

# **Carleton College Staff Handbook**

**Human Resources**

**Last Updated: February 16, 2012**

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## Letter from Human Resources

Dear Carleton Staff Member:

As employees of Carleton College, each of us is a specialist and contributes something different toward the growth and prosperity of the College. This handbook should in turn help each staff member get the most out of his or her employment experience at Carleton. The information contained in this publication is directed to all exempt and non-exempt, non-union staff employees. Similar information in the Faculty Handbook and Labor Agreement specifically apply to faculty and union employees. Where differences exist, the Faculty Handbook and Labor Agreement will govern respectively.

We encourage you to refer to this handbook for a summary of current College benefit programs and practices. Changes may occur which would amend, modify or delete portions of the handbook. Changes will generally first be reflected on the College's web site. Suggestions for improving this handbook are welcome.

Finally, this is a "reference" publication and as such cannot cover every point of interest. Its provisions are designed to serve as guidelines rather than absolute rules, and exceptions may be made from time to time on the basis of particular circumstances. Also, it does not constitute a contract for employment with Carleton College, either expressed or implied. While the handbook reflects current policy, Carleton College reserves the right at any time, without prior notification, to change, delete or add to any of the provisions at its discretion. Any prior revisions are revoked.

If you need specific or additional information on a topic covered in this handbook, you are encouraged to contact Human Resources.

Office of Human Resources

## **General Information Regarding the College**

Carleton, founded in 1866 and originally known as Northfield College, has always been a private, co-educational, residential college whose sole purpose has been to provide men and women with an undergraduate liberal arts education, or, as first stated in the 1872 catalog, with a "liberal and thorough education."

Carleton College adheres to the principle that all persons shall have equal opportunity and access to its educational facilities, activities, and employment without regard to race, creed, age, sex, national origin, sexual or orientation, marital status, or disability. Carleton College is committed to providing reasonable accommodations to applicants and employees with disabilities.

The College provides instruction in more than twenty different fields generally identified with the liberal arts. The academic year at Carleton College is organized into three ten-week terms instead of the conventional two semesters.

The Carleton faculty numbers approximately 175 men and women, the majority of whom have doctoral degrees from leading institutions in this country and abroad.

The ninety-acre main campus includes many historic building in various architectural styles. In addition there are over twenty College-owned off-campus houses serving as small student residences. These buildings span nearly the entire history of the College; the oldest was constructed in 1872, the newest addition was dedicated in 1998, and still others are in the planning or remodeling stage. Also part of the campus is a 400-acre arboretum. Adjacent to the campus is the 400-acre College Farm.

## The College Governance System

The Board of Trustees, according to the College's Articles of Incorporation filed with the State of Minnesota on December 17, 1866, is responsible for the "perpetual existence" of Carleton College. Currently a group of 46 men and women, alumni and non-alumni, meet as a full Board on campus three times a year. Much of the Board's work is done by nine standing committees. Individual trustees frequently participate in campus activities. The Board's principal duties:

- Oversees and approves the kind of education offered and makes certain that its quality meets the highest standards possible. The Board thus approves major policies and programs of the College.
- Since the Board is responsible for the acquisition, conservation, and management of the College's funds and properties, it approves budgets, investments, fund-raising goals, and plans for significant physical improvements.

It is ultimately responsible for the selection and replacement of the President of the College, although at Carleton faculty and students traditionally play a part in presidential selection. The Board approves the granting of degrees, honorary degrees, and faculty tenure, promotion, and leaves of absence.

As a private, independent college, Carleton is governed by many state and federal laws and regulations; its tax-exempt status and other conditions essential to its existence depend on compliance with these legal requirements. The trustees have ultimate legal accountability for the College's adherence to its legal responsibilities.

Individual trustees have an obligation to contribute in whatever way possible and appropriate to the promotion of the College's objectives. The trustees, who consist of a wide range of professional, business, and academic experience, serve both as advisors and as a bridge between Carleton and the wider society.

The Board of Trustees does not involve itself in the day-to-day functioning of the College, delegating its management to the President and his staff. They keep the Board abreast of the work of campus committees and of the College governance system – the College Council, Education & Curriculum Committee (ECC), Committee on Student Life (CSL) and the Budget Committee. The Board may act on Council decisions and one Board member sits as a non-voting observer on the College Council, although the Board need not respond to every decision taken by the Council. Notwithstanding the Board's practice of delegation, members do seek to maintain a "feel" for the College through association with faculty, students, and administrative staff.

Periodically, trustee committees meet with their campus governance analogues – CSL and ECC. Staff members participate in the process through interaction with their supervisor, thus ultimately to the President and Board of Trustees. Often staff members also participate through membership on College committees.

The Board makes a practice of not concerning itself, as a Board, with issues that do not bear directly on its responsibilities for Carleton College. Official actions of the Board are usually reported to the community by the President of the College, or the Secretary of the Board, through the College Council, The Carletonian, or other appropriate means of announcement.

The Board elects its own members, who serve renewable four-year terms. The Board of Trustees consists of not less than twelve (12) nor more than forty-eight (48) persons. The three special categories of trustees who must be off the Board for a year before being re-elected are:

An Alumni Trustee is nominated each year by the Alumni Association and serves a nonrenewable four-year term.

Two Young Alumni Trustees are nominated by the Committee on Trustee Affairs from graduates of the College between the ages of 23 and 28. They serve nonrenewable, staggered, four-year terms.

A 25<sup>th</sup> Reunion Trustee is nominated each year by the Committee on Trustee Affairs from the current 25<sup>th</sup> Reunion Class. The nonrenewable four-year term begins the year following Reunion.

Trustee Emeritus status is determined at the pleasure and discretion of the Board and is conferred no sooner than one year after a Trustee has left the Board. All the privileges except voting accompany Emeritus status, and it carries a life term.

*Revised February 26, 2003*  
*Revised July 11, 2003 jn*

## **Carleton College Organizational Chart**

For a printable version of the campus governance model click here:

[https://apps.carleton.edu/campus/doc/assets/Carleton\\_organization\\_chart\\_1006.pdf](https://apps.carleton.edu/campus/doc/assets/Carleton_organization_chart_1006.pdf)

## **Carleton College Campus Map**

For a printable version of the Carleton Campus Map click here:

<http://apps.carleton.edu/campus/sustainability/resources/map/>

## **Public Relations - Inter-Departmental**

Employees of the College by their actions and attitudes do much to interpret the College to the general public. Each year many visitors to the College depend on employees for information and assistance in locating persons or places on campus. Visitors frequently comment about the friendly way they are welcomed as they arrive at Carleton, and it is hoped that the good name of the College will continue to be improved by such courteous treatment of guests. In answering questions and giving directions, it should be kept in mind that the online campus directory is an excellent source of information regarding people, departments, and places on the campus. Those with whom the public comes in contact personally and over the telephone have an added responsibility to be pleasant and courteous in their attitude and conversations. Many times the institution is judged in a positive or negative way by the manner in which an employee greets a visitor on the campus or by the inflection of a voice over the telephone. Please keep in mind that the character and personality of an institution can only be expressed through those who work for it, and one individual's actions may account for a lasting impression of the College.

The friendly way we treat visitors should also be reflected to our co-workers. We should treat each other civilly and respectfully. Non-courteous behavior should be reported to the supervisor.

## **Employee - Student Relations**

Everything one can say about the importance of good public relations applies with equal force and emphasis to the interaction we have with students during the course of our regular activities on campus. Any employee with whom a student has contact is in a position to contribute to that student's education in a real and possibly important way.

The majority of our contacts with students are interesting and rewarding as student enthusiasm "rubs off." It is ultimately to our advantage to remain courteous, non-argumentative, and calm – not always easy to do. As part of the College's extensive student work study program, most staff interact daily with students as employees in nearly all College departments. Bear in mind, though, that more than anyone else, the student is the "customer, client, and public" all rolled into one, and in the final analysis his or her existence is the only justification for our work at Carleton College.

# Conditions of Employment

This section provides an overview of employment conditions for exempt and non-exempt staff. The Labor Agreement governs in the case of Union employees in all aspects of this section.

## Definition of Employee

A regular employee is one who is regularly scheduled to work 20 hours per week or more. Regular employees are eligible to participate in the College's benefit programs.

An employee may be further defined by an assigned work schedule:

Regular Full-Time: Scheduled to work 40 hours per week.  
52 weeks per year.

Regular Part-Time: Scheduled to work at least 20 hours per week (but less than 40 hours per week) for a minimum of 10 months or more per year.

Casual Part-Time: Scheduled to work less than 20 hours per week or temporarily assigned.  
A casual employee is not eligible for benefits.

## Volunteers:

Volunteers may be approved to work at Carleton College under the supervision of a designated department or division. Volunteers must be 18 years of age or older.

Volunteers must understand and comply with the duties and responsibilities of the job. The respective division/department supervisor will specify their work parameters. All volunteers are expected to represent Carleton College in a professional and responsible manner.

Our goal is to protect our volunteers from injury or illness while serving the College. However, it is important that volunteers are aware that Workers Compensation does not apply to volunteers because they are not a paid employee. If a volunteer is involved in an incident or accident, it should immediately be reported to the Risk Manager (x4178).

Carleton College will require that the volunteer review and sign the Volunteer Work Form, as well as their designated supervisor. Supervisors can find this form on the Human Resources website on the Documents and Forms page. The signed document will be retained by the Risk Manager.

## Independent Contractors:

Periodically services that may utilize the skills of an independent contractor are required when other means are impractical. Prior to hiring a contractor, please contact Human Resources to evaluate whether the work requested meets the criteria to determine employee or Independent Contractor status. This step is completed through utilization of an Employee/Independent Contractor Checklist which will verify the independent contractor status.

If the service provider is determined to meet the classification of an employee, approval must be made through the Human Resources hiring process and include associated fringe benefit costs, employer payroll taxed and insurance risks inherent with employees. Misclassification of service providers as independent contractors exposes the College to penalties from the IRS and other regulatory agencies.

*The commitment to hire an independent contractor should not be made until the status is confirmed by Human Resources.*

## **Statement of Non-Discrimination**

Equal opportunity for all is an essential part of Carleton's recognition that diversity expands the Carleton community's intellectual horizons and enriches the teaching, working, living and learning environment. Carleton College is committed to the principle that its educational facilities, activities and employment opportunities shall be offered without regard to race, color, creed, ethnicity, religion, sex, national origin, marital status, veteran status, actual or perceived sexual orientation, gender identity and expression, status with regard to public assistance, disability, or age.

## **Genetic Information Nondiscrimination Act (GINA)**

Title II of the Genetic Information Nondiscrimination Act of 2008 protects applicants and employees from discrimination based on genetic information in hiring, promotion, discharge, pay, fringe benefits, job training, classification, referral and other aspects of employment. GINA also restricts employers' acquisition of genetic information and strictly limits disclosure of genetic information. Genetic information includes information about genetic tests of applicants, employees or their family members; the manifestation of diseases or disorders in family members (family medical history); and requests for or receipt of genetic services by applicants, employees, or their family members.

## **Commitment to Diversity**

The College is committed to eliminating discriminatory practices in recruitment and employment. Responsibility for monitoring the diversity has been delegated to Human Resources at the operational level.

## **Employment Records/Orientation**

All offers of employment are contingent upon completing all required documents. New employees are required to meet with Human Resources to complete these documents. Human Resources must have a Social Security number on record for each employee. A new employee who does not have a number must apply for one.

A new employee must, within three days of date of hire, verify their identity and eligibility to work in the United States according to the provisions of the 1986 Immigration Act (form I-9). A current passport or an original Social Security card and driver's license are sufficient to meet the requirements. A list of additional acceptable documents may be obtained from Human Resources

A Withholding Tax Exemption Certificate (form W-4), for both Federal and State Tax withholding purposes, must be filed with Human Resources.

## **Background Checks/Physicals**

Pursuant to applicable law, Carleton College employees or prospective employees holding positions that allow access to campus housing units will be required to sign a consent form which allows Human Resources to conduct criminal background checks. Failure to comply with this will be grounds for dismissal or retraction of an employment offer. The College reserves the right to consider information received from the background checks to determine eligibility for employment or continued employment. The College may perform background checks for other positions.

Prospective employees receiving conditional offers of employment which require significant physical activity and lifting activities as part of the essential job functions will be required to undergo a workplace physical (without request of genetic information) to determine if the

employee is capable of performing the essential functions of the position with or without reasonable accommodation.

## **Fair Labor Standards Act**

All non-exempt employees of the College are subject to the provisions of the Fair Labor Standards Act regarding the payment of minimum wages and premium pay for overtime.

Non-exempt employees: those covered by the provisions in the Act for minimum wage and entitled to overtime pay for hours worked beyond 40 hours in the work week.

Exempt employees: those who are professional, administrative and executive personnel and are paid on a salaried basis are exempt from the overtime provisions of the Act.

Exempt employees are paid monthly. All non-exempt employees are paid biweekly. Human Resources will advise each employee of his or her status when hired or transferred.

## **Initial Review Period**

An initial review period of up to 90 days is necessary for some positions to determine whether an employee is fully qualified for regular employment and a good fit with the needs of Carleton College. This does not negate the At Will relationship of the employee and employer.

## **Job Postings**

Notices of job vacancies within the College will be posted as dictated by the Division Head and/or Department Head and as part of the Carleton Upward Mobility Program an employee may request to be considered for transfer to fill an opening ([Upward Mobility Program](#)).

An employee interested in a job change must apply to a posted vacancy through the Human Resources office. The College will fill all vacancies with the best qualified applicant.

## **Work Week/Hours**

The work week, for payroll purposes for non-exempt employees, begins at 12:01 a.m. Sunday morning. Hours of employment are 40 per week generally from 8:00 a.m. to 5:00 p.m., Monday through Friday unless otherwise specified. The letter of appointment will contain the expected work schedule.

Exempt or salaried employees are paid on the accomplishment of duties performed without regard to specific hours or work week. They are normally expected to observe general business hours and to work additional hours to meet work requirements when necessary. Exempt employees are expected to keep their supervisors aware of any planned time off. Exempt employees are paid monthly regardless of the number of hours worked and are not eligible for overtime pay.

## **Flextime Program**

The College has adopted a Flextime Program to allow any department to permit employees to set flexible working hours under authorized parameters if such parameters have been approved as operationally feasible by the department head involved.

## **Rest Periods/Meal Periods**

A paid rest period of fifteen minutes is allowed each four-hour work period (excluding lunch periods) for non-exempt employees at a time approved by the supervisor. Unused rest periods will not shorten the scheduled work day. The Flextime Program may govern changes in scheduled hours.

Meal periods are different than paid rest period. The College requires those working more than five hours each day to take an unpaid meal period. Unpaid meal periods are typically one hour in length but may not be less than one half hour. Employees required to complete timesheets/web-time entry must record the start and end time of their meal period.

## **Overtime**

If, in the judgment of the supervisor, it is necessary for non-exempt employees to work beyond their normal schedule, they will receive pay at one and one-half times their regular rate for all hours worked beyond 40 hours per week. Employees must never work and are not authorized to work overtime without first obtaining the advance approval of their supervisor. Vacation, floating holiday and sick leave hours are not counted in the calculation to determine overtime pay. College holiday hours are counted in the calculation. The overtime provision does not apply to exempt employees

## **Travel Time for Non-Exempt Staff**

If an employee is sent to outside training, such as a seminar or conference, the employee is to be paid for their normal work hours (i.e. 8:00-12:00/1:00-5:00) and no travel time. An exception would be if either before or after the training session, the employee was required by their supervisor to report to work to perform work duties or to receive instructions, then travel time would be included in the hours worked. An employee may submit a request for mileage payment.

Travel time for an overnight trip made during non-working hours is non-compensable. An employee would be paid for their normal working hours (i.e. 8:00-12:00/1:00-5:00).

If the outside training falls on a normal day off, such as a Saturday, the employee would be paid for their normal working hours (i.e. 8:00-12:00/1:00-5:00). Overtime may be avoided by scheduling a different day off during the same work week.

Staff will be reimbursed for personal vehicle mileage for travel on college business if a request is submitted.

Part-time exempt staff will follow the same guideline as stated above for non-exempt staff with being paid according to their normal full time equivalency (FTE). An exception would be if they attended an eight hour seminar, they would get paid for eight hours for that day. Hours exceeding their FTE may be avoided by scheduling a different day off during the same workweek.

## **Payroll Time Sheets/Web Time Entry**

The Fair Labor Standards Act requires that a time sheet or web-time entry be filed for each pay period for non-exempt employees. Since pay is computed on the basis of time recorded, the time sheet/web time entry must be complete, accurate, and promptly turned in at the end of each payroll period. See the reverse side of the time sheet for accurate recording procedures or refer to [web-time entry instructions](#). The time sheet/web time entry must be signed or approved (electronically) by the employee, thereby verifying its accuracy. The supervisor must approve all hours, including any overtime hours with a signature/electronic approval. Time sheets/web time entry is due to the Payroll Office by 12:00 p.m. the Monday following the time sheet/web time entry work period.

For control purposes for time sheets, we must require that only an original, green time sheet be submitted for payment. Copies, faxes, or Excel-edited versions are not accepted.

Carleton has a policy for dealing with time entry questions. If, through review, the Payroll Specialist questions any portion of an employee time sheet/web time entry, the Payroll Specialist will:

- Contact the employee's supervisor;
- Provide a copy of the time sheet, through campus mail, with the decisive action highlighted, dated and initialed, and returned to the employee.

At no time will an employee's time sheet/web time entry be changed without the direct consent and acknowledgement by the employee or their direct supervisor for worked hours. For hours not worked, such as vacation, holiday, sick leave, overtime, etc. the same procedures will apply to the extent they fall within the policies of the College.

## **Payroll Schedule**

Non-exempt earnings are calculated according to time recorded on time sheets/web time entry and will ordinarily be distributed to employees every other Friday to cover the two week period completed one week prior to the issuance of payroll. All earnings are reported to employees on a pay advice. Individual earnings are directly deposited in any bank as designated by each employee.

Exempt salaries are calculated through the end of each month. Pay advices reflect the amount directly deposited to any bank as designated by each monthly paid employee. Payroll is deposited electronically on the last business day of the month.

## **Daily Rate for Exempt Staff**

The daily rate for exempt staff shall be applied when partial months are worked. Partial months worked may be the month as a new hire, the month in which an unpaid, approved absence begins, or the month in which final pay occurs due to termination.

The daily rate is calculated by determining the number of workdays in the activity month (ranges from 20 to 23 days depending on the month). The exempt staff member's individual monthly salary is divided by the number of work days in the current month resulting in the daily average pay for the exempt individual.

## **Payroll Deductions**

Payroll deductions made according to law include Social Security Taxes (F.I.C.A.), and state and federal Withholding taxes. Social Security includes retirement, disability, survivor, and dependent benefits. Carleton College matches the F.I.C.A. tax contribution.

Payroll deductions will be made for other authorized benefit programs in which eligible employees choose to enroll with a signed authorization for payroll deduction. Normally a specific payroll deduction will be made from each paycheck.

## **Pay Advice**

Your pay period pay advice is likely self-explanatory. However, the following will clarify certain entries:

Earnings, Regular:	Salary and wage payments made in accordance with agreed upon salary rate (not including overtime).
Earnings, Supplementary:	Salary or wage adjustments or corrections; retroactive or bonus pay; pay from special funds or grants; extra or overtime pay for biweekly payroll.
Voluntary Deductions:	Dental Disability Insurance Group Accidental Death and Dismemberment Insurance Gifts to Carleton College Term Life Insurance United Way

Voluntary Reductions:           Amounts not subject to current State or Federal Taxation (refer to Employee Benefits)  
Flex Dep. Care (Flexible Dependent Care Account)  
Flex Med (Flexible Medical Spending Account)  
SRA (Supplemental Retirement Account)  
TDA (Tax Deferred Custodial Account)

## **Changes in Personal Status**

Changes in marital status or number of dependents often will affect payroll deductions, insurance coverage, beneficiary designations, and the status of other employee benefits provided by the College. Address and phone number changes are also important. Therefore, it is necessary that employees notify Human Resources of such changes. These events are called “qualifying events” and notification to Human Resources needs to occur within 30 days of the change. Please refer to the Human Resources website to complete the necessary form or click [here](#) to access it. To initiate changes for your benefits (i.e. health, dental, flexible spending account), you will want to go to Benefits Connect to initiate this information. Please click [here](#) to get to the web page to Benefits Connect. You will want to click on the On-Line Enrollment Tool.

## **Discipline**

Disciplinary measures can include but are not limited to, in any order, verbal or written warnings, suspension, or termination. Specific disciplinary action will be determined by the supervisor, based on the specifics of each case and will depend on such factors as frequency, severity, and gravity of the situation. In general, the College will use progressive discipline but reserves the right to take any disciplinary action it deems appropriate to the circumstances.

## **At Will Employment**

Employment with the College is not for any set period of time unless an individual is hired under the provisions of a letter of appointment which specifies length or conditions of employment. In other cases, the College or an employee may choose to end their work relationship at any time and for any lawful reason.

## **Notice of Termination**

Employees must notify Human Resources of their termination date so that important information concerning various benefit continuation provisions are provided. An exit interview should be scheduled with a member of the Human Resources department. Upon termination of employment, all debts payable to the College must be settled; any items on loan (i.e., library books, computer software, etc.) must be returned. ID card, keys and other assigned property must be turned in to the supervisor.

# Employee Benefits

This section provides an overview of many benefits available to exempt and non-exempt staff. In the event of conflict between the overview provided in this handbook and the plan document or insurance plan, the plan document or insurance plan will govern. Complete descriptions are not possible in this publication; employees should contact Human Resources for specific plan details. The Labor Agreement governs in the case of Union employees in all aspects of this section. A regular employee is one who is regularly scheduled to work 20 hours per week for at least 10 months or more (.42) FTE. Regular employees who have a schedule involving a (.46) FTE or above are eligible to participate in the College's benefit programs.

Carleton College will comply with all applicable laws such as FMLA, federal, state, and any applicable regulations. We recognize that situations may arise requiring an employee to request a leave of absence ([Leave of Absence](#)).

## Changes in Personal Status

Changes in marital status or number of dependents often will affect payroll deductions, insurance coverage, beneficiary designations, and the status of other employee benefits provided by the College. Address and phone number changes are also important. Changes such as adding or dropping a dependent to/from an insurance plan is known as a "qualifying event" and these changes must be made within 30 days of the event. Therefore, it is necessary that employees notify Human Resources of such changes.

## COBRA (Consolidated Omnibus Budget Reconciliation Act)

COBRA is a federal law that offers employees the ability to continue medical, dental, and life insurance, as well as medical flexible spending benefit for a specific length of time (generally 18 months). COBRA coverage is available to employees and their dependents covered under Carleton's benefit plans when they would otherwise lose their group health coverage because of a life event known as a "qualifying event".

A qualifying event for an employee would be a reduction in hours of employment, a leave of absence (including FMLA and Workers' Compensation) which extends beyond 6 months or the end of employment for any reason other than gross misconduct. Other qualifying events may relate to dependents of the employee. Please see specifics on this eligibility and coverage on the [Human Resources website](#).

Federal and state laws specify that employees have 30 days to inform their employer of a qualifying event. Employees then have 60 days to elect continuation coverage. The first premium is due within 45 days after continuation coverage is elected. Federal COBRA provides a 30-day grace period to pay subsequent premiums. It is important to make payments on time to prevent loss of coverage.

