of the University rather than in the name of the individual; otherwise, the driver's automobile insurance becomes the primary carrier and the University is the

secondary insurer. At the current time, collision damage waiver coverage is automatically provided when CLU's corporate American Express cards are used.

H. Personal Automobile Mileage Allowance

Use of a privately owned vehicle is authorized when commercial service is not available, impracticable in the circumstances, or more expensive. Except when authorized for the reasons stated above, total private automobile mileage expense is limited to the lesser of coach air transportation costs for the same destination or actual business mileage driven multiplied by the mileage reimbursement rate.

The current mileage reimbursement rate may be obtained by contacting Accounts Payable. Any changes in the IRS reimbursement schedule will be automatically implemented by the University either June 1 or January 1, whichever date comes first, after the new IRS mileage rate goes into effect.

No employee is authorized to use a privately owned vehicle on University business unless such vehicle is covered by public liability and personal injury insurance meeting minimum California state requirements. The University does not provide property damage or liability insurance coverage and accepts no responsibility for accidents and injuries for employee travel in privately owned vehicles.

I. Parking and Toll Charges

Necessary parking and toll charges incurred on University business are reimbursable in addition to mileage allowances and other transportation expenses.

J. Gratuities

Gratuities on meals and lodging should not exceed 15 percent of the base transaction.

K. Laundry and Dry Cleaning Services

The University will reimburse reasonable laundry, dry cleaning, and pressing service costs only when an employee is traveling in excess of four days without returning to the employee's home.

L. Baggage Handling

The University will reimburse reasonable and necessary baggage handling charges, but excess baggage charges will be reimbursed only when carrying University equipment.

M. Passport and VISA Charges

Passport and VISA charges are payable by the University only when required for University-related international travel.

N. Professional Association Membership Dues and Subscriptions

California Lutheran University will pay for individual memberships to professional organizations only when such membership is approved by the University. Whenever feasible, memberships and subscriptions should be in names of the University offices rather than in the names of the individual employees.

Memberships and subscriptions should be paid through Accounts Payable, when possible, and not reimbursed in expense reports. Any such expenditure must be approved by a supervisor at least one step above the person most directly benefiting from the membership or subscription.

O. Flowers and Other Gifts for Employees

Only pre-authorized expenses for flowers and gifts will be reimbursed by the University. Responsibility and coordination of sending flowers and gifts charged to the University budget will be handled through the President's Office.

P. Expense Advances

Expense advances are issued as a convenience to the employee, who is responsible to clear advances promptly.

Advances may be authorized when:

- the reimbursable expenses are expected to exceed \$100;
- the advance is approved by the departmental budget manager; and
- the employee has no advances past due for reconciliation.

Q. Credit Cards and Memberships

Upon request of the appropriate departmental budget manager and specific authorization of the treasurer or controller or his or her designee, University credit cards may be issued to the University officials with continuing need for significant expense advancements or reimbursements. Only one University credit card per employee may be issued. Exceptions based on identified need may be granted on a case-by-case basis by the treasurer or controller and the appropriate senior administrator.

No personal expenses may be charged to a University credit card. Charges to a University credit card are treated as an employee expense advance.

All credit cards are University property and must be returned to the Business Office upon request prior to termination of employment. In limited circumstances approved by the President's Office, senior administrators and development representatives may obtain memberships or charge accounts for the conduct of University business at approved vendors. In such cases, periodic billings must be signed by the authorized employee and forwarded for approval to the appropriate supervisor. Required supporting documentation is necessary for both University and IRS purposes.

R. Personal Credit Cards

An employee eligible for a University credit card may elect to use his or her own credit card and seek reimbursement for University business expenses and the annual fee (not to exceed \$25) in lieu of issuance of a University card.

S. Substantiation of Expenses

Business expenses must be properly substantiated for reimbursement and to comply with IRS rules (original documents generally required). The report must contain the following information:

- When - date of entertainment or travel;
- Where - name of place;
- Who - names of persons entertained and their titles or occupations;
- What - statement that the occasion was business related;
- Why - business reason or business benefit derived or expected; and
- Amount - receipt is needed if amount is \$25 or greater for all travel and lodging expenses.

