

MESSAGE FROM THE EXECUTIVE DIRECTOR

Dear Colleague,

On behalf of our Board of Directors, managers and staff, I want to let you know how pleased we all are that you have chosen to join our team here at University Auxiliary Services at Albany, Inc. (UAS). The work we do is challenging and important, and it makes a significant difference in the lives of tens of thousands of students, alumni and employees here on campus and in the surrounding community. Our team is small, but we are dedicated, efficient and passionate about what we do, and we look forward to the unique experiences, perspectives and energy that you will add in the months and years ahead.

UAS is an independent, not-for-profit corporation founded in 1950 to improve quality of living for the University at Albany (UAlbany) community. UAlbany is our sole customer, contracting with us for a suite of goods and services, including dining, retail operations, banking, vending, laundry, identification cards, insurance, financial management and nearly two dozen other related activities. We, in turn, engage corporate partners to provide some of these services, while delivering others directly ourselves. In either case, the responsibility for delivering excellence rests solely upon our shoulders, and we view contract management and direct service support as equally important and valuable skills.

Regardless of how our services are provided, our most important role in each and every one of them is to continuously add value to the processes and systems we manage. If we ever become complacent, content to rest on past successes, then we become little more than middlemen, and betray the trust, confidence and investment placed in us by our University customer. I ask that in everything you do here at UAS, you continually ask yourself: “Why are we doing it this way? How can we do it better? What else can we do? And how can we improve the experience of our students and faculty, and the community in which they teach, learn, work and live?”

This manual provides a general framework of the rules and policies under which we operate at UAS. While it is a thorough and comprehensive document, no manual can ever address every eventuality that can occur in the workplace. Should you ever have questions or concerns about items included in or missing from this manual, I encourage you to speak to your supervisor and our Director of Human Resources, as appropriate, for clarification or confirmation. I also maintain an open door policy, and am available to every one of our employees as you need me.

Again, welcome to UAS. I look forward to working with you.

J. Eric Smith, Executive Director

UNIVERSITY AUXILIARY SERVICES

MISSION STATEMENT

University Auxiliary Services invests in and provides services that enhance the educational, research, learning and living experiences of the University at Albany community.

UAS CORE VALUES

WHAT WE DO: UAS commits to consistently providing **convenience**, **value** and **quality** to our customers. We define these key terms as follows:

- **Convenience:**
 - Offering services in a timely, efficient, effective, accurate and complete fashion
 - Providing services at centralized, readily-accessed, high population campus locations
 - Providing reasonable service options to meet customers' special needs
 - Ensuring service options are available when most of our customers need them
- **Value:**
 - Providing all goods at fair prices, benchmarked to both local and national standards
 - Providing cost-effective business services to the University and its affiliated agencies
 - Investing in facilities in ways that add long-term value at minimum customer price impact
 - Investing in and empowering student-, faculty- and staff-directed programs and initiatives
- **Quality:**
 - Providing positive, friendly and effective customer service interactions in all activities
 - Defining product and service standards that meet or exceed industry expectations
 - Dedicating the resources necessary to maintain these high standards over time
 - Conducting rigorous procurement processes to attain the best products and services

HOW WE DO IT: Our efforts are guided by fundamental commitments to professional **integrity**, clear and complete **communications**, a spirit of **responsiveness** to our customers, and **proactive management**. We define these key terms as follows:

- **Integrity:**
 - Serving as trustworthy stewards of all collected and expended funds
 - Sustaining high ethical standards in all contracts, services, activities and investments
 - Maintaining rigorous internal controls systems to preclude fraud, waste and abuse
 - Supporting global, local, regional and national social justice initiatives valued by our University customers

- **Communications:**
 - Providing public information about services in a timely, clear and complete fashion
 - Adapting communications methods over time to respond to customer needs
 - Complying with all applicable University, State and Federal reporting standards
 - Conducting our business transparently in accordance with applicable nonprofit law
- **Responsiveness:**
 - Ensuring that key business decisions include appropriate customer input and comment
 - Ensuring that all communications streams offer feedback opportunities for customers
 - Actively seeking engagement from customers, rather than passively awaiting it
 - Providing public credit and acknowledgment when customer feedback is adopted
- **Proactive Management:**
 - Conducting real-time programmatic evaluations, identifying and responding to trends
 - Analyzing finances and operational standards effectively to support UAS current and future investments and services as well as UAlbany research and educational initiatives
 - Embracing ongoing professional development of Board, management and staff
 - Networking and researching to identify and explore new service opportunities and new service demands

INTRODUCTION

University Auxiliary Services at Albany, Inc. (UAS) Employee Handbook and Policy Manual (the “Handbook”) has been developed to provide general guidelines about UAS’s policies and procedures for UAS’s employees. None of the policies or guidelines in the Handbook are intended to give rise to contractual rights or obligations, or to be construed as a guarantee of employment for any specific period of time, or any specific type of work. Additionally, with the exception of the voluntary at-will employment policy, these guidelines are subject to modification, amendment or revocation by UAS at any time, without advanced notice to employees. Any modification will be communicated as promptly as possible, in writing, to all employees.

This handbook is not inclusive, as it is impossible to anticipate every unusual situation that may arise. Employees are encouraged to consult the UAS Director of Human Resources, whose office is located in Campus Center 222, for additional information regarding the policies and procedures described in this Handbook. These policies only apply to individuals who work for and are compensated by UAS.

UAS will provide each individual a copy of this Handbook upon employment and after any major revisions. All employees must read the handbook and sign the receipt and acceptance form as a condition of employment.

GUIDING PRINCIPLES

VOLUNTARY AT-WILL EMPLOYMENT

UAS does not offer tenured or guaranteed employment. Employment with UAS is voluntary and is subject to termination by the employee or UAS at will, with or without cause, and with or without notice, at any time. Nothing in these policies should be interpreted to eliminate or modify the employment-at-will status of UAS employees.

OPEN DOOR POLICY

UAS believes that open communication within an atmosphere of mutual trust is of prime importance to employees. Realizing that effective communication is a two way street, UAS values employees' constructive opinions and suggestions.

Employees are encouraged to openly discuss any issues or suggestions with their supervisor so appropriate action may be taken. If the supervisor cannot be of assistance, the Director of Human Resources is available for consultation and guidance.

NON-DISCRIMINATION AND ANTI-HARASSMENT POLICY

UAS is committed to equal opportunity for all employees without regard to sex, age, race, color, religion, creed, national origin, marital status, veteran status, disability or sexual orientation. It is the policy of the UAS to comply with all federal, state and local regulations regarding equal opportunity. In keeping with that policy, UAS is committed to maintaining a work environment that is free of unlawful discrimination and harassment, and will not tolerate discrimination or harassment toward employees by anyone, including any supervisor, co-worker, vendor, client, or customer.

Unlawful discrimination is defined as treating someone less well in opportunities for work, promotions, overtime or other conditions of employment because of his or her sex, age, race, color, religion, creed, national origin, marital status, veteran status, disability, sexual orientation, or other protected attribute. Harassment is defined as unwelcome or unwanted conduct, whether verbal, physical or visual, that is based upon a person's status. Examples of unlawful harassment include words, gestures, stories, jokes or nicknames that are derogatory, demeaning or insulting to a person based upon his or her personal status.

