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Issued 12-98
I. INTRODUCTION

The Woodbury University Policies and Procedures Manual is designed to familiarize permanent full- and part-time employees with personnel policies and procedures. All policies, unless otherwise designated, apply to all permanent employees of the University—faculty, administration, and staff. We encourage employees to review the Manual in its entirety. New policies and/or those with significant content revision have been designated with an asterisk (*).

The contents of the Manual are in effect at issuance and supersede any prior policies regardless of an employee’s date of hire. An exception may be an existing written agreement between an individual employee and the University. It should not be construed as a legal contract between the University and its employees since only current policies and procedures are highlighted.

Other than the employment-at-will policy, the University reserves the right, at any time and without notice, to amend, supplement, or rescind any of the provisions as it deems appropriate when such action is warranted. Updated pages will be distributed as policies and benefits are revised. The Manual should be kept readily available so that updated materials may be inserted promptly.

If there are any questions concerning the application of a policy to a particular situation, please feel welcome to query your supervisor or the Human Resources Office.

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HISTORY OF WOODBURY UNIVERSITY

In 1884, Los Angeles was a rapidly growing city with a population of approximately 11,000. New business enterprises were being established and community leaders looked forward to expansion and growth. Woodbury was established to service this growing business population.

LOCATION

For the first 103 years, the University was located in central Los Angeles. In 1937, new facilities at 1027 Wilshire Boulevard were occupied and, for 50 years, that building served as the University's classroom and administrative building. In 1985, the University acquired a 22.4-acre campus in Burbank and moved to these new facilities in September 1987.

ACADEMIC PROGRAM GROWTH

Woodbury Business College (as it was initially named) was founded by educator and entrepreneur F.C. Woodbury in response to the needs of the city's growing business community. That historic link between Woodbury and the world of business has been maintained throughout the years.

In 1931, the division of professional arts was established to focus on those fields of design that are closely allied to business. Woodbury then became a college of business administration and design. In 1969, Woodbury introduced a graduate program leading to the Master of Business Administration (MBA). In 1974, Woodbury College became Woodbury University.

In 1982, a computer information systems program was added as a major, followed in 1984 by architecture. In 1987, the Weekend College program for working adults was established with the aid of grants from The Fletcher Jones Foundation and The William Randolph Hearst Foundation. In 1994 the University formally organized its undergraduate and graduate programs into three schools: the School of Architecture and Design, the School of Arts and Sciences, and the School of Business and Management. That year three majors in Arts and Sciences came into being: Psychology & Management, History & Government and Humanities & Management. Additional undergraduate degree programs have been added in the areas of Facility Planning and Management, Multimedia and Animation Arts.

Today, Woodbury is a specialized, nonprofit, coeducational and nonsectarian University. As we celebrate our 115th year, Woodbury University looks to the past for stability and guidance and welcomes the excitement and challenges of the future.

MISSION STATEMENT

Woodbury is a specialized university committed to providing professional education in its bachelor's and master's program. The aim is to prepare graduates who are articulate, ethical and innovative life-long learners.

Issued 12-98
II. EMPLOYMENT

A. SEARCH FOR PERSONNEL

1. Replacement/New Positions:

Search may be for replacement in an existing position or for an employee in a new position.

Replacement: Approval to fill a vacancy that is budgeted MAY NOT BE ASSUMED, but will be reviewed by the appropriate Cabinet Member and the President.

New Positions: Will normally be created through the planning and budgeting processes.

*The Employment Requisition Form (sample on following page) shall be completed to establish a hiring need, to revise a position, and to determine appropriate position levels and salary grades based on considerations of internal equity and market value. Approvals are required by the head of the hiring department and the appropriate Cabinet Member to implement the search process. Following these approvals, the Director of Human Resources will forward the Employment Requisition Form to the Chief Financial Officer who has final budget authority to approve the position.
**Employment Requisition Form**  
(To be used for requesting new and replacement positions)

<table>
<thead>
<tr>
<th>REQUESTING SUPERVISOR: ____________________________________________________</th>
<th>DEPARTMENT: ____________________________________</th>
<th>DATE: _____________________</th>
</tr>
</thead>
<tbody>
<tr>
<td>____ New Position</td>
<td>____ Replacement--For Whom? ______________________</td>
<td><strong>TO BE COMPLETED BY HR:</strong></td>
</tr>
<tr>
<td>____ Faculty OR ___ Staff</td>
<td>____ Eligible for Insurance Benefits</td>
<td></td>
</tr>
<tr>
<td>____ Regular OR ___ Temporary--How Long? _________</td>
<td>____ Non-Exempt Status</td>
<td></td>
</tr>
<tr>
<td>____ Full-Time OR ___ Part-Time</td>
<td>____ Exempt Status</td>
<td></td>
</tr>
<tr>
<td>Hrs./Week: ________</td>
<td>___ Staff Classification/Faculty Rank</td>
<td></td>
</tr>
</tbody>
</table>

Date Position Available: ____________________________ | Hiring Salary/Range: ____________________________

Position Title  
(Please attach a copy of the job description and state preference for advertisement of the position.)

---

**BUDGET IMPACT INFORMATION:**

<table>
<thead>
<tr>
<th>____ New Position (approved in budget)</th>
<th>____ New Position (not approved in budget)</th>
</tr>
</thead>
<tbody>
<tr>
<td>____ Existing Position</td>
<td>____ Increase in Work Hours</td>
</tr>
<tr>
<td>____ Position is less than 12 months:</td>
<td></td>
</tr>
<tr>
<td>Annual Begin Date __________________________</td>
<td></td>
</tr>
<tr>
<td>Annual End Date ____________________________</td>
<td></td>
</tr>
</tbody>
</table>

---

**DEPARTMENT HEAD/DEAN:**________________________________ | DATE: ________________________

**CABINET MEMBER:** ______________________________________ | DATE: ________________________

---

**HUMAN RESOURCES:**

---

**CHIEF FINANCIAL OFFICER:**

---

***Return to Human Resources for Posting and/or Advertising:***

**IMPORTANT:** No person may be hired and begin work in this position until after the position has been duly posted and/or advertised in accordance with university policy.

Date Posted:_________________________________________

Date Position Filled:_________________________________
2. **Search Process:**

Following approval of a position, the search process normally consists of the following basic steps (flexibility may be exercised dependent on the level of the position):

1. Establishment of a Search Committee with approval of the President if for a higher level professional or administrative position.

2. Announcement of basic information about the position on and off campus via posting and/or advertising.

3. Collection of applications by the Human Resources Office via mail, telephone and/or fax.

4. Response to inquiries including, but not limited to:
   a. Sending a letter of acknowledgement.
   b. Sending appropriate information, as applicable.
   c. Requesting further information (if not submitted with the resume).

5. Search Committee agreement on criteria for evaluating candidates and establishing a calendar for decisions, including:
   a. Closing date to receive applications.
   b. Completion date of preliminary screening and notification to those who are eliminated from further consideration.
   c. Selection date of those to be interviewed.

6. Preliminary screening and evaluation of submitted credentials by the Search Committee.

7. Selection of candidates for on-campus interviews.

8. On-campus interviews of selected candidates (appropriate administrators, including the President and Human Resources, should be scheduled to interview and/or meet candidates). Interviewers should be careful to ask only questions which relate directly to job duties and required qualifications (not about race, religion, sexual preference, ethnic background, marital status, dependent, children, etc.).
(9) Ranking by the Search Committee of those interviewed.

(10) Recommendation to the appropriate Cabinet Member and/or the President as determined by the position level.

(11) After completing the interview process and checking references, the hiring supervisor and/or search committee chair shall contact Human Resources to finalize the hiring decision to ensure that university hiring policies have been followed. The request should be made via the Employee Status Form providing the final candidate’s name, proposed job title, salary and hire date, and accompanied by the original copy of the resume. Human Resources will then extend a written offer of employment to the successful applicant. The applicant will be invited to communicate acceptance or rejection to Human Resources within a specified response period. The decision shall be communicated to the hiring supervisor, and an acceptance decision shall be followed by a formal letter of appointment prepared by Human Resources and signed by the President.

(12) Return of resumes for candidates no longer under consideration to the Human Resources Office for notification that the position has been filled and for storage based on federal record keeping guidelines.

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3. **Relocation Expense Reimbursement:**

The University shall consider reimbursement of relocation expenses for new hires, whose new residence location is at least 50 miles farther from their former residence, to a maximum amount of $1,000 for full-time faculty and non-faculty employees appointed at administrative levels I, II, III and IV. Relocation expense reimbursement must have prior authorization by a member of the President’s Cabinet. Any exceptions to the $1,000 amount require approval by a member of the Cabinet and the Chief Financial Officer.
4. **Applicant Recordkeeping:**

It is the University’s practice to retain all position applicant resumes for a period of one year to comply with federal and state recordkeeping regulations.

Deans and Department Chairs responsible for hiring adjunct members of the faculty may elect to retain resumes for a period beyond the one-year requirement as they deem appropriate for hiring needs.

Search committee members are **required** to attach all notes and comments related to reasons for rejection of a candidate or candidates in compliance with state and federal anti-discrimination regulations. At a minimum, it is necessary to note the reasons why the selected candidate was the individual best qualified for the position.

No written comments are to appear on original resumes and documents that become a permanent record in an individual’s personnel file and/or are retained for recordkeeping requirements.

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5. **Nepotism--Hiring and Employment of Relatives:**

Nepotism is favoritism shown or patronage granted to relatives or close friends.

The University's policy is to recognize talent and meritorious service in its employment practices. Job openings are filled according to the qualifications of individual applicants.

A relative of an employee, irrespective of title or position of that employee, shall follow the same application procedure and be evaluated by the same criteria as an applicant who is not so related. However, a relative will usually not participate in the employment process of a relative.

Final selection between two or more applicants is based on objective considerations. A relative of an employee will not be favored above another applicant who is better qualified. Neither will a relative be penalized by virtue of the relationship if he or she has the better qualifications. In any event, an applicant will normally not be placed in, or transferred to, a department where a relative is currently employed.
6. **Independent Contractors:**

Individuals who are independent contractors are not considered “employees for state or federal wage and hour purposes and are, consequently, not subject to the minimum wage, overtime pay, or other protections of these laws.” The most significant factor to determine whether the employment relationship is as an employee or independent contractor is if the employer **HAS CONTROL OR THE RIGHT TO CONTROL THE WORKER BOTH AS TO THE WORK DONE AND THE MANNER IN WHICH IT IS PERFORMED.**

The following “**Do-It-Yourself Independent Contractor Test**” is used by the IRS to determine if a worker is an employee or an independent contractor. It should be noted that none of these factors is controlling in and by itself. Since each situation must be examined on a case-by-case basis in light of all the circumstances, the University requests that departments complete the form, when applicable, following this section to assist in making that determination.

**Factors Used by IRS That Suggest EMPLOYEE Status:**

1. Instructions are given about when, where and how to work (this shows control over the worker).
2. Training is given to do the job in a particular way (independent contractors are already trained).
3. Services performed are vital to the University (independent contractors also offer services to the general public).
4. Services must be rendered personally by the worker (this indicates the University is interested in the methods employed and not just the results).
5. There is a continuing relationship between the worker and the University (a relationship can be considered ongoing if services are performed frequently, but irregularly).
6. Hours are set by the University, and the employee spends all of his/her time on the job (independent contractors are masters of their own time).
7. The order or sequence in which services are performed are set by the University (this shows control over the worker).
8. Regular or written reports by the worker accounting for his/her actions (this may show lack of independence).
(9) The University pays business or travel expenses (this tends to show control).

(10) The University provides tools, materials, or significant equipment to do the job.

(11) The University has the right to discharge a worker (an independent contractor cannot be fired since doing so would create a breach of contract).

(12) The worker has the right to terminate at any time without incurring liability (an independent contractor has a legal obligation to complete the contract).

(13) The individual works on the University’s premises. If not, Woodbury controls the route or location where the work must be performed.

Factors That Suggest INDEPENDENT CONTRACTOR Status:

(1) The worker is paid on a “job-by-job” or commission basis and submits an invoice for payment of services rendered.

(2) The worker invests in facilities used by him/her to perform services.

(3) The worker can realize a profit or loss based on performance of services.

(4) The worker provides services to more than one firm at a time.

(5) The worker makes his/her services available to the general public.

(6) The worker hires, supervises, and terminates his/her own assistants.

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INDEPENDENT CONTRACTOR QUESTIONNAIRE

This questionnaire must be completed by the individual providing services. Please answer the following questions by checking the appropriate boxes.

1. Does the University have the right to control how the work is performed?
   p YES  p NO

2. Do you make your services available to other clients or the general public?
   p YES  p NO

3. Does the University provide training to you?
   p YES  p NO

4. Do you set your own hours of work?
   p YES  p NO

5. Has an agreement or contract been signed between you and the University?
   (If yes, please attach a copy.)
   p YES  p NO

6. Do you furnish your own tools?
   p YES  p NO

7. Do you perform the tasks off University premises?
   p YES  p NO

8. Please provide any additional information that may be helpful.

Signed: _____________________________ Dated: _______________________

This section to be completed by the departmental administrator:

The above information has been reviewed by me and is believed to be correct.

Signed: _____________________________ Dated: _______________________
Department: _______________________________________________________

This section to be completed by Human Resources:

The above individual has been determined by me to be an:

   p INDEPENDENT CONTRACTOR  p EMPLOYEE

Signed: _____________________________ Dated: _______________________

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B. EQUAL EMPLOYMENT & AFFIRMATIVE ACTION PLAN

Equal Employment Opportunity Officer:

The Director of Human Resources serves as Equal Employment Opportunity Officer and is authorized to establish, disseminate and enforce the Equal Employment and Affirmative Action Policies of the University.

Nondiscrimination Clause:

Woodbury University agrees, and obligates vendors and/or contractors, not to discriminate against any employee or applicant for employment because of the employee’s or applicant’s race, religion, marital status, national origin, ancestry, citizenship, gender, sexual orientation, age or physical handicap, and that all contracts and subcontracts awarded by the university shall contain a like nondiscrimination clause.

Policy:

The University shall make a good faith effort to include within its employ members of underrepresented groups in numbers proportionate with the minority composition of the population of the County of Los Angeles and shall require certification of nondiscrimination and equal employment practices from contractors from whom it obtains bids and with whom it conducts business over the amount of $500.

Detailed requirements are contained in the Equal Employment and Affirmative Action Plan adopted from the City of Los Angeles and on file in the offices of the President and of Human Resources.

Procedures:

1. Equal Employment Practices

The University represents that it will provide equal employment practices through:

   a. Ensuring that in its employment practices persons are employed and employees are treated equally and without regard to or because of race, religion, marital status, ancestry, national origin, citizenship, gender, sexual orientation, age or physical handicap.

   b. Stating in solicitations or advertisements for employees that all qualified applicants will receive consideration for employment without regard to their race, religion, ancestry, national origin, sex, age, or physical handicap. Such statement shall appear as “WOODBURY UNIVERSITY IS AN EEO/AA EMPLOYER.”
2. **Affirmative Action Plan**

a. The University shall recruit and make efforts to promote applications from minorities through:

(1) Advertising employment opportunities in minority community news media as applicable.

(2) Encouraging present minority employees to refer friends and relatives.

(3) Maintaining a file of names and addresses of minority applicants selected for interview and the action taken.

b. The University shall continually evaluate personnel practices to ensure that hiring, upgrading, promotion, transfer, demotion, etc. are made to achieve and maintain an ethnically diverse work force.

c. The University shall make a good faith effort to contract with minority contractors, subcontractors and vendors for services and supplies by taking affirmative actions. Where problems are experienced in complying with affirmative action obligations, the University shall document its good faith effort to comply with the requirements.

d. The University shall be responsible for obtaining affirmative action plans from suppliers who furnish over $5,000 of any awarded contract.
C. INTER-OFFICE TRANSFER AND PROMOTION

Policy:

Inter-office transfers and promotions are generally recognized as a cornerstone of good employment practice, and it is the University’s policy to encourage transfers and promotions as a means of providing opportunities for employee growth and job enrichment. It is important that open communication take place between the departments involved so that adequate staffing and efficiency are maintained throughout the institution.

Generally, transfer requests will be considered only if an employee has worked in their present position for at least six months and is fully qualified for the new position.

Procedures:

1. The job vacancy shall be posted for a period of not less than five days to give all qualified full and part-time employees an equal opportunity to apply. The basis for promotion and/or transfer are:

   b. Competence and basic skills.
   c. Attendance record, etc.

2. Before the importing office schedules any interviews, the head of that office or their designee shall initiate discussion regarding the transfer possibility with the applicant’s supervisor and the Human Resources Office for evaluation purposes. Final selection of candidates for filling vacancies rests with the department head that has the job vacancy.

3. It shall be understood that job transfers are not necessarily at the same position or salary level, but are subject to the position category and salary of the prevailing opening. In the case of promotion, the employee shall normally assume a classification at a higher administrative or classified level.

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D. *DEMOTION

A demotion means the movement of an employee with permanent status in one class to a position in a lower class for which the employee is qualified to perform the work. An employee may request to voluntarily move to a position in a lower classification for personal reasons or in lieu of layoff. An employee may also be demoted involuntarily in lieu of layoff or as the result of disciplinary action.
III. APPOINTMENT

A. *ORAL EMPLOYMENT DISCLAIMER

No person at the University now has or in the past has had the authority to make any binding oral promises, assurances, or representations regarding employment status or security. Therefore, no employee can legitimately rely on any such representation in the future, or continue to rely upon any such representation made in the past. Any such representations made prior to the effective date of this policy are hereby rescinded and superseded by the policy.

B. EMPLOYEE CLASSIFICATIONS

1. Introductory Employee (non-faculty):

A new employee’s initial 90 calendar days of employment is referred to as the “introductory period.” During this period an employee is an “introductory” employee.

2. Regular Full-Time Employee (non-faculty):

An employee who successfully completes the introductory period is a “regular” employee hired for an indefinite and unspecified duration. Accordingly, a regular employee’s employment is at the mutual consent of the employee and the University and is terminable at will by the employee or the employer, with or without cause, at any time during the employment relationship.

3. Faculty Employee:

The Faculty Personnel Committee assigns full-time members of the faculty, including full-time librarians, rank based on factors stipulated in the FULL-TIME FACULTY HANDBOOK.