Before expenses will be reimbursed or advances liquidated, employees must submit an approved Employee Expense Report Form with supporting documentation. Failure to provide this information within 60 days may subject the expenses to taxation on the employee's income tax return, or denial of reimbursement by the University. Expense reimbursements will not be made after 180 days.

T. Finance Review and Follow-up

Accounts Payable is responsible for the reporting and reconciling of employee expense transactions. However, the employee and the signing budget manager are primarily accountable for integrity of expense reporting.

U. University-sponsored Events

Certain administrators, including academic deans, may be reimbursed for attending University-sponsored events when a bona fide University business purpose is clearly demonstrated and is the primary motivation for attending an event. Reimbursement is generally limited to events directly benefiting the University, such as development, recruitment and board matters. (Meals for the employee's spouse are also reimbursable when a bona fide business purpose is present.) Preapproval must be obtained from the appropriate area vice president or supervisor.

V. Approval of Exceptions

The non-reimbursable items noted in the above policy may be reimbursed to individuals on a very limited exception basis when deemed necessary for the benefit of the University. All exceptions must have specific written approval of the President.

VII. EXTERNAL RELATIONS

A. Controversial Issues or Speakers

California Lutheran University is committed to free and responsible inquiry and discussion. It believes that, together with many church-related and private institutions of higher learning, California Lutheran University offers an especially appropriate setting for this kind of intellectual activity. Because of its objective of serving the church through relating students' responsibility to the whole of God's universe, the University encourages intellectual inquiry within any and all areas of legitimate academic concern. These areas will include topics of potential controversy and involve controversy and controversial personnel.

Programs involving controversial issues or personnel may be presented under the auspices of the University itself or recognized organizations on the campus of California Lutheran University. However, such presentation does not imply approval or disapproval by the University or the sponsoring organization of the viewpoints expressed. The University simply believes that the venting and discussion of issues of this kind in an academic setting will, in the long run, have a salutary effect in that the intended focus is on the stimulation of the intellect rather than the incitement of the emotions. The University further believes that the best results can be obtained from programming if subjects of controversy are examined from more than one point of view during the academic year.

B. Solicitations

1. Employees of the University

To minimize personal inconvenience and interference with orderly University operations, no employee will sell, solicit, or promote subscriptions, pledges, memberships or other types of support for any drives, campaigns, causes, or organizations on institutional property during working time. Distribution or circulation of leaflets, pamphlets, circulars, cards or other literature is not permitted during working time or in work areas, unless specifically authorized by the appropriate divisional vice president or his or her representative.

2. Commercial Solicitation

Commercial solicitation is not permitted on the campus of California Lutheran University in work areas or during work time. Exceptions to this policy are as follows:

- to meet with students with whom appointments have been made previously,

- to discuss the policy on solicitation with University administrators,
- to honor terms of various service contracts, or
- to meet with various University officials regarding pertinent services and products appropriate to their functional areas.

Working areas are all areas of the campus except the cafeteria/coffee shop, parking areas, and designated employee lounges where employees are permitted to take their breaks and/or meals.

Working time does not include break periods, meal times, or any other specified periods during the work day when employees are not properly engaged in performing work tasks.

3. Gift Solicitation

To avoid the possibility of donors to California Lutheran University being approached by several persons, the general policy is that solicitation of gifts is the responsibility of the University Advancement Office and that direct approach to potential donors by members of the faculty and staff must be made with the knowledge of the University Advancement Office.

Only the Board of Regents is authorized to take final action in accepting gifts. The Administration may accept gifts of such types as have previously been authorized by the board.

C. Recognition and Honors

Granting recognition and honors to people outside the University community is a way for the institution to honor outstanding accomplishment. The California Lutheran University awards and honors program is designed to recognize extraordinary achievements and contributions distinguished by long-standing commitment to values consonant with the goals of California Lutheran University. No award will be made to a member of the Board of Regents or any person holding a paid position at the University.

1. Major Recognition and Honors

a. Honorary Doctorate

The Honorary Doctorate will be given to an individual for distinguished contribution to a field or profession. There will be three degrees granted.

- DOCTOR OF HUMANE LETTERS (L.H.D.) This will be granted for distinguished contributions in the arts, humanities or natural sciences.

- DOCTOR OF LAWS (L.L.D.) This will be granted for distinguished civic contribution or contribution to a field or profession.
- DOCTOR OF DIVINITY (D.D.) This will be granted for distinguished service to the church and or creative contribution to theology.