UAS also will not tolerate sexual harassment of employees. Unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature constitute sexual harassment when submission to such conduct is made, either explicitly or implicitly, a

term or condition of an individual's employment, submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual, or such conduct has the purpose or effect of unreasonably interfering with an individual's work performance by creating an intimidating, hostile, or offensive work environment. Examples of sexual harassment may include unwanted sexual advances or propositions, offering employment benefits in exchange for sexual favors, making or threatening reprisals after a negative response to sexual advances, sexual innuendos, suggestive comments, sexually oriented "kidding" or "teasing," jokes about gender-specific traits, making sexual gestures or comments, displaying sexually suggestive objects, pictures, or cartoons, impeding or blocking another's movement, physical contact, such as patting, pinching, or brushing against another's body, and continued requests for a date after a rejection. Perpetrators of sexual harassment can be male or female.

If an employee is being discriminated against or harassed, be it sexually or not, they should speak to their supervisor. If the supervisor is the harasser, the employee should speak with the Director of Human Resources. A full investigation will be conducted. Employees making a good faith report of harassment or discrimination will be protected from retaliation.

AMERICANS WITH DISABILITIES ACT

UAS is committed to complying with all applicable provisions of the Americans with Disabilities Act ("ADA"). It is UAS's policy not to discriminate against any qualified employee or applicant with regard to any terms or conditions of employment because of such individual's disability or perceived disability so long as the employee can perform the essential functions of the job. Consistent with this policy of nondiscrimination, UAS will provide reasonable accommodations to a qualified individual with a disability, as defined by the ADA, who has made UAS aware of his or her disability, provided that such accommodation does not constitute an undue hardship on UAS.

Employees with a disability who believe they need a reasonable accommodation to perform the essential functions of their job are encouraged to contact the Director of Human Resources.

CONFLICT OF INTEREST

Every UAS employee must strive to balance personal interests and activities with the interests of UAS. A conflict of interest arises when an activity limits an employee's ability to act in an ethical and responsible manner. It is also important to avoid the appearance of conflict or impropriety. Therefore, UAS prohibits any conduct that places, or appears to place, an employee's personal, financial, proprietary, familial, or political interests in conflict with UAS's best interests or UAS's contractual obligations. Supervisory personnel must not knowingly condone a clear conflict of interest and must be held accountable for enforcing this policy.

UAS employees are prohibited from having any interest, financial or otherwise, direct or indirect, or from engaging in any business or transaction or professional activity or incurring any obligation of any nature, which is in substantial conflict with the proper discharge of their duties.

To facilitate compliance, UAS requires self-disclosure of existing conflict or potential conflict. A potential conflict is defined as any circumstance that creates a reasonable doubt as to legal or ethical propriety under this policy or the law.

The specific examples offered below illustrate some of the types of conflict that require both self-disclosure by the employee and corrective action. The following items are to be understood as illustrative guidelines and not as a comprehensive list of prohibitions:

- Unauthorized utilization of privileged, proprietary UAS and or university information, gained through a position within UAS for utilization in private business or personal endeavors;
- Exerting intentional, direct, or indirect influence in contractual matters or other operational matters between UAS and any private enterprise in which a personal, financial, proprietary, familial, and/or political interest is involved;
- Pursuing and/or maintaining any non-UAS business interest and/or professional endeavor that significantly interferes with the employee's commitment of time and professional energy to UAS;
- Unauthorized acceptance or extension of monetary, personal, or other favors from or to a private enterprise with which UAS conducts business or persons with whom UAS had business relations;
- Solicitation or acceptance of personal favors from students, faculty or other UAS and University employees in return for financial consideration, improvement in employment status, or other significant considerations related to UAS operations;
- Undisclosed and unauthorized maintenance of an interest in both a private professional or technical endeavor and with UAS in the same professional or technical field.

Some conflicts of interest may arise unintentionally. Other situations, though not constituting an actual conflict of interest, may carry an appearance of impropriety. This policy applies to both unintentional conflicts and the appearance of conflict.

Full disclosure is required in all cases. Certain potential conflicts situations may be managed in an acceptable manner through close scrutiny and strict adherence to prescribed conditions. It is not the intent of this policy to authorize or encourage needless intrusion upon any individual's personal behavior or endeavors. It requires self-disclosure. While vigilant enforcement is

expected, reckless or malicious disclosure of alleged conflict or rumor-mongering by third parties is discouraged and may be subject to sanctions.

Self-disclosure is not only the least invasive means of ensuring compliance with this policy, but also affords the opportunity for mutually compatible resolution of actual or potential conflicts of interest. The responsibility for full disclosure rests with the employee.

Disclosure necessitated by a developing or potential conflict should be directed to the attention of the employee's immediate supervisor, or at the employee's option to the Director of Human Resources.

Consultation and Review: The Director of Human Resources is available for consultation by any employee who is uncertain as to whether a specific set of circumstances constitutes a conflict or a potential conflict in violation of this policy. Such consultations will be treated as confidential to the greatest degree possible in conformity with the law. Responsibility for formal self-disclosure remains with individual employees.

Abstention and Recusal: Any employee with a conflict of interest will abstain from approving or deliberating on any transactions from which such conflict of interest arises. A disinterested supervisor will approve said transactions. A disinterested supervisor includes any employee in a supervisory capacity who has no conflict of interest with respect to the transaction, and who has no family, professional or other relationship with the conflicted employee that would reasonably be expected to influence the supervisor's judgment.

Undisclosed conflicts of interest that are subsequently discovered may result in disciplinary actions.

WHISTLEBLOWER PROTECTION POLICY

UAS Code of Ethics and Core Values requires directors, officers and employees to observe high standards of business and personal ethics in the conduct of their duties and responsibilities. All employees and representatives of UAS must be actively engaged in practicing honesty and integrity while fulfilling their responsibilities, and must comply with all applicable laws and regulations.

Reporting Responsibilities: It is the responsibility of all directors, officers and employees to adhere to the Code of Ethics and to report violations, or suspected violations in accordance with the Whistleblower Protection Policy.

Retaliation: No director, officer or employee who in good faith reports a violation of the Code of Ethics or of the Policy against Workplace Harassment will 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 UAS prior to seeking resolution outside of UAS.

Reporting Violations: UAS suggests that employees share their questions or concerns with someone who can address them properly. In most cases, an employee's supervisor is in the best position to address an area of concern. However, if an employee is not comfortable speaking with his or her supervisor, the individual is encouraged to speak with the UAS Director of Human Resources or anyone in a management role. Supervisors and managers are required to report suspected violations of the Code of Ethics to UAS's Compliance Officer, who has specific and exclusive responsibility to investigate all reported violations. For suspected fraud, or when an employee is not satisfied or uncomfortable with following UAS's open door policy, individuals should contact UAS's Compliance Officer directly.

Compliance Officer: UAS's Compliance Officer is responsible for investigating and resolving all reported complaints and allegations concerning violations of the Code and, at his or her discretion, will advise the Executive Director and/or the UAS Board of Directors, Finance and Audit Committee. UAS's Compliance Officer is the chair of the Audit Committee and is required to report to the Audit Committee of the UAS Board of Directors at least annually on compliance activity.

Accounting and Auditing: The Audit Committee of the Board of Directors will address all reported concerns or complaints regarding corporate accounting practices, internal controls or auditing. The Compliance Officer must 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 of the Code of Ethics must be acting in good faith and have reasonable grounds for believing the information disclosed indicates a violation of the Code. 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 violations 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.