4. Exempt Employee:

An exempt employee is a regular employee who is determined to be exempt from the overtime provisions of the Federal Fair Labor Standards Act and any applicable state laws. Basically, an exempt employee’s primary work must include work requiring the exercise of discretion and independent judgment under only general supervision.
5. **Non-Exempt Employee:**

A non-exempt employee is a regular employee who is determined to be covered by the overtime provisions of the Federal Fair Labor Standards Act or any applicable state laws. A non-exempt employee is entitled to overtime pay for work in excess of 40 hours in a workweek. Non-exempt employees include, but are not limited to, clerical, office support and maintenance support.

6. **Part-Time Employee:**

A part-time employee (excluding student employees) is a “regular” employee who is regularly scheduled to work less than 40 hours per week. A part-time employee is not eligible for University sponsored benefits. Non-faculty part-time employees working at least 20 hours weekly are entitled to pro-rated vacation, holiday, and sick leave. An exception may be considered to continue insurance benefits ONLY for a full-time (40 hours per week) employee whose hours are reduced to not less than 30 hours weekly.

7. **Adjunct Faculty Employee:**

Adjunct faculty employees are educators who carry less than a full-time faculty member’s load for each term in which they teach. Teaching appointments for adjunct faculty are issued each academic term.

8. **Temporary Employee:**

A temporary employee is an employee who works on a job of limited duration arising out of special projects, abnormal workloads, or emergencies. An employee’s status will not change from that of a temporary employee to another status unless specifically informed of such a change, in writing, by the Director of Human Resources. Temporary employees are ineligible for University sponsored benefits.

9. **Student/Temporary Employee:**

A student employee is a temporary employee who is scheduled to work in an on-campus office for a limited duration of time. Non-student employees may occasionally be hired on a temporary basis. Under no circumstances will a student/temporary employee work more than 19 hours weekly and/or 999 hours in a calendar year. Student/temporary employees are ineligible to participate in any University sponsored benefits including sick, holiday, and vacation benefits.

Issued 12-98
C. *EMPLOYMENT AT WILL*

The employment relationship is based on the mutual consent of the employee and Woodbury University. Since California is an “at will” state, employment and compensation can be terminated at will, with or without cause, and with or without notice, at any time. Nothing in this Manual or any document or statement shall limit the right to terminate employment at will with the exception of employees who have a duly executed written term of employment; e.g., faculty.

D. ORIENTATION

Each new employee is scheduled for an orientation session with the Director of Human Resources to receive an introduction to the University, its history, its operations, its personnel policies, and a review of employee benefits. During this time employees also complete new-hire, benefit, and payroll paperwork.
E. INTRODUCTORY PERIOD

All new non-faculty employees work on an introductory basis for the first 90 calendar days after their date of hire. This “getting acquainted” period provides the supervisor an opportunity to determine the ability with which the employee performs his/her job and provides the employee the opportunity to decide if he/she is satisfied with the position. Woodbury reserves the right to extend the duration of the introductory period when such an extension is deemed appropriate. This also applies to an employee who previously worked at the University and returns after employment has been terminated. During this time, all full-time and part-time employees are on an introductory status, and employment may be terminated without advance notice either by the employee or the University.

The immediate supervisor will evaluate the employee’s performance and development, and every effort will be made to assist the employee in adjusting successfully to his/her new responsibilities. The evaluation process during the introductory period shall include notification of job expectations; counseling by the supervisor as it relates to performance, strengths and weaknesses; and the opportunity for input by the employee. These sessions should be summarized in writing, with the employee’s knowledge, to form a basis for promotion to “regular” employee status or otherwise at the end of the 90-day period.

Upon completion of three months of employment, the supervisor will conduct a standard performance evaluation with a recommendation via the “Status Advice” form to the appropriate Cabinet Member concerning a change of status to regular employment.

Benefits shall be in effect as stipulated in this Manual, except those employees are encouraged not to take paid vacation and sick leave during the introductory period.

Issued 12-98
F. **JOB RESPONSIBILITIES**

During a non-faculty employee’s first three months of employment, it is the supervisor’s responsibility to clearly explain the job responsibilities and performance standards expected of the employee. All employees should be aware, however, that job responsibilities may change from time to time, and that they may be asked to work on special projects or to assist with other work necessary or important to the operation of the department or the University. Cooperation and assistance in performing such additional work is expected. The University reserves the right, at any time, with or without notice, to alter or change job responsibilities. When job responsibilities are significantly increased due to changes authorized by a supervisor, a new position description should be prepared and submitted to the Director of Human Resources. Any recommendations for reclassification, promotion, or pay adjustment will be made following review of the new job description.
G. *PROGRESSIVE DISCIPLINE*

Progressive discipline can be an effective method for supervisors to utilize in dealing with performance problems. The first step in such an approach involves reinforcing what is expected, initially on an informal basis (verbally). If performance does not subsequently become satisfactory, the next step usually depends upon how long the individual has been in the job.

If the employee is still in his/her introductory period, it may be appropriate to terminate the individual. If the person has completed almost all of the introductory period, the supervisor may wish to prepare a written performance evaluation, concluding with a decision to either terminate the employee or to extend the introductory period. Consultation with the Director of Human Resources and appropriate Cabinet Member should be solicited before either of these actions is taken.

Once an employee is beyond his/her introductory period, it is recommended that the supervisor direct a warning letter to the employee. The letter should detail exactly what the performance standards are, citing specific examples (whenever possible) of substandard work and outlining the steps that need to be taken in order for the person’s performance to become satisfactory. Depending upon the circumstances in each case (the type and severity of the performance problem, the employee’s length of service, etc.), it may be reasonable for a second warning letter to be issued. If the warning letter(s) do not lead to adequate progress toward satisfactory performance, a decision to terminate employment may be made.

Since termination of employment is viewed as a serious matter, the appropriate Cabinet Member must be involved in the decision to terminate, and any such decision must follow consultation with the Director of Human Resources and the Chief Financial Officer. The terms and conditions relating to a termination action will vary depending on the circumstances in each case. In some cases, it may be preferable to offer the employee the option of resigning rather than going through an extended disciplinary procedure. Discharge without prior warnings may be justified for serious offenses, including theft of University property, sexual harassment, the use of drugs or alcohol on campus, etc.

The issuance of a first or second written warning letter is not required before a termination can occur. Depending upon the prior history and severity of the performance problem and the extent of verbal warnings and feedback, the supervisor and the appropriate Cabinet Member may in their discretion decide that the best course of action is immediate termination, without any additional verbal or written warnings.

It should be noted that formal disciplinary procedures are designed to correct performance.

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**H. JOB DESCRIPTIONS (ADA COMPLIANCE)**

Job descriptions are maintained for all administrative and classified employees in compliance with the ADA and other applicable federal and state guidelines and are regularly updated by the incumbent and by the supervisor as part of annual employee evaluations or as mandated by position changes. Whenever a substantial change occurs in the duties and responsibilities of a position, an updated job description should be completed and forwarded to the Human Resources Office.

The following steps serve as guidelines for preparing job descriptions in compliance with the ADA:

1. **Focus on results.** The job description should focus on the result to be achieved rather than the procedure to obtain that result. For example, the essential functions of a maintenance employee who has access to a dolly might be described as “moving heavy containers from one campus location to another,” rather than “lifting and carrying heavy containers.” (An ADA requirement)

2. **Describe qualification standards.** These requirements might include education, licenses, experience, training and interpersonal skills. State the physical and mental abilities required, such as being able to work under noisy or dusty conditions, or the ability to drive a car, or work under pressure. Remember that the standard must be job-related and justified by a business necessity.

3. **List functions.** List the tasks performed by current and past employees in the position. Interview workers to determine exactly what they do, how they do it, and how much time is spent on various tasks.

4. **Determine which tasks are essential.** Identify which tasks are critical to the position and the amount of time spent on each. Also, consider which functions are essential either because other employees are not available to perform them or because the duty is rarely performed, yet critical to the job.

5. **Always include a catchall.** Job descriptions should state that additional or different functions might be assigned to the employee periodically.

Issued 12-98
I. AMERICANS WITH DISABILITIES ACT COMPLIANCE

Policy:

On July 26, 1992, Title I of the Americans with Disabilities Act (ADA) went into effect. This provision prohibits discrimination against all disabled individuals in all aspects of employment, including hiring. It does not require employers to hire applicants with disabilities over non-disabled applicants, nor does it affect the right to select the most qualified applicant and to make employment decisions based on reasons unrelated to the existence or effects of a disability. However, a “reasonable accommodation” must be made to the known physical or mental limitations of a disabled individual. Reasonable accommodation is defined as modification to a job, the work environment, or usual procedures which provides equal employment opportunity to qualified individuals with disabilities without causing undue hardship to the employer. Undue hardship is an action that requires “significant difficulty or expense” in relation to the size of the employing firm, available resources, and the nature of the operation.

The duty to accommodate, while extensive, is not unlimited since it applies only to a person who is a “qualified individual with a disability,” defined as “an individual with a disability who satisfies the requisite skill, experience, education and other job-related requirements of the employment position such individual holds or desires, and who, with or without reasonable accommodation, can perform the essential functions of such position.”

Procedure:

1. The ADA prohibits most pre-employment inquiries concerning an individual’s disability status. Even where an applicant’s disability is evident, inquiries as to the existence, nature or severity of the disability cannot be made except under very limited circumstances. An interview should focus on the ability of an individual to perform the essential functions of the job with or without reasonable accommodation. An interviewer may describe or demonstrate the essential functions or tasks of the job and ask the applicant to describe or demonstrate how he/she would perform those functions with or without reasonable accommodation. It is important to apply the same standards in the interview for everyone applying for a job in a particular category, regardless of disability.

2. Previous employers may be contacted to determine the nature of accommodations made by that employer for qualified individuals who indicate they could perform the essential functions of a job with reasonable accommodations. However, they may not be asked about the applicant’s disability, illness, or worker’s compensation history.
3. Any test administered must be in a format and manner that does not require the use of an impaired skill unless the test is designed to measure that particular skill. If a test tends to screen out an individual with a disability, it must be job-related and consistent with job necessity.

4. Any acts of actual or perceived discrimination should be promptly reported to a department supervisor or the Human Resources Office so that appropriate corrective action may be taken.
J. IMMIGRATION LAW COMPLIANCE

The University is required by federal immigration laws to verify the identity and work and immigration status of all individuals at the time of hire. Because of this requirement, new employees are asked to furnish documentation showing their identity and legal status to work. The employee must also attest to their legal status and identity by completing a Form I-9 provided by the federal government. This verification must be completed as soon as possible after an offer of employment is made and in no event more than three business days after an individual is hired. All offers of employment and continued employment for positions in the United States are contingent upon furnishing satisfactory evidence of identity and legal status in the country; i.e., United States Passport, Certificate of U.S. Citizenship, Alien Registration Card or a state issued driver’s license and an original Social Security card, etc.
K. NON-SMOKING OFFICES

Woodbury is committed to a philosophy of good health and a safe work place. In keeping with this philosophy, it is important that the work place and office environment reflect a concern for good health. Smoking is therefore not permitted inside offices or work areas. Employees who wish to smoke must limit their smoking to break and meal periods within designated smoking areas that are at least 20 feet from a building entrance.
L. SAFETY

Every employee is responsible for safety and must be safety conscious in order to achieve the University's goal of providing a completely safe work place. Employees should immediately report any unsafe or hazardous condition to their supervisors or to the Maintenance Department. Every effort will be made to remedy problems as quickly as possible.

IN CASE OF AN ACCIDENT INVOLVING PERSONAL INJURY TO AN EMPLOYEE, REGARDLESS OF HOW SERIOUS, THE SUPERVISOR OR THE HUMAN RESOURCES OFFICE SHOULD BE NOTIFIED IMMEDIATELY.
M. CHANGES TO EMPLOYEE INFORMATION

Employees are requested to report to Human Resources any changes involving name, address, phone number, person to contact in case of emergency, etc. Supervisors are requested to report to Human Resources via an Employee Status Advice form any changes of employment/payroll status of those whom they supervise.
BLANK PAGE FOR FUTURE EXPANSION
IV. SUPERVISION AND EVALUATION

A. NON-FACULTY EMPLOYEES:

1. SUPERVISION

Supervision includes:

a. A clearly written job description.

b. Observation and systematic guidance.

c. Periodic and systematic evaluation based upon published criteria.

d. Written evaluations for file both at the point of periodic evaluations and at the point of work behavior that deviates from the norm in either a superior or inferior way, and a decision to continue or discontinue employment. Performance evaluations are a required part of supervision.

2. PERFORMANCE EVALUATION PROGRAM

Policy:

It is the University’s policy to evaluate the performance of permanent non-faculty employees annually and to evaluate the performance of introductory employees prior to completion of the initial three months of service in a position. The objectives of the evaluation system are to:

a. Provide accurate methods to evaluate employees.

b. Improve employee work performance and enhance efficiency and productivity.

c. Encourage continued growth and development of all employees.

d. Provide documentation to support salary increases, promotions, reassignments, demotions, and dismissals.

Procedures:

a. FORMS TO USE:

There are two forms—one for Administrative & Professional employees, and one for non-management Staff employees.

(1) Administrative & Professional:

This form is used for exempt employees who are responsible for rating and supervising others. All administrative or supervisory employees are rated on this
form unless an exemption by classification is requested and approved.

(2) **Staff:**

This form is used for non-exempt employees who are not responsible for rating and supervising other employees.

b. **FREQUENCY OF EVALUATION:**

(1) **Permanent Employees:**

a. The performance of all permanent employees is evaluated annually. This annual evaluation should be completed within 90 calendar days prior to the end of the fiscal year.

b. The supervisor who has first-hand experience or knowledge of the work being performed conducts the evaluation.

(2) **Introductory Employees:**

a. The performance of employees who have been hired, reinstated, promoted, demoted or reassigned will be evaluated at the completion of three months of service in a position. This three-month period is referred to as the introductory period for new hires or reinstatements and as the trial period in cases of promotions, demotions, and reassignments.

b. If an introductory or trial employee does not receive a performance evaluation at the end of the initial three-month period, the employee will be granted permanent status by default unless the introductory or trial period is extended.

(3) **Extension of Introductory Period:**

The introductory period may be extended for a maximum of three months provided that the employee, prior to the end of the introductory period, receives an Official Warning Notice of Substandard Performance.

c. **INSTRUCTIONS FOR COMPLETING THE RATINGS (SECTION IV):**

(1) **General Information:**

a. Of the performance factors (A through K for administrative & professional employees and A through I for staff employees), the employee (self-
evaluation) and the supervisor (employee evaluation) are asked to rate only those factors relevant to the position being rated.

b. Both Employee and Supervisor are invited to include remarks in the COMMENTS section for each factor. For any item rated beyond or below standards, it is helpful to cite an example to clarify the rating. These illustrations should be objective and job-related.

c. The self-evaluation encourages the employee to be proud of his/her accomplishments and candid about weaknesses. It is important to be frank and open during the evaluation interview between employee and supervisor.

(2) Overall Evaluation (Rating):

a. The overall rating is intended to communicate the supervisor’s assessment of the employee’s performance on the job as a whole and, in the case of self-evaluation, for the employee to communicate perception of their performance on the job. It takes into account the total job performance and focuses on how well the employee met the most important aspects of the position as defined in the job description.

b. Performance on the critical aspects of the job determine the overall rating. Note that the overall rating is not necessarily the same as the rating checked most frequently on the evaluation form. Rather, it is a measure of quality of the total performance on the job.

d. **INSTRUCTIONS FOR COMPLETING “DEVELOPMENTAL PLAN” (SECTION V):**

(1) **Self-Evaluation:**

a. Completion of the **Employee’s Performance Objectives** column provides the employee an opportunity to contribute to improving his/her performance and working relationship with the supervisor. Employees are asked to list performance goals for accomplishment by the next evaluation period related to areas for improvement with reference to improving deficiencies and to building on strengths, and/or contributing to overall University operations.
b. The **Employee Comments** section should be used to include major or new accomplishments; assistance required to meet and/or maintain performance requirements; what he/she considers to be major disappointments, weaknesses, or frustrations; what he/she likes/dislikes about their job; etc. (please attach an additional page if necessary).

c. The **Supervisor’s Comments** column is to be completed by the supervisor as part of the supervisor’s evaluation of the employee’s job performance.

(2) **Supervisor’s Evaluation:**

a. Completion of the **Supervisor’s Comments** column by the supervisor is intended to communicate his/her assessment of the employee’s performance on the job as a whole by taking into account total job performance.

b. Focus is on goals completed, plan of action for new goals, specific methods by which the employee can work toward accomplishing his/her performance objectives, etc. (please attach an additional page if necessary).

e. **PERFORMANCE EVALUATION INTERVIEW:**

(1) **Employees:** An honest self-evaluation serves as a foundation for assisting the supervisor to help employees to better perform their jobs.

(2) **Supervisors:** Comment on any significant points the employee may have omitted. Note points of agreement and disagreement. Clarify conflicting perceptions in the evaluation interview and, where appropriate, develop objectives to focus on these areas. Discuss what is expected of each other, motivate the employee to improve performance and plan realistic objectives.

The evaluation interview is a formal presentation of information that will continue to be exchanged on an informal basis throughout the year. The difference during the annual process is that feedback covers a longer time than in informal discussions.
(3) **Concluding the Evaluation Interview:**

a. It is important for the employee to summarize to his/her supervisor the main points discussed and to reiterate specific plans. Continue with questions if there is the slightest suspicion that expectations are unclear to either party. These few concluding minutes are critical to the implementation of all the plans discussed during the interview.

b. The conclusion of the meeting should be enthusiastic, positive, and forward-looking so that both employee and supervisor will begin the next evaluation period with high expectations.

c. Both supervisor and employee should sign where indicated at the bottom of Section V.

d. The employee should be provided a copy of the supervisor’s evaluation and his/her self-evaluation at the conclusion of the meeting.

e. Original copies of both documents for each employee should be submitted to the Human Resources Office for permanent personnel files.

The following pages present the four evaluation forms used in the process:

1. Administrative & Professional Employee Performance Evaluation (SELF EVALUATION)

2. Administrative & Professional Employee Performance Evaluation (SUPERVISOR EVALUATION)

3. Staff Employee Performance Evaluation (SELF EVALUATION)

4. Staff Employee Performance Evaluation (SUPERVISOR EVALUATION)
WOODBURY UNIVERSITY
ADMINISTRATIVE & PROFESSIONAL
EMPLOYEE PERFORMANCE EVALUATION
(EMPLOYEE SELF-EVALUATION)

I. PURPOSE OF EVALUATION

The performance evaluation process is intended to build on the working relationship between employee and supervisor and is designed to evaluate an employee's performance. During the evaluation interview, the employee and the supervisor should plan together to build on strengths and to develop those areas needing improvement.