No more than five honorary degrees will be granted in one year and no more than three on any occasion. Service to California Lutheran University will be a desired attribute of the recipient.

b. The Distinguished Service Award

The Distinguished Service Award will be granted for exceptional service to the church, California Lutheran University, or society as a whole. Although no specific limit is set on the number of awards in a given year, this honor will be accorded sparingly.

c. The Exemplar Medallion

The Exemplar Medallion is awarded to individuals who are examples of excellence in service, and the recipients are held before the students of California Lutheran University as worthy models of a good and useful life. The recipients are named "Exemplars of the University" and their names are inscribed on a plaque that is the permanent roll of "Exemplars of the University."

d. The Landry Medal

The Landry Medal is awarded to individuals who are recognized as leaders in their chosen profession; have provided humane and moral leadership in the institution or organization or environment in which they work; have a national reputation; have made a clear identification with the Christian community; and are models for American youth.

2. Procedures

a. Nomination and Selection

1) Honorary Doctorate

The Honors Committee (see Section One.III.B.6.) will receive personal nominations from the members of the faculty, the administration, the Convocation and the Board of Regents. Nominations will be

accompanied by a letter of nomination and a vita and are normally due on October 15.

The Honors Committee will review nominations and recommend candidates to the faculty and to the Board of Regents. Only nominations presented by the Honors Committee may be considered by the faculty or the board. The action of the faculty will be reported to the Board of Regents together with appropriate indication of faculty sentiment. The Honors Committee will present its final recommendations to the Board of Regents for action. Approval by the Board of Regents and the faculty is required for the degree to be awarded.

2) The Distinguished Service Award

The Honors Committee will receive personal nominations from the members of the faculty, the administration, the Convocation, and the Board of Regents. Nominations will be accompanied by a letter of nomination and a vita, and are normally due on October 15.

The Honors Committee will review nominations and recommend candidates to the faculty and the board. Only nominations presented by the Honors Committee may be considered by the faculty or the board. The action of the faculty will be reported to the Board of Regents together with appropriate indication of faculty sentiment. The Honors Committee will present its final recommendations to the Board of Regents for action.

3) The Exemplar Medallion

The Honors Committee will receive personal nominations from the members of the faculty, the administration, the Convocation and the Board of Regents. Nominations will be accompanied by a letter of nomination and a vita, and are normally due on October 15.

The Honors Committee will review nominations and will recommend candidates to the faculty and to the Board of Regents. Only nominations presented by the Honors Committee may be considered by the faculty or the board. The action of the faculty will be reported to the Board of Regents together with appropriate indication of faculty sentiment. The Honors Committee will present its final recommendations to the Board of Regents for action.

4) The Landry Medal

Nominations will be solicited directly by the President.

The Honors Committee will review nominations and recommend candidates to the Board of Regents for action.

5) All Other University Awards and Recognition

The Honors Committee will review and approve guidelines and procedures for all other awards and recognitions. (Student honors and awards are not included.)

D. Access to Donor Lists

Access to address lists or donor lists is limited to administrative and faculty departments and student organizations and committees. Use of such lists must be approved by the Vice President for University Advancement. Requests will be completed in the order of submission.

VIII. CHAPEL AND CONVOCATION

A. Wednesday Chapel Policy

All faculty, staff, and students are encouraged to attend chapel each Wednesday morning from 10:10 to 10:40 a.m. No classes, committee meetings, advisement sessions, music lessons, or tutoring sessions should be scheduled during this time. Offices will be closed to the public and students will not be required to work during this time. This is the one time each week when University members are invited to gather as a community and everyone should be free to attend.

B. Convocations

Academic Convocation, Founders Day Convocation, Honors Day Convocation, and other events so designated by the President of California Lutheran University are all University events. All faculty, staff and students are expected to be free to attend these events. No classes, committee meetings, or other events are to be scheduled during these times. Offices will be closed during these University events and students will not be required to work during this time.

IX. POLICY OF ACADEMIC HONESTY

The educational programs of California Lutheran University are designed and dedicated to achieve academic excellence, honesty and integrity at every level of student life. Part of CLU's dedication to academic excellence is our commitment to academic honesty. Student's, faculty, staff and administration share the responsibility for maintaining high levels of scholarship on campus. Any behavior or act which might be defined as "deceitful" or "dishonest" will meet with appropriate disciplinary sanctions, including a grade of "F" in a course, suspension, or dismissal from the University.