The UAS Compliance Officer is:

Mr. Kevin C. Wilcox,
University at Albany Controller
Chair, Audit and Finance Committee-UAS Board of Directors
UNH - 212
1400 Washington Avenue
Albany, NY 12222
Phone 518-956-8131
E-mail: kwilcox@uamail.albany.edu

CONFIDENTIALITY

Any information that an employee learns about UAS or its business relationships as a result of working for UAS that is not otherwise publicly available constitutes confidential information. Employees may not disclose confidential information to anyone who is not employed by UAS or to other persons employed by UAS unless it is pertinent to their position.

The protection of privileged and confidential information, including customer data and trade secrets, is vital to the interests and the success of UAS. The disclosure, distribution, electronic transmission or copying of UAS's confidential information is prohibited. Such information includes, but is not limited to the following examples:

- Compensation data;
- Customer data for student, faculty, staff, and UAS employees (social security number, university ID #, date of birth, address, etc.);
- Programs and financial information, including information related to agreements, and pending projects and proposals.

Employees are required to sign a confidentiality pledge at the start of employment. Any employee who discloses confidential UAS information will be subject to disciplinary action, up to and including termination, even if the individual does not benefit from the disclosure of such information.

Conversations regarding confidential information generally should not be conducted on cellular phones, or in elevators, restrooms, eating areas, or other places where conversations might be overheard.

ORIGINAL WORKS

Work created during the employment at UAS will remain property of UAS. Employees who, in their own time and without the use of UAS's resources, have developed or created work that would benefit UAS are encouraged to discuss, with management, an arrangement that would allow UAS to benefit from such work while preserving the ownership for the employee.

GIFTS

UAS employee may not solicit, accept or receive any gifts having more than a nominal value, whether in the form of money, service, loan, travel, lodging, meals, refreshments, entertainment, discount, forbearance or promise, or any other form, under circumstances in which it could reasonably be inferred that the gift was intended to influence the employee, or could reasonably be expected to influence him or her, in the performance of the employee's official duties or was intended as a reward for any official action on his or her part.

EMPLOYMENT WITH UAS

EMPLOYEE CATEGORIES

All employees are categorized as full-time or part-time employees, dependent upon how many hours they work each week.

Full-Time Employee: A full-time employee regularly works at least 37.5 hours per week on a yearly schedule. Full-time employees earn full benefits and accruals.

Part-Time Employee: A part-time employee regularly works less than 37.5 hours per week on a yearly schedule. Part-time employees receive benefits according to a schedule included in the benefit section of this Handbook. They earn accruals according to the number of hours worked per week as follows:

- Employees working 0 to 19.5 hours/week: No accruals.
- Employees working 20 to 29.5 hours/week: ½ time accruals.
- Employees working 30 to 37.5 hours/week: ¾ time accruals.

Temporary Employee: An individual employed to replace an employee who is on leave of absence, to fulfill a specific need of the organization, or whose length of service is time limited and agreed on by UAS and the employee at the time of hiring. All student employees are considered temporary, as their positions must be terminated upon graduation or withdrawal from the University at Albany. Accruals and benefits for temporary employees are determined on a case by case basis, and are stated in the offer letter.

FLSA STATUS

All employees are considered exempt or non-exempt under the Fair Labor Standards Act (FLSA). All employees will be made aware of their status in their offer letter.

Exempt Employee: An employee who is paid on a salary basis and meets the qualifications for exemption of the overtime requirements of the Fair Labor Standards Act (FLSA). Salaried employees are hired at an annualized rate, which is paid every two weeks in 26 weekly installments.

Non-Exempt Employee: An employee who is paid on an hourly rate and does not meet the qualifications for exemption from overtime requirements set by the FLSA. For non-exempt employees, an accurate record of hours worked must be maintained.

HOURS OF WORK

Exempt Employees: Full-time, exempt employees are expected to devote the amount of time required each week to complete all assigned tasks and are not eligible for overtime pay. On average, exempt employees will work 37.5 hours each week. These hours will typically fall between 8:30 am and 5:00 pm. Normal operating hours will be defined by each employee's supervisor.

Compensatory time is strongly discouraged for exempt employees, as exempt employees are expected, in exchange for the rights and privileges of their positions, to work the hours required to complete their assigned tasks. When used, compensatory time may not reflect occasional (or even regular) "hour here, hour there" variations from the norm, but rather some notable, marked deviation from the standard work schedule that accumulated to more than one half day consecutively or in association with a single, short-time frame project. In cases where such exceptional, above-and-beyond hours are worked by an exempt employee, supervisors may authorize offsetting time away from the office during normal routine hours. Ideally, such compensatory time should be granted within the same pay period, though at worst, it must be used within three months of the event(s) requiring the extraordinary accumulation of extra hours.

Non-Exempt Employees: Compensatory time is not authorized for non-exempt employees, who must be paid overtime when they reach 40 hours in a work week to avoid any wage and hour violations. Employees are only permitted to work in excess of 40 hours during busy times and with advanced approval of his or her supervisor. Non-exempt employees must keep an accurate record of hours worked. Overtime is compensated at the rate of one and one-half times the regular pay rate. All overtime hours must be indicated on the employee's timesheet.

OUTSIDE EMPLOYMENT

Individuals employed by UAS may hold outside jobs as long as the employee meets the performance standards of his or her job with UAS, and the outside job does not constitute a conflict of interest. Employees should consider the impact that outside employment may have on their ability to perform their duties at UAS. All employees will be evaluated by the same performance standards and will be subject to UAS scheduling demands, regardless of any outside work requirements.

If UAS determines that an employee's outside work interferes with his or her job performance or ability to meet the requirements of UAS, the employee may be asked to terminate the outside employment if he or she wishes to remain employed with UAS.

ATTENDANCE AND PUNCTUALITY

All UAS employees are expected to be punctual and keep unscheduled absences at a minimum. An employee who is absent for three consecutive days without notifying his or her supervisor or the Director of Human Resources will be considered to have abandoned the job. Job abandonment will result in an automatic resignation and termination of employment, unless the employee can prove that it was impossible to notify the supervisor or the Director of Human Resources. The employee's final paycheck will be mailed to them.

Excessive unscheduled absences, tardiness or leaving early will be grounds for progressive discipline, up to and including termination.

PAYDAY AND PAYCHECKS

UAS is on a bi-weekly payroll cycle. The pay-period begins on Thursday of one week and ends on Wednesday of the following week. Payday is on the Wednesday following the end of a pay-period. In the event payday falls during a holiday, an alternative pay date will be communicated to all employees.

All employees are paid through a UAS issued paycheck, which has a listing of gross pay and all deductions. Employees may request that all or part of their paycheck be deposited directly into one or more banks. Please see the Director of Human Resources for a direct deposit form. In case a paycheck is lost or stolen, please call the Payroll Office at 442-5950. In the case of an error in the number of hours paid or the deductions, please call the Payroll Office for review.

COMMUNITY AND CAMPUS SERVICE ACTIVITIES

UAS participation in the life of the University is essential to our ability to serve the University at Albany community. All UAS employees are encouraged to respond positively to opportunities to participate in community and campus service activities. From time to time employees may be invited to serve on campus committees, and, with the permission of their supervisor, are encouraged to do so. Employees are not required to use Leave time to attend meetings and partake in reasonable committee events. Supervisors should be kept abreast on committee involvement and time away from work to devote to committees in order to ensure these activities do not adversely affect UAS's ability to provide normally scheduled services.