Supervisors—In evaluating an employee’s performance, identify strengths and areas of performance which require improvement. It is advisable to provide examples of the employee’s performance to illustrate the ratings you give. After the interview, follow-up on the plans developed by you and the employee.

Employees—The more involved you are in the evaluation interview, the more effective the process is likely to be. Please be prepared by completing the self-evaluation factors in Section IV and the Goals/Comments column in Section V. During the interview, ask your supervisor to clarify expectations of your performance. Discuss your accomplishments and long-term goals. After the interview, follow-up on the plans developed by you and your supervisor.

II. GENERAL INFORMATION

Name: ___________________________ Title: ______________________________

Department/Office: _______________________________________________________

Evaluation Period: From_______________________ To_______________________

Type: End of 90-Day Introductory Period______________ Annual________________

III. POSITION FUNCTION (Supervisor and employee should carefully review the job description together at the beginning of the evaluation cycle.)

Has the job description been reviewed by employee and supervisor? Yes_______ No________

Does the current job description properly describe this position? Yes________ No_______

Are there responsibilities to be: Added? _________ Deleted? _________ Rephrased? _________

(If so, please mark changes on the job description and return with this summary, or indicate in the space provided below.)

________________________________________

________________________________________

________________________________________

________________________________________
IV. OVERALL RATING KEY

<table>
<thead>
<tr>
<th></th>
<th>EXCEEDS EXPECTATIONS</th>
<th>MEETS EXPECTATIONS</th>
<th>NEEDS IMPROVEMENT</th>
<th>UNSATISFACTORY</th>
</tr>
</thead>
<tbody>
<tr>
<td>OUTSTANDING</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>1</td>
<td>OUTSTANDING—Employee has exceeded performance expectations and makes unique and significant contributions to the department through superior performance.</td>
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<tr>
<td>2</td>
<td>EXCEEDS EXPECTATIONS—Performance of the job duties and responsibilities is highly effective. Employee consistently works beyond requirements of the position.</td>
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<tr>
<td>3</td>
<td>MEETS EXPECTATIONS—Employee consistently and effectively meets job duties and responsibilities.</td>
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<td>4</td>
<td>NEEDS IMPROVEMENT—Employee has failed to meet one or more of the performance expectations.</td>
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<td>5</td>
<td>UNSATISFACTORY—Employee has failed to meet the performance expectations of the position.</td>
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<thead>
<tr>
<th>FACTORS</th>
<th>COMMENTS</th>
<th>RATING KEY</th>
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<td></td>
<td>1 2 3 4 5</td>
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</table>

A. PLANNING & ORGANIZING—
To include:
* setting priorities
* organizing the work
* meeting deadlines & making logical duty assignments

B. DECISION MAKING—
To include:
* gathering appropriate information
* analyzing information
* resolving issues
<table>
<thead>
<tr>
<th>FACTORS</th>
<th>COMMENTS</th>
<th>RATING KEY</th>
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<tbody>
<tr>
<td><strong>C.SUPERVISING</strong>—To include:</td>
<td></td>
<td>1  2  3  4  5</td>
</tr>
<tr>
<td>*selecting personnel</td>
<td></td>
<td></td>
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<tr>
<td>*directing &amp; training personnel</td>
<td></td>
<td></td>
</tr>
<tr>
<td>*motivating personnel</td>
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<td><strong>D.RELATING TO OTHERS—</strong></td>
<td></td>
<td></td>
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<tr>
<td>To include:</td>
<td></td>
<td></td>
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<tr>
<td>*tact &amp; consideration</td>
<td></td>
<td></td>
</tr>
<tr>
<td>*communicating info &amp; ideas</td>
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<td></td>
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<tr>
<td>*creating &amp; maintaining harmonious relationships</td>
<td></td>
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<td><strong>E.DEMONSTRATED WORK HABITS</strong>—To include:</td>
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<td>*initiative &amp; self reliance</td>
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<td>*judgment &amp; discretion</td>
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<td>*flexibility &amp; adaptability</td>
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<tr>
<td>*cooperation &amp; dependability</td>
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<tr>
<td><strong>F.KNOWLEDGE OF WOODBURY:</strong></td>
<td></td>
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<td>--To include:</td>
<td></td>
<td></td>
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<tr>
<td>*knowledge of applicable and procedures</td>
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<tr>
<td><strong>G.SUPERVISORY RELATIONSHIP WITH SUBORDINATES</strong>—To include:</td>
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<tr>
<td>*degree to which employee discusses performance &amp; evaluations, rewards workers, &amp; initiates corrective actions.</td>
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<td>FACTORS</td>
<td>COMMENTS</td>
<td>RATING KEY</td>
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<td>H. TRAINING OF STAFF—</td>
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<td>To include:</td>
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<td></td>
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<td>*thoroughness &amp; effectiveness of supervisor’s on-the-job training techniques</td>
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<td></td>
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<td>I. LEADERSHIP—To include:</td>
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<td>*degree to which employee improves work methods, develops &amp; applies improved methods, encourages &amp; considers employees’ ideas &amp; suggestions, and sets an example</td>
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<td>J. SELF IMPROVEMENT—To include:</td>
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<tr>
<td>*degree to which initiative in improving technical &amp; supervisory abilities &amp; skills is taken</td>
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<td>K. COMMUNICATIONS—To include:</td>
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<tr>
<td>*degree to which employee communicates effectively with supervisor &amp; subordinates for progress reports, changes in procedures: oral &amp; written</td>
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<td>L. OVERALL EVALUATION:</td>
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</table>
### V. DEVELOPMENTAL PLAN (To Be Completed By Employee & Supervisor)

<table>
<thead>
<tr>
<th>Employee's Performance Objectives:</th>
<th>Supervisor's Comments:</th>
</tr>
</thead>
<tbody>
<tr>
<td>(List performance goals for accomplishment by the next evaluation period.)</td>
<td>Completion of goals established thus far:</td>
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<td>________________________</td>
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**Employee Comments:**

<table>
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<tr>
<th>Plan of ACTION for new goals:</th>
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<tbody>
<tr>
<td>(Training and development suggestions.)</td>
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<td>__________________________________</td>
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</table>

I have participated in a discussion of overall job performance:

**Employee**

**Supervisor**

**Date**

**Date**
I. PURPOSE OF EVALUATION

The performance evaluation process is intended to build on the working relationship between employee and supervisor and is designed to evaluate an employee’s performance. During the evaluation interview, the employee and the supervisor should plan together to build on strengths and to develop those areas needing improvement.

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II. GENERAL INFORMATION

Name: __________________________________________ Title: ______________________________

Department/Office: ________________________________________________________________

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III. POSITION FUNCTION (Supervisor and employee should carefully review the job description together at the beginning of the evaluation cycle.)

Has the job description been reviewed by employee and supervisor? Yes_______ No________

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(If so, please mark changes on the job description and return with this summary, or indicate in the space provided below.)
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<tr>
<th></th>
<th>OUTSTANDING 1</th>
<th>EXCEEDS EXPECTATIONS 2</th>
<th>MEETS EXPECTATIONS 3</th>
<th>NEEDS IMPROVEMENT 4</th>
<th>UNSATISFACTORY 5</th>
</tr>
</thead>
</table>

1 **OUTSTANDING**—Employee has exceeded performance expectations and makes unique and significant contributions to the department through superior performance.

2 **EXCEEDS EXPECTATIONS**—Performance of the job duties and responsibilities is highly effective. Employee consistently works beyond requirements of the position.

3 **MEETS EXPECTATIONS**—Employee consistently and effectively meets job duties and responsibilities.

4 **NEEDS IMPROVEMENT**—Employee has failed to meet one or more of the performance expectations.

5 **UNSATISFACTORY**—Employee has failed to meet the performance expectations of the position.

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<td>A. PLANNING &amp; ORGANIZING-</td>
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<td>1 2 3 4 5</td>
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<tr>
<td>To include:</td>
<td></td>
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<tr>
<td>*setting priorities</td>
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<td>*organizing the work</td>
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<tr>
<td>*meeting deadlines &amp; making logical duty assignments</td>
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<tr>
<td>B. DECISION MAKING—</td>
<td></td>
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<tr>
<td>To include:</td>
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<td></td>
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<tr>
<td>*gathering appropriate information</td>
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<tr>
<td>*analyzing information</td>
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<tr>
<td>*resolving issues</td>
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<tr>
<td>FACTORS</td>
<td>COMMENTS</td>
<td>RATING KEY</td>
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<tr>
<td>C. SUPERVISING—To include:</td>
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<tr>
<td>*selecting personnel</td>
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<td></td>
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<tr>
<td>*directing &amp; training personnel</td>
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<tr>
<td>*motivating personnel</td>
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<td>D. RELATING TO OTHERS—</td>
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<td>To include:</td>
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<tr>
<td>*tact &amp; consideration</td>
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<tr>
<td>*communicating info &amp; ideas</td>
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<tr>
<td>*creating &amp; maintaining harmonious relationships</td>
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<tr>
<td>E. DEMONSTRATED WORK HABITS—To include:</td>
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<tr>
<td>*initiative &amp; self reliance</td>
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<tr>
<td>*judgment &amp; discretion</td>
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<td>*flexibility &amp; adaptability</td>
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<tr>
<td>*cooperation &amp; dependability</td>
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<tr>
<td>F. KNOWLEDGE OF WOODBURY:</td>
<td></td>
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<tr>
<td>--To include:</td>
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<tr>
<td>*knowledge of applicable and procedures</td>
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<tr>
<td>G. SUPERVISORY RELATIONSHIP WITH SUBORDINATES—To include:</td>
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<tr>
<td>*degree to which employee discusses performance &amp; evaluations, rewards workers, &amp; initiates corrective actions.</td>
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<tr>
<td>FACTORS</td>
<td>COMMENTS</td>
<td>RATING KEY</td>
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<tr>
<td>H. TRAINING OF STAFF—</td>
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<td>To include:</td>
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<tr>
<td>* thoroughness &amp; effectiveness of supervisor’s on-the-job training techniques</td>
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<tr>
<td>I. LEADERSHIP—To include:</td>
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<tr>
<td>* degree to which employee improves work methods, develops &amp; applies improved methods, encourages &amp; considers employees' ideas &amp; suggestions, and sets an example</td>
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<tr>
<td>J. SELF IMPROVEMENT—To include:</td>
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<tr>
<td>* degree to which initiative in improving technical &amp; supervisory abilities &amp; skills is taken</td>
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<tr>
<td>K. COMMUNICATIONS—To include:</td>
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<tr>
<td>* degree to which employee communicates effectively with supervisor &amp; subordinates for progress reports, changes in procedures: oral &amp; written</td>
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<tr>
<td>L. OVERALL EVALUATION:</td>
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<tr>
<td>Employee's Performance Objectives:</td>
<td>Supervisor's Comments:</td>
<td></td>
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<td>-----------------------------------</td>
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<td></td>
</tr>
<tr>
<td>(List performance goals for accomplishment by the next evaluation period.)</td>
<td>Completion of goals established thus far:</td>
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| __________________________________| _______________________
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<tr>
<th>Employee Comments:</th>
<th>Plan of ACTION for new goals:</th>
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<tr>
<td></td>
<td>(Training and development suggestions.)</td>
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I have participated in a discussion of overall job performance:

Employee: _______________________

Date: _______________________

Supervisor: _______________________

Date: _______________________
WOODBURY UNIVERSITY
STAFF EMPLOYEE PERFORMANCE EVALUATION
(EMPLOYEE SELF-EVALUATION)

I. PURPOSE OF EVALUATION

The performance evaluation process is intended to build on the working relationship between employee and supervisor and is designed to evaluate an employee’s performance. During the evaluation interview, the employee and the supervisor should plan together to build on strengths and to develop those areas needing improvement.

Supervisors—In evaluating an employee’s performance, identify strengths and areas of performance which require improvement. It is advisable to provide examples of the employee’s performance to illustrate the ratings you give. After the interview, follow-up on the plans developed by you and the employee.

Employees—The more involved you are in the evaluation interview, the more effective the process is likely to be. Please be prepared by completing the self-evaluation in Section V. Listen and offer suggestions about how the supervisor can help you improve your performance. During the interview, ask him/her to clarify expectations of your performance. Discuss your accomplishments and long-term goals. After the interview, follow-up on the plans developed by you and your supervisor.

II. GENERAL INFORMATION

Name: __________________________  Title: __________________________

Department/Office: ________________________________________________

Evaluation Period:  From_____________  To_____________

Type:  End of 90-Day Introductory Period __________  Annual __________

III. POSITION FUNCTION  (Supervisor and employee should carefully review the job description together at the beginning of the evaluation cycle.)

Has the job description been reviewed by employee and supervisor?  Yes_______  No_______

Does the current job description properly describe this position?  Yes_______  No_______

Are there responsibilities to be:  Added? ________  Deleted? ________  Rephrased? ________

(If so, please mark changes on the job description and return with this summary, or indicate in the space provided below.)

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________
IV. OVERALL RATING KEY

<table>
<thead>
<tr>
<th>OUTSTANDING</th>
<th>EXCEEDS EXPECTATIONS</th>
<th>MEETS EXPECTATIONS</th>
<th>NEEDS IMPROVEMENT</th>
<th>UNSATISFACTORY</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 OUTSTANDING—Employee has exceeded performance expectations and makes unique and significant contributions to the department through superior performance.</td>
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<td>3 MEETS EXPECTATIONS—Employee consistently and effectively meets job duties and responsibilities.</td>
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<td>4 NEEDS IMPROVEMENT—Employee has failed to meet one or more of the performance expectations.</td>
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<tr>
<td>5 UNSATISFACTORY—Employee has failed to meet the performance expectations of the position.</td>
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<tr>
<th>FACTORS</th>
<th>COMMENTS</th>
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<tbody>
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<td>A. KNOWLEDGE OF WORK:</td>
<td>Consider job knowledge gained through experience, education and training.</td>
</tr>
<tr>
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<td>Consider the accuracy, thoroughness, and neatness of work regardless of volume.</td>
</tr>
<tr>
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<td>Consider the amount of work completed and the extent to which work is kept on schedule.</td>
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<tr>
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<td>Consider speed &amp; facility to learn &amp; understand new procedures.</td>
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<td>J. OVERALL EVALUATION:</td>
<td></td>
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</tbody>
</table>
V. DEVELOPMENTAL PLAN (To be Completed By Employee & Supervisor)

**Employee’s Performance Objectives:**

(List performance goals for accomplishment by the next evaluation period.)

|__________________________________________|__________________________________________|
|__________________________________________|__________________________________________|
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**Employee Comments:**

|__________________________________________|__________________________________________|
|__________________________________________|__________________________________________|
|__________________________________________|__________________________________________|
|__________________________________________|__________________________________________|
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|__________________________________________|__________________________________________|
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|__________________________________________|__________________________________________|
|__________________________________________|__________________________________________|

**Supervisor’s Comments:**

(Specific methods by which the employee can work toward accomplishing his/her performance objectives.)

What skills or training should the employee obtain to perform more effectively in his/her present position?

|__________________________________________|__________________________________________|
|__________________________________________|__________________________________________|
|__________________________________________|__________________________________________|
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What developmental activities should the employee undertake to prepare himself/herself for future assignments or responsibilities?

|__________________________________________|__________________________________________|
|__________________________________________|__________________________________________|
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|__________________________________________|__________________________________________|
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|__________________________________________|__________________________________________|

List and comment on any courses or training the employee has taken to improve skills, abilities and/or job knowledge within the past year.

|__________________________________________|__________________________________________|
|__________________________________________|__________________________________________|
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List any specific work assignments for training purposes, etc.

|__________________________________________|__________________________________________|
|__________________________________________|__________________________________________|
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Other:

|__________________________________________|__________________________________________|
|__________________________________________|__________________________________________|

I have participated in a discussion of overall job performance:

Employee: _________________________________

Date: _________________________________

Supervisor: _________________________________

Title: _________________________________

Date: _________________________________

64
I. PURPOSE OF EVALUATION

The performance evaluation process is intended to build on the working relationship between employee and supervisor and is designed to evaluate an employee’s performance. During the evaluation interview, the employee and the supervisor should plan together to build on strengths and to develop those areas needing improvement.

Supervisors—in evaluating an employee’s performance, identify strengths and areas of performance which require improvement. It is advisable to provide examples of the employee’s performance to illustrate the ratings you give. After the interview, follow-up on the plans developed by you and the employee.

Employees—The more involved you are in the evaluation interview, the more effective the process is likely to be. Please be prepared by completing the self-evaluation in Section V. Listen and offer suggestions about how the supervisor can help you improve your performance. During the interview, ask him/her to clarify expectations of your performance. Discuss your accomplishments and long-term goals. After the interview, follow-up on the plans developed by you and your supervisor.

II. GENERAL INFORMATION

Name: ____________________________ Title: ____________________________

Department/Office: ______________________________________________________

Evaluation Period: From____________________ To____________________

Type: End of 90-Day Introductory Period __________ Annual _______________

III. POSITION FUNCTION (Supervisor and employee should carefully review the job description together at the beginning of the evaluation cycle.)

Has the job description been reviewed by employee and supervisor? Yes______ No______

Does the current job description properly describe this position? Yes______ No______

Are there responsibilities to be: Added? ________ Deleted? ________ Rephrased?________

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1. **OUTSTANDING**—Employee has exceeded performance expectations and makes unique and significant contributions to the department through superior performance.

2. **EXCEEDS EXPECTATIONS**—Performance of the job duties and responsibilities is highly effective. Employee consistently works beyond requirements of the position.

3. **MEETS EXPECTATIONS**—Employee consistently and effectively meets job duties and responsibilities.

4. **NEEDS IMPROVEMENT**—Employee has failed to meet one or more of the performance expectations.

5. **UNSATISFACTORY**—Employee has failed to meet the performance expectations of the position.

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V. DEVELOPMENTAL PLAN (To be Completed By Employee & Supervisor)

Employee’s Performance Objectives:
(List performance goals for accomplishment by the next evaluation period.)

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Employee Comments:

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Supervisor’s Comments:
(Specific methods by which the employee can work toward accomplishing his/her performance objectives.)