## College Holidays

New Year's Day	Fourth of July
Labor Day	Thanksgiving Day (Thursday and Friday)
Christmas Eve Day	Christmas Day
3 Floating Holidays	

When a holiday falls on a Sunday, whenever possible, the following Monday will be observed. If the holiday falls on a Saturday, whenever possible, the preceding Friday will be observed.

Regular, benefit-eligible, non-exempt, part-time employees will be paid holiday pay for every College holiday based on their budgeted FTE. The floating holidays accrue based on hours paid.

## Floating Holidays

All regular, benefit-eligible employees are eligible to receive up to 3 floating holidays per year.

See the following chart for information on floating holidays eligibility and balances:

<b>Floating Holidays Eligibility and Maximums by Employee Group</b>	<b>Accrual Rate</b>	<b>Total Floating Holidays annual accrual for Full-Time employee</b>	<b>Maximum Balances for Full-time employee</b>	<b>Maximum Negative Balance Allowed for Full-time employee</b>
<b>Bi-Weekly (Non-Exempt, Non-Union)</b>				
	.0116 per hour paid	3 days	48 hours (6 days)	12 hours (1.5 days)
<b>Monthly (Exempt)</b>				
	.25 days per month	3 days	6 days	1.5 days

Floating holidays are accrued at the end of each pay period based on the employee's current accrual rate, the number of hours worked (excluding over-time) and/or the employee's budgeted FTE.

Staff working less than 12 months must use their floating holidays during their paid employment period. Staff positions are budgeted for the appointment period only and therefore there are no funds available for paid leaves outside of the appointment period.

When an employee reaches the maximum balance, their accruals will cease until their balance drops below the maximum. Carry-over maximums are equal to maximum balances.

Bi-weekly employees must record their floating holidays utilization in 15 minute increments on their web-time entry electronic timesheet.

Monthly employees must electronically record utilization of floating holidays on the HUB. The Fair Labor Standards Act requires exempt leave reporting in no less than half-day increments. Timely reporting of exempt leaves is encouraged, and adjustment to leave balances will not be made due to late reporting.

The purpose for allowing employees to use accruals before they are earned (negative balance) is in response to the cyclical work of many offices around campus that may dictate when an employee can schedule time off. It is not the College's intent for employees to carry a negative balance for an extended period of time, and like other aspects of the floating holidays policy, supervisor approval is required before an employee can use unearned time off.

At separation, accrued floating holidays balances will be paid out to the employee. Any negative floating holidays balance will be deducted from the employee's final pay check.

## Vacation Eligibility and Schedule

All regular, benefit-eligible employees will accrue paid vacation time. The supervisor will review and either approve or deny each vacation request to ensure operational needs are met. There is no waiting period for staff to use allotted vacation days, however, prior supervisor approval is required. The amount

of vacation is pro-rated for all staff members working less than full-time or less than 12 months in the year.

See the following chart for information on vacation eligibility and balances:

<b>Vacation Eligibility and Maximums by Employee Group</b>	<b>Accrual Rate</b>	<b>Total Vacation for FT employee</b>	<b>Maximum Balances for FT employee</b>	<b>Maximum Negative Balance Allowed for FT employee</b>
<b>Bi-Weekly (Non-Exempt, Non-Union)</b>				
At start of employment:	.0385 per hour paid	2 weeks	160 hours	1 week
Upon completion of the 5th year:	.0577 per hour paid	3 weeks	240 hours	1.5 weeks
Upon completion of the 10th year:	.0770 per hour paid	4 weeks	320 hours	2 weeks
<b>Monthly (Exempt)</b>				
	1.67 days per month	4 weeks	40 days	2 weeks

Vacation time is accrued at the end of each pay period based on the employee’s current accrual rate, the number of hours worked (excluding over-time) and/or the employee’s budgeted FTE.

Staff working less than 12 months must use their vacation during their paid employment period. Staff positions are budgeted for the appointment period only and therefore there are no funds available for paid vacations outside of the appointment period.

When an employee reaches the Maximum Balance, their vacation accruals will cease until their balance drops below the maximum. Carry-over maximums are equal to maximum balances.

Bi-weekly employees must record their vacation time utilization in 15 minute increments on their web-time entry electronic timesheet.

Monthly employees must electronically record vacation utilization on the HUB. The Fair Labor Standards Act requires exempt leave reporting in no less than half-day increments. Timely reporting of exempt leaves is encouraged, and adjustment to leave balances will not be made due to late reporting.

The purpose for allowing employees to use vacation before it is earned (negative balance) is in response to the cyclical work of many offices around campus that may dictate when an employee can use vacation, sometimes before they have earned it. It is not the College’s intent for employees to carry a negative balance for an extended period of time, and like other aspects of the vacation policy, supervisor approval is required before an employee can use unearned vacation time.

At separation, accrued vacation balances will be paid out to the employee. Any negative vacation balance will be deducted from the employee’s final pay check.

## **Sick Leave Eligibility and Schedule**

All regular, benefit-eligible employees are entitled to sick leave with pay for personal illness, injury, pregnancy, miscarriage, abortion and childbirth. The amount of sick leave is pro-rated for all staff members working less than full-time or less than 12 months in the year.

See the following chart for information on sick leave eligibility and balances:

<b>Sick Leave Eligibility and Maximums by Employee Group</b>	<b>Accrual Rate</b>	<b>Total Annual Sick Leave Accrual for Full-Time employee</b>	<b>Maximum Balances for Full-Time employee</b>
<b>Bi-Weekly (Non-Exempt, Non-Union)</b>			
	.0462 per hour paid	96 hours (12 days)	No maximum
<b>Monthly (Exempt)</b>			
	1 day per month	12 days	No maximum

Sick leave hours are accrued at the end of each pay period based on the employee’s current accrual rate, the number of hours worked (excluding over-time) and/or the employee’s budgeted FTE.

Upon termination, bi-weekly employees with 15 or more years of service will be paid 20% of their accrued sick leave balance. Monthly employees are not eligible for sick leave payout.

Bi-weekly employees must record their sick leave utilization in 15 minute increments on their web-time entry electronic timesheet.

Monthly employees must electronically record sick leave utilization on the HUB. The Fair Labor Standards Act requires exempt leave reporting in no less than half-day increments. Timely reporting of exempt leaves is encouraged, and adjustment to leave balances will not be made due to late reporting.

### **Sick Leave Provisions**

Accumulated sick leave may be used for temporary disabilities caused by illness, injury, pregnancy, miscarriage, abortion and childbirth. Absences caused by pregnancy, miscarriage, or abortion are considered temporary disabilities and are covered under the sick leave policy like any other disability due to injury or illness.

A physician's written statement confirming the inability to return to work is required. The College may also request from the employee's physician or other authorized medical authority, evidence of proper recovery from an injury or illness before allowing the employee to resume full or part-time duties or medically restricted work activities. The College reserves the right to have employees examined by a doctor of its choice and to require a second opinion in cases of illness or disability. This policy is to protect both the employee and their co-workers.

### **Medical Appointments**

When it is not possible to schedule a doctor, dentist, or human services appointment for the employee during non-duty hours, time for such appointments may be charged against sick leave accrual for non-exempt staff. Exempt employees scheduling larger time blocked medical appointments should record medical appointments via utilization of sick time in no less than half-day increments.

### **Sick Child**

An employee may use accrued sick leave for absences due to an illness or injury for the employee's child for such reasonable periods as the employee's attendance with the child may be necessary, just as if personally ill. The amount of paid sick leave available is determined by the

amount each staff member has accrued. A child is defined as a person younger than 18 years of age or younger than 20 years of age if still attending school.

### **Sick Adult Children, Parents, Spouse, Domestic Partner**

An employee may use up to two days (16 hours) maximum of accumulated sick leave within a 12 month rolling period for the illnesses for any combination of adult children, parents, spouse or domestic partner. Absence time used for this purpose must be requested in advance of the time off and approved by an individual's supervisor.

### **Unemployment Compensation**

On January 1, 1972, employees of educational institutions are eligible for benefits under the Minnesota Unemployment Compensations Law. Details concerning eligibility can be obtained at Human Resources or any Unemployment Compensation Office. Under this program the College will make payments to the State for the actual cost of benefits paid.

### **Workers' Compensation**

#### Report of Injury

The College carries workers' compensation insurance to reimburse medical expenses and to continue wages in the event of occupational illness or accident incurred in the course of employment. Any employee must immediately notify their supervisor(s) of any work injury. Within 24 hours, the employee and supervisor are expected to fill out the Employee Accident Report form and forward the form to Human Resources. The law requires that the First Report of Injury be filed immediately with the insurance carrier; Human Resources will process and file the First Report of Injury.

#### Workers' Compensation Pay

Carleton has the philosophy that it is best for the employee to return to work as soon as possible after a work related injury and will make every effort to work with restrictions that are assigned by the physician. At times it is necessary for an employee to be off of work during the healing process and Carleton will abide by the Workers' Comp regulations regarding the payment of wages. The State of Minnesota has a three-day period in which the employee does not receive income through Workers' Compensation. For these first three days following an injury, an employee will use their accrued sick, vacation or floating holidays. If an employee is unable to return to work after three days, the Workers' Compensation agent will issue a check to the employee for all authorized continued loss time. Time off needed for doctor appointments and therapy appointments is to be made outside of the employee's work schedule, if at all possible. If not able to schedule appointments outside the work schedule, then absent accruals would need to be used (sick, vacation, then floating holiday hours). FMLA leave will apply, if applicable, to loss time due to workers' compensation.

During this leave time, the employee is responsible for paying the employee portion of health care premiums and any other payroll deductions during the period of the leave to ensure continuation of coverage. Arrangements for payments must be made through the Human Resource's office. Employees who are more than two months behind on payments and do not make arrangements with Human Resources risk losing coverage. After the six-month period expires, COBRA benefits will be offered. Under COBRA the employee is responsible for paying the entire premium (employee and employer portions) on any insured benefit plans in which the employee participates. It is important to make payments on time to prevent loss of coverage.

### Workers' Compensation Fraud

Fraud is when a person deliberately misrepresents or fails to disclose information about an important fact to receive benefits to which he or she is not entitled. Carleton College has zero tolerance for fraud and will actively pursue an offender.

### **Flexible Benefits Program**

All regular, benefit-eligible employees of the College may voluntarily participate in the Flexible Benefits Program. The program allows the employee to establish a reimbursable account for either dependent care or out-of-pocket health care expenses. Since the accounts are funded by pre-tax salary dollars, the employee realizes an immediate tax savings on these expenses. If the full value of the account is not used during the year, the employee will forfeit the remaining amount. Full program details are available in Human Resources.

### **Employee Assistance Program (EAP)**

Carleton College has partnered with The Wellness Corporation to create a comprehensive employee assistance program that provides professional support for issues that can affect your personal and work life.

**Call toll-free: 1-800-828-6025** for routine and urgent issues. Master's-level counselors are available to take your call 24/7. The EAP provides confidential in-person assessment and short-term counseling by local professionals for any issue that causes concern.

There is no cost for up to three sessions per concern whether you are faculty, staff or a dependent or household member of a Carleton College employee. You may receive additional referrals and resources after in-person counseling.

- Legal Consultation Services
- Financial Consultation Services
- Budget and Debt Consultation Services
- Work/Life Referrals
- New Parent Transition
- Online Resource

The EAP website is your online toolkit for managing problems in your life anywhere, anytime, as long as you are connected to the Internet. Here you will find tools to help with behavioral health, financial, legal, and work issues. To log in and register, use "Carleton" as the company code and login at: [www.wellnessworklife.com](http://www.wellnessworklife.com).

### **Life Insurance**

Regular, benefit-eligible employees are provided with group term life insurance coverage. The amount is dependent on salary and age. All premiums are paid by the College. Contact Human Resources for more information.

### Employee Term Life Coverage

A benefit is payable under this coverage if death occurs from any cause. If totally disabled when insurance ends, there are special provisions that may extend the death benefit protection. Under certain conditions life insurance may be converted to an individual contract.

### Benefit Classes

#### Less than age 50:

3.5 times your annual earnings, subject to a maximum of \$250,000 rounded to the next higher \$1,000 if not already a multiple of \$1,000.

Age 50-64:

2 times your annual earnings, subject to a maximum of \$250,000 rounded to the next higher \$1,000 if not already a multiple of \$1,000.

Age 65 or more:

1 times your annual earnings, subject to a maximum of \$250,000 rounded to the next higher \$1,000 if not already a multiple of \$1,000.

Reduction in Coverage Due to Age:

The Hartford will reduce the life insurance benefit for you by the percentage indicated in the table below. The reduction applies to the amount of life insurance in force immediately prior to that anniversary date.

Percentage by which current amount of coverage (after all previous reductions) will be reduced is as follows:

<u>Your Age</u>	<u>Your % Reduction</u>
65	35%
70	35%
75	35%
80	25%
85	25%
90	25%
95	25%

The "attained age" for a calendar year is the age as of January 1 of that calendar year. The entire cost of the insurance is paid by Carleton College. For complete details please review the Certificates of Coverages available on the Human Resources website or contact Human Resources (x5989).

## **Voluntary Life Insurance**

Regular, benefit-eligible employees may elect to purchase voluntary group term life insurance. This would be in addition to the life insurance benefit provided by the College. The cost to the employee is based on age and the benefit amount chosen. All premiums are paid by the employee on an after-tax basis. For those purchasing voluntary life, coverage amounts are subject to reduction due to age (please reference the graph above). Full benefit information is available on the Human Resources website or contact Human Resources.

## **Travel Accident Insurance**

Employees of the College that are full time or part time (working 17.5 hours per week) are covered under an Associated Colleges of the Midwest Travel Accidental Death and Dismemberment policy when in a business travel status for the College. The benefit amount under this program is equal to two (2) times base annual salary, subject to a minimum of \$50,000 and a maximum of \$300,000. The benefits would be paid to the group life insurance beneficiary in the event of death.

## **Group Accident Insurance**

A voluntary plan of Group Accidental Death and Dismemberment Insurance, covering both occupational and non-occupational accident, is available to regular, benefit-eligible employees. This is 24-hour protection designed to cover not only travel accidents but other kinds of

accidents as well (with certain standard exclusions) whether or not the employee is on College business. The cost of this protection is based on the benefit amount selected for either the employee only plan or the family plan. This insurance is available in amounts ranging from \$50,000 to \$500,000 in increments of \$25,000. The coverage is available each year as of October 1, and the premium is payable on a monthly basis through payroll deduction. Applications may be made in Human Resources.

## **Long Term Disability Benefits**

Disability insurance is voluntary and is available to regular, benefit-eligible employees. This program, in combination with Social Security and/or Workers' Compensation, will provide a disabled participant 60% of salary up to a maximum of \$10,000 per month beginning with the fourth month of disability. This benefit is coordinated with Social Security disability benefits. The College and the employee share in the premium by each paying half of the total premium.

## **Tuition Benefits**

### Non-Exempt Staff

A non-exempt employee is eligible for dependent education benefits at Carleton College of one-half tuition plus one-half actual board charge if:

- a benefit-eligible employee;
- an employee hired on or after 7/1/90 and must have been on the payroll for at least six consecutive years (completion of six consecutive years);
- the dependent is accepted as a full-time Carleton student.

This benefit will be pro-rated for part-time employees. This benefit does not apply to summer program courses. Receipt of this educational credit would not preclude the possibility of additional student aid from the College if approved under the provisions of the appropriate financial need analysis. The benefit will not exceed four regular academic years per child and a maximum of twelve regular academic years per eligible member of the non-exempt staff. Any child may receive only one benefit under this policy even if both parents fall in the eligible category.

### Exempt Staff

This benefit is limited to legal children of benefit-eligible exempt staff with completion of six years of continuous employment at Carleton. It covers legal children, students age 26 years or less as of September 1 in any given year, who attend accredited undergraduate colleges or universities. The benefit will not exceed four regular academic years per child and a maximum of twelve regular academic years per eligible member of the exempt staff. It may not be used for expenses in summer school, special programs or other special fees. Any child may receive only one benefit under this policy even if both parents fall in the eligible category. The benefit will be continued for children of staff who were eligible at the time of their death, subject to the other conditions on this benefit and financial need. The benefit will be pro-rated for part-time employees who are employed at least one-half time and who meet the other conditions of eligibility.

At Carleton the benefit is one-half of Carleton's tuition. At fully accredited colleges and universities other than Carleton, the benefit is either:

- 50% of tuition up to a maximum of 33% of Carleton's tuition; **or**
- Payment of guaranteed fee and interest on an educational loan equal to 70% of tuition up to 33% of Carleton's tuition while the child is a full-time, undergraduate student

not to exceed four regular academic years. The subsidy would continue whenever eligible siblings are full-time, undergraduate students.

Tuition benefit payments will be made directly to the institution the student attends. Contact Human Resources for financial arrangements or for policy information.

## **Professional Development**

Professional development is a key priority for the Carleton College and is an important component of each individual's work life at Carleton and beyond. The College actively supports wide-spread participation in professional development as part of Carleton's culture of continuous learning. The College is committed to attracting, selecting, and retaining a talented/diverse workforce and is fortunate to have a pool of experienced diverse staff. Staff also brings a widely diverse educational background to the Carleton workforce. When deciding how to support individual professional development Carleton's professional development policies need to take into account factors such as the individual's time and nature of job; the department's need for training in a specific skill or content area; the relationship of the professional development activity to an office or other colleagues; the benefit of the professional development proposal to the College; the benefit of the plan for one's professional development; and the impact of personal development on life-long learning. Professional development consists of staff training to acquire and improve job-related skills and knowledge. It also involves staff development with personal growth, expansion of job duties, or preparation for promotion.

The relationship that staff has to the College and to their individual department need to be taken into account for the staff and their supervisors to fashion development plans that mutually fit and that provide some level of benefit to the individual and the College. It is understood that professional development plans change over the course of time and should be reviewed at the annual performance appraisal session. Each department funds the individual's professional development plan. The College strives to maintain budget flexibility to meet department and individual needs.

## **Additional Information on Benefit Programs**

Complete and detailed information in regard to insurance and retirement plans as well as other benefit programs described in this handbook is available in Human Resources. All employees are encouraged to seek advice and/or assistance whenever questions arise. In the event of variance between information on file in Human Resources and that contained in this handbook, the former will govern in all cases.

# Health & Dental Coverage

## Health Plan

The College offers a choice of health coverage plans to all regular, benefit-eligible employees. Employee only (single), employee plus one, or employee and eligible dependent(s) coverage (family) is available. Our carrier allows same sex and opposite sex domestic partner coverage. Please see the taxation information [below](#). Participation is voluntary. Benefits are effective the first of the month following your first month of employment. If your employment date occurs on the first working day of the month, your benefits become effective immediately. New employees will have 30 days from the date employment begins to apply for health coverage. If the 30 day period has elapsed, the employee will be considered a late entrant and may be subject to pre-existing conditions. An employee desiring not to participate must waive coverage through our on line enrollment process (Benefits Connect). Complete information on all health plans is available in Human Resources.

## Health Coverage Costs

The College and the employee share the cost of the health coverage premium for either single, single plus one, or family coverage. The cost sharing relationship is determined each fall when renewal costs are obtained. The College's share is dependent on the financial resources available for this use. Employee costs vary depending on the type of coverage selected and are not prorated on the basis of hours worked.

## Blue Cross and Blue Shield Options Blue

This is a high deductible option offering preventative and catastrophic coverage with an employer funded health reimbursement account (HRA). This plan also offers a large network of providers. Preventive care is covered at 100% to a maximum of \$500. Routine cancer screenings are covered at 100%. Prescription drugs require a \$15 co-pay for generic drugs, a \$35 co-pay for brand name formulary drugs, or a \$55 co-pay for non-formulary brand name drugs. You may also receive coverage with non-network providers but can expect higher out-of-pocket costs and other restrictions.

## Blue Cross and Blue Shield Aware Preferred Provider Organization (PPO)

This option offers preventative and catastrophic coverage through a large network of health care providers. This option covers eligible services at 80% through a large network of health care providers. Office visits require a \$35 co-pay. Preventive care is covered at 100%. Prescription drugs require at \$15 co-pay for generic drugs, a \$35 co-pay for brand name formulary drugs, or a \$55 co-pay for non-formulary brand name drugs. You may also receive coverage with non-network providers but can expect higher out-of-pocket costs and other restrictions.

## Blue Cross and Blue Shield Accord HRA

This is a high deductible option offering preventative and catastrophic coverage with an employer funded health reimbursement account (HRA). This plan also offers a large network of providers, however differs slightly from the Options Blue Aware Network (Mayo and Hazelton are not in network). Preventive care is covered at 100% to a maximum of \$500. Routine cancer screenings are covered at 100%. Prescription drugs require a \$15 co-pay for generic drugs, a \$35 co-pay for brand name formulary drugs, or a \$55 co-pay for non-formulary brand name drugs. You may also receive coverage with non-network providers but can expect higher out-of-pocket costs and other restrictions.

## **Dental Coverage**

The College offers a voluntary dental program through Delta Dental to all regular, benefit-eligible employees. Employees have a choice of two plans. Delta Dental recognizes same sex domestic partners only. Employees pay 100% of the cost of the premium for all plans regardless of the level of coverage chosen. Benefits are effective the first of the month following your first month of employment. If your employment date occurs on the first working day of the month, your benefits become effective immediately. New employees have 30 days from the date of employment to enroll in this dental coverage. This process is completed through on-line enrollment through Benefits Connect. An employee desiring not to participate must waive this coverage while completing the on-line enrollment process. Complete information on the dental program is available in Human Resources.

## **Open Enrollment (Renewal Option)**

Each year a specific time is designated as the Open Enrollment/Renewal Option Period. During this time employees will be informed of premium rate and plan design changes and may change from one medical and/or dental plan to another. Enrollment in the health care spending account and/or dependent care spending account is done at this time as well. Human Resources will notify employees of the Open Enrollment Period.

## **Tax Issues Related to Non-Qualified Dependents (Domestic Partners)**

### Qualified Dependents vs. Non-Qualified Dependents

Employees adding dependents to their health insurance programs must indicate whether their dependents qualify as internal revenue code (IRC) "eligible dependents" under Section [152](#).

### Treatment of Non-Qualified Domestic Partner Dependents (State and Federal Tax)

Employees adding coverage for domestic partners or children who do not meet the IRC Section 152 definition of qualified dependents, will be taxed on the value of the coverage for the dependent coverage. We have determined the fair market value of dependent coverage. The fair market value is different for the number of non-qualified tax dependents enrolled on your plan and the insurance plan selected. We will include this excess value of the non-qualified dependent in your gross income and it will be subject to federal and state withholding and FICA and be reported on your form W-2 at the end of the year. There will be two taxation issues to be addressed.

### **Employer Share of Premium Paid to Insurance Carrier**

The fair market value (FMV) of the coverage provided for the non-qualified domestic partner and/or the partner's children, less any after-tax contributions, is taxable to the employee and subject to federal income tax, social security, and Medicare taxes. The FMV is not subject to retirement. The taxable amounts are to be regularly taxed as part of payroll reporting and reported in employees' paychecks and their annual Forms W-2 Wage and Tax Statements.

The FMV captured will represent the actual premium paid by the College to BlueCross BlueShield for the coverage selected.

### **Treatment of the Employee Contribution for Non-Qualified Dependents**

The part of the employee contributions for non-qualifying Section 152 dependents cannot be deducted on a pre-tax basis because they are not eligible for the IRC Section 125 treatment. A

rate sheet that reflects the correct combination of pre-tax and post-tax amounts, depending upon the plan option for non-qualified domestic partners is available on the [Human Resources website](#).