NEW HIRE ORIENTATION

In order to familiarize new employees with the organization and their specific position, all new employees will undergo a two part orientation process:

Orientation to the Organization: the employee will attend a session with the Director of Human Resources to review organizational chart, the position description, and the policies and procedures contained in this Handbook. The employee will also complete the necessary employment paperwork, including the Department of Homeland Security I-9 Form for employment eligibility verification. Proper identification materials must be provided by the employee to complete this form. At the conclusion of this process, the newly hired employee is expected to sign both the position description and an orientation checklist to be placed in their personnel file.

Orientation to the Position: the immediate supervisor will instruct the new hire in the day to day procedures of the position. This phase of the orientation process will vary based on the skills possessed by the new employee, and the skills required to perform the job.

In certain circumstances, new employees may be required to complete additional training during the orientation process.

RELOCATION

If necessary, UAS may provide a relocation stipend for a new hire at the director level or higher. The amount is to be determined by the Executive Director and Director of Human Resources. Positions below the director level will be preferentially offered to local candidates or those willing to pay for their own relocation.

PERSONNEL FILES

Personnel files are the property of UAS, and access to the information contained within them is restricted and confidential. Employees have the right to see their file in the presence of the Director of Human Resource upon reasonable advanced notice. Please contact the Director of Human Resources to set up an appointment.

It is the responsibility of all employees to inform the Director of Human Resources of any changes that should be reflected in their file, including but not limited to changes in name, home address, telephone number, and number of dependents. The Employee Change form is on the UAS_Albany share drive under "HR Public." If an employee cannot access the form, it is their responsibility to contact the Director of Human Resources for a copy.

Unless requested in writing by an employee, or required by law, no information contained in the personnel files will be shared with an individual or entity outside UAS.

REFERENCE REQUESTS

Any professional reference requests for former or current employees must go through the Director of Human Resources. References must be presented on company letterhead. It is UAS's policy to provide only job title, dates of employment, and salary data.

TRAINING

UAS is committed to providing employees with opportunities for gaining knowledge and acquiring new skills, and offers employees the opportunity for training at off-site seminars and conferences. Supervisory approval must be obtained before enrolling in or attending any training sessions. If UAS deems a specific training as a requirement for an employee's position, the organization will pay for the associated training costs. If an employee would like to attend training for personal or professional development, they will be required to submit the request in writing to their supervisor. The organization may pay for part or all of the costs associated, depending on the necessity of the training and the funds available. Please see the Director of Human Resources for more details.

SAFETY

UAS is committed to providing a place of employment that is free from recognized hazards. Conversely, all employees are expected to comply with occupational safety and health standards and all rules, regulations and orders issued pursuant to OSHA and "NYS Right to Know". For additional information, please refer to the following websites: www.osha.gov and www.health.state.ny.us/environmental/workplace.

Depending on the nature of the job, employees may be required to attend training courses held by the Office of Environmental Health and Safety at the University, or other training courses required by UAS. New employees will be informed of any safety training requirements during orientation.

Employees are expected to notify their supervisor of any workplace hazards they observe. UAS does not condone any form of retaliation against employees for making a report in good faith.

ON-THE-JOB POLICIES AND PROCEDURES

DRESS CODE

UAS employees are expected to exhibit a neat, well-groomed appearance and dress appropriately for their position. Employees are encouraged to discuss any questions or concerns about appropriate attire with their supervisor or the Director of Human Resources.

SMOKING

To ensure the safety and comfort of others, smoking will be allowed only in areas designated by the University. Below is a copy of the current University at Albany policy:

Smoking is prohibited out of doors in the following areas:

- *Within 30 feet of exterior ventilation intakes;*
- *Within ten feet of building entrances and open windows; and*
- *In all exterior stairwells.*

We anticipate that most instances of violation of this policy can be remedied through education and/or informal reminders. Where necessary, however, complaints against an employee may be filed with the Office of Human Resources Management. All complaints must be in writing and must be signed. Confidentiality will be preserved. Complaint forms are available by calling this office on 437-4700. As smoking regulations are University policy, serious or repeat violations may subject employees to disciplinary action as provided in the various negotiated union contracts.

SUBSTANCE-FREE WORKPLACE

UAS abides by the same substance-free workplace policy as the University at Albany. Below is a copy of the current policy:

It is a University policy that the unlawful use, possession, manufacture, dispensation or distribution of alcohol and controlled substances in all campus work locations is prohibited. No employee will report for work or will work impaired by any substance, drug or alcohol, lawful or unlawful. "Impaired" means under the influence of a substance such that the employee's motor senses (i.e. sight, hearing, balance, reaction, or reflex) or judgment either are or may be reasonably presumed to be affected.

Medical testing may be done if there is a reasonable suspicion that an employee is unable to perform job duties due to the misuse of alcohol, controlled substances, or prescription drugs.

Employees who unlawfully manufacture, distribute, dispense, possess, or use a controlled substance will be subject to disciplinary procedures consistent with applicable laws, rules, regulations and collective bargaining agreements. Sanctions may include termination of employment and referral for prosecution.

Other corrective action may include satisfactory participation in an approved drug rehabilitation program.

Employees must notify the Director of Human Resources of any criminal drug statute conviction for a violation occurring in the workplace, or at the work site, no later than five working days after such conviction. The University will notify appropriate federal agencies of such a conviction within ten days of receiving notice of a conviction.

This policy is in compliance with the Drug Free Workplace Act of 1988 and the Drug Free Schools and Communities Act Amendments of 1989.

CELL PHONES

UAS recognizes that cell phones provide instant communication and information to employees and business partners. While acknowledging the benefits of these, UAS has a commitment to keeping the use of such devices professional.

UAS employees may carry and use personal cell phones while at work. If employee use of a personal cell phone becomes excessive, causes disruptions, or decreases productivity, the employee will become subject to disciplinary action by their supervisor. Cell phones must be turned off or set to silent mode during meetings, conferences, and in other locations where incoming calls may disrupt normal workflow.

Employees who, due to the nature of their positions, are frequently required to be away from their office, or that are considered to be “on call” may be supplied with a UAS cell phone (including hands free devices and chargers) and carrier plan. Like all other technologies provided by UAS, cell phones usage must be used for professional purposes. If there is more than the occasional use of a UAS cell phone in any given month for personal reasons, the employee will be expected to reimburse UAS for such use. Alternatively, employees defined above may elect to use their own personal “cell phone,” and submit a request for reimbursement to UAS for business phone calls on a monthly basis.

Responsible use of cell phones while driving or engaged in other activities remains the responsibility of the employee. Employees are required to pull over the side of the road while using their cell phone or use the hands-free devices in full respect of current state and federal rules.

PARKING

University parking plans are managed by the Department of Parking and Mass Transit Services. All employees are expected to pay for their own parking fees on an annual basis.

In addition, employees are expected to follow campus parking rules and regulations, and are subject to fines if they are found in violation. Parking rules are available at: www.albany.edu/pmts.

SOLICITATION

Employees are prohibited from soliciting (personally or via electronic mail) for membership, pledges, subscriptions, and the collection of money or for any other unauthorized purpose anywhere on UAS's premises during work time. "Work time" includes time spent in actual performance of job duties but does not include lunch periods or breaks. Employees on "break" may not solicit or distribute materials or information to employees on the job.