What skills or training should the employee obtain to perform more effectively in his/her present position?

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What developmental activities should the employee undertake to prepare himself/herself for future assignments or responsibilities?

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List and comment on any courses or training the employee has taken to improve skills, abilities and/or job knowledge within the past year.

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List any specific work assignments for training purposes, etc.

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I have participated in a discussion of overall job performance:

Employee: _____________________________
Date: _________________________________

Supervisor: _____________________________
Title: __________________________________
Date: _________________________________
B. FULL-TIME FACULTY:

The University requires full-time faculty to submit annual self-evaluations as a way of codifying a faculty member’s achievements for the year. It is also a planning aid for the next year. This document is kept on file in the Office of Academic Affairs and is also used in Faculty Personnel Committee discussions of rank and contract renewal.

1. FACULTY EVALUATION

The University seeks to provide and maintain an environment conducive to professional and personal development for faculty as well as for students. This environment is the major responsibility of the University community whose members encourage in each other excellence and individuality in teaching performance, professional growth, and service to the University. The University has a right, therefore, to expect from each other competence, scholarship and service. An evaluation that is formalized as a serious commitment to the University is a way of institutionalizing and protecting this right. Evaluation is not a matter of sanction but rather an invitation to further development.

2. EVALUATION AS A SHARED RESPONSIBILITY

The University recognizes the unavoidable sensitivity in any system of accountability. However, the University also accepts the need to formalize some kind of assessment of performance and scholarship that documents the information needed in decision-making for retention on the faculty and for continued professional development. Not to maintain a systematic method of collecting personnel data is irresponsible and enhances the possibility of arbitrary decisions.

The University is aware of the difficulties inherent in assessing performance in the professions of teaching and scholarship. It is, therefore, appropriate that the assessment of performance be based on the most complete body of information obtainable. Assessment of faculty is not only within the domain of administrative decision-makers, but also is the responsibility of everyone in the University—self, students, colleagues and administrators.

3. EVALUATION AS THE FACULTY MEMBER’S RESPONSIBILITY

The evaluation of professional performance must allow for the individuality of the person being assessed. For this reason, the primary responsibility for assembling and presenting data about performance and professional development rests with the individual faculty member. The means of transmitting this information is an annual documentation of self-evaluation and
personal planning. This annual report on professional accomplishment includes:

a. A report on teaching performance with personal evaluation;

b. A report on professional activities;

c. A report on service to the University and/or community;

d. A report on professional development.

It is also suggested that the document include realistic plans for the coming year in a way that encourages professional responsibility and creativity. The report may take any form or length chosen by the faculty member. An outline for the report entitled “Annual Self-Evaluation” follows:
ANNUAL FACULTY SELF-EVALUATION

NAME: ________________________________________________________________

ACADEMIC PROGRAM: _____________________________ DATE: _______________

I. TEACHING (Refers to current academic year)

The primary concern of the University is the quality of learning among our students. Effective teaching, therefore, is the greatest contribution that a faculty member can make to the University.

A. Please evaluate yourself as an instructor.

B. Please indicate/describe any systematic effort undertaken to improve instruction.

C. Woodbury University recognizes the great importance of academic counseling as part of the teaching/learning process. Please evaluate yourself as an academic counselor.

II. PROFESSIONAL ACTIVITIES (From September ___ to July ___)

A. Please indicate your service to scholarly or professional societies, educational or governmental agencies and/or lectures or papers at meetings that you have delivered.

B. Please list any awards, honors, fellowships, or commendations you have received since September ___.

C. Please list research papers and creative accomplishments, including exhibits, performances, articles, or books published and other activities of this nature. If work is not published, please indicate how it has contributed to your own professional development.

D. Please indicate workshops or conferences that you have attended since September ___, as well as who subsidized the expenses. Be sure to indicate if you presented a paper or chaired a session.

III. SERVICE TO THE UNIVERSITY AND/OR COMMUNITY

(September ___ to July ___)

A. Please list the committees or “Task Forces” on which you have served since September ____.

B. Please list other special assignments or positions for which you have volunteered.
IV. PROFESSIONAL DEVELOPMENT

Please describe your own professional goals, objectives, or plans for this coming year. In view of these plans, it might prove helpful to give some indication of the difficulties or constraints you foresee.

V. ADDITIONAL INFORMATION

Please include any other information you believe important to have on file concerning yourself as a teacher or counselor, concerning your contribution to scholarship and professional development and concerning your efforts to contribute to the University and/or community.

______________________________
Signature of Faculty Member

______________________________
Signature of Dean/Department Chair

______________________________
Signature of Vice President, Academic Affairs

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V. COMPENSATION--JOB CLASSIFICATION & SALARY ADMINISTRATION

Policy:

The University's compensation policy is designed to:

1. Pay salaries that will attract and retain qualified personnel who can perform the tasks necessary for the successful operation of the University.

2. Maintain an equitable relationship between salaries paid by the University and those paid externally for comparable occupational groups.

3. Provide equitable compensation to each employee, reflective of the duties and responsibilities of his/her position within the University.

4. Reward employees on the basis of performance and length of service.

5. Maintain an effective control on salary costs to ensure ongoing conformance with Woodbury's salary administration policy and with generally accepted principles of salary administration.

In order to achieve these objectives, the program consists of position descriptions that define the content of each position, a competitive salary structure that takes into account what other organizations pay for similar work, position evaluations that place all positions into appropriate salary grades within the salary structure, performance reviews to determine employee performance, and salary planning that provides the basis for salary increases to recognize performance and salary movement in the external marketplace.

Procedures:

1. Job Classification:

   To implement the salary administration objectives outlined above, the University used a point-rating job classification system to determine the relative value of all positions. The classification system defines those characteristics or "factors" that are present in all positions evaluated within the system. The degree to which each "factor" is present in a given job is determined and a point value is assigned to each factor. The sum of these point values determines the position grade. Positions that fall within a designated point range are regarded as equitable in terms of responsibility level, etc. and are assigned the same classification level.

2. Position Descriptions:

   Position descriptions are concise written documents summarizing the duties, responsibilities, knowledge, and skill requirements of a group of similar jobs that have been classified by a common title. They summarize job content and are
therefore essential for a number of purposes including external pricing of positions, position evaluation, and planning for future staff needs.

Under no circumstances shall recruiting activities be initiated or shall an employee be notified of a classification change until a position description has been reviewed and/or written and approved. It is the responsibility of all supervisors to ensure that all position descriptions within their respective areas of responsibility are reviewed annually or whenever recruitment activities are initiated. Human Resources will conduct periodic audits to ensure that position descriptions are maintained current for all employees.

The employee completes a position analysis questionnaire for review by his/her immediate supervisor. The questionnaire is forwarded to Human Resources to prepare an initial position description consisting of (a) overall responsibility, (b) primary duties and responsibilities, (c) qualifications, and (d) physical requirements to perform the job. The supervisor reviews, edits and approves the contents of the draft description for final approval by Human Resources.

Preparation of a job description for a new position is done by the supervisor and sent to Human Resources together with a completed Job Survey Questionnaire. Completion of the questionnaire provides the information required for grading of the position based on compensable point factors. The supervisor is then notified of the appropriate salary level and the grade.

3. Salary Planning:

Starting salaries for new employees are determined by referring to the salary range for the position being filled, the individual's related job experience, the individual's salary history, and salaries of present employees in related positions. Generally, new hires shall have a starting salary at or near step one of the appropriate position grade. It is possible that fully qualified and experienced individuals who can be expected to fulfill all requirements of their positions within three months of being hired, may be offered starting salaries at the upper level of step one if such a salary offer is required to attract the applicant. Starting salaries above the mid point of the step require the approval of Human Resources while those above the first step require the approval of the President.

4. Step Increases:

Except for CPI adjustments and with few exceptions, step increases are the only type of salary increase granted to Woodbury staff. Step increases are primarily a function of length of service; however, the determination of an employee's step increase shall take into consideration the employee's overall level of performance and the quality of the contributions made and the availability of salary increase funds.

In the event that a step increase is not forthcoming, the employee should be informed well in advance of the expected increase time that performance at the present level will not justify a salary increase. Specific performance examples should be given to assist the employee in overcoming performance deficiencies that may otherwise deny salary increase consideration.
5. **Salary Adjustments:**

In addition to step increases, there are certain other circumstances that warrant salary adjustments. At the discretion of the President, all employees may be granted general, across-the-board adjustments annually on January 1 in recognition of general conditions in the external marketplace reflected in the Consumer Price Index (CPI). These adjustments are dependent upon budgetary constraints.

6. **Reclassification Procedures:**

Position reclassification usually involves the reassignment of a position to a higher or lower salary grade based upon modifications in either job content, and/or marketplace conditions. *Since this is not a function of performance, reclassifications should not be considered as either promotions or demotions.*

When a position is reclassified to a higher salary grade, adjustments will only be necessary if the salary is below the minimum for that grade. It should be noted that reclassification to a higher grade requires longevity served in the new grade/position to qualify for step progression on the **STAFF SALARY SCHEDULE**.

When a position is reclassified to a lower salary grade, but the incumbent’s performance at the previous level was fully satisfactory or better, he or she should be considered for reassignment to the former grade when a vacancy occurs for which he or she is qualified. No salary adjustments should be made even if the salary is above the maximum for the new salary range. Future increases should be modified, however, to allow salary grade increases to bring the revised grade maximum above the incumbent’s salary level.

7. **Review Process:**

When an employee in an existing job classification believes that their position is incorrectly classified/graded, s/he may submit a reclassification request to her/his supervisor and/or vice president that must include the following:

a. Employee’s full name, present classification and salary.

b. A new or updated Job Survey Questionnaire and job description for the position under review.

c. Reasons why the present classification is considered to be inappropriate and justification for the job classification considered to be correct.

d. A request for review will not be considered on the grounds of inadequate pay scale.

e. If the supervisor agrees with the request and the revised questionnaire and job description, it is then forwarded to the vice president with a copy to Human Resources within 10 working days of receipt from the employee.
1. Upon agreement and sign-off by the Vice President, the job description and questionnaire are sent to Human Resources for grading and reclassification.

8. Faculty Rank:

All full-time faculty, including full-time librarians, are compensated based on assigned rank according to a set of criteria defined in Appendix 2 of the FULL-TIME FACULTY HANDBOOK. These criteria cover educational requirements, teaching experience, professional development, and community service. Separate criteria have been written for librarians. The Faculty Personnel Committee reviews all requests for rank and makes recommendations to the Vice President, Academic Affairs and Dean of the Faculty. He/she in turn makes his/her recommendations to the President.
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VI. COMPENSATION AND HOURS

A. *SALARY POLICY

Policy:

It is the University's goal to be competitive in wages and salaries with other Southern California private institutions of higher education, which have like programs, operating budget size, FTE enrollment, endowment, and educational mission, while at the same time maintaining the fiscal viability of the institution.

Effective January 1, 2002, following an extensive classification and compensation study, the University implemented a system utilizing a Staff Salary Schedule that places each non-faculty position within a grade structure with step progression for each grade based on longevity in the position. Initial placement was based on completion of JOB SURVEY QUESTIONNAIRES for each position (please refer to Section V for details).

Procedures:

1. Individual grades of the STAFF SALARY SCHEDULE encompass six steps, each of which is in increments of 2.99 years as follows:

   Step 1:  0-2.99 years of service
   Step 2:  3-5.99 years of service
   Step 3:  6-8.99 years of service
   Step 4:  9-11.99 years of service
   Step 5:  12-14.99 years of service
   MAXIMUM: 15+ Years

   Upon completion of 15 years of service, the employee shall receive an incremental increase as indicated; however, future increases within that grade will be based solely on upgrades to the Staff Salary Schedule by an approved across-the-board Cost of Living Index (CPI) increase.

2. Step progression within a specific grade is dependent upon longevity served within a particular position. In the event of promotion to a higher grade, the employee will be placed at the corresponding step of the former grade; however, placement will be at the beginning of the step and will require 2.99 years for future step movement.

3. The STAFF SALARY SCHEDULE is reviewed annually for consideration of a CPI adjustment to all grades and steps.

3. Annual adjustments to the STAFF SALARY SCHEDULE and the FACULTY SALARY SCHEDULE are normally determined and announced in November of each year to coincide with finalization
of enrollment figures for the Fall Semester. Implementation follows on January 1 of the following calendar year. Usually, employees hired between October 1 and December 31 would not be eligible for an increase on January 1. Employees who join the University between July 1 and September 30 would receive a pro-rated amount according to their employment date unless their starting salary exceeds the bottom of the adjusted step level.

Exceptions may be written into professional agreements and/or budgeted to accommodate adjustments that may take place as a result of special circumstances.

Payment of salary occurs twice monthly on the 1st and 16th of each month. Should the 1st or the 16th fall on a weekend or a holiday, payday falls on the preceding working day.
B.  *SUPPLEMENTAL COMPENSATION*

1.  **Non-Faculty Exempt Employees:**

Exempt employees are paid to carry out a set of responsibilities and are expected to work a minimum of 40 hours a week (or proportionately less, if they are part-time). If more hours are worked, no overtime compensation is generally paid.

There may be occasions when an exempt staff member is approached by a department other than his/her own to take on an additional administrative assignment such as teaching a class. Extra compensation will be paid for such an assignment **ONLY** when the following conditions are met:

a.  The additional assignment must be clearly outside the individual’s normal responsibilities;

b.  The additional responsibilities must be performed totally on the individual’s own time; and

c.  The head of the department for which the duties are to be performed and the head of the department from which the employee originates must provide advance approval for both the work to be performed and the rate of pay. The rate of pay for supplemental compensation must be reasonable, consistent with the work performed, and consistent with the rate of pay for like positions. Supplemental pay rates must be reviewed and approved, in advance, by the Director of Human Resources.

The payment of additional compensation under these circumstances will be through the regular payroll process. It is against University policy for an individual to be paid simultaneously as both an employee and an independent contractor.

2.  **Non-Exempt Employees:**

Supplemental pay for non-exempt employees must be paid as overtime pay.

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3. **Faculty Employees:**

   Occasionally, faculty members apply for and receive an institutional award; e.g., grants, on behalf of the University. Since a grant is institutional, it does not constitute supplemental compensation to the individual faculty member except during the summer term when he/she is not on the annual nine-month teaching appointment, in which case he/she would be eligible to receive continuation of their nine-month salary (paid over 12 months) plus any salary stipulated in the grant.
C. MISPLACED SALARY CHECKS

Lost salary checks are replaced according to the following procedure:

1. A replacement fee equal to the stop-payment charge is the employee's responsibility when a salary check is misplaced or lost by the individual. Payment of the fee should be made to the payroll Department at the time of a reissuance request.

2. If a salary check is mailed to the employee and is lost in the U.S. mails, any related replacement costs will be borne by the University.

3. It is Woodbury's policy to make every effort to issue a replacement check to an employee within an eight-hour working day following verification from the bank of a stop-payment notice.
D. PAY ADVANCES

Pay advances are granted only in cases of extreme emergency or personal hardship. Requests for pay advances should be directed to the employee's supervisor via the "Employee Status Advice" indicating the amount to be advanced and the reason for the request. Approval is required by the Department Supervisor and Human Resources. Reasons such as rent payments, car payments, groceries or other normal bills that are part of the employee's regular monthly expenses are not considered emergencies.

Pay advances are always considered early payments of wages for work performed by an employee and are not to be considered a loan made to the employee.
E. GARNISHMENT OF WAGES

Woodbury is required by law to recognize certain court orders, liens and wage assignments. When notice of pending garnishment or wage assignment is received, the Director of Human Resources will discuss it with the employee in an effort to settle the matter without involving the University. Employees are encouraged to avoid financial transactions that result in wage garnishment.

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F. DEDUCTIONS FROM WAGES

Certain deductions required by law will be made from each regular employee's wages. These include state and federal income taxes, social security taxes (FICA), and state disability insurance (SDI) payments. Deductions will also be made for health insurance premiums for employees covered by the Prudent Buyer Plan and for family members covered by health and dental plans if an employee requests such deductions, Supplemental Retirement Annuities, AFLAC Flex One Accounts, etc.
G. ELECTRONIC DIRECT DEPOSIT OF SALARY

Employees have the option of receiving a "live" paycheck or having it electronically deposited to any United States bank or credit union that is a direct deposit participant. The deposit is made directly by the University's payroll service, and participants receive non-negotiable copies of their checks as records of gross and net pay and payroll deductions. Employees may designate deposit amounts to both savings and checking accounts at any one bank.
H. TIMESHEETS

All non-exempt employees are required to submit timesheets. This is necessary for vacation, sick and personal leave accounting, as well as to ensure that the documentation requirements of the wage and hour laws are met. All timesheets must be approved by the supervisor.

The timesheet also ensures that non-exempt employees receive the correct amount of pay. The employee's signature verifies the hours worked. All entries must be in ink, legible, and include:

1. Time reported at the start of the workday.
2. Time reported out for meal break (minimum of 30 minutes).
3. Time reported back from meal period.
4. Time reported off work.

Vacation, sick leave, and holidays must be entered across the timesheet spaces that would have been marked for regular work hours. Since timesheets are legal documents, **FALSIFICATION IS STRICTLY FORBIDDEN**.

Timesheets are due based on a schedule prepared and distributed by the Payroll Department. Due dates are dependent upon time constraints to facilitate an off-campus computer service bureau that processes paychecks and electronic transfers.
I. **OVERTIME POLICY**

Employees shall be paid for hours worked in accordance with all legal requirements. Employees who qualify, as administrative, executive, or professional employees within the meaning of the state and federal wage and hour laws are exempt from overtime pay and are not subject to this policy. All non-exempt employees qualify for overtime pay.

Overtime work by a non-exempt employee must be approved **IN ADVANCE** by an employee’s supervisor. Because unauthorized overtime is not University policy, employees who work unauthorized overtime are subject to discipline.

1. **Time Worked:** Non-exempt employees shall record all time worked, including time worked over their normal schedule, on a timesheet at the time it actually occurs. Overtime is rounded to the nearest quarter of an hour.

2. **Overtime:** Overtime pay is calculated at one and one-half times the employee’s regular rate for all hours over 40 hours in one workweek. Overtime is computed on the basis of a non-exempt employee’s total hours worked in a workweek. Hours paid for that are not worked (e.g., holidays, sick days, and vacations) do not count as hours worked for overtime purposes.