Tax Issues Related to Dental Insurance Coverage

Employee contributions for non-qualifying IRC Section 152 dependents cannot be deducted on a pre-tax basis because they are not eligible for the IRC Section 125 treatment. Therefore, employees covering domestic partners will have both a pre-tax and post-tax premium deduction. Please view the corresponding rate sheet on the [Human Resources website](#) which reflects the correct pre-tax and post-tax amounts by plan.

# Retirement Plan

## Retirement Plan

Regular, benefit-eligible employees that are 21 years of age or older must participate in the Carleton TIAA/CREF Retirement Plan. Qualifying employees are eligible to participate in the Retirement Plan on the first day of the month following your first month of employment. If your employment date occurs on the first working day of the month, your benefits become effective immediately. Staff employees can obtain detailed information regarding the TIAA/CREF Plan from Human Resources. The employee contributes 2% of base salary and the College contributes 10% of base salary for each participant. Contributions are made on a pre-tax basis and are subject to immediate vesting.

## Additional Retirement Income

Participation in the following plan is optional and available to all interested employees regardless of benefit eligibility that are 21 years of age or older. Contributions are made only by the employee through salary reduction:

- Group Supplemental Retirement Accounts (GSRA's) through TIAA/CREF

## Financial Planning Reimbursement

Carleton College encourages long-range financial planning and offers reimbursement for costs incurred for financial planning advice provided by a certified financial planner, accountant, attorney or other planning professional. Employees who work half-time or more for six continuous years may receive up to \$150.00 and then at age 50 or more may receive up to another \$150.00 for a total of \$300.00. Those who have reached the age of 50 with one year of service may receive up to \$300.00 immediately. Employees may apply for reimbursement by completing an application and presenting a paid receipt from the professional financial advisor for costs associated with long-term financial planning advice to Human Resources.

Retired employees, who have not previously used this benefit, may apply for reimbursement within one year of their retirement date.

# Leave of Absence

## **Definitions: Immediate Family/Extended Family**

Immediate family is defined by the College as persons related to the employee as follows: the employee's wife, husband, child, mother, father, mother-in-law, father-in-law, sister, brother, grandchild, domestic partner (same sex or opposite sex partners) or step family. Extended family is defined as persons related to the employee as follows: grandparent, grandparent-in-law, sister-in-law, brother-in-law, uncle, aunt, cousin, niece, or nephew.

## **Leave of Absence**

Carleton College will comply with all applicable laws such as FMLA, federal, state, and any applicable regulations. We recognize that situations may arise requiring an employee to request a leave of absence. The leave may be personal, medical, or for military service. Employees will meet with Human Resources to determine the proper designation of the type of leave, its applicable provisions and forms, and how the leave is to be monitored. Human Resources will keep the supervisor informed of the necessary details of the leave. Human Resources receives requests for leaves for multiple reasons, and we check, when appropriate, the applicable statutes and regulations related to each. In order to ensure we have up to date information on all these leaves, we prefer to check the governmental websites instead of listing statutes in our handbook. Personal leaves will be approved by the supervisor. Any accrued sick, vacation or holiday hours will be used during a leave of absence (see Sick Leave Eligibility section). The amount of paid leave is calculated based on the employee's budgeted weekly hours. If the absence is due to illness or injury, accumulated sick leave will be paid out according to amount of time indicated by the employee's physician, time off in addition to the physician's request will require the use of employee's accrued vacation and/or floaters. College holiday hours will be paid during a leave of absence, based on the budgeted FTE. Any unpaid time in lieu of absence accruals will be at the discretion of the supervisor.

During this leave time, the employee is responsible for paying the employee portion of health care premiums and any other payroll deductions during the period of the leave to ensure continuation of coverage. Arrangements for payments must be made through the Human Resource's office. Employees who are more than two months behind on payments and do not make arrangements with Human Resources risk losing coverage. After the six-month period expires, COBRA benefits will be offered. Under COBRA the employee is responsible for paying the entire premium (employee and employer portions) on any insured benefit plans in which the employee participates. It is important to make payments on time to prevent loss of coverage. Leaves of absence will generally be for less than six months although longer leaves may be considered if circumstances are determined by the College to be extenuating. Under no circumstances are leaves to exceed a rolling twelve month period.

## **Catastrophic Leave-Sharing Program (CLSP)**

The Catastrophic Leave-Sharing Program gives non-exempt staff a chance to support their co-workers who are experiencing a catastrophic illness or injury. The program allows eligible staff to donate sick leave to a Catastrophic Leave Sharing Pool to be used by other eligible staff members. Catastrophic illness or injury means a physical or mental illness or injury as certified by a licensed physician that will result in the inability of the employee to perform the essential functions of the job, with or without reasonable accommodations, for more than 30 work days on a consecutive or intermittent basis. Contact Human Resources for specifics on donating and receiving from this program. The amount of paid leave is calculated based on the employee's budgeted weekly hours.

## **Exempt Professional Leave**

Exempt Professional Development Leaves are encouraged by the College. This provides opportunities for exempt staff to explore new developments and trends in his or her area of

responsibility and to acquire new skills and knowledge. Eligible exempt staff may apply for a professional development leave of up to three months duration after four years of continuous service.

Exempt staff interested in applying are to complete the Professional Leave Application available through Human Resources. Applications must include a full description of the activities, the timetable and budget requested, how the leave will benefit the College, how the leave fits the employee's short term and long term plans and the plan for coverage of employee's responsibilities while on the leave. The supervisor and division head will need to approve the application and submit letters in support of the application. Applications are normally due to the President in December each year for the upcoming fiscal year. Usually two professional development leaves will be granted in any given budget year. Staff's completing professional leaves are encouraged to share their experience at either the department level or campus wide.

*December, 2004*

## **Family Medical Leave (FMLA)**

The College will grant an employee who has worked at least 12 months (which do not have to be consecutive) for the employer and who have worked at least 1,250 hours during the 12 months immediately before the date FMLA leave begins; a leave can be applied for up to 12 work weeks in a 12-month period rolling backwards. We comply with the [Family and Medical Leave Act of 1993](#). Employees should give at least 30 days prior notice of need for a FLMA leave. Where the need for a leave is not foreseeable the employee is expected to give as much notice as practical. Supervisors are to inform Human Resources when they have an employee request a leave in excess of three days. In certain cases, FMLA leave may be taken on an intermittent basis or the employee may work a reduced schedule. Intermittent leave must be certified by a health care provider as necessary and should be scheduled to avoid disruption to the College insofar as is reasonable. Employees will meet with Human Resources to determine the proper designation of the type of leave, its applicable provisions/forms, and how the leave is to be monitored ([additional information found in supporting documents](#)). Human Resources will keep the supervisor informed of the necessary details of the FMLA leave.

### **FMLA leave may be applied for the following reasons:**

- For the birth or adoption of a son or daughter. If both husband and wife work for the College, they are entitled to a combined total of 12 weeks' leave in a 12-month period for the birth, adoption, or foster care placement of their child.
- For a serious health condition involving the employee who is unable to perform job functions (including Workers' Compensation injuries, if applicable).
- For the care of the employee's spouse, son, daughter, parent, or domestic partner who has a serious health condition. If both the mother and father work for the College, both are entitled to take 12 workweeks of leave to care for a seriously ill child.
- To attend to a medical emergency or impending death of the employee's spouse, son, daughter, parent, or domestic partner.
- Because of any "qualifying exigency" arising out of the fact that the employee's spouse, child, or parent is on active duty (or has been notified of an impending call or order to active duty) in the Armed Forces in support of a "contingency operation." The term "contingency operation" includes military actions as designated by the Secretary of Defense involving hostilities against an enemy of the United States or other calls to duty during times of war or national emergency. Qualifying exigencies may include attending certain military events, arranging for alternative childcare, addressing certain financial and legal arrangements, attending certain counseling sessions, and attending post-deployment reintegration briefing. ([see military leave policy in supporting documents](#))
- A special leave entitlement that permits eligible employees to take up to 26 weeks of leave to care for a covered service member during a single 12-month period. A covered service member is a current member of the Armed Forces, including a member of the National Guard or Reserved, who has a serious injury or illness incurred in the line of duty on active duty that may render the service member medically unfit to perform his or

her duties for which the service member is undergoing medical treatment, recuperation, or therapy; or is in outpatient status; or is on the temporary disability retired list. ([see military leave policy in supporting documents](#))

### **FMLA Pay**

When FMLA leave is approved, the employee would qualify for the first five days paid (maximum of five days (40 hours) per rolling 12 month period). Once approved, Human Resources will make the FMLA pay option available through web time entry. The amount of paid leave is calculated based on the non-exempt budgeted weekly hours or the exempt budgeted FTE. Any leave time beyond the first five days requires the use of accrued absences (vacation, sick leave, or floating holiday time) to cover the leave. If leave is for other than self, see sick leave section for the particular family member provisions. Any unpaid time in lieu of absence accruals will be at the discretion of the supervisor. If the absence is due to a health condition of the employee (i.e. surgery), accumulated sick leave will be paid out according to amount of time indicated by the employee's physician. Time off in addition to the physician's request will require the use of employee's accrued vacation and/or floating holiday.

### **Continuation of Health, Dental and Life Benefits**

During this leave time, the employee is responsible for paying the employee portion of health care premiums and any other payroll deductions during the period of the leave to ensure continuation of coverage. Arrangements for payments must be made through the Human Resource's office. Employees who are more than two months behind on payments and do not make arrangements with Human Resources risk losing coverage. After the six-month period expires, COBRA benefits will be offered. Under COBRA the employee is responsible for paying the entire premium (employee and employer portions) on any insured benefit plans in which the employee participates. It is important to make payments on time to prevent loss of coverage.

### **FMLA Eligibility Notice/Rights and Responsibilities**

Once Human Resources is notified of a need for a FMLA leave, HR will provide employees within 5 days a notice of their eligibility for their leave or a reason why they are not eligible. At the same time, employees will be provided with a statement of their Rights and Responsibilities, which is part of the Eligibility Notice.

### **FMLA Medical Certification Required**

Employees who request FMLA leave because of their own serious health condition or of a family member's serious health condition must submit a Medical Certification Form (or its equivalent) completed by the health care provider to support the leave request. This form is available from Human Resources. The Medical Certification Form should be returned to Human Resources within 15 calendar days after it is requested, or as soon as possible under the circumstances. If the Medical Certification Form returned to the College is not satisfactory, an employee will be told of the deficiencies in writing and given 7 calendar days to complete the Form. If the medical information is inadequate, designated Human Resources may contact the employee's health provider directly to authenticate or clarify information on the certification. Also, Human Resources may directly contact the employee's health provider, after receiving the employee's permission, to get more complete information regarding the nature of the ailment, the duration of the leave, the need for intermittent leave, etc. The College can request a second or third opinion regarding the employee's condition and treatment (at the College's expense). All employees requesting an extension of any FMLA leave must provide a new Medical Certification (or its equivalent) of the need for continued leave.

### **FMLA Designation Notice**

Within 5 business days (unless extenuating circumstances) of having enough information to determine whether the requested leave is FMLA-eligible, the Human Resources will provide a Designation Notice, informing the employee whether or not leave is designated FMLA leave and the amount of leave that will be designated, if known. This designation may be retroactive.

Employees absent on medical leave will be required to provide medical certification of their fitness to return to work. A Fitness for Duty Certification Form is available from Human Resources.

In the sole discretion of the College, any leave that they determine qualifies as FMLA leave may be designated as FMLA leave, regardless of whether all possible obligations are met by the employee. Workers' compensation is also designated as FMLA leave.

### **FMLA Re-certification**

An employee may be asked to re-certify a serious health condition every 30 days (if the employee is absent during that period) for chronic/long-term illness or pregnancy. A re-certification may be requested in less than 30 days if the employee asks for extension of leave; Circumstance have changed; or the College has doubts about the employee's FMLA status (*e.g.* Mon. /Fri. absences). Employees will be required to have **annual** medical certifications for their own serious health conditions or that of a spouse/family member lasting more than one year, including chronic/lifelong ailments. Employee on a chronic, on-going intermittent leave may require 2 visits to their health care provider per year where self care is allowed by the health care provider (*i.e.* asthma, migraines, etc).

### **Return to Work after a FMLA Leave**

Employees returning to work from FMLA leave will be returned to the same or an equivalent position as held prior to leave, unless the position has ceased to exist because of business necessity. If the employee does not return to his or her original held position or an equivalent position as soon as he or she is able, the College will consider the employee to have voluntarily resigned. Certain "key employees" may not be eligible to be reinstated to the same or an equivalent position at the conclusion of their FMLA leave. The College will notify such employees of their "key employee" status and the conditions under which they may be reinstated, if applicable.

### **Parental Leaves**

Any regular, benefit-eligible exempt or non-exempt staff who becomes either a birth or adoptive parent and who is the primary caregiver (designated biological or adoptive parent) may receive 12 weeks of paid parental leave. The 12 week leave is to be taken in a continuous time period within one year of birth/adoption. A parental leave will run concurrently with any FMLA leave. Maximum amount of paid parental leave will not exceed 12 weeks.

Any regular, benefit-eligible exempt or non-exempt staff who is either a birth or adoptive parent and who is the secondary caregiver (spouse or recognized domestic partner of the designated biological or adoptive parent) may receive three weeks of paid parental leave. A secondary caregiver may elect to use up to nine weeks of paid (sick, vacation, or floating holiday accrued hours) or unpaid time. If the primary caregiver experiences medical complications prohibiting full care of the newborn child, the secondary caregiver may assume the role of the primary caregiver.

If the primary and secondary caregivers are both Carleton employees, the parental leave granted to the family will be a total 12 weeks and will be shared by the caregivers. If additional leave is applied for beyond the shared 12 weeks, by one or both of the caregivers, it is the supervisor's discretion to approve this additional leave time based on the affect of the operations of the department. Any additional approved leave time would be paid by the employee's absent accruals (vacation or floating holiday time). Sick time would only be used if either authorized by a physician or if the child becomes ill.

To qualify to receive paid parental leave, a staff member must have worked continuously at the college for at least one year. Employees are to meet with Human Resources to inform them of on the type of leave needed (primary or secondary or shared caregivers) and to discuss its applicable provisions and forms. Human Resources will keep the supervisor informed of the

necessary details of the leave. The amount of paid leave is calculated based on the non-exempt budgeted weekly hours or the exempt budgeted FTE. If a staff member terminates employment while on a paid parental leave, the pay will cease as of the date of termination.

## **Funeral Leave**

To assist a staff member in making funeral arrangements and attending the funeral, the following leave provisions are listed below.

Any regular, benefit-eligible, exempt or non-exempt staff are eligible for up to five days (40 hours) paid funeral leave in the event of the death of a member of the [immediate family](#) (wife, husband, child, mother, father, mother-in-law, father-in-law, sister, brother, grandchild, domestic partner or step family). Staff may request to use up to an additional five days of accrued sick time. Additional vacation or floating holiday time may be requested.

Up to one day (8 hours) of paid funeral leave in the event of the death of the [extended family](#) member (grandparent, grandparent-in-law, sister-in-law, brother-in-law, daughter-in-law, son-in-law, uncle, aunt, cousin, niece, or nephew). Staff may request to use up to an additional two days of accrued sick time. Additional vacation or floating holiday time may be requested.

For immediate and extended family there are no restrictions as to the number of occasions this funeral leave may be used.

Up to one day (8 hours) of paid funeral leave in the event of the death of a [co-worker or friend](#) with a limit of four days per rolling year. An OFNR funeral leave code has been added to the time sheet for use for a co-worker or friend's funeral.

The amount of paid leave is calculated based on the non-exempt budgeted weekly hours or the exempt budgeted FTE. Employees must notify their immediate supervisor of their need to use this leave and must record the specific type of leave on their time sheet (funeral-immediate family or other). The supervisor's signature on the time sheet constitutes approval for the leave. Questions on eligibility should be directed to Human Resources.

## **Jury Duty**

Regular employees called to jury duty will retain all rights and privileges as College employees while on such duty. The College encourages its employees to accept and perform their duties as citizens in all ways. Therefore, the College will supplement juror pay so that in total, employees will receive 100% of their regular salary and will continue to earn normal vacation and sick leave. The amount of paid leave is calculated based on the employee's budgeted weekly hours. Employees are required to turn in the check they receive for jury duty to the cashier in the Business Office. Employees may keep the portion of the check received for mileage.

Employees must notify their immediate supervisor of their need to use this leave and must record the specific type of leave (Civic Duty) on their time sheet. The supervisor's signature on the time sheet constitutes approval for the leave. Questions on eligibility should be directed to Human Resources.

## **Voting**

Employees who are not able to vote outside of their work hours are permitted paid leave for the time necessary to appear at the employee's polling place, cast a ballot, and return to work on the day of the election. Elections covered are state primaries, general elections, United States Senator/Representative or State Senator/Representative. The code to use in Web Time Entry is Civic Duty under "Other Time Types" drop down.

## **Subpoenaed Employee**

An employee subpoenaed to appear on behalf of the College in court during work hours will be paid for his or her normal scheduled work hours. The time sheet must reflect the type of other

hours worked and the words “civic duty.” Time off for subpoenas by other entities is unpaid; however, a staff member may use accrued vacation or floating holiday time to cover the absence.

### **Military Leave**

Unpaid leave of absence will be granted to those called to military duty as a result of induction, enlistment or Reserve/National Guard duty. The College will comply with all applicable laws regarding the employment of such individuals. Those who participate in Reservist or National Guard training will be allowed necessary time off for annual training duty. A special leave entitlement permits an eligible employee to take leave to care for a covered service member who has a serious injury or illness incurred in the line of duty. An employee may also take a leave for a “qualifying exigency” arising out of the fact that the employee’s spouse, child, or parent is on active duty or has been notified of an impending call or order to active duty. The employee must notify the supervisor and Human Resources as soon as possible regarding participating in these military service programs. ([See Supporting Documents/Military Leave Policy](#))

### **Parental Leave to Attend Conferences and Classroom Activities**

The College will grant an employee leave of up to a total of 16 hours each year to attend school conferences or classroom activities related to the employee's child, if the activities cannot be scheduled during non-work hours. The staff member must provide his or her supervisor with reasonable notice of the leave and make a reasonable effort to schedule the leave so as not to unduly disrupt department operations. A staff member may use accrued vacation, floating holiday, or unpaid time to cover the absence.

# College Services & Activities

## Book Store Purchases

Employees will receive a 10% discount on the purchase of select merchandise in the College Bookstore(s).

## Campus Mail

Campus mail services are provided to all offices on-campus by the Carleton Post Office. Campus mail also delivers mail between the Carleton and St. Olaf campuses.

## Check Cashing and ATM Services

Instant Cash machines are located in the Sayles-Hill lobby for the convenience of the Carleton community. Check cashing is available through the Bookstore. Checks may not exceed \$100.00.

## College Activities & Events

Each employee, spouse, and their children are admitted to the majority of athletic contests, lectures, concerts, and other events on campus without cost. A few specific events carry a charge for all spectators in order to offset costs of production. An employee should obtain an identification card in Campus Services.

## Convocation

Convocation is scheduled each Friday at 10:50 a.m. during the academic year. Supervisors may grant time with pay to any employee who wishes to attend. There are many other activities on campus you may be invited to or wish to attend. While you are welcome to take advantage of these opportunities (with supervisory approval), please also keep in mind the operational needs of your department.

## Employee Events

The annual Employee Appreciation Day is held in the Spring. Recognition is extended to all employees with 5, 10, 15, 20, 25, 30, 35 and 40 years of service.

A reception given by the President in honor of new faculty and staff is held at the beginning of the academic year for all employees and a guest.

The annual Employee Holiday Party is held during December. Employees, family members and guests are invited to attend.

The President holds all-campus quarterly meetings to discuss important College matters. All employees are requested to attend. Department heads and supervisors are encouraged to schedule work to accommodate attendance.

The annual Take Back Your Space Day is held during the summer. This day is set aside to clean and organize your space.

## Enrollment in Course of Instruction

The College will waive tuition charges for regular staff employees who enroll, either for credit or audit, in up to three courses per year/one per term in regularly scheduled courses offered by any Carleton department of instruction. The employee must first obtain approval of the Registrar and then the approval of their supervisor. The supervisor or department head may not be able to grant approval depending on operational requirements, but is urged to do so if at all possible. Course hours are unpaid and missed work time must be made up.

## Exempt Staff Forum

The Forum gathers several times each term. Members represent exempt employees from virtually every office and division on campus. The purpose of the Forum is twofold. First, the

opportunity to get together with other exempt staff to share ideas, discuss campus issues, build bridges with faculty and the community, and make new connections among staff. Second, the Exempt Staff Forum Steering Committee serves as an advocate for exempt staff participation in discussions that affect member's roles in the Carleton community. Topics vary widely

## **Information Technology Services Support**

A designated ITS Administrative Computing Coordinator is assigned to each administrative office for computing needs. Each Administrative Computing Coordinator will assist offices with computing problems, questions, projects and enhance Office business processes with new technology. Administrative Coordinators will also assist employees with planning for new equipment and software. When appropriate, student workers may also be asked to assist the Coordinator. Check with ITS at extension 4547 for the Coordinator assigned to your department.

### Responsible use of Technology

Electronic mail, voice mail, the Internet, and other communication technologies are essential work tools for Carleton College employees. The College expects its employees to be responsible with the use of technology in the workplace – that members respect the rights of others and comply with laws that govern communication and communication technology. Users should be aware that while the College makes a reasonable effort to maintain the privacy of all user mail and files, it cannot guarantee privacy. Messages sent over the Internet can be intercepted in various ways. Although the computing staff does not routinely monitor computer files and electronic mail stored on Carleton's network services, designated staff members with authorization may need to examine selected individual files to ensure adequate and reliable performance of the College's communication systems. Network traffic also may need to be reviewed for security problems, as identified by authorized computing staff and senior officials of the College.

### Appropriate and inappropriate uses of technology:

Technology tools are made available to employees to support College business: learning, teaching, research, internal and external communication, College administrative functions, and authorized co-curricular activities. Carleton's technology may also be applied to secondary uses that include personal communication, personal projects, and recreational activities, so long as they do not interfere with primary work duties.

Prohibited uses are those actions that jeopardize the viability of the College's including but not limited to, computer systems or uses that put the College in a litigious situation. Carleton also will not tolerate actions that result in the creation of a hostile or offensive work environment. Other inappropriate uses include playing games, surfing sexually oriented websites, and sending hostile or offensive electronic mail messages. Carleton's technology tools are for use for Carleton business only. Employees who misuse technology in the workplace will be subject to disciplinary action that may include a variety of sanctions in written and verbal form, up to and including dismissal from the College. See [Outside Employment](#) for applicable questions concerning equipment use.

## **Library**

All College employees may borrow books and use the facilities of the Carleton College Library. Regulations and general instructions may be obtained from the Loan Services staff at the main desk.

## **Notary Public Services**

Notary Publics on Campus are available to all staff free of charge. Visit the [Business Office website](#) for a listing of notaries.

## **Ombuds Office**

The Ombuds office offers a confidential, impartial, objective and informal alternative for resolution of work-related concerns. This independent office that reports directly to the Vice President and Treasurer. The Ombuds person, Joanne Jirik Mullen, will not advocate or represent any person or position. Rather, the Ombuds will support a fair process and adhere to the value of fair treatment, respect and civility. The Ombuds is confidential and does not serve as an office of record. It will not disclose information without the express authority from the person providing the information. The office is located at 202 Hoppin House. For appointments, contact Ms. Mullen at [jbmullen@comcast.net](mailto:jbmullen@comcast.net) or 507-646-4569.