EMPLOYMENT OF RELATIVES AND NEPOTISM

UAS permits members of the same family to work at the organization. UAS will not, however, consider or accept employment applications from individuals whose employment would result in a supervisor/subordinate relationship or in a possible conflict of interest.

Relatives are defined as: parent, spouse, child, sibling, grandparent, grandchild, aunt, uncle, cousin, in-law or step relative, or any person with whom the employee has a close personal relationship such as a domestic partner, romantic partner, or co-habitant.

INCLEMENT WEATHER

Employees are required inform their supervisor or the Director of Human Resources if they are not able to work due to a weather-related emergency. Employees may be eligible to telecommute from an alternate location during times of inclement weather. Please see the "Telecommuting" section of this handbook for more details. Employees who are not able to work during a weather-related emergency are required to charge the absence against the Leave time category, unless otherwise approved by his or her supervisor. Should an emergency closing occur while an employee is already on earned Leave or Sick Leave time, he or she is not entitled to additional wages.

MEDIA STATEMENTS

If an employee should receive an inquiry from the news media regarding UAS services or practices, the employee should refer the media to the Executive Director, who is eligible and authorized to make public statements on behalf of the organization.

REIMBURSEMENT OF EXPENSES

It is the policy of UAS to reimburse employees for expenses incurred on behalf of UAS in the course of conducting normal business as long as the expense is reasonable, justified and

properly documented. Since UAS is a sales tax exempt organization, New York State sales taxes will not be reimbursed. Sales tax exempt forms are available upon request from the finance department. Reimbursement of expenses incurred on behalf of UAS should be an avenue of last resort, as employees should follow the necessary purchasing procedures and use UAS funds to purchase materials in all cases possible.

Employees serving in an official capacity for UAS at conferences and meetings are reimbursed for actual and necessary expenses incurred, such as travel expenses, meal costs, lodging, and registration fees. When attending meetings that have been approved by their supervisor, employees are reimbursed for the actual travel expenses, course fees, and costs of meals and lodging. Reimbursement for alcoholic beverages and personal entertainment expenses should not be requested and will not be reimbursed.

Employees may also request a travel advance to cover anticipated approved travel expenses. Employees should submit the request for advance to their supervisor for approval at least two weeks before the beginning of the trip. Advances will need to be reconciled at the termination of the trip. Money that has not been spent must be returned to UAS. Expenses not substantiated by receipts, or without a reasonable explanation for the missing receipt, must be refunded to UAS.

Employees also may be granted leave to attend a conference or professional meeting related to their professional development, and/or UAS's current and anticipated work. Expenses for these purposes may be paid by UAS, if funds are available, and if the employee obtains prior written approval for such expenses.

Employees are responsible for transportation costs between the office and home during normal work hours. When attending a meeting within a 35-mile drive from home, lodging expenses are not covered, unless they are approved in advance. Employees authorized to use their personal cars for UAS's business are reimbursed at the U.S. Internal Revenue Service approved rate. Mileage reimbursement forms can be found on the UAS Share Drive.

Expenses incurred for the sole benefit of the traveler, such as valet services, laundry services, and entertainment will not be reimbursed. Meals while away from home will be reimbursed if accompanied by receipts and only if the employee is required to be away from home longer than an ordinary day's work.

Forms are provided to request reimbursement for actual expenses and advance payment for travel. Original receipts must be provided for all expenditures made (parking, tolls, etc.) in order to claim reimbursement. In addition to receipts, employees must submit support

documents to justify the expenses (for example, an agenda from a conference, minutes from a meeting, or email permission from a supervisor.)

CREDIT CARDS

Some employees, by virtue of their position, may be given a UAS corporate credit card. The card may be used for business related travel expenses, or expenses for which the employee has obtained prior approval from the immediate supervisor. The issuance of the corporate credit cards in no way changes the UAS policy concerning purchases or the use of sales tax exempt certificate.

Upon receipt of the credit card, employees must sign and date a Credit Card Release form and return it, along with a copy of the front and back of the card, to the Director of Human Resources for placement in the employee's personnel file.

When employees receive the corporate credit card, they agree:

- To use the card for business purposes only; Personal use of the card is strictly prohibited, and can result in disciplinary action, up to and including termination. If a card is used for a personal purchase, the employee is expected to reimburse UAS for the full purchase price immediately;
- To submit original receipts and documentation related to the purchase no later than five days of making the charges, or upon return from business travel; Failure to submit receipts and detailed description of purchases may result in the immediate cancellation of charge privileges;
- To safeguard the card; In case of loss or theft, the employee must immediately contact the Financial Staff Associate, who will cancel the card to stop potential fraudulent use; In addition the employee must file a police report with the University Police Department if the loss or theft has occurred on University premises. It is expected that the employee notify the immediate supervisor of the loss or theft.

PROGRESSIVE DISCIPLINE

UAS has adopted a progressive discipline policy to identify and address employee and employment related problems. This policy applies to any and all employee conduct that the company, in its sole discretion, determines must be addressed by discipline. No discipline policy can be expected to address each and every situation requiring corrective action that may arise in the workplace. Therefore, UAS takes a comprehensive approach regarding discipline and will attempt to consider all relevant factors before making decisions regarding discipline.

Most often, employee conduct that warrants discipline results from unacceptable behavior, poor performance or violation of the company's policies, practices or procedures. However, discipline may be issued for conduct that falls outside of those identified areas. Equally important, the company need not resort to progressive discipline, but may take whatever action it deems necessary to address the issue at hand. This may mean that more or less severe discipline is imposed in a given situation.

UAS will normally adhere to the following progressive disciplinary process:

- **Verbal Warning:** An employee will be given a verbal warning as the first step to fix a problem when a problem is first noticed. Verbal warnings are intended to give an employee a chance to fix the problem, and will include the amount of time the employee has to make a change in their performance or behavior. Verbal warnings are documented and placed in the employee's personnel file for one year.
- **Written Warning:** A written warning will be given when an employee engages in unacceptable behavior during the period that a verbal warning is in effect. Written warnings are placed in the employee's personnel file for one year.
- **Suspension:** An employee will be suspended when he or she engages in conduct that justifies a suspension or the employee engages in unacceptable behavior during the period that a written warning is in effect. Suspensions may or may not be paid, depending on the situation. Suspensions are documented and placed in the employee's personnel file indefinitely.
- **Termination:** An employee will be terminated when he or she engages in conduct that justifies termination or does not correct the matter that resulted in less severe discipline. A full investigation will take place before any employment is terminated, regardless of the severity of the situation.

Again, while UAS will generally take disciplinary action in a progressive manner, management reserves the right to decide whether and what disciplinary action will be taken in a given situation.

FRATERNIZATION WITH STUDENTS

UAS is committed to maintaining an environment in which members of the University at Albany community are safe, can be trusted and count on others to be trustworthy, and receive and extend to others respect as humans.

Virtually all UAS staff members are, or can appear to be, in a position to exercise power or authority, directly or indirectly, over students. Many students may be particularly vulnerable to the influence of staff members who are in positions where they can affect the terms and conditions of a student's standing at the University at Albany.

If a student consents to a romantic relationship with a faculty member, administrator, or staff member, the existence of such a relationship could have unintended adverse effects on the educational environment of the University. In some cases such a relationship can become problematic, resulting in charges of sexual harassment and abuse.