3. **Work on Holidays (Non-Exempt Employees):** Since paid holidays are not legally considered hours worked in the computation of overtime, non-exempt employees shall receive their regular salary for the paid holiday. However, as a gesture of appreciation, the University pays regular salary **PLUS** straight time for overtime hours which equates to double compensation for hours worked during the holiday.

J. **TAKING WORK HOME--NON-EXEMPT EMPLOYEES**

Supervision, liability and efficiency considerations require that the work of all non-exempt employees eligible for premium overtime pay be accomplished **ONLY** at University work locations.
K. COMPENSATORY TIME FOR EXEMPT EMPLOYEES

Exempt employees are generally paid a salary to compensate them for ALL hours worked in a week, however few or many. It is normally assumed that these employees will INFORMALLY be provided time off without loss of pay for personal reasons or emergencies, and will occasionally be asked to work extra hours without additional compensation.

Neither extra compensation nor compensatory time off will, under any circumstances, be owed or payable to an exempt employee upon separation from employment for any reason.

L. COMPENSATORY TIME FOR NON-EXEMPT EMPLOYEES

NO INDIVIDUAL, INCLUDING AN EMPLOYEE’S SUPERVISOR, HAS AUTHORITY TO GRANT COMPENSATORY TIME OFF IN LIEU OF OVERTIME COMPENSATION FOR NON-EXEMPT EMPLOYEES. Accordingly, employees should not request the opportunity to make up time for time missed if the make-up time will result in overtime work.
M. REST AND MEAL BREAKS

Non-exempt employees (those who complete timesheets) are entitled to receive a rest break of 15 minutes with pay during each four hours of work or major fraction thereof. Such rest periods shall be considered as time worked. Rest periods cannot be used to make up lost time due to absences or tardiness, to extend the employee's lunch period, to arrive late or leave early from work, or be saved up and used at a later date.

California law requires that all non-exempt employees who work more than five hours take a meal period of at least one-half hour. It is illegal to work more than five hours without taking a meal period. Exempt employees are eligible for the same rest and meal breaks as non-exempt employees. Meal periods are neither time worked nor time on pay status. Every effort should be made to schedule breaks so that adequate services are maintained within departments.
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VII. BENEFITS

A. RETIREMENT PLAN

The defined benefit retirement plan was adopted March 1, 1965 for eligible employees of Woodbury University and was amended and restated March 1, 1989 and March 1, 1993 to incorporate provisions in compliance with the Tax Reform Act of 1986 and subsequent legislation. The University pays the entire funding cost of the retirement plan. All contributions are held by New York Life in an accumulation fund for the employee's retirement.

Individuals who have been employed by the University at least one year, or who reach age 65 while employed, are eligible to receive benefits at normal retirement date, which is the March 1 nearest their 65th birthday. The defined retirement benefit is based on salary and number of years of employment and is indicated by "vested" percentages as follows:

<table>
<thead>
<tr>
<th>YEARS OF EMPLOYMENT</th>
<th>VESTED PERCENTAGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>33.3%</td>
</tr>
<tr>
<td>2</td>
<td>66.7%</td>
</tr>
<tr>
<td>3 or more</td>
<td>100%</td>
</tr>
</tbody>
</table>

Those who reach age 65 while employed by the University are automatically 100% vested, regardless of length of service.

All employees who have attained age 21 on March 1 are included in the plan, provided 1,000 hours of service are completed in the first plan year of employment (12 consecutive months beginning on March 1 and ending on the last day of the following February).

Complete details of the plan and a summary description may be obtained from the Human Resources Office.
B. HEALTH PLANS

Full-time employees of the University have a choice of the PRUDENT BUYER PLAN (PPO) or CALIFORNIA CARE PLAN (HMO) sponsored by BLUE CROSS OF CALIFORNIA. Due to a disparity in premiums for the two plans, rate increases in the PPO plan, beginning with the 1988-89 plan year (February 1 through January 31), have been and continue to be, shared by the employee through payroll deduction. Dependent coverage for a spouse, child(ren) and/or same or opposite sex domestic partner is(are) available through payroll deduction of the premium on a pre-tax basis.

1. Pre-Tax Contribution Savings:

Employees who contribute toward health insurance premiums may do so with pre-tax dollars, which means that payroll deductions are made before any federal, state or social security taxes.

Employees authorize deduction of premium payments on a pre-tax basis via a Salary Redirection Agreement under the AFLAC Flex-One Plan (see sub-section E--Cafeteria Plan and Flex-One Accounts). Once the election is made, it remains in effect for the entire plan year, although it is possible to make additions or deletions due to a change in family status, such as:

   a. Marriage,
   b. Birth or adoption,
   c. Divorce,
   d. Loss/change of spouse's employment, and
   e. Change in job status from part-time to full-time or vice versa.
2. Notice of Right To Continue Coverage Under COBRA:

The Consolidated Omnibus Budget Reconciliation Act of 1985 (COBRA) requires most employers to continue to make group health care coverage available, for a period of time, for employees and family members under specific circumstances which otherwise would terminate group coverage. The employee and/or dependents may elect to continue coverage under the group plan for up to 18 months for the following circumstances:

a. Termination of employment for reasons other than gross misconduct.

b. Reduction of hours resulting in loss of health plan eligibility.

Under the following circumstances, the employee and/or dependents may continue group coverage for up to 36 months:

a. Death of the employee.

b. Divorce or legal separation of the covered employee from his or her spouse.

c. Eligibility of the employee for Medicare.

d. Cessation of a child's dependent status under the terms of the Woodbury plan.

COBRA continuation coverage is extended to 29 months (rather than 18) for a qualified beneficiary who is disabled at the time of termination of employment. For purposes of the provision, "disabled" is defined as under the Social Security Act to allow the individual time to qualify for Medicare.

Coverage ceases before the end of the 18-month, 29-month, or 36-month period if the University discontinues health coverage completely or if the employee and/or dependents:

a. Fail to pay the required premium contribution.

b. Become covered as an employee under any other group health plan.

c. Become entitled to Medicare benefits.

d. If the former spouse of a divorced employee or a deceased employee remarries and becomes covered under another group health plan.
3. *Health Insurance Portability and Accountability Act:*

The Health Insurance Portability and Accountability Act of 1996 (HIPPA) provides that an employee may not be denied coverage under an individual plan, or be subject to a pre-existing condition limitation under that individual plan, if he/she meets all of the following criteria:

a. At least 18 months of continuous prior coverage.

b. Most recently covered under a group, church, or government employer health plan.

c. Elected and exhausted continuation coverage under COBRA, the California Continuation Benefits Replacement Act (Cal-COBRA), or other similar programs.

d. Does not qualify for coverage under a group health plan, Medicare, or Medi-Cal, and does not have any other coverage.

e. Prior coverage was not terminated for fraud or nonpayment of premium.

The employee may not qualify for such coverage under an individual plan if:

a. He/she does not elect to continue group health coverage under an available COBRA, Cal-COBRA, or similar continuation;

b. He/she does not exhaust coverage under these continuations; or

c. He/she elects medical conversion coverage.

Any questions or complaints about enrolling in an individual plan or any questions about HIPPA may be directed to the Customer Services Unit as follows:

Health Care Financing Administration  
ATTN: HIPAA Unit  
75 Hawthorne Street, Suite 401  
San Francisco, CA 94105  
Telephone: 1-415-744-3600

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4. **Certificate of Prior Coverage:**

To implement the conditions under the HIPPA (see preceding section), health plans must provide a certification of creditable coverage at the time an individual's coverage under the plan ceases, and at any time requested by the individual within the following two-year period. Certificates need not be provided for employees who are merely changing coverage, or under circumstances of an employer changing coverage from one carrier to another.

The law places responsibility for providing certificates on both the employer and the carrier. As a service to Woodbury, Blue Cross of California issues Certificates of Prior Coverage to eligible individuals by mailing certificates directly to affected members at their home address since June 1997. (The Blue Cross system automatically prints the correct toll free Customer Service Number and Claims Address associated with the member's I.D. number on the Certificate of Coverage.)
5. *Grievance Procedure--CaliforniaCare:

a. Contact the CaliforniaCare coordinator at the medical group or independent practice association (IPA).

b. If still dissatisfied, complete an issue form and submit the form to the medical group's Quality Assurance Committee (QAC) for review. Issue forms may be obtained from the CaliforniaCare coordinator at the medical group or by contacting Blue Cross at the customer service number on the I.D. card. Include all pertinent I.D. information and the details and circumstances of the problem. After reviewing the facts, the QAC will inform the employee of its decision or resolution.

c. If dissatisfied with the QAC determination, a formal grievance review may be requested by calling Customer Service and asking the representative to file the complaint issue. Or, a written copy of the issue referred to in item #(b) above may be resubmitted to:

   Blue Cross of California  
   Quality Management Department  
   P.O. Box 4310  
   Woodland Hills, CA 91367

   Document the circumstances surrounding the grievance, and submit this information, along with any medical documents, including bills or records. Within 30 days of receipt of the grievance, a written statement on its resolution or pending status will be issued.

d. If the grievance remains unresolved after at least 60 days, submit the grievance to the CA Department of Corporations for review prior to binding arbitration. If the case involves an imminent threat to one's health, employees are not required to complete the grievance process or to wait 60 days but may immediately submit the grievance to the Department of Corrections for review. The department has a toll-free telephone number (1-800-400-0815) to receive complaints regarding health plans.
C. DELTA CARE PMI DENTAL PLAN

PMI offers an alternative way to provide eligible employees and their family's dental care needs economically and conveniently through the Delta Care program. Dependent coverage for a spouse, child(ren) and/or domestic partner is(are) available through payroll deduction. PMI has contracted with a network of private dental offices so that employees may select a panel dental office from a network of dental offices composed of established dental practices—not clinics.

After enrolling, the employee receives a Delta Care membership card with the address and telephone number of the selected panel dentist, and an Evidence of Coverage that fully describes the benefits. To receive all necessary dental care covered by the plan, call the selected panel dentist to make an appointment. The employee must always contact the selected panel dentist. **Dental services that are not performed by the panel dentist nor have prior authorization by PMI will not be covered by the Delta Care program.**

Several advantages of the plan include no claim forms, no deductibles, no dollar limit of dental benefits, and no pre-existing condition restrictions. Since it is a prepaid plan, employees know the exact cost prior to treatment as an aid to better fiscal planning. The program also offers services in dental specialty areas, including periodontics (treatment of diseased gums and bone), endodontics (root canal therapy), and oral surgery procedures. Coverage is also provided for out-of-area dental emergencies.
D. CAFETERIA PLAN AND FLEX-ONE ACCOUNTS

Employees may choose to make "elective contributions," which can be provided as salary redirection amounts, to set aside part of their compensation to cover eligible benefit costs. Salary redirections are not subject to federal income tax, state income tax, or federal employment tax (including FICA) if they are used to provide nontaxable benefits. Salary redirections are, however, subject to state unemployment tax.

1. Health Flex Account:

This account may be used for medical expenses for the employee and his/her family not covered by any other health plan such as deductibles/coinsurance, vision services, hearing exams and aids, etc. Reimbursement is available at the time a claim is filed whether or not funds in that amount have been deducted through payroll deduction (annual maximum is $5,000).

2. Dependent/Child Care Flex Account:

This account may reimburse an employee for certain dependent care expenses for eligible children and/or other dependents. Unlike the Health Flex Account, reimbursements are available on the basis of the amount of payroll deductions made at the time each claim is filed (annual maximum is $5,000).

3. AFLAC Cafeteria Plan:

This plan allows employees to select from a menu of qualified insurance benefits with the cost paid through payroll deduction on a pre-tax basis; e.g., cancer, intensive care, accidental, short-term disability plans, etc.

The amount of money saved in taxes depends on dependent care and/or unreimbursed medical elections. After expenses are estimated and elections are made, money is held on account to pay the costs. Federal law requires that funds remaining in an individual spending account at the end of the plan year (February 1 through January 31) be forfeited. Therefore, it is important to estimate conservatively when deciding how much to contribute to a spending account.
E. LONG-TERM DISABILITY INSURANCE

Full-time employees are covered by long-term disability insurance underwritten by Standard Insurance Company. The plan provides for replacement of 60% of earned income lost by an employee suffering an extended period of disability. Monthly benefits are payable beginning with the first day following the completion of the qualifying period of 180 days and continuing during total disability up to the maximum duration provided by the plan. An employee approved by the insurance carrier for long-term disability benefits is considered terminated from employment at that time. Premiums are wholly paid by the University.

F. GROUP TERM LIFE INSURANCE

Full-time employees are covered by group term life insurance underwritten by Blue Cross Life. The plan provides a benefit that is equal to the employee's annual salary rounded to the next higher multiple of $1,000 and includes coverage for accidental death and accidental dismemberment. There is also a provision for an Accelerated Death Benefit that offers upfront cash availability to employees suffering a terminal illness equal to 75% of the amount of life insurance in effect at the date of the employee's request.

If an employee reaches age 70 while insured, a 50% limitation of the amount of the benefit in effect prior to that age will apply on the first day of the month following attainment of age 70.
G.  *TUITION REMISSION

1.  *Full-Time Employees:

Policy:

To encourage full-time employees to continue their personal and/or professional development, the University offers full-time employees the opportunity to enroll in undergraduate classes not to exceed ten units per term or graduate classes not to exceed six units per term at no cost to the employee for tuition and general fees as follows:

a. There is room in the class for the employee after tuition paying students are enrolled.

b. The class is taken during other than the employee's regularly scheduled working hours.

c. Tuition remission is not available for independent study.

d. The employee continues full-time employment for the duration of the term in which the class(es) is(are) taken. In the event employment is discontinued during the term, tuition and fees charges will be prorated accordingly.

e. Eligibility for new non-faculty employees begins following the 90-day Introductory Period.

f. One class may be elected each term for AUDIT instead of taking it for credit. Regular attendance is expected.

g. All the usual academic policies apply to employees on tuition remission.

h. Course fees are the responsibility of the employee and are not covered under this policy.

Procedures:

a. Admission shall be through regular University procedures.

b. The Director of Human Resources will authorize tuition and fees remission (noting exclusion of fees directly related to the course).

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2. **Full-Time Employee's Spouse and Child(ren):**

**Policy:**

The University offers all full-time employees the benefit of allowing their legal spouse and/or child(ren) the opportunity to enroll in a full course load not to exceed 18 units per term on a tuition remission basis for the spouse and/or children, provided:

a. There is room in the class for the spouse and/or child(ren) after tuition paying students are enrolled.

b. Courses are classroom delivered. Tuition remission is not available for independent study.

c. All the usual academic policies apply to students on tuition remission.

d. The employee continues full-time employment for the duration of the term in which the class(es) is(are) taken. In the event employment is discontinued during the term, tuition and fees charges for the spouse and/or child(ren) shall be prorated accordingly.

e. The child ren) is (are) dependent(s) as determined by the tax return of the year previous to enrollment and support of that child(ren) is the basic responsibility of the employee.

Tuition remission shall be available on the following basis:

a. 33.3% during the employee’s first year of continuous, full-time University employment.

b. 66.6% during the employee’s second year of continuous, full-time University employment.

c. 100% during the employee’s third year of continuous full-time University employment and thereafter.

Commencing with the 1997-98 academic year, University service fees are included in a comprehensive tuition charge. In prior years, service fees were separately stated for full-time students. Since the fees are no longer separately itemized, a comprehensive tuition remission fee of $900 replaces the fees stated for spouses and/or child(ren) and part-time faculty, administrative and staff employees.
Procedures:

a. Admission shall be through regular University procedures.

b. The Director of Human Resources will authorize tuition remission.

A $900 annual fee is assessed to a full-time employee's spouse and/or child(ren) as a replacement for the former University service fee. The fee is not applicable to part-time students or to tuition paid on a per unit basis since the University service fee is separately stated and is payable as such. Part-time employees eligible for tuition remission continue to pay only the fees attached to courses for which they enroll, such as computer fees, lab fees, studio fees, etc.
3. Part-Time Faculty Members:

Policy:

As recognition of service by part-time faculty members and to encourage continued formal study, the University offers them the opportunity to enroll in one class per term, regardless of the number of units, at no cost for tuition, provided:

a. There is room in the class for the part-time faculty member.
b. The class is taken during any term a part-time faculty member teaches at Woodbury after having taught for one term at the University.
c. There is sufficient enrollment count to conduct the class prior to registration of part-time faculty members.
d. The class in which the part-time faculty member enrolls will be other than his/her own and will in no way conflict with the class he/she is teaching.
e. All academic standards are met for a class in which the part-time faculty member enrolls for credit. Part-time faculty who do not wish to enroll in a class for credit may audit the class, in which case they will be expected to comply with all audit procedures.

Part-time faculty receiving tuition remission will pay only the fees attached to courses for which they enroll such as computer fees, lab fees, studio fees, etc.

Procedure:

a. Admission shall be through regular University procedures.
b. The Director of Human Resources will authorize tuition remission.
4. **Part-Time Administrative and Classified Employees:**

**Policy:**

As recognition of service by part-time administrative and classified staff (excluding temporary and student employees and consultants) and to encourage continued formal study, the University offers them the opportunity to enroll in **one class per term**, regardless of the number of units, at no cost for tuition, provided:

a. The employee has completed the 90-day Introductory Period of employment for new hires.

b. There is room in the class for the part-time employee after tuition paying students are enrolled.

c. The class is taken during other than the part-time employee's regularly scheduled working hours.

d. The employee continues part-time employment for the duration of the term in which the class is taken. In the event employment is discontinued during the term, tuition charges shall be prorated accordingly.

e. There is sufficient enrollment count to conduct the class prior to registration of a part-time employee.

f. All the usual academic policies apply to staff on tuition remission.

Part-time employees receiving tuition remission will pay only the fees attached to courses for which they enroll, such as computer fees, lab fees, studio fees, etc.

**Procedure:**

a. Admission shall be through regular University procedures.

b. The Director of Human Resources will authorize tuition remission.