## **Parking Permit**

Employees must obtain a parking permit for on-campus parking. Contact Security Services.

## **Presentation, Events and Production Support (PEPS)**

Audio-visual equipment may be checked out to any College department. Training on the use of equipment is also available. Advance notice for these services must be given. Contact PEPS at 507-646-7070 or [peps@carleton.edu](mailto:peps@carleton.edu).

## **Printing & Mailing**

Mail preparation services, printing, bindery work, copier, FAX, UPS, and U.S. mail services are available to all departments and organizations on campus. Employees will be charged for personal use of these services. Contact Printing and Mailing Services.

## **Staff at Carleton (SAC)**

The Staff at Carleton (SAC) committee is made up of non-exempt, non-union employees and seeks input on College policy matters to generate response to questions, concerns, and suggestions from staff members. The group has been instrumental in improving benefits and communication among College employees. Its members are elected to represent each geographical area of the College. A copy of the by-laws is available on the [SAC website](#).

SAC luncheons are held twice per year, in the Fall and Spring. Luncheons start at 11:30 and end at 1:00 p.m. These are occasions to network and develop professionally and are to be treated that way. Choosing to attend the luncheons will neither lengthen or shorten that day's paid work schedule, cause overtime pay, or result in a change in the individual's FTE appointment. The lunch period normally taken should be recorded on the time sheet.

## **Security Escort Service**

The Department of Security Services provides security escorts for Carleton students, faculty, and staff. The escort service is available at any time and between all locations within college-owned property and the area immediately surrounding the campus. For escort service, call ext. 4444.

## **Team and Club Sponsorship**

Teams or clubs formed by employees may receive funding up to \$300.00 each year. For the sponsorship amount, the majority of the members of the team/club must be Carleton employees. Submit written receipt stating club name, address, sponsorship amount and member list to the Human Resources Department.

## **Tuition for Employee Spouses or Domestic Partners**

The College will waive tuition charges for spouses or domestic partners of staff members who enroll as special students for one course per academic term at Carleton. All special students register for courses through the Office of the Registrar.

# Employment Provisions & Policies

## Access to Personnel Files

Employees have the right to review their personnel file(s) every six (6) months while employed and once a year after their employment ends by submitting a written request to Human Resources. [See MN Statute 181.961.](#)

## Against Sexual Misconduct

Carleton College will not tolerate sexual assault or sexual violence in any form ([Policies Against Sexual Misconduct](#)).

## Animal(s) on Campus Policy

In accordance with college policy, effective July 1, 2004, any person bringing an animal(s) {animal—for these purposes, any species that is not human}, onto the property of Carleton College should be aware that the City Code of Northfield applies to their visit. Please refer to Part II, Chapter 10, Article II, 10-31 through 10-98 ([College Policy for Animal\(s\) on Campus](#)).

## Code of Conduct

All employees are expected to maintain the highest ethical standards in all associations and activities with others on behalf of the College. It is essential that all staff members conduct themselves in a manner that will withstand the closest scrutiny.

As a College rooted in the liberal arts tradition, Carleton draws its strength and vitality from a free and open exchange of ideas and opinions not only in the classroom, but throughout the campus. Staff members are encouraged to express themselves through internal communication channels and to participate, when appropriate, in the governance of the College. An employee may be asked to serve on one of the representative committees that often determine policy. Staff are also reminded that we are engaged in an enterprise that requires the public confidence. When internal differences are aired publicly and adverse public reaction is the result, the entire community suffers.

## Copyright Policy

All employees engaged in creative efforts produce a great variety of materials that they or the College may want to protect from unauthorized use. Among them are books, articles, bibliographies, lectures, musical compositions, works of art, films, audio and video tapes, compact disks, databases, computer programs, and templates for computer programs. As new technologies appear, other tangible forms of expression may be added to the list ([Copyright Policy](#)).

## Drug-Free Schools & Communities Act Amendments

The new Drug-Free Schools and Communities Act Amendments of 1989 (Public Law No. 101-226) requires colleges and universities to adopt a program to prevent the use of illicit drugs and the abuse of alcohol by students and employees. The College's failure to comply with the provisions in the Act would result in the immediate loss of our eligibility to receive all Federal funding and could require repayment, in full or in part, of any Federal financial assistance previously awarded ([College Policy on Unlawful Use of Drugs and Alcohol](#)).

## Drug-Free Workplace Policy

Carleton College has a Drug-Free Workplace Policy that prohibits the manufacture, distribution, dispersion, possession, transfer, or use of controlled substances at the workplace. All employees are covered by this Policy, including student workers. Violators are subject to disciplinary action by the College ([Drug-Free Workplace Policy](#)).

## Employee Family Relationships

In accordance with established College policy, relationship by family or marriage will be neither an advantage nor a hindrance in appointments or promotions. Employment or advancement shall be based on qualifications and experience. When relatives work in the same department or division, employment decisions must be subject to enhanced scrutiny, particularly in the areas of performance evaluations and salary recommendations.

## HIV Infection Policy

It is the policy of Carleton College, to the extent of its control and ability, to facilitate the prevention of HIV infection and the mitigation of its consequences to both infected and non-infected persons ([HIV Infection Policy](#)).

## Policy Regarding the Release of Constituent Information

### Goals:

- Protect the interests of all Carleton constituents (alumni, parents, students, staff) by releasing only information approved for release by the constituent and the College
- Provide constituent information as needed for educational, volunteer or social purposes

### Contact the Following Offices with Questions:

<i>Alumni</i>	<i>Central Records x4721 or Alumni Relations x4205</i>
<i>Students</i>	<i>Registrar x4289</i>
<i>International Students</i>	<i>International Student Programs x5937</i>
<i>Parents</i>	<i>Central Records x4721</i>
<i>Faculty/Staff</i>	<i>Human Resources x4172</i>

### ALUMNI (Note: refers to both graduates, non-graduates and special students)

- Carleton College will release “directory” information (addresses, phones, e-mail, class year) only *to alumni*. Before responding, staff must refer to Advance database to determine if there is an Alert on the alum’s record.
- Carleton College will respect the wishes of all alumni who request that no Directory information be released about them to anyone. Staff receiving such requests should forward the directive to Central Records staff for appropriate action.
- No information regarding alumni will be given *to non-alumni* unless:
  1. it is official government business;
  2. another educational institution requests such information to locate one of their alumni; or,
  3. a non-alumnus sends to the Alumni Affairs or Central Records offices a note, fax or e-mail message that includes the non-alum’s name and mailing address. Staff will forward the message to the alum in question. Contact with the non-alumnus then will be at the initiative of the alumnus.
- Requests by an alumnus for a large number of addresses should be submitted in writing and will be fulfilled at the discretion of the Director of Alumni Relations.
- To protect alumni from unwanted business solicitations or from a large amount of inappropriate contact, no class, geographic, professional or other lists will be distributed unless:
  1. the alumnus is serving the College in an approved volunteer capacity (i.e., as a club chair, class agent, admissions representative, reunion committee volunteer or careers coordinator);
  2. as part of alumni career networking under the direction of the Director of the Career Center; or,
  3. with the permission of the Director of Alumni Relations.
- Information release restrictions determined by an alumnus for any and all on-line alumni directories will apply to all print alumni directories.
- Constituent labels will not be sent to non-staff. All special mailings to alumni must be approved by the Director of Alumni Relations. Upon approval, labels should be requested from Central Records (x4496).

- Call reports are for internal use only by members of the division of External Relations and the President. They may not be copied for use by any College volunteer, including trustees.
- College volunteers should receive only the prospect and donor information they need to perform their College-related duties.

### **STUDENTS**

- Carleton College will refrain from disclosing any personally identifiable information contained in a student's education records, except certain information that may be revealed with the consent of the students or as otherwise permitted by law.
- Carleton specifically reserves the right to disclose "directory information" to any party without a student's consent. "Directory information" includes information contained in an education record of a student which would not generally be considered harmful or an invasion of privacy if disclosed.

It includes:

- a student's name
  - permanent and local college addresses
  - all telephone numbers of record
  - date and place of birth
  - major field of study and concentration
  - participation in officially recognized activities and sports
  - weight and height of members of athletic teams
  - dates of attendance
  - degrees and awards received
  - most recent previous school attended
  - photograph
  - class year
  - e-mail address
- Students nonetheless have a right to request that directory information be kept confidential. Such a request should be signed by the student and submitted in writing to the Dean of Students. (Adopted by the board of Trustees, June 17, 1993, upon recommendation of the College Council.) Before responding to requests for student directory information, staff must refer to the Colleague database or the on-line directory (<http://www.sysnet.carleton.edu/esearch>) to determine if information can be released.
  - For detailed information on Carleton policy for the release of education records to third parties see <http://www.carleton.edu/campus/DOS/standards20.html#diclosure>.
  - Questions about international students should be directed to the Director of International Student Programs (x5937).

### **CURRENT PARENTS**

No information regarding parents of current students is to be released. Please contact the Registrar with questions (x4289).

### **PAST PARENTS**

No information regarding parents of past students is to be released. Please contact the Registrar with questions (x4289).

### **FACULTY/STAFF**

Upon request, you may provide:

- job title
- on-campus telephone number
- Carleton e-mail address

## **Outside Employment**

The College does not intend to interfere with the private or personal life of employees. The College recognizes that outside work, in modest amounts of time and service, can advance the professional development of an individual and magnify Carleton's contribution to society. However, proper performance of College duties may be hampered by outside employment, defined as working for another employer, being self-employed, or providing consulting arrangements or corporate board services. Advance approval of the employee's supervisor is necessary when considering outside employment.

Regular full-time employees should not take paid employment outside the College which might affect their efficiency on the job at Carleton, constitute a conflict of interest, cause work schedule conflicts, result in the misuse of College resources, and/or otherwise have an adverse affect on the College.

A conflict of interest may be defined as any situation in which private outside employment would or could reasonably be perceived to conflict with the best interests of the College or with the employee's performance of his or her College duties. Use of College resources to perform outside work (e.g. supplies, facilities, equipment, staff) may not be charged to or supplied by the College. Only in cases where there is a direct benefit to the College from the work itself (exclusive of the individual performing the work) and only with prior approval would such use be appropriate. A serious breach of this rule, in fact or public appearance, may result in appropriate disciplinary procedures.

## **Workplace Safety**

Carleton College is responsible for furnishing its employees a safe place of employment, free from hazards, causing or likely to cause, injury or serious physical harm. For the safety of our students, faculty, staff, and guests, Carleton will exercise its right to prohibit firearms on campus, including at all public events. Each employee has an obligation to comply with all safety and health standards, rules, regulations or orders issued by the College as well as those of the Federal Occupational Safety and Health Act. Working conditions judged to be unsafe should be immediately reported by the employee to his or her supervisor or department head, and the supervisor then is responsible for reporting the problem to the Director of Facilities for evaluation and, if needed, corrective action. Detailed provisions of the Act are available in the Facilities Management Office.

## **Personal Appearance**

Business appropriate attire and other aspects of personal appearance reflect the good judgment expected of each employee.

## **Smoking Policy**

As required by the Minnesota Clean Indoor Air Act, smoking in College buildings is prohibited in all areas used by the general public or serving as a place of work, except in designated areas ([Smoking Policy](#)).

## **Performance Appraisal**

Each regular employee should typically participate in an annual performance appraisal. A performance review, based on the supervisor's written appraisal, is scheduled between the supervisor and employee. The written appraisal is based on standard factors of employee performance and allows for supplementary comment. The review is designed to help the employee understand the written appraisal along with expectations for the coming year. Completed forms are forwarded to Human Resources for the employee's personnel file.

## **Salary Review Process**

Annual salary increases are based on funds available in the budget, the combined judgment of each employee's supervisor, department and division head and on a College-wide review. The

review process is to insure objectivity and equity and that salary budgets are not exceeded ([Compensation Program](#)).

## Salary Grades and Ranges

(Non Union/Non Faculty)

### 2012 Salary Ranges - Bi-weekly

Grade	Hourly Rate		
	Minimum	MidPoint	Maximum
1	\$7.60	\$9.50	\$11.39
2	\$8.25	\$10.32	\$12.38
3	\$9.02	\$11.28	\$13.54
4	\$9.94	\$12.42	\$14.90
5	\$11.01	\$13.76	\$16.51
6	\$12.21	\$15.27	\$18.32
7	\$13.58	\$16.97	\$20.37
8	\$15.11	\$18.89	\$22.66
9	\$16.85	\$21.06	\$25.27
10	\$18.97	\$23.71	\$28.45
11	\$21.58	\$26.97	\$32.37
12	\$24.53	\$30.67	\$36.80
13	\$28.09	\$35.11	\$42.13

### 2012 Salary Ranges - Exempt

Grade	Annual Salary based on 1.0 FTE		
	Minimum	MidPoint	Maximum
6	\$25,403.43	\$31,754.29	\$38,105.15
7	\$28,245.16	\$35,306.46	\$42,367.75
8	\$31,425.03	\$39,281.29	\$47,137.55
9	\$35,037.99	\$43,797.49	\$52,556.99
10	\$39,453.83	\$49,317.29	\$59,180.75
11	\$44,880.99	\$56,101.24	\$67,321.49
12	\$51,030.74	\$63,788.43	\$76,546.12
13	\$58,417.24	\$73,021.55	\$87,625.86
14	\$67,297.56	\$84,121.95	\$100,946.33
15	\$78,039.94	\$97,549.92	\$117,059.90
16	\$91,062.80	\$113,828.51	\$136,594.21
17	\$107,698.63	\$134,623.29	\$161,547.95
18	\$129,119.32	\$161,399.15	\$193,678.97
19	\$156,850.33	\$196,062.91	\$235,275.49
20	\$193,060.22	\$241,325.27	\$289,590.32

## **Job Evaluation**

The job evaluation process is an automated system that standardizes the categorization of key point factors to determine a compensation range and rating of each position. This program has been customized for higher education and incorporates higher education types of positions and relative salary survey data to achieve competitive market-based salary ranges.

This job evaluation process will be used for all non-union, non-faculty positions on campus. As positions come open, Human Resources will assist the supervisor with evaluating the open position and determining a position grade for the job posting. Our goal is to have supervisors review the job evaluations of their staff on an annual basis.

## **Personnel Practices Review & Procedure**

Each regular employee, beyond the initial review period, is guaranteed the right without prejudice to initiate a review of personnel practices which affect his or her working conditions. The best way to solve a concern is to discuss it openly before it has a chance to grow. Therefore, if an employee should have a specific concern, follow the procedure suggested below:

- First, discuss the difficulty with the immediate supervisor to see if things can be worked out by just "talking it over."
- If not satisfied, go to the supervisor next in line.
- If the employee feels the concern is still unresolved, take it to the Director of Human Resources. Employees are encouraged to discuss any work concern freely so the conditions causing dissatisfaction can be understood and solutions sought.
- If the matter cannot be settled on an informal basis, the Director of Human Resources will assist in putting the concern in writing for joint consideration by the Director of Human Resources and the appropriate Division Head. They will review the matter and will reach a decision.

Union staff members have recourse in the procedure outlined in the Labor Agreement which includes steps similar to those outlined above.

## **Sexual Harassment**

Sexual Harassment Guidelines were approved in 1980 by the Equal Employment Opportunity Commission (EEOC) and are based on non-discrimination regulations in Title VII of the Civil Rights Act of 1964. The EEOC Guidelines were used as one of the primary bases for a Carleton College "[Policy Against Sexual Misconduct](#)" which is issued to all members of the Carleton community annually.

It is the obligation of every member of the educational community to remain current in all features of this policy. Staff members who feel they have been the victims of sexually inappropriate conduct have the right to make a complaint to the College. Staff members are required to promptly report all suspected or alleged incidents of sexual misconduct to the appropriate College authorities. This includes your manager or supervisor, and human resource professional, or the Sexual Harassment and Sexual Assault Consultant (Consultant – x4569). The College treats complaints seriously, and in the consultant will investigate all complaints promptly. Retaliation against an individual who brings a complaint, participates in an investigation of sexually inappropriate conduct, or pursues legal action is prohibited and will not be tolerated. Disciplinary action, up to and including termination will be taken by the College in the event of a finding of a violation of policy ([Policies Against Sexual Misconduct](#)).

## **Statement on Discrimination & Academic Freedom**

Statement on Discrimination and Academic Freedom is a statement of policy as well as a statement of values. It is intended to help sustain a civil atmosphere of unfettered intellectual

freedom at the College and to discourage discriminatory speech and actions by its members (see page 62 for [Statement on Discrimination and Academic Freedom](#)).

Support of any cause by demonstration or other orderly means, including picketing and other forms of peaceful protest, is permitted on College premises so long as it does not disrupt the operation of the College, jeopardize its legal status, interfere with entrances to and exits from College facilities, interrupt classes, interfere with other normal day-to-day activities of the College, or cause damage to property. The College may call upon local law enforcement bodies to remedy violations covered by this paragraph. In addition, the College may choose to impose its own disciplinary sanctions.

## **Workplace Advisors**

An additional source, called the Carleton Workplace Advisors (WPA), also is available to improve communications, help solve work related difficulties, or provide counsel to Carleton employees. It is designed to be a confidential and less formally structured method of solving problems than the earlier stated grievance policy ([Workplace Advisors](#)). Labor Agreement governs union employees.

## **Understanding & Review of Policy**

Communications are the key to understanding College procedures, practices, and policies. Free and unhampered communication guarantees input from all elements and divisions whenever policies are considered or reviewed.

Employees are encouraged to become familiar with the Governance System ([The College Governance System](#)), and to attend open meetings of the various policy committees.

## **Carleton College Official Closings**

On *rare* occasions the College may officially close (although classes may still be in session) as a result of non-weather related issues (i.e. loss of electricity or heat, computer access, tornado, flood, etc.) or due to inclement winter weather.

In such events, the process for an official closing will be determined *only* through select members of the administration; the President, the Vice President and Treasurer, Dean of the College, Director of Human Resources, and the Director of Facilities & Capital Planning. They will take under consideration the level of functionality and operations adversely affected in order to determine the necessity for an official closing.

Staff and faculty could receive notification via the following options:

- Email (if operational) by one of the determining listed administrators;
- Voicemail message by the Telecommunications Department;
- Contact in person. In the event where no readily accessible mode of communication is available (email or voicemail), a designated department contact will report to one of the offices of the determining administrators (i.e. President, Vice President and Treasurer, Dean of the College, Director of Human Resources, Director of Facilities & Capital Planning) for the official closing status of Carleton College.

All regular employees who would have been working will be paid for their lost time. Those who work will be given compensating time off.

It is recommended that each department record voicemail messages on their telephones providing official closure information. These messages can be recorded even if off campus

(from your homes). *For instructions on how to do this, please reference the Carleton College Telecommunications Guide.*

When Carleton College decides to remain open even though there may be some functions inoperable, employees are encouraged to remain productive in altering their work tasks. If there is question as to optional task completion, please confer with your supervisor for direction.

*NOTE:* Departments providing essential service – heat, security, food, snow removal, telephone, and emergency maintenance, shall make arrangements to provide adequate coverage at all times and in all circumstances. To facilitate snow removal, employees are urged to park in lots that have already been plowed whenever possible.

### **Winter Storm Policy**

When winter storms create hazardous driving conditions, employees may arrive late or leave early with the permission of their supervisors. Each department shall establish its own procedures for doing so. Floating holiday, vacation, or make-up hours may be arranged by the employee in order to receive pay for lost time. Make up hours must be worked within the same pay week as the lost time. Normally, make-up time resulting in overtime will be limited to the dollar value of the lost time pay.

The decision to close the College in the morning will be announced on KYMN, KDHL, KSTP, KARE 11, and WCCO by 7:30 a.m., if possible. Closings during the day will be announced by campus e-mail and/or telephone.

# Supporting Documents

## Policies Against Sexual Misconduct

The Policies Against Sexual Misconduct include a Policy Against Sexual Assault, the Policy Against Sexual Harassment, and the Policy Against Sexually Inappropriate Conduct. Each policy contains a definition of the conduct which is prohibited by that policy. In addition, the Policies Against Sexual Misconduct contain information about support services available for the victims of sexual assault, sexual harassment, or sexually inappropriate conduct. The Policies Against Sexual Misconduct also detail procedures for handling complaints of sexual assault, sexual harassment, and sexually inappropriate conduct. The term “sexual misconduct” as used in these policies includes sexual assault, sexual harassment, and sexually inappropriate conduct.

### Policy Against Sexual Assault

#### Policy Statement

Carleton College will not tolerate sexual assault or sexual violence in any form, including non-stranger rape. When sexual assault or sexual violence occurs at Carleton, the standards of the community, as well as the criminal laws of the state of Minnesota, are violated. The goal of this policy is to create a community free of sexual assault.

Sexual assault committed in connection with any College program, whether on or off campus, is prohibited and will not be tolerated. This applies to academic, educational, extra-curricular, athletic, residential, work place, and other College activities and programs.

Carleton College urges people who believe they have been victims of sexual assault to pursue criminal charges against the person or persons they believe to have committed the sexual assault. Victims are also urged to make a Complaint to the College. A criminal charge and an internal Complaint can be pursued at the same time. Retaliation against anyone involved in the Complaint process or anyone who pursues legal action – including the Complainant, the Respondent, or anyone participating in the Investigation – is prohibited and will not be tolerated.

Students, faculty members, and staff members should understand that apparently consensual sexual relationships, particularly those between individuals of unequal status, may be or become a violation of this policy. Anyone who engages in a sexual relationship with a person over whom he or she has any degree of power or authority must understand that the validity of the Consent involved can and may be questioned. The College particularly abhors the abuse potentially inherent in sexual relationships between faculty members and students, and between staff supervisors and their student employees. (*See “Statement on Consensual Relations”.*)

#### Definition of Sexual Assault

Sexual assault is intentional sexual contact with another person without that person’s Consent. Consent exists when a person freely and knowingly agrees at the time to participate in a particular sexual act with a particular person. There is no Consent, for example, when force, threat, or coercion is used. There is no Consent when sexual contact is with a person who is unable to say no or otherwise resist because of the use of alcohol or drugs, or because he or she is asleep or unconscious. The use of alcohol or drugs by either party will not diminish responsibility for sexual assault under this policy.

Sexual contact includes, but is not limited to, sexual intercourse, penetration of an orifice (anal, oral, or vaginal) with the penis, finger, or other object in a sexual manner, intentional touching of the genitals, buttocks, or breasts, or coercion to force someone else to touch one's genitals, buttocks, or breasts. Sexual contact can occur over clothing.

Sexual assault can be committed by a man or a woman against a person of the same or opposite sex. Sexual assault can be committed by current or former lovers, friends, or acquaintances. Conduct that constitutes criminal sexual conduct under Minnesota law violates this policy.

## **Policy Against Sexual Harassment**

### Policy Statement

Carleton College will not tolerate sexual harassment in any form. When sexual harassment occurs at Carleton, the standards of the community are violated. The goal of this policy is to create a community free of sexual harassment.

Sexual harassment committed in connection with any College program, on or off campus, is prohibited and will not be tolerated. This applies to academic, educational, extra-curricular, athletic, residential, work place, and other College activities and programs.