Because of the commitment to maintaining an environment that supports the educational goals of the University at Albany, UAS prohibits romantic, sexual, and exploitative relationships between employees and students. In the event that any such relationship is reported and confirmed, the employee will be subject to employee disciplinary procedures up to and including termination.

There are exceptional circumstances in which the spouse or partner of a college employee is a student at the College. This fraternization policy does not apply in such circumstances. The Executive Director, in consultation with the Director of Human Resources, will determine whether an exceptional circumstance applies.

SOCIAL MEDIA

UAS understands that many employees use social media websites in their personal lives, such as Facebook, MySpace, Twitter, blogs, etc. In general, what employees say and do outside of the office is their own business. However, if off-duty conduct or statements made outside the workplace affect working relationships, involve confidential work-related information, or impact the reputation of the organization, its employees, or its customers (including the University at Albany, students, alumni, etc.), then the organization has a legitimate reason to address such conduct through the formalized progressive discipline policy, and depending on the circumstances, through action up to and including termination.

All staff should be aware of the following:

- Essentially everything that is posted on the Internet or on a social media site such as Facebook, MySpace, Twitter, or a blog, is accessible to the general public through any computer web browser and, once published, should be considered a permanent record.
- When employees participate in social networking media and link themselves to the organization, they cross the line between what is considered personal business and what is considered job-related behavior subject to discipline.

COMPUTER AND INFORMATION SECURITY

UAS provides employees access and the use of systems (individual PC, laptops, cell phones, all associated software, telephone, voice mail and electronic mail systems) to support its mission. Although limited personal use of UAS's systems is allowed, use of these systems should not be

in conflict with the primary purpose for which they have been provided, UAS's ethical responsibilities or with applicable law and regulations. Each user is personally responsible to insure that these guidelines are followed.

UAS adheres to the policies of "Responsible Use of Information Technology" as promulgated by the University available at www.albany.edu/policies/computer_usage/. Employees using UAS computers will have no expectation of privacy with respect to use, content accessed or e-mail correspondence. This includes messages marked "private" which may be inaccessible to most users but remain available to UAS.

INTERNET USE

UAS provides employees with access to the Internet for authorized users to support its mission. No use of the Internet should conflict with the primary purpose of the organization, its ethical responsibilities, or with applicable laws and regulations.

UAS adheres to the policies promulgated by the University in the "Responsible Use of Information Technologies," available at www.albany.edu/policies/computer_usage/. Employees are directed to review section II, "User Rights and Responsibilities."

SALARY INCREASES

UAS strives to provide competitive salaries for employees, based upon market norms in the local area. Increases in salary can be made based on cost of living adjustments or based on merit. All salary increases must be approved in advance by the UAS Executive Director.

Cost of living adjustments may occasionally be arranged at the discretion of Executive Director, and are applied organization-wide to keep pace with the local cost of living.

Merit raises may be offered to reward successful performance, and are subject to availability of sufficient funds.

TIME AWAY FROM UAS

LEAVE

Employees are eligible for Leave benefits as follows:

- Employees working 0 to 19.5 hours/week: no Leave benefits.
- Employees working 20 to 29.5 hours/week: three hours of Leave per pay period.
- Employees working 30 to 37 hours/week: four and one half hours of Leave per pay period.
- Employees working 37.5 or more hours/week: six hours of Leave per pay period.

Leave is to be taken by employees for vacations and personal concerns that are not health related. Employees will begin to accrue Leave hours at the start of employment, and are permitted to begin using Leave after two complete pay periods.

Full-time employees will earn one bonus Leave day (7.5 hours) per year of service during the pay period in which their service anniversaries fall from their first to their sixth service anniversaries, after which they will receive six days of bonus leave on all subsequent service anniversaries. Part-time employees will be awarded bonus Leave hours on a pro-rated basis.

To schedule Leave time, employees must submit a request in writing to their supervisor as soon as the need for time off is known, but at least one week in advance. Requests will be approved based on a number of factors, including department operating and staffing requirements. Supervisors reserve the right to deny Leave if conditions in their departments make it impossible for the employee to be away from the office. Supervisors may request that the Leave requests be made in advance to support summer and winter breaks. The supervisor will reply in writing to the employee within three business days of the date that the request was submitted, indicating whether the request has been approved or denied. If denied, the supervisor will provide an appropriate reason to the employee.

Employees may carry a negative balance of up to 30 Leave hours during the year, though balances must be zero or positive by June 30 each year. If an employee wishes to take Leave that will produce a negative balance, approval from the supervisor must first be granted.

Leave will be paid at the employee's base rate at the time the Leave is taken, excluding overtime or any special forms of compensation, such as bonuses. If a holiday falls during the employee's Leave, the day will be charged to Holiday pay rather than Leave pay.

Employees may accrue Leave credits throughout the calendar year. A maximum of 240 hours can be carried over to the next calendar year for full-time employees, 180 hours for those working 30 to 37 hours per week, and 120 hours for those working 20 to 29.5 hours per week.

If employment is terminated, accrued unused Leave that has been earned through the last day of active employment will be paid at the daily base rate of pay in the final paycheck. If employment is terminated and the Leave balance is in the negative, the employee agrees to reimburse the organization for the cost of the Leave, also calculated at the daily base rate. In the event of the employee's death, earned unused Leave time will be paid to the employee's estate or designated beneficiary.

SICK LEAVE

Employees are eligible for Sick Leave benefits as follows:

- Employees working 0 to 19.5 hours/week: No earned Sick Leave.
- Employees working 20 to 29.5 hours/week: two hours of Sick Leave per pay period.
- Employees working 30 to 37 hours/week: three hours of Sick Leave per pay period.
- Employees working 37.5 or more hours/week: four hours of Sick Leave per pay period.

Employees will begin to accrue Sick Leave credit hours in the first pay period, and will be eligible to use them after two complete pay periods

Appropriate Sick Leave usage includes staying home or in a hospital or health care facility to recover from a physical or mental illness, injury, or operation. Sick Leave may also be used for reasonable travel time and visits to doctors, dentists or other health care practitioners because of illness, emergency, routine examination or preventive care. Sick Leave credits can never have a negative balance. If all Sick Leave credits are exhausted, the employee must begin to use Leave time.

If the employee takes more than three consecutive Sick Leave days, the supervisor may ask the employee for a note from their physician as to the ability of the employee to return to work. Disclosure of illness need not be indicated on the note; it should state "(name of employee) was seen on (date) at (time of appointment) and further may stipulate any period of partial or total incapacity to perform a job." Physician notes should be placed in a sealed envelope marked "Confidential Material" and given to the Director of Human Resources.

Employees may accrue Sick Leave credits throughout the calendar year. A maximum of 960 hours can be carried over to the next year for full-time employees, 720 hours for those working 30 to 37 hours per week, and 480 hours for those working 20 to 29.5 hours per week. Sick Leave credits must be used, accrued, donated, or forfeited. Employees are not eligible to receive monetary compensation for unused Sick Leave credits at the termination of their employment.

SICK LEAVE FOR FAMILY CARE OR BEREAVEMENT PURPOSES

Sick Leave may be used with the immediate supervisor's approval:

- To provide short term care for a family member who is ill or incapacitated as a result of physical or mental illness, injury, pregnancy or child birth;
- To provide care for a family member as a result of medical, dental or optical examination or treatment; or
- For bereavement purposes of the death of a family member.