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H. WORKERS' COMPENSATION INSURANCE

Paid for by the University, workers' compensation insurance may cover medical expenses due to work-related injury or illness. It also provides a percentage of salary continuation as determined by the workers' compensation insurance carrier for related absence from work. **On-the-job injuries must be reported immediately to the Human Resources Office so that proper forms and records can be prepared.**
I. SOCIAL SECURITY

All employees are covered by the social security law and are subject to taxes under the Federal Insurance Contributions Act (FICA). A deduction is made from each employee’s gross earnings in accordance with the law as the employee's contribution to social security. Woodbury contributes an amount equal to that paid by each employee. Social Security benefits include retirement income, Medicare payments, payments for disability, and payments to one’s family in the event of death.
J. STATE DISABILITY INSURANCE

Wholly paid by the employee through payroll deduction (SDI) and mandated by the State of California, state disability insurance provides weekly benefits for prolonged illness or absence from work due to illness or injury. The State of California Employee Development Department administers employee claims for state disability.
K.  UNEMPLOYMENT INSURANCE

Unemployment insurance (UI) benefits are provided at no cost to employees. Such benefits provide partial compensation for a limited period of time to those eligible employees who generally are unemployed for reasons not of their own making. Employees who voluntarily terminate their jobs or who are dismissed for cause, may or may not be eligible, depending on the circumstances of their particular cases. In addition, all claimants for unemployment benefits are requested to register for work with the State of California Employee Development Department and must be both physically able to work and substantially available for work in the general labor market.
L. PAID HOLIDAYS

The University recognizes the importance of leisure time in achieving greater productivity, and provides regular and part-time employees with the following paid holidays each year.

New Year's Day (3 days)
Martin Luther King Day
President's Day
Good Friday
Memorial Day
Independence Day
Labor Day
Thanksgiving Day (2 days)
Christmas Day (3 days)

1. **Weekends and Vacations:**

   When a scheduled holiday falls on Sunday, it will normally be observed on the following Monday. When a scheduled holiday falls on a Saturday, it will be observed on the preceding Friday. Holidays that occur during an employee's vacation will not be counted as a vacation day.

2. **Eligibility and Leaves of Absence:**

   Student and temporary employees are ineligible for holiday benefits and do not receive pay for holidays on which they do not work. Employees are ineligible for holiday benefits that occur while they are on an unpaid leave of absence. An employee must work on his/her regularly scheduled working day immediately preceding and immediately following the holiday unless he/she is on approved paid vacation and/or sick leave in order to receive holiday pay.

3. **Scheduled Day Off:**

   If a holiday falls on an employee's scheduled day off, the employee will be given holiday compensatory hours to be taken on a different date no later than 30 days following the actual holiday.
M. UNIVERSITY OF SOUTHERN CALIFORNIA FEDERAL CREDIT UNION

Policy:

Woodbury faculty, staff, administration and immediate family members are eligible for membership in the USC Federal Credit Union. Since accounts are administered by USC, information on various interest rates, etc. may be obtained directly from them. Their telephone number is (213) 740-7100.

Procedures:

In order to become a member, employees are requested to:

1. Complete a membership card available from the Payroll Office.
2. Make an initial deposit of at least $25 into a "share" account.
3. Pay a $5 membership fee.
4. Return the completed membership card, the initial deposit payment, and the membership fee to the Payroll Office.
N. TAX SHELTERED ANNUITIES

Policy:

A provision of the Internal Revenue Code (IRS 403(b)) permits regular, full-time faculty, staff and administration to defer taxes on a portion of their salaries by making contributions to a tax-deferred supplemental retirement account. This is accomplished through a payroll reduction agreement with the University and is subject to a maximum exclusion allowance.

Procedures:

Payroll deductions are currently permitted for the following approved tax-sheltered annuity vendors:

1. **TIAA-CREF Supplemental Retirement Annuities Plan:**
   
   Information regarding participation may be obtained from the Human Resources Office.

2. **Security Benefit Life Insurance Company:**
   
   An introductory individual financial planning service available at no cost to the employee, together with information related to 403(b) tax sheltered annuities, may be obtained from the University’s representative as follows:

   Marsha L. Roubidoux  
   Certified Financial Planner  
   Financial Network Investment Corporation  
   3625 E. Thousand Oaks Boulevard, Suite 218  
   Westlake Village, CA 91362  

   Telephone:  (800) 966-3579  
   (805) 379-0845
O.  *BENEFITS FOR PART-TIME EMPLOYEES

A part-time employee is any paid person working for the University at less than the normally accepted full-time workload or who is defined as part-time by the terms of a written appointment.  (Full-time status for staff is defined by position descriptions and normally requires 40 hours per week. Full-time for faculty is defined by a letter of appointment.)

It is the policy of the University to prorate sick leave, vacation leave, and all observed academic and administrative holidays for part-time administrators and classified staff who work at least 20 hours weekly and to prorate sick leave for part-time faculty on the basis of one sick class period a term for each class taught.

An employee who works 1,000 hours in the 12-month plan year shall be eligible for inclusion in the University's retirement plan and shall remain on the plan until such time as his/her total hours in the plan year period drop to 500 or below. Normally, the University will not employ part-time employees at the level of 1,000 hours in a 12-month period. Exceptions will not usually be made, but may be applied for through the appropriate Cabinet Member who will recommend to the President. Other benefits are not available to part-time employees. Student and temporary workers, consultants, independent contractors, and other categories that may not be covered above are excluded from benefits.
P. EMPLOYEE TRANSPORTATION PLAN

Woodbury's rideshare plan was implemented in 1991 to respond to the South Coast Air Quality Management District Regulation XV for companies with 100 or more employees. Compliance, in part, mandates a formal rideshare plan administered by a trained and certified "Employee Transportation Coordinator" (ETC). Rideshare incentives are required to encourage employees to reduce southern California smog and traffic by "leaving their cars behind" whenever possible. Some of Woodbury's incentives include cash for carpool, public transit, bicycling, walking to work, or alternate modes; in addition to earned bonus points toward a meal in the cafeteria, rideshare day off, two hours off on a holiday eve, credit toward walking shoes, etc.

Complete information regarding the University rideshare program and benefits may be requested from Woodbury's ETC, who also serves as Campus Services Assistant.
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VIII. ADMINISTRATIVE AND CLASSIFIED LEAVES

A. VACATION LEAVE

Regular staff employees working at least 20 hours weekly are granted vacation with pay based upon continuous length of service with the University. Student/temporary employees do not accrue vacation, and there is no accrual of vacation during a leave of absence without pay.

Teaching faculty who serve as department chair receive 21 annual vacation days from administrative duties. Other regular members of the faculty teach two semesters annually and normally have the summer term away from teaching responsibilities.

Policy:

Vacation benefits are based on the fiscal year, July 1 to June 30, as follows:

1. Vacation leave is related to position level and years of service and is earned on a monthly basis; e.g., an employee with 12 days of annual vacation earns leave at the rate of one day per month.

2. All full and part-time regular employees begin accrual of vacation leave upon employment. If employment begins after the 15th of the month, accrual begins on the first day of the next month.

3. New employees are encouraged not to use accrued vacation during the three-month introductory period.

4. Employees may take vacation days in a given year prior to having accrued them. In the event an employee terminates employment owing vacation days to the University, it is understood that the value of the owed days shall be deducted from the final paycheck. Further, vacations may be taken only after written approval by the Department Supervisor.

5. Under California law, earned vacation time is treated as a form of deferred compensation for work performed and is an employee's vested right. Under the "no additional accrual" policy, no more vacation time is earned after the established level has accumulated as set forth at the end of this section. Once the maximum time has accrued, additional vacation is not earned until the accrual balance goes below the maximum accrual level.

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Vacation Accrual Schedule:

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<tr>
<th>Grades</th>
<th>To Completion Of Three Years</th>
<th>Three to Six Years</th>
<th>After Six Years</th>
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Procedure:

1. Vacation periods should be planned with the employee's supervisor. Each major area of the University is responsible for adequate administrative coverage during vacation periods. Classified staff are asked to plan their vacations during more slack periods so that duties can be assumed by others in the office.

2. Vacation leave shall be requested in advance via the "Employee Status Advice" form with approval by the department supervisor. Following approval, the form is submitted to the Human Resources Office for verification of earned and unused leave and recording prior to distribution of copies to payroll and the employee.

3. Effective January 1, 1999, the maximum vacation accrual shall not exceed annual earned vacation days. However, policy allows employees hired prior to January 1, 1999, whose accrual as of December 31, 1998 exceeds their annual earned vacation days, a five-year phase-in period of using all of their annual earnings plus five of their accrued vacation days each year until accruals reach the allowed annual maximum as follows:

Five-Year Phase-In Schedule:

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*Maximum Annual Accruals represent accrual limits at the end of the fiscal year on June 30 of a specific year.

**Phase-in period completed.

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B. SICK LEAVE

Sick leave benefits are based on the fiscal year, July 1 to June 30. Sick leave accumulates at the rate of one day per month of employment to a maximum of 60 days and is to be used for illness and/or personal medical appointments as it is earned. Sick leave may not be taken in advance of actual accrual. If sick leave has been taken to the extent of earnings, an employee may elect to use accrued vacation leave. In the absence of accrued vacation days, or in the decision to not use vacation leave, any sick leave in excess of earnings shall be treated as leave without pay. Normally, paid sick leave shall not be taken in increments of less than four hours.

Policy:

1. Examples of sick leave usage follow:
   a. Personal illness, bodily injury, pregnancy, etc.
   b. Personal medical and dental appointments.
   c. Attendance upon members of the immediate family when the employee's presence is required.

2. Sick pay benefits are available beginning with the first hour away from the job due to illness or injury. However, because sick pay benefits are designed only to assist an employee who misses work due to an actual illness or injury, no sick leave benefits are paid upon retirement or termination of employment for any reason, nor can sick leave benefits be applied as extra vacation. The employee may be required to obtain a medical certificate to justify the granting of sick leave.

3. Unused sick leave benefits accumulate from year to year up to a maximum benefit of 60 days. Employees with a balance exceeding the 60-day cap will be considered to have reached the maximum by retaining the total of their accumulation at that date. Once the maximum time has accrued, additional sick leave is not earned until the accrual balance goes below the cap of 60 days.

Procedure:

1. Sick leave for exempt employees shall be reported via the "Employee Status Advice" form with approval by the department supervisor. It is the responsibility of the department supervisor and the exempt employee to ensure that sick leave is reported to the Human Resources Office in a timely manner.

2. Sick leave for non-exempt employees shall be reported on the bi-monthly timesheet.

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C. *JURY DUTY LEAVE/VOLUNTARY COURT APPEARANCES*

Woodbury considers participation in the judicial system as an employee's responsibility toward good citizenship. Employees who are summoned for jury duty or who are subpoenaed as witnesses in a trial may be given five working days with full pay. The employee will normally request five continuous days of jury duty and will inform the court, if need be, that the University's policy is payment for five days of such service each calendar year.

The Code of Civil Procedure and Judicial Council Standards stipulates that the current term of service is one sworn trial except in cases where the juror is on-call. The juror will complete service at the close of business on the tenth day of service if the juror is not in a courtroom in jury selection or sworn on a jury panel in a trial.

The University honors the Code of Civil Procedure which stipulates that jury service shall be completed at the close of the tenth day of service; however, it is the employee's responsibility to advise the Court that the University pays for five days of service, and that additional days may be a financial hardship to them. In the event jury duty exceeds the five paid days, employees may use personal leave, sick leave, vacation leave, or leave without pay.

Salary for jury duty will be paid while serving and not in advance. Any payment received for jury duty may be retained by the individual.

When an employee receives either a notice for jury duty or a subpoena as a trial witness, he/she should immediately notify the department supervisor and provide the documentation of notification. The supervisor should be kept informed of the employee's status at all times and when the employee's presence is not required in court.

Time off for voluntary appearances in court for the benefit of the employee is considered as personal time off. Arrangements for this time must be made with the employee's supervisor well in advance.

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D. TIME OFF FOR VOTING

Because the University has a continued interest in encouraging responsible citizenship, employees are urged to vote for candidates and issues of their choice at local, state, and national elections. To make the voting process more available, employees who do not have sufficient time outside their working hours within which to vote, will be permitted to take up to two hours off, with pay, for this purpose. Time off for voting should be requested from the supervisor.
E. LEAVE OF ABSENCE WITHOUT PAY

Policy:

A leave of absence without pay may be requested as additional vacation time for those employees who have used their earned vacation for any fiscal year. Usually, a leave of absence without pay would not exceed 10 working days for classified staff and 15 working days for administrative staff, except in special cases.

Procedure:

Request for a leave of absence without pay, as stipulated above, should be made in writing by the employee, and written approval granted by the appropriate Cabinet Member on the "Employee Status Advice" form.

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F. *BEREAVEMENT-EMERGENCY LEAVE

Policy:

Bereavement-emergency leave is available in the case of death, accident or serious illness in the immediate family or similar emergencies. An employee may use five days of sick leave when absence is required due to the death of a family member outside the immediate household; e.g., parent, sibling, grandparent, grandchild, in-laws, step relatives, etc. (See “G. Compassionate Leave” for leave related to the death of an individual in the immediate household.)

Five days of sick leave may also be used to attend to a family member in the immediate household; e.g., spouse, domestic partner, child, etc. when the employee’s attendance is required. Additional days beyond five may be used from accrued vacation time with the approval of the employee's supervisor.

Leave in such cases must be approved by the appropriate Cabinet Member or supervisor and will be deducted from accrued sick leave.

Procedure:

1. Bereavement-emergency leave must be requested in writing with written approval by the appropriate Cabinet Member or supervisor either in memo form or via the "Employee Status Advice" form.

2. Bereavement-emergency leave shall be deducted from accrued sick leave.

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G. *COMPASSIONATE LEAVE*

**Policy:**

Compassionate leave is available for bereavement of an individual in the immediate household; e.g., spouse, domestic partner, child, etc. An employee shall be granted five paid days that is not charged to any other leave accrued by the employee. Employees may take up to an additional five days bereavement leave from accrued sick leave. Additional time beyond the 10 days of compassionate and bereavement leave may be used from accrued vacation time with the approval of the employee’s supervisor.

**Procedure:**

1. Compassionate leave must be requested in writing with written approval by the appropriate Cabinet Member or supervisor either in memo form or via the “Employee Status Advice” form.

2. The five days of compassionate leave shall be provided with pay by the University, a subsequent five days of bereavement leave may be used from sick leave with additional time beyond the 10 days of compassionate and bereavement leave to be charged to accrued vacation leave.

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H. *PERSONAL LEAVE

Policy:

Personal leave is available for use at the employee’s discretion to take care of personal business, to observe a religious holiday, birthday, etc. An employee may use two days per fiscal year for this purpose. Leave must be approved by the employee’s supervisor and will be deducted from accrued sick leave.

Procedure:

Additional days may be used from accrued vacation time with the approval of the employee’s supervisor.

1. Personal leave must be requested in writing with written approval by the supervisor either in memo form or via the “Employee Status Advice” form. Please check OTHER on the “Employee Status Advice Form” and designate “Personal Leave” on the line preceding the EFFECTIVE DATE.

2. Personal leave shall be deducted from accrued sick leave.

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I. FAMILY AND MEDICAL LEAVE ACT

Policy:

The Family and Medical Leave Act (FMLA) provides employees up to 12 weeks of job-protected leave per 12-month period for:

- The birth of a child;
- The placement of an adopted child or foster child;
- The serious illness of the employee; and
- Care for a child, stepchild, parent or spouse with a serious health condition. "Serious health condition" is defined in the FMLA legislation as a health condition that involves inpatient care in a hospital, hospice, or residential medical care facility or continuing treatment by a health care provider. This does not include voluntary or cosmetic treatment that is done on an outpatient basis and that is not medically necessary or routine preventive physical exams.

FMLA requirements stipulate that an employee must have performed at least 1,250 hours of service with the University in the previous 12 months.

All employees (except the highest paid 10% of the University's workforce who are not included in FMLA stipulations) will be offered their former position or an equivalent position with equivalent benefits, pay and other terms and conditions of employment upon return from leave. Throughout the leave the same insurance benefits enjoyed prior to the leave will be provided. Those employees with payroll deductions for medical/dental premiums and/or AFLAC Flex-One or supplemental insurance coverage shall continue to submit that portion of the premium on the first of each month during the duration of the leave. The University may charge the employee retroactively for the University's portion of healthcare premium cost during unpaid FMLA leave if the employee does not return to work after the leave for reasons other than health conditions or some other reason beyond the employee's control. The period of FMLA leave shall be treated as continued service for the retirement plan, but only for the purpose of preventing a "break in service" under the terms of the plan.

FMLA leave for a newborn child or for adoption or foster care placement of a child must be completed within 12 months of the birth, adoption, or placement. FMLA leave for a serious health condition may be taken intermittently or on a reduced time basis; e.g., by working fewer days in a week or by working fewer hours in a day, but only if such a schedule is needed for medical reasons.
Woodbury requires that the employee apply all of their accrued sick leave as part or all of the 12-week period. Under no circumstances will employees be entitled to FMLA leave in excess of the authorized 12 weeks. Any leave, with or without pay, that is designated as leave under FMLA will count against the employee’s FMLA entitlement. The University may count disability leave due to pregnancy against the allowable 12 weeks under FMLA.

Procedure:

1. The provision of 12 weeks of leave in any 12-month period is computed as the 12-month period measured forward from the first day of an FMLA leave for employees who have performed at least 1,250 hours of service in the previous 12 months.

2. The employee is expected to provide at least 30 days' advance notice of leave, to the extent advance notice is practicable. Also, if the leave is for planned medical treatment and will be taken on an intermittent basis or by a reduced schedule, the employee is expected to schedule the treatment so as to create minimum disruption for the University.

3. The employee is required to provide certification from a healthcare provider concerning the serious health condition (including certification that the employee is needed to care for a family member and an estimate of the time needed) or certification that the employee is unable to perform the functions of his/her job.

4. The employee shall notify his/her supervisor that he/she will return to work within a reasonable length of time prior to returning. An employee who fails to report to work without notification on the day after the FMLA leave expires will be considered to have voluntarily resigned.

5. No sick leave or vacation credit is accrued during FMLA leave without pay.
J. MEDICAL LEAVE

Policy:

A job-protected medical leave of absence for illness or injury may be granted under the Family and Medical Leave Act for a period of 12 weeks, and shall be supported by a physician’s statement. The University requires that the employee apply all of their accrued sick leave as part or all of the 12-week medical leave. A physician’s release shall be required before the employee may return to work.

The University shall continue payment of health insurance premiums during any period of the 12-week medical leave period that is without pay.

Procedure:

1. The employee is expected to provide at least 30 days’ advance notice of leave to his/her immediate supervisor with copy to the Human Resources Office, to the extent advance notice is practicable.

2. The employee is required to provide certification from a healthcare provider that he/she is unable to perform the functions of his/her job.