A violation of the Carleton College Sexual Harassment Policy may be a violation of state and federal law. Therefore, individuals who feel they have been sexually harassed may have the right to bring legal action, in addition to making a Complaint to the College. Legal action and an internal Complaint can be pursued at the same time. Retaliation against anyone involved in the Complaint process or anyone who pursues legal action – including the Complainant, the Respondent, or anyone participating in the Investigation – is prohibited and will not be tolerated. Students, faculty members, and staff members must understand that apparently consensual sexual relationships, particularly those between individuals of unequal status, may be or become a violation of this policy. Anyone who engages in a sexual relationship with a person over whom he or she has any degree of power or Authority must understand that the validity of the Consent involved can and may be questioned. The College particularly abhors the abuse potentially inherent in sexual relationships between faculty members and students, and between staff supervisors and their student employees. (*See "Statement on Consensual Relations".*)

The essential importance of academic freedom is recognized and a standard of reasonableness will guide the College. Only when academic freedom is used to disguise sexual harassment, or as the vehicle for prohibited conduct, will it be questioned. Carleton College believes that ideas, creativity, and free expression thrive – and, indeed, can only exist for students, faculty, and staff – in an atmosphere free of sexual harassment or coercion.

### Definition of Sexual Harassment

Sexual harassment includes unwelcome sexual advances, requests for sexual favors, sexually motivated physical contact, or other verbal or physical conduct or communication of a sexual nature when:

- Submission to that conduct or communication is made a term or condition, either explicitly or implicitly, of obtaining employment or education; or
- Submission to or rejection of that conduct or communication by an individual is used as a factor in decisions affecting that individual's employment or education; or

- That conduct or communication has the purpose or effect of substantially interfering with an individual's employment or education, or of creating an intimidating, hostile, or offensive employment or educational environment.

Sexual harassment can be committed by a man, a woman, or a group of people against a person or persons of the same or opposite sex. Sexual harassment can be committed by friends, acquaintances, classmates, supervisors, co-workers, faculty members, and/or any other person. Acts of sexual harassment may or may not be directed at a specific person. The use of alcohol or drugs by any party will not diminish the responsibility for sexual harassment under this policy.

## **Policy Against Sexually Inappropriate Conduct**

### Policy Statement

Carleton College will not tolerate sexually inappropriate conduct in any form. When sexually inappropriate conduct occurs at Carleton, the standards of the community are violated. The goal of this policy is to create a community free of sexually inappropriate conduct.

Sexually inappropriate conduct committed in connection with any College program, whether on or off campus, is prohibited and will not be tolerated. This applies to academic, educational, extra-curricular, athletic, residential, work place, and other College activities and programs.

Individuals who feel they have been the victims of sexually inappropriate conduct have the right to make a Complaint to the College. Retaliation against anyone involved in the Complaint process or anyone who pursues legal action – including the Complainant, the Respondent, or anyone participating in the Investigation – is prohibited and will not be tolerated.

### Definition of Sexually Inappropriate Conduct

Sexually inappropriate conduct includes unwelcome sexual conduct that may not rise to the level of sexual harassment, but is still sexual in nature. Sexually inappropriate conduct may include, but is not limited to, crude, obscene, or sexually offensive gestures, or unwelcome sexual comments.

Sexually inappropriate conduct can be committed by a man, woman, or a group of individuals against a person or persons of the same or opposite sex. Sexually inappropriate conduct may or may not be directed at a specific person in order for a violation to occur. The use of alcohol or drugs by any party will not diminish responsibility for sexually inappropriate conduct under this policy.

### Consensual Relations

The well-being of the learning and teaching community at Carleton College depends upon the existence of a relationship of trust, respect, and fairness between the staff and the students. Romantic and/or sexual relations, even if consensual, between staff members and their students (those whom they currently supervise, coach, advise, teach, or evaluate in any way) violate the integrity of the student/staff relationship as described above. Such relations are therefore prohibited by the College and constitute grounds for disciplinary action up to and including dismissal.

Because any romantic and/or sexual relationship between a staff member and student, or between a staff member and any person he or she may supervise has the potential to jeopardize the quality of the academic, living or working environment of the community, the College strongly

discourages such relations. The College will therefore take appropriate disciplinary action (up to and including dismissal) should such a relationship be found to undermine the trust, respect, and fairness that are central to the success of Carleton's educational mission.

## **Support Services**

### Sexual Assault

Individuals who have been sexually assaulted should seek immediate medical, emotional, or other assistance. Assistance is available by calling 911, the Northfield Police (645-4475), the Department of Security Services (x4444), or the Northfield Hospital (646-1101). (Upon request, Security will transport persons to the hospital, or contact the Northfield Police.)

Sexual assault is a criminal offense, as well as a violation of College policy. Individuals who are sexually assaulted are urged to contact the police and to preserve any evidence that may be necessary for proving criminal sexual assault. If a student, faculty member, or staff member is criminally charged with sexual assault, whether or not the sexual assault is committed against another student, faculty member, or staff member, or on property owned or rented by Carleton, the President or his or her designee will take immediate action, which may include suspension of the individual so charged.

In the case of sexual assault, College Authorities will also inform the Complainant/Respondent of the options of criminal prosecution and medical assistance, as well as their rights under the crime victims' bill of rights, including the right to assistance from the Minnesota State Crime Victims' Reparation Board and the Minnesota State Office of the Crime Victim Ombudsman. In addition, College Authorities will notify the Northfield Police of the sexual assault at the request of the victim, and will provide assistance in notifying any other law enforcement Authorities or in preserving materials which are relevant to the internal Complaint process. College Authorities will also, at the direction of the law enforcement Authorities, provide assistance in obtaining, securing, and maintaining evidence for criminal prosecution.

In the case where the victim is a minor (anyone under eighteen years of age), confidential resources may be required by Minnesota law to report suspected or threatened sexual assault (but not sexual harassment or sexually inappropriate conduct) to the Northfield Police. These are limited circumstances, and include sexual assault by a person responsible for the minor or in a position of Authority (such as a parent, guardian, teacher, school administrator, counselor, or coach) and any situation involving prostitution.

### Sexual Misconduct, All Forms of

Students who feel they have been the victim of any form of sexual misconduct may wish to seek confidential counseling or support from the Counselor/Coordinator for Sexual Misconduct Services for Students ("the Counselor/Coordinator"), nurse practitioners, or any staff psychologist in the Wellness Center (x4080). These are all confidential resources. Faculty members and staff members may seek such support from the College Chaplain (x4003) or the Employee Assistance Program (1-888-371-1125). Assistance is also available from the 24 hour crisis and information Hope Center (Rice County help line-800-607-2330), including referrals to sexual assault counselors. Support is also available through Campus Advocates Against Sexual Harassment and Assault (CAASHA), a group of peers trained to respond to sexual misconduct.

Students who feel they may have committed sexual misconduct may seek confidential assistance from the Wellness Center (x4080) or the Chaplain (x4003). Faculty members or staff members who feel they may have committed sexual misconduct may seek confidential assistance from the Chaplain (x4003).

The College Authorities responding to Complaints of sexual misconduct will inform the Complainants and Respondents about the internal Complaint process and confidential resources.

In addition, Complainants and Respondents may request special accommodations during the Complaint process. Students make these requests to the Office of the Dean of Students; employees make these requests to Human Resources. The Office of the Dean of Students or security can provide assistance with concerns about safety.

Faculty and staff members are required to promptly report all suspected or alleged incidents of sexual misconduct to a College official.

When it appears that the safety or security of any student, staff member, or faculty member may be jeopardized, the President or his or her designee will take such action as is necessary, in his or her judgment, to ensure safety.

## **Internal Complaint Process for Complaints of Sexual Misconduct**

Complaints of sexual misconduct may be made by students, faculty members, or staff members to the Consultant, the President, a Vice President, a Dean, a Department Chair, a Department Head, or a Supervisor. Complaints may also be made to the Department of Security Services. If a Complaint is made to anyone else, the Complainant risks the possibility that it will not come to the attention of the appropriate Authorities and may, therefore, not be acted upon.

In the case of sexual assault where the assault is recent or in progress, the Complaint of sexual assault to the Department of Security Services will be reported by the Security Department to the Northfield Police Department. The victim's name will be released to the police only with the Consent of the victim.

Complaints of sexual misconduct will be investigated promptly. If the Respondent is a faculty or staff member, the Consultant conducts the Investigation. If the Respondent is a student, a designee from the Office of the Dean of Students conducts the Investigation.

The Investigator prepares a written fact-finding report in consultation with the responsible College Authority. This report is a summary of the information gathered during the investigative process. The Adjudicator reviews the fact-finding report and may conduct additional fact-finding. The Adjudicator then determines whether a violation of one or the three sexual misconduct policies has occurred. In the case of a violation, the Adjudicator determines appropriate disciplinary action. The Complainant is informed verbally of the College's determination. The Respondent is informed verbally and in writing of the College's determination.

A Complaint of sexual misconduct will be resolved by: (a) a determination that a sexual misconduct policy has been violated and imposition of appropriate disciplinary action; (b) a determination that there was no violation of a sexual misconduct policy and dismissal of the Complaint; or (c) dismissal of the Complaint because of insufficient information to determine whether or not a sexual misconduct policy was violated or to identify the person(s) whose conduct is at issue. In the case of a Complaint of sexual harassment or sexually inappropriate conduct (but not sexual assault), the Complaint may also be resolved by an informal resolution, the terms of which are agreed to by the Complainant, the Respondent, and the Adjudicator. Such informal resolutions will be permitted only in appropriate circumstances consistent with the College's commitment to enforcing the prohibition against sexual harassment and sexually inappropriate conduct.

In all cases where the Investigation indicates that a violation of a sexual misconduct policy has occurred, the College will take prompt and appropriate disciplinary action. In the case of a student, appropriate disciplinary action may include (but is not limited to) counseling, chemical dependency evaluation, a warning, censure, probation, suspension, or expulsion. In the case of a staff member or a faculty member, appropriate disciplinary action may include (but is not limited

to) counseling, chemical dependency evaluation, a warning, suspension, or termination of employment.

## **Education and Training**

In an effort to prevent and eliminate sexual misconduct, the College will distribute these policies to and provide training for every student, staff member, and faculty member. Members of the Sexual Misconduct Review Board (SMRB) also will receive training from the Consultant and other appropriate individuals about sexual misconduct. In addition, these policies will be reiterated at appropriate opportunities in classes, meetings, programs, and publications.

The Consultant, in collaboration with the Counselor/Coordinator, is responsible for coordinating the education and training program for the College. In addition, the Sexual Harassment and Resource Education (SHARE) Committee will be formed each academic year to advise the College on matters relating to sexual misconduct. The Consultant and the Counselor/Coordinator work with the SHARE Committee and other appropriate individuals to develop educational and preventive programs, and activities. Appropriate resources and administrative support are provided for that purpose.

## **Staff Guidelines on Committee Participation**

### Introduction:

The College's committee structure has played an essential part in College governance. Over time it has evolved to meet new and changing concepts while providing a structural basis that sustains the College's mission "to provide a liberal education of the highest quality." Committees, also referred to as standing committees, task forces, and redesign teams, are resources formed for different durations of time. Standing committees may convene indefinitely. Task forces and redesign teams usually convene only until a specific task or project has been completed by the group.

The officers of the College determine the need for committees to explore specific topics or issues and develop the appropriate group structure. By doing so, they specifically and tacitly send the message that committee participation is doing the work of the College. Assignments to committees are largely determined here, through the committee charge, solicitation of interest and other means.

It is important to emphasize the positive impact of the individual's participation in committee work, both to the individual and the College. The College benefits by having a large number of willing and interested staff from which to choose committee participants and from the knowledge they bring to the group process.

For the individual staff member, participation in committee work provides learning and sharing opportunities which can have the effect of strengthening the individual's sense of purpose, contribution and belonging to the broader College community. Individual staff participants are able to contribute to the College in a meaningful way, often on matters of interest not directly related to their jobs, and develop a new dimension to their sense of belonging and their ability to make a difference.

Since supervisors are directly accountable for developing work schedules and assigning workloads to provide the effective progress of the department's work, their involvement is key to

balancing the College's need for committee participation and effective daily operations. It is essential that the individual staff participant communicate with one's supervisor and assist in determining what the impact of committee participation will have on the participant's work, the work of others, and the effective progress of the department's work.

Purpose:

These guidelines make no attempt to judge the value of specific committees. Rather, their purpose is to clarify the roles of College officers, individual department supervisors and staff participants, and establish a framework to help everyone assess the benefits and costs of participation in terms of workload and College operations.

Role of the Officers of the College:

College officers determine the need for committees or task forces to explore specific topics or issues and develop the appropriate group structure (i.e., standing committee, task force or redesign team). By doing so, it specifically and tacitly sends the message that committee participation is doing the work of the College. Assignments to committees are largely determined here, through the committee charge, solicitation of interest, delegation, and other means. The officers of the College must have a sense of the staff time needed for quality participation and must rely on others to ascertain the impact on workloads.

Role of the Supervisor:

To date, the supervisor's role in committee assignments has been informal at best and is generally unacknowledged. Since supervisors are directly accountable for workloads and work schedules designed to accommodate them, their involvement is key to balancing the College's need for committee participation and effective daily operations. It is largely the supervisor, in consultation with the officers of the College and the invited participant, who is best able to determine what the impact of time spent on committee work will have on the participant's work, the work of others and the effective progress of the department's work. Work hours may result in schedule changes for the participant or others.

Role of the Participant:

It is important to re-state the positive impact of the individual's participation in committee work, both to the individual and the College. For the participant it adds a new dimension to their sense of belonging. The College has enjoyed a large number of willing and interested staff from which to choose committee participants and has benefited from the knowledge they bring to the group process.

Obtaining prior approval from the supervisor is essential for successful committee involvement on the part of the individual staff participant, the College and departmental operations. Continued communication with one's supervisor will help prevent work-stress problems for co-workers who may be required to adjust to committee members' absences, allow equitable committee participation among members of departments, and will permit the setting of work priorities on a consistent basis.

5/6/99

## **Workplace Advisors**

Carleton is fortunate to have a group of Workplace Advisors who have been chosen from faculty, administrative officers, support staff, and technical staff. They are available to all faculty and non-union employees of the College. Students are expected to seek out the offices and

committees which serve student interest; union contracts include grievance procedures for members of bargaining units.

The Workplace Advising service is intended to be a low-key, helpful, and private way of enabling people to solve problems that may arise in the workplace before they become difficult. Its principal objective is to improve communication and offer counsel to employees and supervisors in work-related differences. Since the program began, the College has found that advisors can provide a channel for employees to help them repair relationships or procedures that are strained, damaged, or simply in need of improvement, in a positive, courteous way. If requested by the employee, the Workplace Advisors will also pass on important concerns, in a confidential and sensitive manner, to appropriate parties.

A current list of Workplace Advisors is provided to all employees at the beginning of each academic year and is available on the College Committee Web site: <http://www.carleton.edu/campus/dbp/committees.html> under Dean of Budget and Planning. Individuals may, of course, choose the advisor whom they feel would be most helpful to them.

The advisors have three objectives:

- to help each visitor who requests assistance to the best of their ability;
- to protect the rights of everyone who may be involved in the subject of a visit and to protect the welfare of Carleton; and
- to see that, over time, information about people's concerns is transmitted to the appropriate administrative offices and committees of the college when possible, in ways which will ensure confidentiality, so that these regular administrative structures of the college can work in a more effective and understanding manner.

Advisors should not be expected to be advocates of a particular point of view. It is their duty to be advocates of a fair process, to offer balance, and to assure all a chance to be heard by an impartial colleague.

Here are some things you can expect if you choose to visit an advisor:

- Advisors welcome employees with any kind of inquiry or concern; they do not seek out people with concerns. Under ordinary circumstances, they will not agree to hear a third-party or non-Carleton complaint.
- It is expected that employees will go to only one Advisor with any one concern, unless a visitor or advisor suggests that two Advisors work together.
- This procedure is strictly voluntary; whenever possible the Advisors will seek to help people help themselves directly and to help people bring their concerns directly to normally constituted administrative offices if that route is acceptable to the visitor.
- Advisors welcome those who wish to come in with any other member of the Carleton community.
- One may make an appointment with any of the advisors by phone, by email, or in person.
- Under ordinary circumstances, advisors will keep no formal written records of visits to them.
- Advisors normally keep conversations private, unless an employee and an advisor agree that some action will be undertaken which will require discussion of the visit, unless an advisor explicitly suggests some such discussion with a third person or persons and the visitor agrees, or unless the concern centers around sexual assault.
- While the advisors value the privacy of people who consult with them, the discussions are not legally "privileged," and there can be no absolute guarantee that some party may not be entitled to the information in the unlikely even of some court-governed procedure.

*Revised September 2002*

## Upward Mobility Program

### Specific Guidelines Pertaining to All Openings for Staff Positions:

This is a guideline and Carleton College reserves the right to vary from it as necessary.

- Job openings will be posted for a minimum of five days. Some regular, continuing openings may not be posted at the discretion of the Division Head and/or Department Head. Temporary jobs of less than ninety days duration may or may not be posted at the discretion of the Division Head and/or Department Head.
- If the pool of Carleton applicants consists of even one candidate who would seem to have qualifications which meet job requirements, that candidate will normally be interviewed before a non-Carleton applicant is interviewed. If the College has identified a strong internal candidate, the posting notice will so state.
- The internal position posting and any external advertising will run concurrently in most instances.
- It is the specific responsibility of the department head or supervisor to review a prospective candidate's qualifications and determine whether or not he or she qualifies within the framework of all minimum requirements of the job (the division head will be asked to participate in this process in most instances and particularly if the decision is difficult or border-line).
- In the interest of departmental morale, it is assumed that, qualifications being satisfactory, a current department member will be given priority of selection over a candidate from another College office or department; this is considered highly important for the maintenance of departmental "esprit de corps".
- When an internal candidate is successful, he/she will immediately be notified, and all other candidate(s) will, as soon as possible, be advised regarding the decision and diplomatically told of any qualifications which were lacking in their experience or training. Great care is exercised in carrying out this notification process which is usually performed by the Hiring Supervisor. Notification of all concerned is felt to be absolutely necessary to avoid erroneous impressions, minimize disturbance of morale and allow routine counseling of unsuccessful candidates with regard to qualifications.
- When the responsible supervisor (and division head) come to the conclusion that internal candidate(s) are not qualified or are not clearly as well qualified as outside candidates, the proper procedure involves first notifying those internal candidates who are not qualified and then advising those possibly qualified candidates that they will be considered along with outside candidates and given priority when qualifications are deemed to be essentially equal.

The following occurrences are typical of problems which may develop with the above procedure:

- An internal candidate may apply late (after five working days), and after outside candidates have been contacted, in which case the Carleton employee will be given careful consideration but, unless obviously possessing the highest qualifications, will have to be considered along with outside candidates (this is the case even if the late application may not necessarily be the fault of the internal candidate).
- In the event of need for considerable speed in recruiting either in the interest of maintaining or supporting a major operational requirement or in any similar pressing situation, and it is uncertain that a qualified interested candidate will be available from within the College work force, classified ads may be placed which will actually appear

before the posting notice period has elapsed; however, in the event of response to the advertisements, outside applicants may be told that we will be able to discuss possibilities only after internal candidates, if any, are first considered.

#### Philosophy Relative to the Upward Mobility Program:

Guidelines will be followed within the allowances and constraints mentioned above. All of this must be accomplished with full allowance made for unprecedented or untimely developments such as unexpected business trips, vacation, sickness, operational emergencies, and so forth. The details of such developments are to be communicated to all parties involved. Normal practice will always be adhered to within the context of reality, reason, and the sometimes limited ability of the Director of Human Resources to anticipate unusual or difficult recruitment situations.

In summary, then, it should be understood that the underlying and motivating force behind the existence and continuation of the Upward Mobility Program has always been dual in nature. There are definite benefits to be gained by individuals within the community such as the opportunity for advancement, change, new direction, different interests, additional challenges, and so forth, and at the same time there is the advantage which the College accrues concurrently from increased career development and greater utilization of available skills and talent.

In the case of union employees, the Labor Agreement governs.

*April 15, 1983*

*Amended January 15, 1987*

*Revised November 2004*

*Revised October 2005*

## **Compensation Program**

#### Philosophy and Objectives:

The College policy on compensation has the goals of providing competitive compensation for services rendered and to attract and retain staff of the highest quality. The pricing policy is framed in terms of the relevant market within which the College is competing to insure staff of the highest quality within the limits of affordability. Carleton's compensation program has the following goals:

- To provide compensation that is externally competitive and internally equitable, consistent with the College's financial requirements.
- To give staff compensation high priority in the College's budget.
- To encourage staff to maximize their job performance.

#### Salary Recommendation Process:

Annual salary increases are based on the funds available in the budget, the combined judgment of each employee's supervisor, department head and division head and on a College-wide review. In a small department, the supervisor will also be the department head. The review process is to promote objectivity and equity and to ensure that salary budgets are not exceeded.

The College's annual budget typically allows for standard salary increases and some additional amounts to be used for staff that need a market adjustment or for limited merit increases. Each year supervisors are provided with guidelines for salary increases and with salary history information for each staff member. The guidelines establish a standard increase to be given for satisfactory performance. A supervisor's salary recommendation to the division head will be influenced by such factors as the guidelines mentioned above, an individual's performance, salary history progression and the performance and status of others in the department. On rare occasions, salary increases may be given for reasons other than standard or merit, and are subject to special review and approval.

Supervisors are responsible for reviewing an individual's performance as part of the salary recommendation. Typically, the most recent annual performance evaluation provides a basis for the review. The performance evaluation assesses a staff member's strengths and weaknesses and how well the job is being performed. When determining the merit portion of a salary recommendation, supervisors consider such factors as the individual's knowledge, judgment displayed, quality and quantity of work produced, imagination used in its production, use of cooperation and enthusiasm in providing services and special contributions.

Individuals with specific questions or problems are encouraged to talk directly with their supervisor.

October 1990

## **Drug-Free Workplace Policy**

### Introduction

Following is a description of the Carleton College policy required by the Drug-Free Workplace Act of 1988, which went into effect on March 19, 1989. The College's failure to comply with the provisions in the Act could result in the termination, suspension or debarment of Federal government funds or contracts including campus-based student aid funds to which the College may otherwise be entitled. It is important to note that not only are illegal drugs unlawful, but also that legal drugs can be manufactured, dispensed, etc. unlawfully.

### Policy Requirements

The College has the obligation to maintain a drug-free workplace to ensure that employees perform their jobs safely, efficiently and in a businesslike manner.

### Conditions

The unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance in the workplace by College employees is absolutely prohibited.

As a condition of employment, Carleton employees must abide by the terms of this policy and must notify the College if convicted under any criminal drug statute for a violation occurring in the workplace not later than five days after such conviction. The College in turn must notify the federal funding agency within ten days of receiving such a notice.

### Definitions

**Employees:** This prohibition covers all employees, including part-time and students. The Drug-Free Workplace Act of 1988 literally applies only to those employees directly engaged in performing work under the provisions of a government grant or contract; however, because it is difficult to segregate work performed under a grant or contract from other institutional work, the College has elected to include all employees under this policy as have most institutions.  
**Workplace:** The workplace is any site on or off campus where the work of the College is being performed.

**Controlled Substances:** Controlled substances are drugs whose distribution is controlled by regulation or statute--the worst street variety to mild prescriptions--including, but not limited to, narcotics, marijuana, hallucinogens, depressants and stimulants, but not alcohol or tobacco products.

### Consequence of Violations

Employees found in violation by the College of the prohibitions set forth under "Conditions" or employees who receive a criminal drug statute conviction for a violation occurring in the workplace will be subject to disciplinary action by the College, up to and including termination, or will be required to participate in a drug abuse assistance or rehabilitation program approved

for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency.