Family is defined as a person who lives in the employee's household, blood relatives, or in-laws (regardless of place of residence.)

Full-time employees may use up to 37.5 hours of their Sick Leave credits per year for family care or bereavement purposes. Those working 20 to 29.5 hours per week may use up to 20 hours, and those working 30 to 37 hours per week may use up to 30 hours.

Family care and bereavement Leave must be approved by the employee's immediate supervisor as soon as the need is known. Use of this type of Leave must be indicated on the employee's time sheet.

Extended Leave for family care is covered under FMLA standards. If an employee believes he or she has a reason to take FMLA Leave, they may discuss their options with the Director of Human Resources.

SICK LEAVE DONATION PROGRAM

Employees who have used all of their accumulated Sick Leave time must next use their accumulated Leave time. Once the employee is out of both Sick Leave and Leave time, they may discuss the option of a Sick Leave Donation program with the Director of Human Resources.

If approved, any full-time employee may, at their discretion, donate Leave credits in full day (seven and a half hour) units. The donating employee must have a minimum Leave balance of at least ten days after making the donation. Donated Leave is taken from the donor's balance at the time it is needed by the recipient, not necessarily at the time of the donation. Any donated Leave that is not used by the recipient will be restored to the donor employee.

HOLIDAYS

The following days are observed Holidays for UAS employees, with annual dates defined by the Federal Holiday schedule:

- New Years Day
- Martin Luther King Birthday
- President's Day
- Memorial Day
- Independence Day
- Labor Day
- Columbus Day
- Veteran's Day
- Thanksgiving
- The day after Thanksgiving
- Christmas

Holidays are earned as they occur. Holidays that fall on Saturdays will be observed the Friday before. Holidays that fall on Sundays will be observed the Monday after.

If the employee is required to work because of the demands of the job, with supervisor approval, the employee may take an alternative day within the pay period in which the holiday falls. Holiday hours that are not used within the pay period will be forfeited by the employee.

OTHER LEAVE

Family Medical Leave Act (FMLA): FMLA provides up to twelve weeks of unpaid, job-protected Leave for employees for the following reasons:

- Incapacity due to pregnancy, prenatal medical care or childbirth;
- To care for a child after birth, or placement for adoption or foster care;
- To care for a spouse, son or daughter, or parent, who has a serious health condition;

- To care for a spouse, son or daughter, or parent in the Armed Forces who has a serious injury or illness incurred in the line of duty; or
- For a serious health condition that makes the employee unable to perform their job

An employee can be eligible for FMLA after a minimum of one year or a minimum of 1,250 hours worked during the twelve previous months. If an employee believes he or she has a reason to take FMLA Leave, they may discuss their options with the Director of Human Resources.

Parental and Child Care Leave: Employees, regardless of gender, are entitled to Parental and Childcare Leave without pay for up to seven months from the date of delivery or adoption of a child. Leaves without pay beyond seven months require the approval of the Executive Director and may not exceed two years of Leave without pay.

Military Duty Leave: All employees, regardless of FLSA status, are granted time away from work for service or training in the United States Armed Forces, in compliance with the federal Uniformed Services Employment and Re-Employment Rights Act (USERRA). An unpaid Military Leave for a cumulative period of up to five years for continuous active duty is available. If an employee believes to have a reason to take Military Leave, they may discuss their options with the Director of Human Resources.

Educational Leave: Leave for the attendance at seminars, conferences and training sessions required by the immediate supervisor and the Executive Director will be granted with pay. Educational Leave is considered “hours worked” in terms of computing overtime for non-exempt employees.

Jury Duty Leave: All employees, regardless of FLSA status, may report for jury duty or as a subpoenaed witness in a court of law or administrative proceedings without charge to Leave credits, provided the employee is not a party to the action. Employees will be paid for the days missed from work up to \$120, which represents the first \$40 of the employee’s wage for the first three days of jury service only. All employees must notify their supervisor in writing as soon as possible after being contacted by a jurisdiction and provide a copy of the written notification. In addition, the employee must provide a record of jury attendance from the court. Non-exempt employees should include copies of the notification and record of jury attendance with their timesheet for the pay period when Jury Duty Leave is taken.

Election Leave: UAS provides employees who are entitled and registered to vote in any state-wide election up to two hours of paid Leave between the time the nearest polling place opens and closes, at the beginning or end of a scheduled shift. Employees may only take paid time off if

their schedule does not provide them sufficient time during non-work hours to vote. Employees must notify their supervisor in writing at least two days prior to the election.

Blood Donation Leave: UAS provides up to three hours of unpaid Leave in a calendar year for Blood Donation to employees who work 20 or more hours per week. The three hours need not be consecutive, however, Blood Donation Leave hours do not carry forward to the next calendar year.

Nursing Mother Breaks: Under New York State law, UAS provides reasonable unpaid breaks for working mothers to express milk. In addition, UAS permits mothers to use paid break time to express milk. UAS will make arrangements for a private room, near the work space, for mothers to use to pump milk. Please contact the Director of Human Resources for reasonable accommodations.

LEAVE OF ABSENCE WITHOUT PAY

Employees wishing to take a short leave of absence (not to exceed 60 days without pay) may submit a written request to the Executive Director. If granted, all benefits will remain in effect during the short leave.

Employees wishing to take a longer leave of absence greater than 60 days up to a maximum of one year without pay may submit a written request to the Executive Director, outlining the need for the leave and approximate length of time away from work. Leave will be granted at the discretion of the Executive Director. Leave requested for medical reasons will require appropriate documentation from a healthcare professional. During the period of extended leave without pay, UAS will continue health and dental insurance coverage at full cost to the employee. Leave and Sick Leave do not accrue during the period of extended leave without pay.

An employee must file a written notice of intent to return to work at least 30 calendar days before the resumption of work. Employees who fail to report to work after an approved leave of absence are deemed to have resigned without notice.

TELECOMMUTING POLICY

UAS considers telecommuting to be a viable alternative work arrangement in certain unusual situations. Telecommuting allows an employee to work at home, on the road, or in a satellite location. Telecommuting is not an entitlement; it is not a company-wide benefit; and it in no way changes the terms and conditions of employment with UAS. Employees must always get approval from their direct supervisor before telecommuting.

Telecommuting is only permitted at certain times and in certain situations. Some reasons that an employee may request the opportunity to telecommute are:

- Pregnancy, illness, or injury that could potentially put the employee or other staff in danger if they were to show up to the worksite; Leave or Sick Leave must be taken in the event that the employee is too ill or unable to complete their job requirements;
- Illness or injury of a family member that would obligate an employee to stay closer to home than in the worksite;
- In cases of extreme weather, such as a snow storm that causes major roadways to close;
- In cases of a pandemic outbreak.

Employees whose main job responsibility is face to face interaction with customers or clients will generally not be eligible to telecommute. Employees who wish to telecommute must have the appropriate work materials in order to telecommute (i.e. laptop, telephone, Internet, and E-Mail access.) UAS will not provide additional resources to employees for the sake of telecommuting.

If possible, telecommuting requests should be submitted to the employee's direct supervisor as soon as the need to telecommute is known. Requests must be made in writing to the direct supervisor for documentation purposes. Any and all telecommuting requests may be denied by the employee's supervisor and/or the department head if such requests could have a potentially negative impact on the department or the organization as a whole. Supervisors are also advised to scrutinize particularly over employees who have had recent disciplinary or performance issues before granting telecommuting privileges.