A. Definition of Academic Dishonesty

A general definition of academic dishonesty is "any behavior or act that implies an intent to make someone believe what is not true, as by giving a false appearance." Since intellectual honesty is central to the academic enterprise, students and faculty must accept and respect the principle of acknowledging information, ideas and language that have been borrowed from someone else. Plagiarism (any failure to document sources), cheating, unethical computer use, and facilitation of academic dishonesty are examples of behavior which will result in strict disciplinary sanctions.

B. Plagiarism

Plagiarism occurs whenever a source of any kind has not been acknowledged. Every student must understand the correct procedures for acknowledging and identifying sources of borrowed material. The basic rule is this: Give credit where credit is due. In other words, if you include any material which is beyond your firsthand experience, and which is not common knowledge of scholars in your field, you must cite your source in a way that your reader can:

1. find the source from the information in your reference and
2. immediately determine which information is your source's contribution to scholarship and which is yours.

Specifically:

- a. If you quote directly, even if you use no more than a word or phrase, you must place quotation marks around the quoted material.
- b. If you paraphrase (rephrase in your own words), you must still cite your source, including a full documentation of reference; the best procedure is to acknowledge that you are paraphrasing.

- c. If you present material that may be common knowledge, but your arrangement or discussion of that material is borrowed, you must cite that source in a reference.
- d. If you have any questions about proper ways of documenting sources in footnotes or bibliography, consult the department in which the course is taught. Departmental assistants, the Learning Resource Center and the Writing Center are prepared to assist students in proper documentation forms.

C. Cheating

Cheating covers a wide range of academically dishonest behaviors. It includes, but is not limited to, turning in someone else's work as your own, giving another student your work to pass off as his/her own, copying another student's answers in an exam setting, distributing material unauthorized by the course instructor about any exam or assignment, fabricating or falsifying information in order to complete an academic exercise or laboratory experiment.

D. Unethical Computer Use

Unethical computer use includes use of computer software (programs, documentation, data bases) in violation of copyright law. It also includes unauthorized use of computer software or hardware, such as use for private business, breaking access codes, and pranks resulting in damage to software or hardware, breach of privacy or confidentiality, or violation of copyrights.

E. Facilitating Academic Dishonesty

Facilitating academic dishonesty includes intentionally helping students commit acts of academic dishonesty. As part of a community engaged in the academic enterprise of searching for truth, students and faculty are expected to report incidents of academic dishonesty to the Vice President for Academic Affairs.

F. Procedure for Disciplining Student Dishonesty

Whenever a member of the faculty or other university official has reason to believe that a student has committed a breach of academic honesty, the faculty member or official will confront the student, allowing the student an opportunity to speak on his or her behalf. If, in the opinion of the faculty member, a breach of academic honesty as defined above has clearly occurred, the faculty member or official must file a Report of Academic Dishonesty

form with the Vice President for Academic Affairs. The form will be placed on file. This procedure should be completed as soon as is reasonably possible.

First Offense. If the Vice President for Academic Affairs determines this is a first offense, the disciplinary action will be handled by the professor. Possible sanctions may include an “F” on the assignment with no possibility of repeat, or an “F” in the course.

Second Offense. If the Vice President for Academic Affairs determines this is a second offense, in addition to the sanctions imposed by the professor, the Vice President for Academic Affairs may choose to impose additional sanctions, such as academic probation or suspension from school.

Third Offense. A third report of academic dishonesty will automatically result in the student’s suspension or dismissal from the University.

Appeals. An allegation of cheating or an imposed sanction may be appealed to the Vice President for Academic Affairs, who will then constitute a special evaluation committee using the same procedures identified for grade challenges. Such a committee will be composed of three faculty: one appointed by the dean of the school/college, one appointed by the chair of the Faculty Affairs and Development Committee, and the third appointed by the Dean of Student Affairs. The committee will choose its own chair. The committee will solicit written statements from all concerned parties and evaluate all available evidence. The committee will report its recommendation to the Vice President for Academic Affairs whose decision is final.

**X. GOVERNANCE STRUCTURES OF CALIFORNIA
LUTHERAN UNIVERSITY**

See attached Organizational Chart.