#### Drug-Free Awareness Program

Human Resources is responsible for a drug-free awareness program to inform employees about the dangers of drug abuse and the Drug-free Workplace Policy. Some drug counseling and drug rehabilitation programs are covered by the College's health insurance for participating employees, and all employees except students have access to Carleton's Employee Assistance Program.

#### Labor Agreement

The Drug-Free Workplace Policy is intended to be consistent with applicable collective bargaining agreements at the College. If differences arise, the Labor Agreement will take precedence.

*April 8, 1989*

## **College Policy on Unlawful Use of Drugs & Alcohol**

#### Introduction

The new Drug-Free Schools and Communities Act Amendments of 1989 (Public Law No. 101-226) requires colleges and universities to adopt a program to prevent the use of illicit drugs and the abuse of alcohol by students and employees. The College's failure to comply with the provisions in the Act would result in the immediate loss of our eligibility to receive all Federal funding and could require repayment, in full or in part, of any Federal financial assistance previously awarded.

All colleges and universities must give notice to each student and employee that unlawful use of drugs and alcohol is prohibited, describe applicable legal sanctions and health risks, list counseling programs available, and advise students and employees that violation of this policy could lead to penalties up to and including expulsion from the College, termination of employment, and/or referral to civil authorities for prosecution.

The College is committed to maintaining a campus and workplace environment where members may live, learn, and work free of the deteriorating effects of drug and alcohol abuse. To this end the College will expand its drug and alcohol abuse education and prevention programs.

#### Policy Requirements

The unlawful possession, use or distribution of illicit drugs and alcohol by faculty, staff or students on College property or as part of any of its activities is absolutely prohibited.

#### Legal Sanctions

More detailed descriptions of applicable local, state or federal laws for the unlawful possession or distribution of illicit drugs and alcohol are on reserve in the College Library. Some legal sanctions that could be imposed include:

Consumption of alcohol by a minor	up to a \$700 fine/up to 90 days in jail
Illegal sale of alcohol	up to a \$3,000 fine/up to 1 year in jail
Possession of a small amount of marijuana	up to a \$700 fine/up to 90 days in jail

Sale or possession of controlled substances, such as cocaine, hallucinogens, marijuana, etc.	up to a \$1,000,000 fine/up to 30 years in jail
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College Consequences

Any faculty, staff or student found in violation of this policy will be subject to disciplinary actions by the College up to and including expulsion from the College, termination of employment, and/or referral to civil authorities for criminal prosecution. The College may also require participation in an appropriate drug or alcohol assistance or rehabilitation program.

Risks to Life and Health

Abuse of drugs and alcohol leads to impaired behavior and judgment, a jeopardizing of relationships, and the likelihood of deteriorated work performance. Associated health risks include increased risk of accidental injury or death, depression, suicide, brain damage, heart and respiratory failure, liver damage, and sexually transmitted disease due to impaired sexual decisions.

Counseling, Treatment and Rehabilitation

Drug or alcohol counseling, treatment and rehabilitation/re-entry programs for faculty, staff and students are available from a variety of sources. Anyone who recognized a personal drug or alcohol problem, is concerned about another student or co-worker, or who may wish to know more about drug and alcohol abuse may contact:

## **Internal Sources:**

### Students

Dean of Students Office:	ext. 4248, 4075
Residential Life:	ext. 5465
The Wellness Center:	ext. 4080

### Faculty and Staff

Dean of the College:	ext. 4304
Human Resources:	ext. 5989
Employee Assistance Program	(800) 828-6025

## **External Sources:**

Alcoholics Anonymous:	(507) 645-6282
Fairview Ridges Hospital:	(612) 892-2510
Hazelden:	(612) 257-4010 or (800) 257-7800
Minneapolis Psychiatric Institute:	(612) 863-5327
Northfield Family Focus:	(507) 663-8882
WomanSafe Center:	(800) 607-2330

### Biennial Review

Human Resources, Dean of Students and the Dean of the College will conduct a biennial review of the College's Drug and Alcohol Abuse Prevention Program to determine its effectiveness, implement needed changes and insure consistent enforcement of disciplinary sanctions.

The Drug-Free Schools and Communities Act Policy is intended to be consistent with the faculty, staff and student handbooks and the College's Labor Agreement.

Revised January 2003

## **Parameters for Flextime (Flexible Working Hours)**

"Flextime schedule" means a work schedule which includes designated hours during which the employee may, with the approval of the supervisor and under work unit plans approved by the division head, elect an alternative time of arrival for and departure from work. It may also include required days or hours during which an employee subject to the work schedule must be present for work.

### Definitions

- Flextime: Full-time employees set their own hours within College and departmental parameters.
- Core time: Mandatory working hours for all full-time staff (except for those required to work different schedules).
- Flexbands: Periods during the workday during which staff may determine their own schedules subject to parameters and departmental needs.
- Available range of working hours each day.
- Summer: Reunion Weekend to Labor Day.

### General Parameters:

The College is considered open during the

- Academic year 8:00 to 5:00 p.m.
- Summer 8:00 to 4:30 p.m.

#### Full time staff work schedules

- 40 hours per week; 8 hours per day.

#### Eligibility

- All administrative and academic offices.
- Non-exempt (hourly staff).

#### Control

- Department heads with approval of division head when flextime may affect interdepartmental work flow problems.
- Departmental "timekeepers" to double check time sheets before submission to Human Resources.

#### Specific Parameters

##### Flextime Schedule

- Core time:                   8:30 to 12:00 a.m.                   3 1/2 hours  
                                  1:30 to 4:00 p.m.                   2 1/2 hours  
                                  6 hrs out of 8 official office hrs.
- Flexbands:                7:00 to 8:30 a.m. (early flex)       1 1/2 hours  
                                  12:00 to 1:30 p.m. (joggers flex)   1 1/2 hours  
                                  4:00 to 6:00 p.m. (late flex)       2 hours
- Bandwidth:               7:00 a.m. to 6:00 p.m.               11 hours

#### Staff Schedules

- Determined at departmental level.
- Changeable each academic term, winter and summer breaks or when departmental circumstances warrant.

*Revised September 1997*

## **Smoking Policy**

Carleton College recognizes that using tobacco products is harmful to the health of tobacco users and that exposure to second-hand smoke poses a health risk to non-smokers. The College complies with all applicable state and federal regulations pertaining to smoking.

The College acknowledges that smoking is a personal choice and that some students, faculty and staff choose to smoke. Consequently, where possible the College will provide separate accommodations for smokers and make reasonable efforts to ventilate those areas. Such accommodations may not compromise smoke-free areas or in any way abrogate the rights of community members to live and work in a smoke-free environment. The College is committed to providing educational programs to assist its students and employees in making healthy lifestyle choices.

#### Public Spaces and Private Offices

Smoking is prohibited in all indoor public spaces, including but not limited to: all classrooms, lounges, bathrooms, vending areas, hallways, indoor athletic facilities, dining halls and social spaces such as Sayles-Hill "Great Space" and The Cave. Smoking is also prohibited in private offices. Smoking is allowed only in designated smoking areas.

#### College Housing

- Smoking is allowed in students' rooms when consent (written, if necessary) is given by each roommate. Roommates maintain their rights at all times to withdraw permission to smoke in the room.

- If smoking in a private room becomes problematic for neighbors on the floor or in other areas, smoking privileges may be revoked if no reasonable compromise can be reached in consultation with RAs and/or other members of the Residential Life staff.
- Smoking is prohibited in all common areas in each residential building except for designated smoking areas. Such areas must be enclosed and separate from smoke-free areas, and no common space may be designated as smoking area unless there is a comparable non-smoking area for that specific use (e.g., game room, TV area, study space).
- Smoke-free floors in residence halls will be designated in proportion to the demand for smoke-free environments. Each residence hall will have at least one such floor, preferably the first floor or the one that is a pass through area. The Room Draw Advisory Committee, in conjunction with the Office of Residential Life, is responsible for determining the demand for smoke-free living and making annual designations prior to room draw. The Office of Residential Life reserves the right to make adjustments during and after room draw to accommodate the demand for smoke-free floors.
- Smoking in small theme houses and friendship houses is subject to the above policy. However, small house groups may determine whether a house or specific areas within the house are smoke-free or allow smoking. Failing consensus to allow smoking, all house common areas remain smoke free.
- [To view the Smoking Policy, click here.](#)

*Revised September 2002*

## **College Policy for Animal(s) on Campus**

### Animals in Buildings

No animals are allowed in any Carleton College buildings including academic, administrative, and residential buildings that the College owns with the exception of research animals used in the work of college departments. Faculty, staff, or students may not pet-sit, or invite, an animal into college housing. The following are exempt from this policy because of their required long-term residential nature: Nutting House, Headley House, Headley Cottage, and Hilton House and all Hall Director Apartments, currently located in Severance, Burton, Musser, Nourse, Watson, Evans, Myers, Parish, and Goodhue.

### Animals on the Grounds

Animals must be leashed and under the direct control of their owner. Animals running freely will be reported to the City of Northfield Animal Control Officer for pickup as provided for in the City Code.

Animals that are tied up and unattended are not under the direct control of their owner and will be reported to the City of Northfield Animal Control Officer for pickup as provided for in the City Code.

Animals that are left in their owner's vehicle will be reported to the City of Northfield Animal Control Officer for pickup as provided for in the City Code if they appear to be under duress from heat, inadequate ventilation, or severe cold.

All animal feces must be picked up and properly disposed of by the associated owner.

### Service Animals

Service animals are legally defined (Americans With Disabilities Act) and are trained to meet disability-related needs of their handlers. Federal laws protect the rights of individuals with disabilities to be accompanied by their service animals in public places.

## Public Safety

Persons who wish to report violations of this policy may call Carleton College Security at x4444.  
*July 1, 2004*

## **Statement on Discrimination & Academic Freedom**

The following is a statement of policy as well as a statement of values. It is intended to help sustain a civil atmosphere of unfettered intellectual freedom at the College and to discourage discriminatory speech and actions by its members.

As an institution dedicated to learning and teaching, Carleton College is committed to the principle of free expression and exploration of ideas in an atmosphere of civility and mutual respect. The College, therefore, also embraces the related principle that all members of its community shall have access to its educational facilities, activities, and employment without regard to race, color, creed, religion, sex, national origin, marital status, veteran status, actual or perceived sexual orientation, gender identity and expression, status with regard to public assistance, age, or disability. These principles guide the College's relationships with individuals and should guide the interactions of all members of the community.

A possible breach of the foregoing principles may be brought to the attention of the appropriate College officer: the Vice President and Treasurer, Dean of the College or Dean of Students, if the party responsible is, respectively, a staff member, faculty member, or student.

While the nature of an academic community is to provide a milieu for the expression, criticism and discussion (and for the tolerance) of the widest range of opinions, it does not provide a license for bigotry in the form of demeaning, discriminatory speech or actions or harassment. Thus, the presentation of a reasoned or evidenced claim about a societal group that offends members of that group is to be distinguished from a gratuitous denigrating claim about, or addressed to, an individual or group such as those enumerated above. The former is bona fide academic behavior while the latter may demean, degrade or victimize in a discriminatory manner and, if so, undermines the above principles.

Discriminatory speech and actions are especially abhorrent when they are made anonymously, for anonymity precludes the possibility of an exchange and exploration of ideas; moreover, such an anonymous message – by the very nature of its delivery – is a threat to the recipient. Discrimination by one person against another is also particularly abhorrent when the first person is in a position of power with respect to the second, whether in the academic, administrative, political, or social hierarchy on the campus.

Although this policy attempts to eliminate certain behavior and actions on the campus, Carleton cannot guarantee that the environment will always be comfortable for all the members of the community. Often, the educational process is disturbing and unsettling; when one's ideas are under attack and one's values are being challenged, the effect may be simultaneously painful and highly educational. Thus, behavior that is disturbing or unsettling to an individual or group is not necessarily discriminatory. In this regard, it is imperative that faculty and students be able to take controversial positions without fear, in accordance with the principle of academic freedom.

Students, faculty and staff of Carleton College are asked to support this anti-discrimination policy through participation in discussions about it. The College will facilitate this by providing educational opportunities and forums for such discussion to take place and by making it possible for students, faculty, and staff to attend them. The policy will be distributed to all students, faculty and staff members each year. The College will actively encourage the discussion of issues raised by the policy in appropriate classes, meetings, symposia and college publications.

*Adopted by the Board of Trustees June 21, 1990, upon recommendation of the College Council.  
Reprinted August 2002.*

## **Copyright Policy**

### I. Overview

It is the goal of Carleton College to “liberate individuals from the constraints imposed by ignorance or complacency and prepare them broadly to lead rewarding, creative, and useful lives.” (Academic Catalog, Purpose of the College). To achieve this goal, the free and open exchange of ideas is vital. In this spirit, the College’s copyright policy is intended to encourage all members of the Carleton community to publish their papers, books, and other works in order to share their knowledge openly with colleagues and the public. The College adheres to the long-standing academic tradition that creators of works own the copyrights in works resulting from their scholarly, pedagogical, and creative activities. This principle is the foundation for the College’s policies on copyright ownership.

This principle also underlies the College’s commitment to fostering an environment of respect for and responsible use of the intellectual property of others. The College is committed to helping members of the Carleton community comply with copyright laws by providing resources to help individuals make informed, careful, and situation-sensitive decisions about the lawful and fair use of work created by others.

### II. Application

This policy applies to all faculty (including those on temporary appointments), staff, and students.

### III. Copyright Ownership

#### **A. Creator Owns the Copyright**

Individuals engaged in scholarly, pedagogical or creative efforts produce a great variety of copyrightable materials they may want to protect from unauthorized use. These include, for example, books, articles, monographs, bibliographies, lecture notes and handouts, musical compositions and recordings, artwork, photographs, films, audio visual works, and computer programs.

When a member of the faculty or staff or a student authors a copyrightable work, that individual will own the copyright in the work (and may voluntarily cede it to a publisher or distributor), unless the circumstances of IIIB, IIIC or IIID apply. Even though the College may provide some support in the way of facilities, materials, equipment, or personnel, individual ownership of the copyright in such works is appropriate.

It is understood, however, that the individual will allow the College to use without charge any copyrighted work that originally was designed for the express purpose of making such work available to individuals other than, or in addition to the creator for use in teaching, administration, or other College activities. Examples of such work include a computer program designed to improve an office procedure and developed by a faculty or staff member (not under the circumstances of IIIB, IIIC or IIID), or curricular materials created by a faculty member (not under the circumstances of IIIB, IIIC or IIID) to use in sections of a course that is taught by

several department faculty. Such materials will be available to the College free of charge, even if the individual who wrote the program or curricular materials has left the College.

## **B. Rights Are Determined by Contract**

1. Ownership of the copyrights in works created in the course of projects or programs funded by an external agency, for example, under a grant or similar arrangement, will be determined in accordance with the terms of agreement with the external party and applicable law. An agreement regarding copyright ownership must be signed by the College, the external agency, and the appropriate individuals before acceptance of outside funding.

2. Generally, students own the copyright in the works they create, including their contributions to collaborative projects, unless the circumstances of IIC or IID apply or the student has signed a written agreement regarding copyright. Accordingly, faculty and staff are strongly encouraged to obtain a written agreement from each student before involving students in scholarly research or other projects that may result in works the faculty or staff would want to use or publish. In addition, if there is any question whether IIC or IID will apply to works created by a student, a written agreement should be signed before the student begins work.

3. Faculty, staff and students are encouraged to engage in collaborative research and other collaborative projects. Because of the misunderstandings that may result when different individuals own rights in the results of a collaborative effort, a written agreement regarding copyright should be signed before beginning work.

## **C. College Owns the Copyright in Directed and Commissioned Works.**

The College will retain ownership of the copyright in works that are specifically directed or commissioned by the College or produced by an individual (or group of individuals) as a specific job requirement. Examples of works in this category are articles for the alumni magazine or other College publications written by Publications Office personnel; computer software developed by technical staff; and the output of a faculty member on special assignment to write a history of the College while receiving full salary.

This category does not include materials created by faculty in connection with their teaching, research, or other scholarly activities, even though faculty are expected to teach and engage in scholarly activities as part of their job, unless the works are specifically directed or commissioned by the College, as in the example of a faculty member on special assignment to write a history of the College while receiving a full salary. This category also does not include materials created by the staff outside the scope of their employment.

On occasion, the College may grant its copyright to one or more individuals or may agree to joint ownership of the copyright. If an individual wishes to own the copyright in a work that falls into this category, he or she should raise the issue in writing before undertaking the work. The arrangement on which the individual and the College agree must be documented in writing. If no such writing exists, the general rule of this section IIC will be deemed to apply.

## **D. College Owns Copyright in Administrative Works**

The College will retain ownership of the copyright in works created in the course of an administrative assignment of the College, such as, internal policies and procedures, internal studies and plans, or a report for a university committee.

On occasion, the College may grant its copyright in an administrative work to one or more individuals or may agree to joint ownership of the copyright. If an individual wishes to own the copyright in a work that falls into this category, he or she should raise the issue in writing before undertaking the work. The arrangement on which the individual and the College agree must be documented in writing. If no such writing exists, the general rule of this section IIID will be deemed to apply.

#### IV. Distribution of Income from Royalties

##### **A. Copyright Belongs to an Individual or Group of Individuals**

If one or more individuals own the copyright, those individuals are entitled to 100% of the royalties, unless IIIB, IIIC or IIID applies. If the copyright is owned jointly by one or more individuals, a written agreement on division of royalties should be signed.

##### **B. Copyright Belongs to the College or to the College and Others, Jointly**

If the College owns the copyright, all royalties will be paid to the College, unless a special agreement to the contrary has been made in advance. If the copyright is owned jointly by the College and one or more individuals, a written agreement on division of royalties should be signed. If no written agreement is signed, all royalties will be divided equally among the copyright owners.

##### **C. Work Resulting From Outside Funding**

If the work will result from a project funded by an outside agency, an agreement on division of royalties must be signed before acceptance of outside funding.

#### V. Further Assurances

The College, the faculty, the staff, and students will execute such written instruments or agreements as may be required to give effect to this policy.

#### VI. Use and “Fair Use” of Copyrighted Works

##### **A. Compliance with Copyright Laws**

Carleton College expects all faculty, staff and students to make a reasonable effort in good faith to comply with copyright laws in their use of copyrighted materials.

##### **B. Fair Use of Copyrighted Works**

The College encourages its faculty, staff and students to take full advantage of the “fair use” exception to the exclusive rights of copyright owners. The College requires, however, that before relying on the fair use exception, faculty, staff, and students will educate themselves regarding

the limits of fair use and will, in each instance, perform a careful, good faith fair use analysis based on the four factors identified in Section 107 of the federal Copyright Act. Faculty, staff and students are strongly encouraged to document their fair use analyses as a defense against claims of copyright infringement.

### **C. Assistance with Copyright Compliance**

Because of the complexity of copyright law and, in particular, the fair use exception, the College will provide resources to educate faculty, staff and students and help them make informed, careful and situation-sensitive decisions about the lawful and fair use of works created by others.

### **D. Violation of Copyright Laws**

Upon obtaining knowledge that material residing on College systems or networks is infringing or that College systems or networks are being used for infringing activities (or upon becoming aware of circumstances from which infringing activity is apparent), the College will act expeditiously to remove or disable access to the infringing materials and may deny the individuals responsible further access to College systems or networks. In addition, members of faculty or staff or students or other persons employed by the College who willfully disregard or violate copyright law may be subject to disciplinary action by the College in accordance with applicable disciplinary policies and procedures.

## VII. Administration of Copyright Policy

### **A. Copyright Ownership and Distribution of Royalties.**

The Vice President and Treasurer will adopt policies and procedures to implement Sections III, IV, and V of this policy. The Dean of the College will adjudicate in the case of disputes regarding copyright ownership and royalties.

### **B. Use and “Fair Use” of Copyrighted Works**

The Dean of the College will adopt policies and procedures to implement Section VI of this policy.

### **C. Amendment**

The College may amend this policy from time to time as it deems necessary or desirable, subject to applicable statutory and contractual restraints.

*Adopted by the Board of Trustees on October 21, 2006.*

## **HIV Infection Policy**

### **Policy Statement**

It is the policy of Carleton College, to the extent of its control and ability, to facilitate the prevention of HIV infection and the mitigation of its consequences to both infected and non-infected persons.

The College also recognizes that persons with HIV infection are often further afflicted with a public ignorance, fear, and stigma that does not attend to other, more contagious, diseases. Therefore, the College:

- does not require HIV testing as a condition of admission or employment,
- does not restrict the activities of those known to have HIV infection,
- does not tolerate discrimination against or harassment of those with HIV infection,
- considers those with HIV infection as included under the College's general policies with respect to disability,
- treats knowledge of HIV infection cases on campus with confidentiality.

This policy applies to all those employed by or enrolled in the College and is subject to laws in effect from time to time.

## **Response and Procedures**

### Prevention

Faculty, staff, and students share the responsibility to prevent the spread of HIV infection. The primary response to HIV infection must be education. This includes both those with the disease and those not afflicted with the disease. Education about HIV infection is not only central to prevention but also to creating a proper campus atmosphere free from discrimination and unwarranted fear. Human Resources, Health Service, the Office of the Dean of students, and the Office of the Chaplain will assist in providing information regarding HIV infection to all members of the community and developing a plan for general education, identification of risk, and intervention. The Director of Wellness Center has a particular opportunity to counsel and inform the College community on how to minimize the risk of spreading infection.

Current medical experience indicates that students and employees in the normal academic setting of classrooms, residence halls, student unions, gymnasiums, swimming pools and other recreational facilities, and other common areas, do not face a significant risk from those with HIV infection. Therefore, the College will not restrict the normal activities of those with HIV infection. If in the judgment of the Director of Wellness Center, however, a person with HIV infection is engaged in an activity that poses a significant risk to either the infected person or another member of the community, the Director will take appropriate action. If the College becomes aware of activity that poses a significant risk of exposure, the College also reserves the right, following appropriate medical consultation, to take whatever actions are, in its judgment, necessary or appropriate to protect either the infected person or another member of the community from exposure to infection. Both the College and the Director will act in accordance with current legal, ethical principles and medical statements.

It is the responsibility of departmental managers, coaches, and laboratory supervisors, first, to ensure that employees or students engaged in activities under their supervision that might render people susceptible to the transmission of HIV have access to information concerning the nature of HIV transmission and how it relates to their specific jobs or activities and, second, to monitor their employees and students concerning use of any proper, established procedures for those jobs or activities.

### Support Services

The College has support services through which concerned persons can receive counseling, assistance in locating and using social services, and referrals for further assistance, such as

Wellness Center, Counseling Services, the Employee Assistance Program, Office of the Chaplain, etc.

#### Discrimination

HIV infection is considered a disability under federal civil rights laws. This includes protection from harassment and provision of reasonable accommodation for education and employment. Refer to either the Student, Faculty, or Staff Handbook for the Statement of nondiscrimination and the Statement on Discrimination and Academic Freedom.

#### Confidentiality

All information regarding HIV infection of students or employees will be considered confidential. Except as required by law, necessary to administer College benefit programs, or otherwise fulfill the legitimate obligations of the College, this information will be given out only to parties authorized by the specific, written permission of the HIV-infected employee or student. The duty of physicians and other health care providers to maintain the confidentiality of information may be superseded by their legal requirement to others in certain specific circumstances.

*Adopted by the Board of Trustees on April 18, 1991*

## **Statement on Diversity and Cultural Pluralism**

The following is a statement of values and principles that set forth Carleton's commitments to diversity in its educational goals, admission and hiring policies, curricular offerings and climate for learning, working, and discourse on campus. It is not a plan; the actions are to ensure adherence to these values and principles with those from offices, departments, and individuals throughout the College, including students, faculty, and staff.