3. The employee shall notify his/her supervisor that he/she will return to work within a reasonable length of time prior to returning. An employee who fails to report to work without notification on the day after the leave expires will be considered to have voluntarily resigned.

4. A physician’s release shall be provided by the employee prior to returning to work.

5. No sick leave or vacation credit is accrued during medical leave without pay.
K. PREGNANCY LEAVE

Policy:

Under California law, the University provides up to four months of job protected leave for disability due to pregnancy, childbirth, or related medical conditions. The leave can be taken before and/or after birth, and the length of the leave (up to the four-month maximum) is dependent upon a physician’s medical opinion of the employee’s inability to work.

Woodbury requires that the employee apply all of their accrued sick leave as part or all of the four months pregnancy leave. The University shall continue payment of health insurance premiums during any portion of the four-month leave period that is without pay.

Procedure:

1. The employee shall request pregnancy leave in writing to the immediate supervisor with copy to the Human Resources Office within a reasonable length of time prior to commencement of the planned leave.

2. No sick leave or vacation credit is accrued during pregnancy leave without pay.
L. *PATERNITY LEAVE

Policy:

A paternity leave of absence is defined as an approved leave authorized for full-time employees in a relationship who are not the primary caregiver of the child and who become new parents. Under the Family and Medical Leave Act of 1993 (FMLA) and the California Family Rights Act (as amended in October, 1993), employees have the right to take up to 12 weeks of unpaid leave in a 12-month period for the birth or adoption of a child.

Because the University recognizes that paternity has taken its place alongside maternity and disability as an occasion deserving of leave, an employee may apply five days of sick leave as part or all of the paternity leave.

Procedure:

1. The employee shall request paternity leave in writing to the immediate supervisor with copy to the Human Resources Office within a reasonable length of time prior to commencement of the planned leave.

2. No sick leave or vacation credit is accrued during paternity leave without pay.
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IX. EMPLOYMENT STANDARDS

Standards outlining acceptable employee conduct are necessary for the University and for the benefit and protection of the rights and safety of all employees. Examples of types of conduct to be avoided are identified below to promote understanding of what is considered acceptable behavior and to encourage consistent action by the University in the event of violations. It is, however, understood that it is not possible to provide an exhaustive list of types of conduct that may result in disciplinary action. Consequently, the following is not intended to specify conditions that would either limit the rights of the individual or the rights and expectations of the University:

- Unexcused absence.
- Excessive absenteeism.
- Job abandonment.
- Unexcused tardiness.
- Theft or unauthorized possession or removal of University property or the property of a co-worker.
- Release of confidential information about the University or its constituents.
- Falsification of employment records, employment information, or other University records.
- Violation of any safety, health, or security policies, rules, or procedures of the University.
- Use, possession, transfer or sale of illegal or non-prescribed drugs or alcohol, or being under the influence of any such substance while at work or on the campus.
- Harassment of other employees.
- Insubordination.
- Unsatisfactory performance.

A. HARASSMENT

The University is committed to providing an environment free of discrimination. In keeping with this commitment, Woodbury maintains a strict policy prohibiting harassment including sexual harassment. Furthermore, it prohibits harassment in any form including verbal, physical or visual harassment (see Section XIV for policy).

B. ATTENDANCE

Good attendance and punctuality are essential components of solid employee performance. Poor attendance and tardiness disrupt productivity and make it difficult to function effectively. Repeated incidents of tardiness or leaving work early may result in disciplinary action.

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C. UNSCHEDULED ABSENCES

An unscheduled absence will not be considered an excused absence unless the reason for the absence and the anticipated number of absent days is reported to the supervisor and/or the Director of Human Resources.

D. ALCOHOL, DRUGS AND SUBSTANCE ABUSE

The sale, purchase, use, possession or transfer of illegal drugs, or appearance at work while under the influence of alcohol or any illegal or non-prescribed drug is prohibited, whether the employee is on duty or on the campus. Any violation of this policy may result in immediate dismissal.

E. EMPLOYEE DISCIPLINE

The University makes every effort to give employees who are encountering work-related difficulties an opportunity to improve by:

- Setting measurable attainable goals for improvement;
- Taking into account the seriousness of the problem and penalties imposed on other employees for similar conduct;
- Placing notices and warnings to the employee in writing;
- Making certain that the violation is reasonable; e.g., related to the safe, efficient and orderly operation of the University; and
- Ascertaining there is clear evidence of the violation prior to imposing discipline.

F. PERSONAL TELEPHONE CALLS

Personal telephone calls (both incoming and outgoing) are strongly discouraged during business hours and should be confined to those which are absolutely necessary.

G. USE OF UNIVERSITY EQUIPMENT

Use of University equipment for personal use (other than incidental to employment) is strictly prohibited. Any other personal use of equipment requires prior consent of the supervisor. This includes, but is not limited to, personal computers, fax machines, copiers, typewriters, etc. Under no circumstances is it permissible to remove University equipment from the premises.

Issued 12-98
H. *COMPUTER USE AT THE WORKPLACE*

**Policy:**

This policy is applicable to all members of the campus community, whether on the premises or elsewhere, and refers to all computer information resources whether shared, stand alone, portable, or networked. The University views the use of its computers, networks, and Internet access as a privilege, not a right, and seeks to protect legitimate computer users by imposing sanctions on those who abuse the privilege.

**Procedure:**

The University honors and respects the academic freedom of its members and strives to permit maximum freedom of computer use consistent with current University policy and state and federal laws. Within that guideline, the University expects responsible and ethical behavior when using computers and computer technology as follows:

1. Respect the privileges provided by the First Amendment and by academic freedom. They should understand that these rights do not extend to messages or images that would be considered:
   - Obscene or patently offensive,
   - Libelous,
   - Threats of violence or incitement to lawless action,
   - Demeaning or harassing to individuals or groups, and
   - Disruptive to the academic environment.

   The above actions may result in criminal prosecution or civil liability, as well as being a violation of University policy.

2. Respect the differing standards of others. If dealing with messages or images that might be offensive to others, they should attempt to do so privately and remember that good manners and courteous behavior do not stop at the computer screen.

3. Respect the privacy of others by not seeking information on, obtaining copies of, or modifying files, tapes or passwords belonging to others.

4. Respect the legal protection provided by copyright and licensing of programs, data, and other sources of information by not distributing or making copies of text or software without the permission of the copyright holder. They should not place illegally obtained software on computers or networks.

5. As users, employees are responsible for any use or misuse of any log-in by themselves or others using an individual computer or account. It is advisable that all reasonable precautions be taken...
to ensure that unauthorized use of an individual account is prevented. A terminal or personal computer should not be left unattended once an account has been logged into. Passwords should not be shared and should be changed frequently.

6. Respect the intended usage of systems for electronic information exchange, including the World Wide Web and electronic mail:

- Do not send forged electronic mail,
- Do not use the campus network for electronic chain letters, and
- Do not use University computing and network resources to promote commercial or profit-making activities or unsanctioned non-university activities.

7. Respect the integrity of the network as follows:

a. Do not use any programs, transactions, data or processes that infiltrate a system or damage or alter the software or data components of a system.

b. Do not alter any system or network software.

c. Do not attempt to crash systems or networks.

d. Do not introduce viruses into systems.

e. Do not install or modify any on-campus University hardware without explicit authorization from the appropriate service provider.

f. Do delete old electronic mail promptly.

g. Do remove unused files and folders.

8. Respect the University’s need to monitor its own systems. Woodbury does not routinely monitor e-mail or other electronic communications; however, e-mail and files stored on the University system are not private. Deleting a message is no guarantee that the message isn’t stored elsewhere.

9. Respect the Internet Service Provider that provides off-campus access to the Internet by following the guidelines of that provider concerning computer use of their bandwidth.

10. Respect data stored on PCs by backing up frequently.

Violations of this policy will generally be referred to the regular student disciplinary process or to the appropriate department head for action.

Issued 12-98
I. ATTENDANCE AT WORK-RELATED SEMINARS

The University complies with Section 2802 of the California Labor Code, which provides that an employer must reimburse employees for all necessary expenses incurred by them in performing their duties. This includes attendance at training programs required by the University.

J. PERSONAL POSTAGE AND MAILING

An outgoing mailbox is located in the Central Services Department. Employees may send personal mail through Woodbury’s facilities at their own expense.

K. WORK STATION APPEARANCE

While janitorial service is provided, each employee is responsible for maintaining the professional appearance of his/her work area at all times.

M. PERSONAL BELONGINGS IN THE OFFICE

Woodbury’s insurance policy does not cover the loss of personal items and is, therefore, not responsible for the loss, theft or damage of personal items left in the office. While overall campus security is emphasized, prevention of loss of personal items is the responsibility of each employee.

N. PERSONAL APPEARANCE

Employees are expected to use good judgment and taste in matters of personal grooming, hygiene and dress.

O. SALES AND SOLICITATIONS

No soliciting for gifts, contributions or sales is permitted except employees may solicit for gifts for co-workers for appropriate personal occasions.

P. MOONLIGHTING

The University has no objections to employees holding another job as long as it does not present a conflict of interest and he/she can effectively meet the performance standards for his/her position. However, the employee should think seriously about the effects such extra work may have on overall personal health and effectiveness in their position.

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P. OPEN DOOR POLICY

The University maintains an open door policy and employees are encouraged to discuss any concerns or questions with their immediate supervisor. If an employee does not receive a satisfactory reply or solution from the supervisor and appropriate Cabinet Member, he/she should consult with the Director of Human Resources. It is Woodbury’s intention to be fair and impartial in order to establish the best possible working environment.

No employee will be discriminated or retaliated against, or in any way penalized, for using this procedure.
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X. TERMINATION

The employment relationship is based on the mutual consent of the employee and the University. Accordingly, either the employee or Woodbury can terminate the employment relationship at will, with or without cause, at any time.

A. *SEPARATION PROCESS

Policy:

Consistent with positive employee relations practices, this policy shall aid in the timely and accurate processing of individuals who leave the University's employ. Separation categories basically include:

- Resignation—a voluntary separation.
- Release—a separation in which the employee is not qualified or adapted for the type of work assigned.
- Dismissal—a separation in which the employee is removed from the payroll for unsatisfactory job performance, etc.
- Retirement.

Benefits coverage terminates on the last day of employment. However, insurance benefits; e.g., medical, dental, long-term disability, life insurance, etc. terminate on the last day of the month in which the termination takes place.

Procedure:

1. Notification to the Human Resources Office of separation is made on the “Employee Status Advice” form by the immediate supervisor and/or the appropriate Cabinet Member and is accompanied by either the letter of resignation or notice of release/dismissal as follows:

   a. A resignee shall submit his/her intent to resign and the effective date of resignation in writing to the immediate supervisor not less than ten working days prior to the effective date.

      Upon submission of a notice of resignation, there can be no withdrawal or stopping of the resignation action except upon mutual agreement between the employee and the University.

   b. A notice of release/dismissal to the employee explaining the reasons for it shall be presented in writing by the immediate supervisor through the appropriate Cabinet Member following oral notification.

2. The Human Resources Office shall assist in conversion of health and dental insurance benefits to COBRA and shall explain vesting in the University’s retirement plan, if applicable, as well as any other matters the resignee may request.

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B. SEVERANCE PAY

Woodbury does not maintain a formal severance pay policy or provide severance pay to employees who separate from its employ for any reason. However, the university reserves the right to make exceptions to this policy and grant severance pay in its sole and absolute discretion depending on length of service.

C. RETURN OF UNIVERSITY PROPERTY

Employees are expected to return all University property in their possession or control immediately on termination of employment for any reason. This includes the WOODBURY UNIVERSITY POLICIES AND PROCEDURES MANUAL, all keys, credit cards, ID cards, library books, equipment or other items provided the employee.

C. *EXIT INTERVIEW

The Director of Human Resources normally schedules an exit interview with an employee who leaves the University employ. This interview allows employees to communicate their views on their work at Woodbury and the job requirements, operations, and training needs (see form on next page). It also provides an opportunity to discuss the effects on fringe benefits.

D. REHIRE CONSIDERATIONS

Employees classified as “eligible for rehire” when they separated employment will be considered for rehire with other applicants if they apply. Their prior record at Woodbury will be considered. Employees who were classified as “ineligible for rehire” will not be considered for further employment with the University.
WOODBURY UNIVERSITY
EXIT INTERVIEW

Employee’s Name: ___________________________  Date: ___________________

Position Held: ___________________________  Hire Date: _______________

Department: ___________________________  Termination Date: _________

This form has been developed to give you an opportunity to take a few minutes of your time to rate those areas of your job while at Woodbury which are of most interest and importance to you. Please use the COMMENTS section to express personal views related to your term of employment with the University. The value of this information depends on the frankness and care with which you respond.

Please rate the following on a scale of 1-5 (1=strongly agree to 5=strongly disagree):

___ Overall I was satisfied with my position at the University.
___ Overall I was satisfied with my supervisor.
___ I found my work challenging.
___ I had all the resources and information I needed to do my job.
___ The overall work climate helped me achieve above average performance.
___ Administrators and other classifications treat each other equally, regardless of any differences.
___ I believe there were adequate opportunities for me to develop my career at the University.
___ I understood the compensation system used at the University.
___ I had a clear understanding of my role at the University.
___ I was able to balance work priorities with my personal life.
___ I believe that the benefits at Woodbury were competitive with other private institutions of higher education.
___ I felt I was adequately compensated while at the University.
___ I received adequate orientation, training, and development opportunities to do my job.
___ The process for discussing issues, concerns, or giving suggestions met my needs.
___ Communication of information satisfied my need to know.

ADDITIONAL COMMENTS: __________________________________________________
______________________________________________________________________
______________________________________________________________________
______________________________________________________________________
______________________________________________________________________
______________________________________________________________________

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E. *FINAL PAYCHECK*

Employees will receive their final paycheck from the Human Resources Office within the time required by law. The final paycheck for employees who resign with at least 72 hours advance notice will be provided on their last day of work. Employees who resign without providing at least 72 hours advance notice, however, will receive their final paycheck within three days of their resignation. Employees who are terminated involuntarily will be provided their final paycheck on their last day of work. The final paycheck will include any unused accrued vacation. The employee must return Woodbury property at the time the final paycheck is provided.

**PRIOR TO RELEASE OF THE FINAL PAYCHECK BY THE HUMAN RESOURCES OFFICE, IT SHALL BE THE EMPLOYEE’S RESPONSIBILITY TO OBTAIN CLEARANCE FROM VARIOUS OFFICES VIA THE “TERMINATION OF EMPLOYMENT CHECKLIST” FORM WHICH FOLLOWS THIS SECTION.**
WOODBURY UNIVERSITY
TERMINATION OF EMPLOYMENT CHECKLIST

Employee's Name: __________________________ Date: ______________________

Department: __________________________

Termination Date: __________________________

Prior to release of the final paycheck by the Human Resources Office, it shall be the employee's responsibility to obtain clearance of return of all University-owned property.

The employee is requested to have a representative from each of the following offices "sign off" and date as applicable:

__________________________

Department Head:

- University Equipment

Signed: __________________________ Dated: __________________________

Business Affairs:

- Keys
- University Credit Card

Signed: __________________________ Dated: __________________________

Library:

- University books and/or periodicals

Signed: __________________________ Dated: __________________________

Business Office/Chief Accountant:

- Cash Advance

Signed: __________________________ Dated: __________________________

Human Resources:

- Woodbury University Policies and Procedures Manual
- I.D. Card

Signed: __________________________ Dated: __________________________

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XI. PERSONNEL RECORDS

A. PRIVACY OF EMPLOYEE RECORDS

Policy:

Policy and/or law carefully control releasing information from employee records. Only certain items may be released, with the exception of those required by law enforcement officers and then only with the employee’s acquiescence, or by court order.

Procedures:

It is the University’s intent to assist employees in obtaining credit ratings or other related benefits. It is not the intent, however, to provide personal information by mail, telephone, or personal interview without the specific authorization of the employee, except to verify that the individual is currently employed. The only other exception is that personnel records shall be available to properly authorized law enforcement officers. Information will be released only as follows:

1. Job title, department, location and dates of employment.

2. The following information will be verified only if written authorization is provided by the employee:

   • Home address,
   • Home telephone number,
   • Salary, and
   • Other information that may be contained in the employee’s record.
B. CONFIDENTIALITY

Adherence to the following regulations is recommended:

1. Confidential documents should not be faxed but should instead be delivered and/or mailed to recipients in sealed envelopes labeled "CONFIDENTIAL."

2. Confidential files and documents in various offices should be maintained in locked file cabinets and offices.

3. Access to confidential files should be kept to a minimum.

All work-related documents are the property of the University and are not to be copied or removed without prior approval.

C. RIGHT OF INSPECTION

An employee has the right to inspect certain documents in his/her personnel files, as provided by law, in the presence of the Director of Human Resources at a mutually convenient time. No copies of documents in employee files may be made, with the exception of documents that have been previously signed by the employee. An individual may add his/her version of any disputed item to the file.

D. CHANGE OF NAME AND/OR ADDRESS

It is the responsibility of each employee to immediately advise the Human Resources Office of any change in name, address, telephone number, or marital status.

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XII. MISCELLANEOUS

A. HARASSMENT/SEXUAL HARASSMENT INVOLVING UNIVERSITY EMPLOYEES

POLICY:

Woodbury University is committed to creating and maintaining a community where all persons who participate in university programs and activities can work and learn together in an atmosphere free of all forms of harassment, exploitation, or intimidation. Every member of the community should be aware that the university is strongly opposed to sexual harassment and that such behavior is prohibited both by law and by policy. The university will respond promptly and effectively to any report of sexual harassment and will take appropriate disciplinary action up to and including termination.

Any member of the university community can report conduct that may constitute sexual and/or other unlawful harassment under this policy. In addition, supervisors, faculty and other employees of authority are responsible for taking whatever action is necessary to prevent sexual harassment, to correct it when it occurs, and to report it promptly to the individuals designated to handle discrimination complaints.

DEFINITION:

1. Sexual harassment does not refer to occasional complaints generally accepted as not offensive or other generally accepted social behavior. It refers to an intimate assault on another’s personhood and is prohibited by the EEOC (Equal Employment Opportunity Commission) regulations. Sexual harassment shall be defined as unwelcome sexual advances, requests for sexual favors and other verbal or physical conduct of a sexual nature when such conduct is made explicitly or implicitly a term or condition of employment, is used as a basis for employment decisions, or has the purpose or effect of interfering with an individual’s academic or professional performance or creating an intimidating, hostile or demeaning employment or learning environment (refer to #3 below).