#### The Purpose of a Liberal Arts Education

As stated in the Catalogue, "Carleton's goal is to liberate individuals from the constraints imposed by ignorance and complacency and equip them broadly to lead rewarding, creative, and useful lives. A liberal education teaches the basic skills upon which all higher achievements rest [and] draws upon these skills to foster a critical appreciation of our intellectual, aesthetic, and moral heritage [to] prepare one to lead a fully realized life in a diverse and changing world, to live fruitfully in society and contribute to its work."

#### The Context

Carleton graduates enter a diverse and dynamic world, and a Carleton education should equip individuals to live productively and creatively in such a world. Carleton exists in a nation that is exceptionally heterogeneous in its ethnic, religious, economic, and geographic characteristics, a nation with diversity in the race, gender, home language, social class, and sexual orientation of individual citizens. Carleton has for generations helped educate women and men who have taken positions of leadership and responsibility in communities and institutions large and small. As a national institution, it has a responsibility to provide a liberal education for a diverse world to individuals from the many backgrounds present in the United States.

#### Learning From Others

Understanding of, and appropriate respect for, other cultures and viewpoints are intrinsically important for liberal learning, since they expand one's sense of possibilities and realities. In addition, learning about cultures, religions, philosophies, or aesthetics that are fundamentally different from one's own often leads to greater insights into a person's own beliefs and culture. Such learning is often uncomfortable, but it can be a most effective form of education. And, such learning comes not only from books, other media, or formal education in the classroom but also from direct communication among those of differing backgrounds and viewpoints. Thus, a diverse student body, faculty, and staff, participating in a learning community of civil and open

discourse, and enriched by a wide array of offerings in music, the arts, literature, theater, lectures, and debates, provide the most productive environment for genuine liberal learning for every student. Carleton recognizes and affirms the desirability for individuals to have the support of others who share their backgrounds or values as well as the concomitant necessity for each person to take the risks, and accept the challenges, inherent in engaging in genuinely open conversation with others.

### Admissions and Retention

To ensure a lively community of learners, student recruitment attempts to reflect the diversity of the academically talented college-bound population of U.S. citizens, particularly with respect to ethnic, religious, cultural, economic, gender, and geographic distribution. Extra efforts are made with respect to individuals from groups historically underrepresented in higher education. Since all students applying to Carleton must be judged by how much they might benefit from a Carleton education and how they could contribute to the life of the College, admissions efforts are focused on attracting talented students into the applicant pool, encouraging those who are admitted to matriculate at Carleton, and ensuring that each admitted student receives the financial resources to attend. Carleton is committed to providing the academic and other services necessary to retain and support all students and to encourage and facilitate the completion of their education. Talented international students are actively sought and encouraged to attend.

### Faculty and Staff

A high-quality faculty and staff that reflect a wide diversity of viewpoints and backgrounds is an essential component of a lively educational environment. Carleton takes this seriously. Recruitment efforts are made to expand the pool of applicants for every position at every level so that applicants include talented individuals from diverse backgrounds. For recruitment done at the national level, Carleton's objective in hiring the highest quality faculty and staff is to reflect the diversity of backgrounds available in a nationwide pool of talent, especially from groups historically underrepresented in higher education. In addition to recruitment, Carleton is committed to the idea that each member of the faculty or staff should continue to develop her or his own talents. The College's efforts at recruitment must be accompanied by appropriate measures to assist with the continued professional growth and the retention of a heterogeneous group of talented individuals.

### Curriculum

Educational policy and curriculum—the framework in which learning takes place—traditionally are matters determined by the faculty. The Statement on Multicultural Education Goals developed by the Education and Curriculum Committee and adopted by the faculty in 1994 provides an important set of principles. Human knowledge is so vast that only portions of its substance can be available in any college curriculum, particularly within the realities of resource constraints. At Carleton, the diversity of national and international history, culture, religion, language, and arts within the curriculum has increased constantly over the past three decades, often as part of the substantial expansion of interdisciplinary teaching and scholarship. This increased richness has always been achieved within the context of a departmental or disciplinary basis for organizing faculty appointments, and continues to be accomplished with Carleton's traditional commitment to rigorous standards of inquiry, evidence, and debate. Carleton will continue to enrich the curriculum through the addition of new areas of inquiry and new cross-disciplinary studies both by extension of faculty development efforts and in the definition of new appointments to the faculty. Acknowledging the potential benefits from examining a culture both from within the experience of that culture and from other perspectives, Carleton recognizes that courses or topics on a particular culture may benefit from teachers both within and outside that tradition.

### Climate of Civility

A climate that encourages productive work and opportunities for learning requires that individuals be free to express their views, to engage in debate, and to challenge others, and that

they accept the responsibility to be challenged themselves. An open and trusting community requires that, in addition to respecting one's self, each person must give other individuals respect as well. Interest in differences and questioning of alternative points of view are essential elements of a liberal education. Therefore, the climate for discussion, for teaching, for learning, and for scholarship must be open and tolerant. As outlined in the College's Statement on Discrimination and Academic Freedom, views should be freely discussed. All discourse, as well as treatment of individuals in offices, classrooms, residences, or any other setting should be respectful of the individual, whether or not there is disagreement over matters of substance, taste, politics, or evidence. Creating and sustaining such a climate of civility in an institution of voluntary membership such as Carleton is the responsibility of each individual by virtue of that membership in the campus community.

As required by state and federal law, Carleton College does not discriminate on the basis of race, color, creed, religion, sex, national origin, marital status, sexual orientation, status with regard to public assistance, age, or disability in providing employment or in its educational programs and activities.

*September 1996*

## **Domestic Partners and Carleton's Benefit Structure**

Domestic partner is to be understood to refer to an unrelated partner of either gender whose emotional and financial relationship to the employee is nearly equivalent to that of a spouse.

If an employee's domestic partnership is terminated, please view information on [Qualifying Events and notification processes](#).

### Health Insurance

Our health insurance carrier allows for same sex or opposite sex domestic partners to be included in the College's group health insurance plan. Our dental carrier allows for same sex domestic partners to be covered under the College's group dental plan. Please view the information on the [tax-related issues for domestic partners coverage](#).

The College reserves the right to review and change the prevailing employee and employer contribution patterns.

### Life Insurance

The covered employee has complete discretion in determining the beneficiaries to receive the death benefits and may designate the domestic partner as beneficiary.

### Long-Term Disability Insurance

Long-term disability insurance is paid directly to the employee, so a change to include a domestic partner as a spousal equivalent will have no impact on this benefit.

### Retirement Benefits

The employee has the right to designate anyone, including a domestic partner, as beneficiary of the death benefits.

A retired employee electing a joint survivor annuity option may designate anyone, including a domestic partner, as a joint survivor (second annuitant) to receive full, two-thirds, or half the income benefit.

This plan is subject to the Employment Retirement Income Security Act of 1974 (ERISA). This means that employees who are legally married (or were previously married), are currently

separated, and are living in a domestic partner relationship, are or may be subject to ERISA's spousal rights provisions, which state that an employee or retiree may not elect a beneficiary or option that excludes a legal spouse unless that spouse has signed a consent waiving their rights to one-half the plan benefits.

#### Working Condition Benefits

Benefits such as funeral pay, family medical emergency leave, use of sick leave accumulations, the employee assistance program, bookstore purchases, the use of College facilities and attendance at College events are extended to the domestic partner, as the domestic partner is considered to be part of the "immediate family."

Inclusion of the domestic partner in the definition of "immediate family" does not extend to children of the domestic partner, whether by previous marriage or adoption, unless these children are also the legal dependents of the employee.

Benefits requiring a legal dependent status (i.e., dependent education tuition benefit programs) will remain largely untouched by this change in policy.

*Revised February 2009*

## Longevity Bonus

Since 1976 the College has awarded annual longevity bonuses to eligible non-exempt, non-union staff members. All full-time and regular, benefit-eligible part-time (20 hours per week or more) non-exempt, non-union staff members become eligible after the completion of five years of continuous service. The credit for previous service is accrued after completing three continuous years of service in the employee's current employment period.

Bonus amounts are calculated on hours worked and accrued through the most recent July 1, and are listed as "long pay" in the last non-exempt pay period for the month in which the anniversary date occurs. All bonus amounts are subject to income tax and will be deposited into the same bank account as your regular payroll.

### **Bonus amounts:**

Bonus amounts are based on length of continuous service attained using years in which the greatest number of hours (best years) are worked according to the following table:

<b><u>Completion of Continuous Service to Anniversary Date</u></b>	<b><u>Bonus Amount</u></b>	<b><u>Pro-rated Adjustments</u></b>
After 5 years but less than 10	\$ 100.00	5 best years
After 10 years but less than 15	\$ 200.00	10 best years
After 15 years but less than 20	\$ 400.00	15 best years
After 20 years	\$ 600.00	20 best years

Employees who work 2,080 hours per year receive full bonus amounts. Those who worked fewer than 2,080 hours in any given year used for the bonus calculation will receive pro-rated amounts.

Longevity bonuses do not apply to those employees who change status from non-exempt, non-union to any other employee classification or designation.

## Military Leave Policy

### **Who may a Military Family Medical Leave be applied for:**

- The parent, spouse, son, or daughter of a service member in the Regular Armed Forces, National Guard, or a Reserve component of the Armed Forces, or of an Armed Forces retiree, who is on active duty (or has been notified of an impending call or order to active duty) in a foreign country;
- or**
- The spouse, son, daughter, parent, or next of kin of a covered service member undergoing medical treatment, recuperation, or therapy, who is otherwise in outpatient status, or is otherwise on the temporary disability retired list, for a serious injury or illness.

### **Reasons for MFMLA Leave**

Eligible employees can take an intermittent or full time leave for any of the following reasons:

- Up to 12 workweeks of unpaid, job-protected leave in a 12-month period because of a qualifying exigency arising out of the fact that a son, daughter, spouse, or parent of the employee is on active duty (or has been notified of an impending call or order to active duty) in the Armed Forces in a foreign country. Qualifying exigencies include: military events and related activities, childcare and related activities, financial or legal arrangements, counseling, rest and recuperation, post-deployment activities.
- Up to 26 workweeks of leave for eligible employees within a single 12-month period to care for a covered service member with a serious illness or injury if the employee is the spouse, son, daughter, parent, or next of kin (nearest blood relative) of the covered service member.

### **Who is the Covered Service Member?**

A covered service member is one who is:

- 1) undergoing medical treatment, recuperation, or therapy, who is otherwise in outpatient status, or is otherwise on the temporary disability retired list, for a serious injury or illness; or
- 2) a veteran who is undergoing medical treatment, recuperation, or therapy for a serious injury or illness and who was a member of the Armed Forces (including a member of the National Guard of Reserves) at any time during the 5 years preceding the date on which the veteran undergoes that medical treatment, recuperation, or therapy.

The serious injury or illness is covered if it was incurred while in the line of duty (or the service member had a pre-existing condition that was aggravated while in the line of duty) and renders the service member medically unfit to perform his/her military duties. The College will rely on authorized health care providers or designated officials in the Department of Defense to determine whether the service member is deemed a covered service member.

### **Notice of MFMLA Leave**

When the need for military caregiver leave or because of a qualifying exigency related to a family member's active duty is "foreseeable," the employee should provide notice as soon as is practicable, regardless of how far in advance such leave is foreseeable. When an employee becomes aware of a need for FMLA leave less than 30 days in advance, it should be practicable for the employee to provide notice of the need for leave either the same day or the next business day. A Request for Military Leave Form is available in Human Resources

### **MFMLA Eligibility Notice/Rights and Responsibilities**

Employees will receive from Human Resources the same Eligibility Notice and Notice of Rights and Responsibilities when requesting military FMLA leave as under other FMLA. Human Resources will provide employees who request military FMLA leave with the appropriate certification form for Qualifying Exigency Leave or Military Caregiver Leave at this time.

### **Certification for Leave Taken Because of Qualifying Exigency**

The first time an employee requests leave because of a qualifying exigency, the employee must provide a copy of the covered military member's active duty orders or other documentation issued by the military. The documentation must indicate that the covered military service member is on active duty or called to active duty status in a foreign country and the dates of active duty service. The employee shall need to supply such documentation again only if requesting leave for a different active duty or call to active duty status of the same or a different covered military member. A Certification for Qualifying Exigency Leave Form is available from Human Resources; it includes a list of approved qualifying exigencies. A completed certification form is required in order for the employee to be granted this Leave. The College also may contact an appropriate unit of the Department of Defense to request verification that a covered military service member is on active duty or called to active duty status.

### **Certification for Military Caregiver Leave**

When an employee takes leave to care for a covered service member with a serious injury or illness, the College will require the employee to obtain a certification completed by an authorized health care provider of the covered service member. A Certification for Military Caregiver Leave Form is available from Human Resources. Except as listed below, a completed form is required in order for the employee to be granted this Leave. The College may require confirmation of the employee's relationship with the covered service member at any time in this process. In lieu of any certification, the College will accept Invitational Travel Orders (ITOs) or Invitational Travel Authorizations (ITAs) issued to any family member to join an injured or ill service member at his or her bedside, regardless of whether the employee is named in the order or authorization. An ITO or ITA is sufficient certification for the duration of time specified in the ITO or ITA. During that time period, an eligible employee may take leave to care for the covered service member in a continuous block of time or on an intermittent basis. The College may seek authentication and clarification of the ITO or ITA but will not seek a second or third opinion or a

re-certification during the period of time in which the employee's leave is supported by an ITO or ITA. If an employee will need leave to care for a covered service member beyond the expiration date specified in an ITO or ITA, the College will request that the employee have an authorized health care provider complete a certification form for the additional time. Timeliness designated under the FMLA policy will apply for return of such certifications. In all instances in which certification is requested, it is the employee's responsibility to provide the College with complete and sufficient certification, and failure to do so may result in the delay or denial of FMLA leave. The College may seek authentication and/or clarification of the Certification Form but will not seek second and third opinions or re-certifications for MFMLA leave.

### **Duration of MFMLA**

Eligible employees using qualifying exigency leave will be entitled to a cumulative total of 12 workweeks of FMLA leave within a 12-month leave period and are covered by the same policy provisions (as to duration, benefits, return to work, etc.) as employees requesting FMLA leave, as detailed above. Employees using military caregiver leave alone or military caregiver leave in combination with other FMLA – qualifying leave or qualifying exigency leave may take up to 26 workweeks of leave during any single 12-month period. The amount of a regular FMLA and/or qualifying exigency leave combined is limited to a total of 12 workweeks; the difference may be taken as military caregiver leave. The 26 workweeks of military caregiver leave run on a separate FMLA year that commences with the first day leave is taken and can run forward until the end of that 12 month period. Any combination of FMLA leave may not exceed the maximum limit of 26 workweeks in that single 12-month period. Unused military caregiver leave is forfeited at the end of that 12-month period. With regard to military caregiver leave, if both husband and wife work for the College, the husband and wife's leave is limited to a combined total of 26 workweeks for military caregiver leave alone. The same 26-workweek limitation applies when in combination with any other 12-workweek FMLA leave, with the exception of caring for a seriously ill child, which expands the regular FMLA entitlement of 12 workweeks to 24 for the mother and father combine. (Generally, family members would be limited to 12 workweeks for care due to birth, adoption, or placement of a child or the care of a qualifying relative during the 12-month period.) In certain cases, leave may be taken on an intermittent basis or the employee may work a reduced schedule. Intermittent leave must be necessary and should be scheduled to avoid disruption insofar as is reasonable.

*August 2010*

## **Uniform Services Employment and Reemployment Rights Act**

Under the [Uniformed Services Employment and Reemployment Rights Act](#) (USERRA), our College is required to grant an unpaid military leave of absence to any employee who requests such leave in order to perform service in the uniformed services. It is the policy of our College to comply with USERRA and all other state, federal, and local laws. In case of any conflicts between this policy and federal, state, or local laws, such applicable laws shall control, subject to conflict of laws principles.

The uniformed services are the Army, Navy, Marine Corps, Air Force, Coast Guard, and the commissioned corps of the Public Health Service. This includes the Reserve components of these services and the Army National Guard and Air National Guard. Under another Federal law, enacted in 2002, Congress has extended reemployment rights under USERRA to persons who serve as Intermittent Disaster Response Appointees (IDRAs). IDRAs are temporary, intermittent employees of the U.S. Department of Health and Human Services. They respond, often on very short notice, to emergencies involving infectious diseases or weapons of mass destruction, and they also engage in training for such dire contingencies. They are protected by USERRA both for actual emergencies and for training.

USERRA broadly defines the term "service in the uniformed services," as follows: The term "service in the uniformed services" means the performance of duty *on a voluntary or involuntary*

*basis* in a uniformed service under competent authority and includes active duty, active duty for training, initial active duty for training, inactive duty training, full-time National Guard duty, a period for which a person is absent from a position of employment for the purpose of an examination to determine the fitness of the person to perform any such duty, and a period for which a person is absent from a position of employment for the purpose of performing funeral honors duty as authorized by section 12503 of title 10 or section 115 of title 32. 38 U.S.C. 4303(13) (emphasis supplied).

Some of our employees will perform inactive duty training in the National Guard or Reserve. Such inactive duty training is normally but not always performed on weekends. Those National Guard and Reserve members will also perform annual training and/or specialized training in their Reserve components. National Guard and Reserve service is no longer limited to “one weekend per month and two weeks per year.” Many National Guard and Reserve members now perform training that is much more frequent and lengthy.

### **Pay and Use of Accruals**

The College is not required to pay an employee who is away from work performing service in the uniformed services. Our College has added a benefit called “Transition Pay”. If an employee is called to full-time active duty in excess of 180 days, the employee will receive 4 weeks, or one month if salaried, pay at straight time. The amount is prorated is part-time status. Transition pay is awarded to help the employee and their family with expenses associated with the change from employment to active service. An employee is entitled (not required) to use and be paid for any vacation that the employee has accrued and not used prior to the period of service. We are not required to advance vacation days to an employee under these circumstances, but the employee is entitled to use any vacation days that he or she has already accrued. It would be unlawful for the College to require the employee to use accrued vacation days in this way. An exception relates to managerial and executive employees who are *exempt from overtime rules* under the Fair Labor Standards Act (FLSA). These employees work on a salaried rather than an hourly rate. If such an employee works *part of the week* here at the College but misses another part of the week while performing uniformed service, we are not permitted to dock the employee for the hours not worked. We are permitted to consider what the employee earns from the military, and to pay the difference. If the employee is away from work for the entire week, we are not required to pay anything for that week. This is an FLSA requirement, not a USERRA requirement. Absent accruals will do not accrue for any unpaid portion of the leave but the length of the leave will be included as though worked for purposes of the accrual rates that are based on length of service.

USERRA applies to employees in probationary, seasonal, or “temporary” positions. There is no requirement that the employee have been employed for this College for any minimum period before the absence for uniformed service.

USERRA is not limited to the National Guard and Reserve. An employee who leaves employment with this College for service in the regular military also can have rights under USERRA. The law also protects an employee who takes a day or two off from work for the purpose of an examination to determine fitness to join any branch of the service. After completion of such an examination, regardless of the outcome, the employee is entitled to reemployment under USERRA.

### **Eligibility Criteria**

An employee who leaves employment at this College for service in the uniformed services will be entitled to reemployment, provided he or she meets the USERRA eligibility criteria:

1. The employee must have given us prior oral or written notice of the impending service.
2. The employee’s cumulative period or periods of service, relating to this College, shall not have exceeded five years.

3. The employee must have completed the period of service without having received a punitive or other than honorable discharge or having been dismissed or dropped from the rolls of the uniformed service.
4. The employee must have made a timely application for reemployment or have been timely in reporting back to work.

### **Prior Notice**

We would prefer that the notice be in writing, but oral notice is sufficient under the statute. We want employees to give us as much advance notice as possible, but we realize that circumstances arise where the employee does not receive notice from the service until the last minute. No specific amount of advance notice is required, but the notice must be given before leaving the civilian job. Advance notice is not required in those rare cases where advance notice is precluded by military necessity or otherwise impossible or unreasonable. The specific wording of the employee's notice is of no consequence, so long as the employee conveys the information that he or she is leaving the job for the purpose of service. The use of a word like "resign" does not defeat the employee's right to reemployment, so long as the employee has informed us that military service is the reason for the resignation.

Our College recognizes that individuals serving in the National Guard and Reserve need time off from work sufficient to enable them to travel to the place of training and have a night of rest, before starting the training, so that they can perform the training in a safe and effective manner.

### **Five Year Limit**

The five-year limit is measured from the date of commencement of the individual's employment relationship with this College. Uniformed service performed before the individual's hire date is irrelevant for purposes of the individual's USERRA rights for this College. Reserve and National Guard training and involuntary call-ups do not count toward the individual's five-year limit. Some voluntary service is also excluded in computing the five-year limit.

### **Release from Service under Honorable Discharge**

An individual does not have reemployment rights with this College if he or she has received a punitive (by court martial) or other-than-honorable discharge or if he or she has been "dropped from the rolls" of the uniformed service.

### **Timely Application for Re-employment for Period of 1-30 Days of Service:**

After a period of less than 31 days of service, the employee is required to report for work at the start of the first full regularly scheduled work period on the first day after the completion of the period of service, the time reasonably required for safe transportation from the place of service to the individual's residence, and a period of eight hours (for rest).

### **Timely Application for Re-employment for Period of 31 Days of Service or More:**

If the period of service is greater than 30 days but less than 181 days, the individual is required to submit an application for reemployment within 14 days. If the period of service is 181 days or more, the individual must submit an application for reemployment within 90 days. No particular form is required for the application for reemployment, and our College will not try to deny reemployment based on quibbling with the wording. If the individual communicates with us, within the 14 days or 90 days, and tells us that he or she is available to return to work after service, we will offer reemployment to the individual. If the employee submits a timely application and meets the other eligibility criteria, we will act promptly on that application. We will not make the returning service member wait for a vacancy, and if training or retraining is needed we will offer it to the employee "on the clock." We will offer reemployment to the individual not later than the start of the second two-week pay period after the pay period when the individual submits the application for reemployment.

**Effect of Tardiness in Reporting Back to Work:** If the individual misses the relevant deadline by a day or two, he or she is entitled to reemployment, but he or she is subject to our usual policy regarding explanations or sanctions for absence from scheduled work.

### **Continuous Accumulation of Longevity for Seniority Purposes**

A person who returns to employment with our College after service in the uniformed services, and who meets the eligibility criteria under USERRA, is entitled to continuous College longevity for the entire period of the military related absence. This includes the period between leaving the job and the start of the service, the period of service, the period (up to 90 days) during which the individual waited to submit the application for reemployment, and the period between the application for reemployment and returning to work. Upon reemployment, employee is entitled to pay raises, promotions, and other benefits that they would have received, in accordance with seniority.

### **Continuous Accumulation of Longevity for Pension Purposes**

A returning veteran who is reemployed by our College, and who meets the USERRA eligibility criteria, is entitled to be treated as if he/she had been continuously employed, for purposes of the defined benefit plan. The returning veteran who meets the USERRA eligibility criteria will be given the opportunity to make up missed employee contributions to the defined contribution plan. Such make-up contributions must be made within the period that begins on the date of reemployment and extends for three times the period of service, but not more than five years. All such make-up payments shall be made on a pre-tax basis. Employer and employee contributions to the defined contribution plan account will be based on what he/she *would have earned* from the College during the military-related absence. What she earned from the military is irrelevant. The determination will be based on the pre-service rate of compensation, plus any pay raises or promotions that are based on seniority or cost-of-living that the employee would have received during the military-related absence.

Some employees of this College are compensated in such a way that the amount that the employee *would have earned* during the military-related absence is not readily determinable after the fact. In that situation, the amount that he/she would have earned will be computed based on his average rate of compensation during the last year of College service before the military-related interruption. If he was employed for less than one year, the computation will be based on his average rate of compensation during his entire period of employment at this College.

### **Job Status**

If the employee's period of service was less than 91 days, he or she is entitled, upon reemployment, to the exact job that he or she would have attained if he or she had been continuously employed. In most cases, that will be the same as the pre-service job.

If the period of service was 91 days or more, our College has the option to reemploy the returning veteran either in the position that he/she would have attained or, alternatively, in another position of like seniority, *status*, and rate of pay. Offering the returning veteran reemployment in a position that is not of like status is not a sufficient compliance with USERRA.

Other aspects of status include hours of work (Most employees prefer to work during the day, not at night.). If we offer the returning veteran reemployment in an alternative job, we must ensure that the alternative job is equivalent in all respects to the job that he or she would have attained if continuously employed. If we offer the returning veteran reemployment in an alternative position, it must be a position for which the employee is qualified. Putting an employee in a position for which he or she is not qualified would not be a sufficient compliance with USERRA.

### **Training/Retraining**

If an employee returns to work after a long period of military service, he or she may find that many things have changed in the interim. There may have been technological developments and changes in ways of doing business. The returning veteran is entitled to the training or retraining that he or she would have received if continuously employed.

### **Special Protection Against Discharge, Except for Cause**

The returning veteran who meets the USERRA eligibility criteria may not be discharged, except for cause, within one year after reemployment, if the veteran's period of service was 181 days or more. If the period of service was 31-180 days, the period of special protection is 180 days. If the employee is discharged during the special protection period, our College has a heavy burden of proof, to show that the employee was discharged *for cause*. This special protection provision applies even if the employee was in an at-will or probationary status before leaving for service. The special protection provision is intended to protect the veteran from a bad faith or *pro forma* reinstatement.

### **Entitlement of Returning Disabled Veterans**

Some of our employees who have been called to serve will return with temporary or permanent physical limitations, resulting from service-connected injuries or illnesses. In such a situation, we are required to make *reasonable accommodations* in equipment, scheduling, etc. in order to enable the employee to perform the duties of his or her escalated reinstatement position (the position that he or she would have attained if continuously employed). Of course, some disabilities cannot be accommodated. If the employee cannot be reinstated in the escalated reinstatement position, he or she is entitled to reinstatement in some other position, the duties of which he or she can perform despite the limitations. The employee is entitled to the position that comes as close as possible (in terms of seniority, status, and pay) to the position to which he or she would be entitled but for the disability.

### **Reinstatement of Health Insurance Coverage**

An employee returning from service, and who meets the USERRA eligibility criteria, is entitled to *immediate reinstatement* of our College health insurance coverage upon reemployment. This applies to coverage for the employee and for family members who would have been covered if the employee had been continuously employed. This includes children born or adopted during the employee's military-related absence from work. There must be no waiting period, and no exclusion of "pre-existing conditions" except for conditions that the U.S. Department of Veterans Affairs has determined to be service-connected.

### **Entitlements During Service**

An employee who is away from work performing service in the uniformed services is entitled to *non-seniority benefits*, during the military-related absence, if and to the extent that the College offers such benefits to employees on some other form of leave, like jury leave or maternity/paternity leave. Since the College has more than one form of non-military leave, the comparison must be to the most generous form of leave that we provide, whether that leave be paid or unpaid.

### **Continuation of Health, Dental and Life Insurance during Service**

An employee who notifies us that he or she will be away from work performing service is entitled to elect continued health, dental and life insurance coverage, through our College, *during* the military-related absence from work. If the period of service (as called for in the individual's military orders) is for less than 6 months, the College will charge, as with other types of leaves, *only the employee share* of the cost of the coverage. If the period of service is greater than 6 months, the College is permitted to charge up to 102% of the entire premium. We are required to make this continuing coverage available to the employee who is away from work for service until the first of the following occurs:

1. The employee returns to work after service.

2. The employee allows the deadline for an application for reemployment to pass without having made such an application.
3. Eighteen (18) months have passed since the employee left his or her civilian job for service.

The right to reinstated coverage after service is not contingent on continuing coverage during service. Most of our employees who leave for service of more than 30 days will not elect continued coverage during service, because during their service they are entitled to use the military health care system for themselves and their families.

### **Retirement Plan during Service Leave**

Retirement contributions are based on worked time and will not be applied for the unpaid portion of the leave. Specific “catch-up” rules may be applied.

### **Long-Term Disability Insurance during Service Leave**

For participants granted military leave, the long-term disability coverage ceases at the end of the last day worked at the College.

### **Protection against Discrimination**

Section 4311(a) of USERRA provides as follows:

A person who is a member of, applies to be a member of, performs, has performed, applies to perform, or has an obligation to perform service in a uniformed service shall not be denied initial employment, re-employment, retention in employment, promotion, or any benefit of employment by an employer on the basis of that membership, application for membership, performance of service, application for service, or obligation. It would be unlawful for our College to deny an individual initial employment, or to deny an existing employee any benefit, or to fire an employee, because of the person’s membership in a uniformed service, obligation to perform future service, etc. It is our policy to obey this law. We will not consider military status or service when making hiring, promotion, or firing decisions.

*August 2010*

## **Whistleblower Policy**

Approved by the Audit Committee: May 16, 2007

### **Objectives and Purpose**

The objectives of this policy are to:

- Formally establish procedures to help provide a workplace conducive to open discussion of the business practices of the College; and
- To positively reinforce and influence compliance with federal and state laws.

Employees and representatives of Carleton College are expected to practice honesty and integrity in fulfilling their responsibilities and comply with all applicable laws and regulations. The purpose of this policy is to comply with all applicable laws that protect employees of the College against unlawful discrimination or retaliation by their employer as a result of their lawfully reporting information regarding, or their participating in, investigations involving fraud or other violation by the College or its agents of federal or state law.

### **No Retaliation**

No director, officer or employee who in good faith reports a violation shall suffer harassment, retaliation or adverse employment consequence. An employee who retaliates against someone who has reported a violation in good faith is subject to discipline up to and including termination of employment. This Whistleblower Policy is intended to encourage and enable employees and others to raise serious concerns within the College prior to seeking resolution outside the College.

### **Reporting Violations**

In most cases, an employee's supervisor is in the best position to address an area of concern. However, if you are not comfortable speaking with your supervisor or you are not satisfied with your supervisor's response, you are encouraged to speak with someone in the Human Resources Department or anyone in management whom you are comfortable in approaching. Supervisors and managers are required to report suspected violations to the Compliance Officer, who has specific and exclusive responsibility to investigate all reported violations. For suspected fraud, or when you are not satisfied or uncomfortable with the process above, individuals should contact the Compliance Officer directly.

### **Compliance Officer**

The Compliance Officer is responsible for investigating and resolving all reported complaints and allegations concerning violations and, at their discretion, shall advise the President and/or the Audit Committee of the Board of Trustees. The Compliance Officer has direct access to the Audit Committee and is required to report to the audit committee at least annually on compliance activity. The Compliance Officer is appointed by the Audit Committee.

### **Accounting and Auditing Matters**

The Audit Committee of the Board of Trustees shall address all reported concerns or complaints regarding corporate accounting practices, internal controls or auditing. The Compliance Officer shall immediately notify the Audit Committee of any such complaint and work with the committee until the matter is resolved.

### **Acting in Good Faith**

Anyone filing a complaint concerning a violation or suspected violation must be acting in good faith and have reasonable grounds for believing the information disclosed indicates a violation of federal or state law. Any allegations that prove not to be substantiated and which prove to have been made maliciously or knowingly to be false will be viewed as a serious disciplinary offense.

### **Confidentiality**

Violations or suspected violation may be submitted on a confidential basis by the complainant or may be submitted anonymously. Reports of violations or suspected violations will be kept confidential to the extent possible, consistent with the need to conduct an adequate investigation.

### **Handling of Reported Violations**

The Compliance Officer will notify the sender and acknowledge receipt of the reported violation or suspected violation within five business days. All reports will be promptly investigated and appropriate corrective action will be taken if warranted by the investigation.

# General Notice: Employee Rights and Responsibilities

## UNDER THE FAMILY AND MEDICAL LEAVE ACT

### **Basic Leave Entitlement**

FMLA requires covered employers to provide up to 12 weeks of unpaid, job-protected leave to eligible employees for the following reasons:

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

### **Military Family Leave Entitlements**

Eligible employees with a spouse, son, daughter, or parent on active duty or call to active duty status in the National Guard or Reserves in support of a contingency operation may use their 12-week leave entitlement to address certain qualifying exigencies. Qualifying exigencies may include attending certain military events, arranging for alternative childcare, addressing certain financial and legal arrangements, attending certain counseling sessions, and attending post-deployment reintegration briefings.

FMLA also includes a special leave entitlement that permits eligible employees to take up to 26 weeks of leave to care for a covered service member during a single 12-month period. A covered service member is a current member of the Armed Forces, including a member of the National Guard or Reserves, who has a serious injury or illness incurred in the line of duty on active duty that may render the service member medically unfit to perform his or her duties for which the service member is undergoing medical treatment, recuperation, or therapy; or is in outpatient status; or is on the temporary disability retired list.

### **Benefits and Protections**

During FMLA leave, the employer must maintain the employee's health coverage under any "group health plan" on the same terms as if the employee had continued to work. Upon return from FMLA leave, most employees must be restored to their original or equivalent positions with equivalent pay, benefits, and other employment terms.

Use of FMLA leave cannot result in the loss of any employment benefit that accrued prior to the start of an employee's leave.

### **Eligibility Requirements**

Employees are eligible if they have worked for a covered employer for at least one year, for 1,250 hours over the previous 12 months, and if at least 50 employees are employed by the employer within 75 miles.

### **Definition of Serious Health Condition**

A serious health condition is an illness, injury, impairment, or physical or mental condition that involves either an overnight stay in a medical care facility, or continuing treatment by a health care provider for a condition that either prevents the employee from performing the functions of the employee's job, or prevents the qualified family member from participating in school or other daily activities.

Subject to certain conditions, the continuing treatment requirement may be met by a period of incapacity of more than 3 consecutive calendar days combined with at least two visits to a health care provider or one visit and a regimen of continuing treatment, or incapacity due to pregnancy, or incapacity due to a chronic condition. Other conditions may meet the definition of continuing treatment.

### **Use of Leave**

An employee does not need to use this leave entitlement in one block. Leave can be taken intermittently or on a reduced leave schedule when medically necessary. Employees must make reasonable efforts to schedule leave for planned medical treatment so as not to unduly disrupt the employer's operations. Leave due to qualifying exigencies may also be taken on an intermittent basis.

### **Substitution of Paid Leave for Unpaid Leave**

Employees may choose or employers may require use of accrued paid leave while taking FMLA leave. In order to use paid leave for FMLA leave, employees must comply with the employer's normal paid leave policies.

### **Employee Responsibilities**

Employees must provide 30 days advance notice of the need to take FMLA leave when the need is foreseeable. When 30 days notice is not possible, the employee must provide notice as soon as practicable and generally must comply with an employer's normal call-in procedures.

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

### **Employer Responsibilities**

Covered employers must inform employees requesting leave whether they are eligible under FMLA. If they are, the notice must specify any additional information required as well as the employees' rights and responsibilities. If they are not eligible, the employer must provide a reason for the ineligibility.

Covered employers must inform employees if leave will be designated as FMLA-protected and the amount of leave counted against the employee's leave entitlement. If the employer determines that the leave is not FMLA-protected, the employer must notify the employee.

### **Unlawful Acts by Employers**

FMLA makes it unlawful for any employer to:

- Interfere with, restrain, or deny the exercise of any right provided under FMLA;
- Discharge or discriminate against any person for opposing any practice made unlawful by FMLA or for involvement in any proceeding under or relating to FMLA.

### **Enforcement**

An employee may file a complaint with the U.S. Department of Labor or may bring a private lawsuit against an employer. FMLA does not affect any Federal or State law prohibiting discrimination, or supersede any State or local law or collective bargaining agreement which provides greater family or medical leave rights.

**FMLA section 109 (29 U.S.C. § 2619) requires FMLA covered employers to post the text of this notice. Regulations 29 C.F.R. § 825.300(a) may require additional disclosures.**

**For additional information:**  
1-866-4US-WAGE (1-866-487-9243) TTY: 1-877-889-5627  
[WWW.WAGEHOUR.DOL.GOV](http://WWW.WAGEHOUR.DOL.GOV)

## **2008 Minnesota Statutes 181.961: Review of Personnel Record by Employee**

Subd. 1. Right to review; frequency.

Upon written request by an employee, the employer shall provide the employee with an opportunity to review the employee's personnel record. An employer is not required to provide an employee with an opportunity to review the employee's personnel record if the employee has reviewed the personnel record during the previous six months; except that, upon separation from employment, an employee may review the employee's personnel record once each year after separation for as long as the personnel record is maintained.

Subd. 2. Time; location; condition; copy.

(a) The employer shall comply with a written request pursuant to subdivision 1 no later than seven working days after receipt of the request if the personnel record is located in this state, or no later than 14 working days after receipt of the request if the personnel record is located outside this state.

(b) With respect to current employees, the personnel record or an accurate copy must be made available for review by the employee during the employer's normal hours of operation at the employee's place of employment or other reasonably nearby location, but need not be made available during the employee's working hours. The employer may require that the review be made in the presence of the employer or the employer's designee. After the review and upon the employee's written request, the employer shall provide a copy of the record to the employee.

(c) With respect to employees who are separated from employment, upon the employee's written request, the employer shall provide a copy of the personnel record to the employee. Providing a copy of the employee's personnel record to the employee satisfies the employer's responsibility to allow review as stated in subdivision 1.

(d) The employer may not charge a fee for the copy.

Subd. 3. Good faith.

The employer may deny the employee the right to review the employee's personnel record if the employee's request to review is not made in good faith. The burden of proof that the request to review is not made in good faith is on the employer.

Subd. 4. Employer defined.

For the purposes of this section, "employer" includes a person who has one or more employees.

History:

[1989 c 349 s 2](#); [1992 c 445 s 1](#); [1994 c 595 s 2](#); [1997 c 180 s 3](#); [2004 c 137 s 2](#)

## Revision dates:

7/1/03	Leave of Absence, Staff at Carleton, Information Technology Services Support
9/10/03	Leave of Absence
9/25/03	Workplace Safety
10/22/03	Payroll Time Sheets
12/1/03	Leave of Absence, Family Medical Leave, Parental Related Leaves
12/9/03	Salary Ranges
12/19/03	Funeral Pay
12/22/03	Military Leave
1/29/04	Compassionate Leave, Funeral Pay
3/3/04	Floating Holidays, Vacation Eligibility and Schedule, Sick Leave Eligibility and Schedule, Sick Child, Leave of Absence, Catastrophic Leave-Sharing Program, Compassionate/Emergency Medical Leave, Family Medical Leave, Parental Related Leaves, Funeral Pay, Jury Duty, Sick Adult Children, Parents, Spouse, Domestic Partner
4/22/04	Leave of Absence
6/11/04	Daily Rate for Exempt Staff
7/1/04	Salary Grades and Ranges, Funeral Leave, Family Medical Leave, Parental Leave
8/9/04	College Policy for Animals on Campus
9/20/04	Long Term Disability Benefits
9/28/04	Winter Storm Policy
9/28/04	Policies Against Sexual Misconduct
10/01/04	Floating Holiday accrual/maximum chart added
10/28/04	Floating Holiday Accrual/Maximum Balances Wording Change
11/15/04	Job Postings
11/15/04	Upward Mobility Program
11/15/04	Co-Worker or Friend's Funeral Leave Code
12/27/04	Funeral Leave
12/27/04	Professional Development
12/27/04	Exempt Professional Leave
12/30/04	Health and Dental Coverage
1/14/05	Leave of Absence, Family Medical Leave Act (FMLA)
1/18/05	Exempt Tuition Benefits
2/4/05	Salary Grades and Ranges
2/17/05	Compensation Program
3/28/05	Life Insurance
3/28/05	College Holidays
5/13/05	Vacation Schedule
7/11/05	2005-2006 Salary Ranges
10/5/05	Change in Personal Status
10/13/05	Upward Mobility Program
10/14/05	Military Leave Policy (Supporting Documents)
10/14/05	Employee Benefits
10/14/05	Vacation Eligibility and Maximums (Graph)
10/14/05	Leave of Absence

12/7/05	Carleton College Official Closings
2/16/06	Leave of Absence (Employee Benefits Section)
2/16/06	Leave of Absence (Leave of Absence Section)
4/11/06	Overtime Language
4/11/06	Floating Holiday, Vacation, Sick Accrual Language
4/13/06	Domestic Partners & Carleton's Benefit Structure – Health Insurance Language
6/21/06	Salary Grades and Ranges
9/15/06	Check Cashing and ATM Services
11/15/06	Carleton College Official Closings
11/29/06	Family Medical Leave (FMLA)
12/20/06	Family Medical Leave (FMLA)
12/20/06	Funeral Leave
12/22/06	Table of Contents
5/10/07	Worker's Compensation
6/6/07	Emeriti Retirement Health Solutions Plan
6/6/07	Vacation Eligibility and Schedule
7/11/07	Vacation Eligibility and Schedule
7/13/07	Ombuds Office
7/17/07	Salary Grades and Ranges
7/25/07	Blue Cross/Blue Shield Options Blue
10/1/07	Whistleblower Policy
12/6/07	Sick Child
12/6/07	Sick Adult Children, Parents, Spouse, Domestic Partner
3/3/08	Updated FMLA Entitlements
3/13/08	Vacation Eligibility and Maximums
4/24/08	Statement on Discrimination and Academic Freedom
7/2/08	2008-2009 Salary Ranges
8/13/08	Volunteers
8/13/08	Independent Contractors
9/9/08	Workers' Compensation Fraud
10/29/08	Parental Leaves
11/13/08	Payroll Schedule
12/11/08	Military Family Leave Entitlements
12/17/08	Blue Cross and Blue Shield Options Blue
12/17/08	Blue Cross and Blue Shield Aware Preferred Provider Organization (PPO)
12/17/08	Blue Cross and Blue Shield Aware Gold Limited
12/22/08	Fact Sheet #28: The Family and Medical Leave Act of 1993
12/30/08	MN Statute 181.961: Review of Personnel Record by Employee
1/20/09	Leave of Absence
1/20/09	Jury Duty and Subpoenaed Employee
1/23/09	General Notice: Employee Rights and Responsibilities (FMLA)
2/11/09	Job Classification Committee
2/11/09	Changes in Personal Status
2/11/09	Health Plan
2/11/09	Dental Coverage
2/11/09	Definition: Immediate Family/Extended Family

2/11/09	Extension of Benefits to Domestic Partners (Incorporated into Definition of Family)
2/11/09	Sick Adult Child, Parents, Spouse, Domestic Partner
2/11/09	Tuition for Employee Spouses or Domestic Partners
2/11/09	Domestic Partners and Carleton's Benefit Structure
3/10/09	Employee Family Relationships
4/8/09	Exempt Vacation, Sick, and Floating Holiday Reporting Requirements
4/28/09	Parental Leaves
6/24/09	Employee Assistance Program (EAP)
7/22/09	Sick Child
7/22/09	Sick Adult Children, Parents, Spouse, Domestic Partner
7/22/09	Workers' Compensation Pay
7/22/09	Family Medical Leave (FMLA)
12/28/09	College Activities and Events
1/26/10	Emeriti Retirement Health Solutions Plan
1/26/10	Blue Cross Blue Shield Accord HRA
1/26/10	Retirement Plan
1/26/10	Job Classification
1/26/10	Job Classification Committee
1/26/10	Internal Sources
4/1/10	Independent Contractors
4/1/10	Definition of Employee
4/1/10	Payroll Time Sheets/Web Time Entry
4/1/10	Payroll Schedule
4/1/10	Pay Advice
4/1/10	Employee Benefits
4/1/10	Medical Appointments
4/1/10	Tuition Benefits (Non-Exempt & Exempt Staff)
4/1/10	Retirement Plan
4/1/10	Statement of Non-Discrimination
4/1/10	Military Leave Policy/Eligibility
4/1/10	Family Medical Leave (FMLA)
4/1/10	College Holidays
4/1/10	Vacation Eligibility & Schedule
4/1/10	Sick Leave Eligibility & Schedule
4/1/10	Flexible Benefits Program
4/1/10	Life Insurance
4/1/10	Voluntary Life Insurance
4/1/10	Group Accident Insurance
4/1/10	Long-Term Disability Benefits
4/1/10	Health Plan
4/1/10	Dental Coverage
4/1/10	Leave of Absence
4/1/10	Parental Leaves
4/1/10	Funeral Leaves
4/1/10	Longevity Bonus

4/1/10	Rest Periods/Meal Breaks
4/1/10	Travel Time for Non-Exempt Staff
4/1/10	Floating Holidays
4/1/10	Staff at Carleton (SAC)
4/1/10	Workers' Compensation
4/1/10	Salary Grades and Ranges
4/1/10	Job Evaluation
4/19/10	Travel Accident Insurance
6/8/10	Health Plan
6/8/10	Dental Coverage
6/8/10	Retirement Plan
6/8/10	Tax Issues Related to Non-Qualified Dependents, Including Domestic Partners and Adult Children Dependents
6/11/10	Retirement Plan
6/11/10	Additional Retirement Income
7/1/10	Vacation Eligibility and Schedule
7/1/10	Tuition for Employee Spouses or Domestic Partners
7/8/10	Overtime
7/8/10	Floating Holidays
7/8/10	Sick Leave Eligibility and Schedule
7/8/10	Sick Leave Provisions
7/8/10	Medical Appointments
7/8/10	Sick Child
7/8/10	Sick Adult Children, Parents, Spouse, Domestic Partner
7/9/10	Copyright Policy
7/9/10	HIV Infection Policy
7/9/10	Check Cashing and ATM Services
7/13/10	Floating Holidays
7/13/10	Vacation Eligibility and Schedule
7/13/10	Sick Leave Eligibility and Schedule
8/3/10	Family Medical Leave
8/3/10	Military Leave
8/3/10	Military Leave Policy
8/3/10	Uniform Services Employment and Reemployment
8/10/10	Tuition for Employee Spouses or Domestic Partners
8/10/10	Health Plan
8/10/10	Dental Coverage
8/10/10	Tax Issues Related to Non-Qualified Dependents (Domestic Partners)
8/10/10	Retirement Plan
8/25/10	Voting
8/31/10	Tuition Benefits
10/19/10	Voting
10/28/10	U.S. Savings Bonds
11/22/10	Policy Regarding the Release of Constituent Information
11/30/10	Workers' Compensation Pay
11/30/10	Leave of Absence

11/30/10	FMLA Pay
11/30/10	COBRA (Consolidated Omnibus Budget Reconciliation Act)
01/10/11	Genetic Information Nondiscrimination Act (GINA)
01/10/11	Background Checks/Physicals
01/10/11	Initial Review Period
01/18/11	Notary Public Services
1/25/11	Definition of Employee
1/25/11	Additional Retirement Income
06/15/11	Salary Grades and Ranges
11/18/11	Life Insurance; Voluntary Life Insurance
2/16/12	2012 Salary Ranges