2. Title VII of the 1964 Civil Rights Act bans discrimination by employers on the basis of race, color, religion, sex or national origin in hiring, compensation, conditions of employment and dismissals. Title VII as construed by the EEOC and the courts, prohibits sexual harassment in the workplace.

3. Examples of sexual harassment may include such conduct as the following:

   a. Physical assault;
   b. Direct or implied threats that submission to sexual advances will affect evaluation, employment, or status;
c. Direct propositions of a sexual nature;
d. Repeated requests for private meetings without an academic or work-related purpose;
e. Comments of a sexual nature;
f. Sexually explicit statements, questions, jokes or anecdotes;
g. Unnecessary touching, petting, hugging or brushing against a person’s body;
h. Remarks of a sexual nature about a person’s clothing or body, whether or not intended to be complimentary;
i. Remarks about sexual activity or speculations about previous sexual experience;
j. Letters, notes or electronic mail containing comments, words or images as described above;
k. Visual displays of suggestive, erotic or degrading sexually oriented images that are unconnected with legitimate academic interests; and
l. Behavior by a third party that could be construed as sexual harassment.

PROCEDURES:

Individuals subject to harassment can often stop or prevent sexual or other unlawful behaviors by immediately and directly expressing their disapproval of the individual’s inappropriate attention or conduct. If resolution is not possible, a formal process should be pursued as follows:

*Step One:* Any member of the Woodbury community who, in his or her opinion, has been subjected to sexual harassment should report an incident of inappropriate sexual or harassing conduct as soon as possible to the immediate supervisor of the harasser or to Human Resources. This report may be verbal and does not have to be in written form.

*Step Two:* Any supervisor who receives a complaint is charged with pursuing the matter in consultation with Human Resources. Depending on the circumstances, either a formal or informal process may be pursued.

1. **Informal Process:**

   The supervisor meets with the harasser (respondent) to discuss the reported incident toward resolution as follows:

   a. **WARNING:** In many instances, an informal warning by the respondent’s supervisor combined with appropriate follow-up supervision and monitoring of the harasser’s behavior may be sufficient to prevent or stop the harassment.
   
   b. **MEDIATION:** Such complaints can be resolved through informal mediation between the two parties. A department chair/dean, other Faculty Senate appointed faculty member and/or Human Resources may facilitate mediation.
In cases where sexual or unlawful harassment is admitted or proven as a result of the informal process, the following steps should be taken:

(a) The respondent should state that the harassing behavior will cease and that he/she will not engage in any behavior that could be construed as a further violation of university policy.
(b) A form of relief should be made to the complainant in the form of an apology or an agreement of non-communication, etc.
(c) The respondent must understand there can be no retaliation against the complainant.
(d) The mediator shall monitor compliance to these terms.
(e) The settlement agreement shall be in writing, signed by both parties, and approved by the Faculty Senate member and/or Human Resources.

2. **Formal Process**:

   **Step One—Written Complaint**: To initiate a formal investigation into an alleged violation of this policy by an employee of Woodbury University, complaints should be filed in writing with Human Resources as soon as possible after an incident of alleged harassment. If the complaint is student-to-student, the complaint should be filed with Student Affairs, who will investigate the complaint in accordance with policies outlined in the *Student Handbook*.

   The written complaint should provide as much of the following information as possible:

   a. The name, department and position of the person or persons allegedly causing the harassment;
   b. A description of the incident(s), including the date(s), location(s), and the presence of any witnesses;
   c. The alleged effect of the incident(s) on the complainant’s learning environment and/or conditions of employment;
   d. The names of other employees and/or students who may have been subjected to the same or similar harassment;
   e. The steps the complainant has taken to attempt to stop the harassment, if any; and
   f. Any other information the complainant believes to be relevant to the harassment complaint.

   **Step Two—Human Resources Investigation**: Upon receiving a complaint for discrimination and/or harassment based on race, sex, color, religion, national origin, gender, age, disability, marital status, veteran status, sexual orientation and sexual harassment, the Office of Human Resources begins an investigation. Investigators may not disclose information regarding an investigation to anyone not involved in the investigation other than in accordance with or as required by law.
The following guidelines are offered to assist the investigator as appropriate to the nature of the complaint and circumstances involved according to his/her discretion:

a. The investigation should commence as soon as possible.

b. In cases dealing with sexual harassment, the investigation should be conducted with a male-female team if possible.

c. Investigators should interview individuals who have information relevant to the case.

(a) The investigator may not represent or promise to the person being interviewed that either his/her name or the information provided will remain confidential or that the interview will be “off the record.” Although confidentiality will be maintained to the extent practical and appropriate under the circumstances, applicable law requires that certain information be made available to the complainant and accused. Moreover, should legal proceedings follow, such information may be discoverable.

(b) When first interviewing the accused and as appropriate with other witnesses, the investigator will remind him/her of the university’s policy against retaliation for making a discrimination/harassment complaint or participating in investigation of such a complaint.

d. When interviewing a complainant, the investigator will do the following:

(a) Determine the exact nature of the conduct that is alleged to constitute discrimination/harassment;

(b) Ascertain the specific context(s) in which the conduct occurred;

(c) Find out if there are witnesses who observed the conduct which is the subject of the complaint;

(d) Develop a thorough understanding of the professional relationship, degree of control and amount of interacting between the complainant and the accused;

(e) Determine whether the accused has carried out any threats or promises directed at the complainant;

(f) Inquire whether the complainant knows or suspects there are others who have been discriminated against or harassed by the accused;

(g) Discover whether the complainant previously informed other supervisors or persons of authority of the situation and if so, what was the response; and

(h) Ask the complainant what action he/she would like the university to take as a consequence of the alleged discrimination/harassment, but do not make promises or commitments as to an outcome or possible remedy.

e. When interviewing the accused, the investigator will do the following:
(a) Describe the behavior or conduct that has been alleged and ask if it has occurred;

(b) Obtain the accused’s side of the story. If an adverse employment/academic action was taken against the complainant, ascertain the accused’s reason(s) for such action and obtain any information or documentation that would bear on legitimacy of the reason(s) given; and

(c) Request the names of persons who can corroborate or support the accused’s version of events.

f. **When interviewing other witnesses**, the investigator shall:

(a) **NOT** ask whether the witness has seen or experienced “discrimination” or harassment,” ask instead about specific conduct or behavior that the witness has observed;

(b) Ask if there are others who might be able to comment on the conduct or behavior issue; and

(c) Ask if the complainant complained to the witness about the conduct or behavior that is subject of the complaint and how the witness responded.

**Step Three—Investigator(s) Report and Recommendations:** The investigators shall prepare a written report and recommendation immediately and no later than 15 working days following the completion of the investigation. The report must include:

a. A summary of the complaint;

b. A summary of the response by the individual charged with harassment;

c. A summary of the statements and evidence obtained during the investigation;

d. A finding of whether a violation of university policy occurred. If a violation occurred, the finding must include a statement about the severity of the violation; and

e. A recommendation of sanctions, if appropriate.

**Step Four—Consideration of Report and Recommendations:** The report and recommendations are sent simultaneously to Human Resources and the respondent’s immediate supervisor. After joint deliberation, both must agree to one (1) of the three (3) following actions:

a. **Order further investigation.** Investigation should be for a period not to exceed 10 working days and will require a supplementary report.

b. **Dismiss the complaint.** The complaint will be dismissed if it is found to be without merit. If the investigators found the complaint was reckless, frivolous, or vexatious, discipline must be imposed on the plaintiff.

c. **Sustain the complaint.** If the complaint is sustained, the University will take all of the following actions: order the
harassment to stop, impose appropriate sanctions on the harasser, and provide any other relief necessary to remedy the situation.

3. **Penalty Guidelines:**

The University will seek to impose appropriate penalties for harassment as follows:

a. For unwelcome verbal comments or assaults, gestures, sexually graphic materials, offensive sexual jokes, the University will impose a range of penalties from an informal reprimand to dismissal.

b. For indecent exposure or for repeated touching in areas other than those described in “c” below, the University will impose a range of penalties from a formal reprimand to dismissal.

c. For physical assaults, touching of breasts, buttocks or genital areas, the University will impose a range of penalties from suspension without pay to dismissal and criminal prosecution.

Either party may respond in writing to the report and decision within 10 working days to begin an appeal process.

4. **State Offices Dealing With Harassment:**

**Statewide:** Affirmative Action Coordinator  
1020 N Street, Room 522  
Sacramento, CA  95814  
(916) 227-0551  
Website: [www.dfeh.ca.gov](http://www.dfeh.ca.gov)

**Los Angeles:** Fair Employment and Housing Department  
322 West First Street  
Los Angeles, CA  90012  
(800) 884-1684

Revised 05-05
B. PROFESSIONAL AND PERSONAL CONDUCT

All employees benefit from a positive image of Woodbury University relative to integrity, standards, attitudes, helpfulness, what they each say and do, competence, achievement of students, morale, aims and purposes, historic link with the world of business, and professional conduct on the part of the faculty, staff and students. It is therefore expected of everyone to maintain the kind of conduct and appearance that will enhance the image of Woodbury University.
C. POLICY OF NON-DISCRIMINATION

Woodbury University does not discriminate on the basis of age, race, religion, color, marital status, gender, sexual orientation, nationality, ethnic origin, citizenship or disability. Woodbury admits students of all backgrounds to all rights, privileges, programs and activities provided by the institution. The university does not discriminate in the administration of its educational policies, admission policies, or scholarships and loan programs.

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D. *GRIEVANCE PROCEDURE (NON-FACULTY)*

The Staff Association Grievance Committee is designated to investigate grievances of non-instructional academic staff members as established in the Staff Association Bylaws.

A grievance is defined as a personnel problem involving an employee’s expressed feeling of unfair treatment or dissatisfaction with aspects of his/her working conditions within the university which are outside his/her control. A grievance relates to such matters as salaries, promotions, assignments of duties, working conditions, and propriety of conduct claimed to harm the petitioner substantially whether the claim alleges unethical or improper action by colleagues or by an administrator. A grievance is a matter other than one involving dismissal proceedings and other than a complaint proceeding involving other severe sanctions.

If a staff member feels cause for grievance, he/she may petition in writing to the Staff Association Grievance Committee for redress after other remedies have been exhausted. The written petition shall set forth in detail the nature of the grievance and shall state against whom the grievance is directed. It shall cite any data that the petitioner deems pertinent to the case. Submission of a petition shall not automatically entail investigation or detailed consideration. The committee has the right to decide whether or not the facts merit a detailed investigation. The committee may seek to bring about a settlement of the issue satisfactory to the parties without a hearing; however, any hearing shall provide adequate due process as established by the committee. Committee findings and recommendations shall be made to the petitioner, the President, or other appropriate administrative officer, and the Staff Association. The President shall respond in writing to the committee’s recommendations.

E. FACULTY GRIEVANCE PROCEDURE

Grievances of the faculty are the responsibility of the Committee designated in the FULL-TIME FACULTY HANDBOOK.
F. DRUG AND ALCOHOL ABUSE PREVENTION PROGRAM

The University seeks to foster good health and fitness for its students, faculty and staff, both for their general wellbeing and the belief that sound physical and emotional health is conducive to academic and job-related success. Use, possession, sale or purchase of illegal drugs, and reporting to work under the influence of illegal drugs or alcohol is strictly prohibited and is subject to actions and/or penalties as defined by University policy and state and federal laws.

Policy:

1. The University recognizes chemical dependency and/or alcoholism, as illnesses for which there are effective treatments and rehabilitation programs. Under this policy, chemical dependency and alcoholism are defined as illnesses in which an individual’s use of mood-altering substances definitely and repeatedly interferes with that person’s general health and well being. Substance abuse may affect one’s physical, emotional and psychological health; cause attitude and behavior changes; interfere with one’s academic or job performance; and affect interpersonal relationships.

2. In compliance with the Drug-Free Workplace Act of 1988, Woodbury University prohibits the manufacture, distribution, use, dispensation or possession of illegal drugs in the workplace, on University property, or in University-sponsored facilities or events.

3. This policy concerns the abuse by University employees and students of alcohol, drugs and/or medications, all of which may be detrimental to one’s physical or emotional well being. Specifically, these chemicals may adversely affect one’s digestive, circulatory, endocrine, reproductive and/or neurological systems. Damage to one’s body may be temporary or permanent and may result in death.

4. Conviction of a criminal drug offense occurring on campus may require participation in a drug or alcohol rehabilitation program, in suspension, or in termination from school or employment.

5. It is University policy to treat confidentially all health, counseling and referral matters. It is understood that, while most University personnel are not diagnosticians, they are able to express concern and initiate referrals for diagnosis, treatment and follow-up of health concerns. Assessments are done individually, based upon one’s job or academic performance, attitude, behavior and/or changes therein.
6. Current listings for general drug or other “HELP” hotlines are available to the University community in the office of the Director of the Counseling Center.

7. The use of, or addiction to, chemicals may have serious effects on one’s judgment. While participation in a chemical dependency treatment program is usually voluntary, each case must be evaluated individually to determine the most appropriate treatment plan. University involvement is determined on a case-by-case basis.

8. The University may institute a search for illegal drugs or alcohol if there are reasonable grounds to believe that such a search will reveal evidence that the individual has violated, or is violating, policy.

Procedures:

1. The University considers the student's and/or employee's right to privacy and to fair, equal and consistent treatment in administering the program regarding illegal drug use and alcohol abuse.

2. Suspicion of alcohol and/or drug abuse by an individual shall be based on observations and evaluations by faculty, supervisors and/or peers of one’s academic or job behavior and performance. The following represent physical and emotional symptoms which individually or in combination may be associated with alcohol and/or substance abuse:
   a. Disciplinary problems,
   b. Memory lapses,
   c. Slurred or impaired speech,
   d. Unhealthy appearance,
   e. Difficulty in concentrating, and
   f. Unexplained absenteeism or tardiness.

3. The Director of the Counseling Center maintains a current list of, but has no affiliation with, drug treatment hotlines which provide telephone consulting and referrals to emergency health centers.

4. Informational brochures are available in the Counseling Center to assist individuals experiencing personal problems related to drug and/or alcohol abuse that interfere with productivity.

5. The Director of the Counseling Center, in conjunction with the Student Services Office, conducts an all-campus awareness program at scheduled times.

6. The University fully cooperates with law enforcement agencies when drug and/or alcohol laws are violated on campus.
Criminal Violation: Drug laws are felony and misdemeanor crimes enforced by federal, state and local law enforcement agencies. Alcohol laws are enforced by the California Highway Patrol, local law enforcement agencies and other state regulatory agencies, and may result in arrests, citations, warnings, probation, treatment and license revocation.

Disciplinary Problem: An employee or student is given adequate notice of any policy violation charges, and an opportunity shall be given for the individual to present his/her case through the student and employee discipline and grievance procedures as outlined in the STUDENT HANDBOOK or in the POLICIES AND PROCEDURES MANUAL.

7. Any employee convicted of a criminal drug offense occurring at the workplace must notify the Director of Human Resources of the conviction within five working days of the date of the conviction. When such information is received, the Director of Human Resources will (a) report the violation within ten days to the federal agency granting funds to the University, and (b) initiate appropriate personnel action or require participation in a drug abuse or rehabilitation program within 30 days of learning of the conviction.
G. ILLNESS AND INJURY PREVENTION PROGRAM (SB 198)

Policy:

The University strongly believes that a clean, safe and healthy working environment be provided for everyone to reduce the likelihood of work-related injuries. Injury prevention, however, is largely an individual responsibility. It is, therefore, every employee’s responsibility to think and act “safety” at all times. Any injury must be reported to the supervisor immediately. In addition, if an unsafe work condition is observed, it should be reported at once.

The following procedures outline obvious points that contribute to employee safety. While they may not contain every rule for safe conduct, everyone will be making a contribution to maintaining high safety standards at the University by following the recommendations.

Procedures:

1. Administrative employees are the foundation of the safety program and are required to enforce safety rules. In effectively executing safety responsibilities, administrators should:
   a. Be familiar with safety policies, programs and procedures.
   b. Be aware of safety considerations when introducing a new process, procedure, equipment, or material to the workplace.
   c. Be consistent and fairly enforce and follow safety rules.
   d. Actively participate in safety committees and/or programs.
   e. Review all accidents that involve injury as well as “near misses”. Ensure that proper reports are completed for prompt reporting to Woodbury’s workers’ compensation insurance carrier, and that appropriate action is taken to prevent recurrence.

2. Employee responsibilities for safety include the following:
   a. Adherence to any safety rules and regulations.
   b. Appropriate use of safety equipment if required.
   c. Immediate report of all injuries, no matter how minor, to a supervisor.
d. Encouragement to coworkers to work safely.

e. Report any unsafe acts, work practices, and conditions to the supervisor.

3. While Woodbury University is NOT exposed to the operation of hazard-prone equipment, the following instructions should be followed in the event of required safety training:

   a. PREPARE by defining the job.
   
   b. PRESENT by stressing each key point and illustrating one important step at a time.

   c. TRY OUT PERFORMANCE by having the person do the job and correcting errors.

   d. FOLLOW-UP by allowing the person to work without assistance, encouraging questions, and emphasizing the fact that safety is always a key point.

4. Accidents involving fire, death, serious injury, or extensive property damage should be investigated jointly by the Supervisor, a Cabinet Member, and the Human Resources Director.

When an employee is injured at work, the supervisor is responsible for taking emergency action to have first aid administered, to obtain professional medical attention as soon as possible, and to protect other employees and equipment. The supervisor’s report must contain, as a minimum, a detailed response to the following:

   a. What was the employee doing? Explain the activity of the employee at the time of the accident.

   b. What happened? Indicate what took place, describe the accident, the type of injury, the part(s) of the body affected, etc.

   c. What caused the accident? Explain the condition, act, malfunction, etc. that caused the accident.

   d. What can be done to prevent a similar accident? Indicate corrective action to prevent recurrence.
5. Inspections are viewed as fact-finding, not fault-finding processes. Emphasis should be placed on locating potential hazards that can adversely affect safety and health.

Periodic planned inspections shall be made by the Plant Superintendent and/or a designee utilizing a self-inspection checklist. Reports will be reviewed and action taken to eliminate any uncovered potential hazards.
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XIII. EXPENSE REPORTING

Policies and procedures for “Expense Reporting” are currently in process and will be issued at a later date.