Once a telecommuting arrangement has been approved, the employee is responsible for maintaining regular contact with his or her supervisor. The direct supervisor will be the employee's primary contact within the central work location. It is expected that the direct supervisor and the employee will act together to keep each other apprised of events or information obtained during the working day. The employee is responsible for emailing the supervisor and the Director of Human Resources at the end of the work day to inform them of what projects and tasks were completed.

Employee job responsibilities will not change due to telecommuting. Professionalism in terms of job responsibilities, work output, and customer orientation will continue to follow the standards set by UAS. The amount of time an employee is expected to work will not change due to telecommuting. Employee work hours will be mutually agreed upon by the supervisor and the employee. In the event that business conditions require the telecommuting employee's presence at a central work location function, meeting, or other event, the employee is

expected to report to the central work location, even if such occurs during normally scheduled telecommuting hours.

The length of time that an employee is eligible to telecommute is determined on a case by case scenario, and will be determined by the employee's supervisor and the department head, with guidance from the Director of Human Resources. Telecommuting requests of greater than three consecutive days or five days in a month must be approved by the Executive Director.

EMPLOYEE BENEFITS

BENEFITS OVERVIEW

UAS is committed to providing a competitive package of benefits to all eligible full-time and part-time employees. The following description of available benefits is provided with the understanding that benefit plans may change from time to time. UAS will communicate these changes in a timely fashion to all employees. Levels of deductibility and co-payments will be determined annually.

Below is a summary of the benefits offered to employees via voluntary payroll deductions. Employees must fill out paperwork from the Director of Human Resources to have these voluntary benefits. All employees will have mandatory payroll deductions taken from their paycheck. Mandatory deductions include Social Security, Medicare, state and federal taxes. An employee's paycheck may be garnished by court order for alimony, child support, delinquent loans or other reasons. Although employees are required to fill out state and federal tax documents at the time of employment, other mandatory deductions do not require the employee's written authorization.

HEALTH INSURANCE

UAS makes available health care coverage at group rates to all full and part time, non-student employees. Coverage begins on the first day of the month following the date of employment. The cost of health insurance is shared between the employee and UAS. Employee's payments are made through pre-tax payroll deductions. UAS currently pays for 90% of individual insurance premium, and 75% of the premium above the individual rates for employee plus one and full family coverage. Please see the annual "Benefits Summary" for details on current providers, as well as individual and family rates.

Employees who elect not to be covered by one of the UAS plans are required complete a Waiver of Health and Dental Insurance Coverage form. Employees who initially waive health coverage can join the UAS plan during the annual open enrollment period in December. Please contact the Director of Human Resources for details.

Employees can elect to change health care providers during the open enrollment period. Each year, UAS will issue new payroll deduction and benefit comparison information before the open enrollment period.

DENTAL INSURANCE

UAS makes available dental coverage at group rates to all full and part time, non-student employees. Coverage begins on the first day of the month following the date of employment. The cost of dental insurance is shared between the employee and UAS. Employee's payments are made through pre-tax payroll deductions. UAS currently pays for 90% of individual insurance premium, and 75% of the premium above the individual rates for full family coverage. Please see the annual "Benefits Summary" for details on the current provider, as well as individual and family rates.

An employee who is eligible for dental coverage but chooses not to be covered under the UAS plan must complete a Waiver of Health and Dental Insurance Coverage Form. If an employee initially waived dental coverage because he or she was covered under another group plan, the employee can join the UAS plan during the open enrollment period, or under a specific set of circumstances. Please contact the Director of Human Resources for details.

FLEXIBLE SPENDING ACCOUNT

Benefits-eligible employees have the opportunity to pay for eligible medical and dependent care expenses on a pre-tax basis when enrolled in one, or both of the offered Flexible Spending Accounts (FSA). Plan participants designate an annual amount within 30 days of hire or during open enrollment up to a maximum of \$2,500 for health care expenses, and \$2,500 (if filing single) or \$5,000 (if filing jointly) for dependent care expenses in a given year. The amount designated is divided evenly by the number of pay periods during the calendar year, and deducted from employee paychecks over the course of that same year on a pre-tax basis. Employees are given a debit card pre-loaded with the full amount of the FSA dollars that have been elected in a given calendar year.

Any FSA balance remaining by December 31 is forfeited. Please contact the Director of Human Resources for details and a list of eligible medical expenses.

DOMESTIC PARTNERSHIP

UAS offers healthcare and dental benefits to provide coverage for domestic partners of benefits-eligible employees enrolling in certain plans. The Director of Human Resources can clarify what plans include domestic partner coverage. Coverage is offered to both same-sex and opposite-sex domestic partners, as well as the children of covered domestic partners. Benefit-eligible employees must be residing in the same household as their domestic partner, and must be able to provide proof of financial interdependence. A complete list of approved documents to prove financial interdependence is available from Director of Human Resources.

Rates for employee/domestic partner coverage will be the same they are for employee/spouse coverage. If the employee and domestic partner are enrolling dependents as well, their deductions will be withheld at the Full Family rate.

CONTINUATION OF BENEFITS AT RETIREMENT

Full-time UAS employees are eligible to apply the value of unused Sick Leave credits to purchase extended medical and dental coverage at retirement if they meet the following criteria:

- The employee has worked at least fifteen consecutive years for UAS;
- The employee is at least fifty-five years old;
- The employee has accrued a minimum of 160 hours of Sick Leave credits.

Employees must declare that they wish to extend their benefits within 14 days of their retirement. If the Director of Human Resources has not been notified within this time frame, this option will be lost.

Sick Leave credits are determined at the date of retirement and are calculated based on the pay rate of the employee at that time. Employees who are discharged by UAS or who voluntarily separate from employment while under investigation for misconduct are not eligible for this benefit.

The value of Sick Leave credits will constitute an accrued health benefit fund. The fund is then set aside by UAS to be used by the retiree to pay for health and dental insurance coverage. The fund does not earn interest.

The retiree may use the money to continue the coverage under a UAS sponsored health and/or dental plan, or may choose to participate in a separate plan. UAS will pay for individual or multiple participants' coverage, including family. If a retiree decides to participate in an alternative health care plan, UAS will pay directly the health care provider upon timely submission of a provider's invoice.

Coverage provided under the terms of this plan will automatically cease when the value of the fund is no longer sufficient to cover the premiums. The Director of Human Resources will notify the retiree when the funds have depleted.

Employees who are interested in this coverage at retirement are encouraged to meet with the Director of Human Resources to discuss their options prior to their retirement date.

RETIREMENT PLANS

To help employees' plan their financial future, UAS offers TIAA-CREF administered retirement plans. While the TIAA-CREF plan documents define and control the terms and conditions of the plan, this Handbook provides a general description of the current plan benefits. All employees working more than 1,000 hours each year may participate in the Defined Contribution Retirement Annuity Plan (RA). Participation begins immediately upon employment and after UAS's receipt of a completed application form. UAS will contribute ten percent of the employee's annual compensation. At the end of one year of service, an employee is fully vested in the company's matching contributions. Employees can allocate funds as they choose, and change the allocations at any time.

In addition, all non-temporary employees may elect to participate in a Supplemental Retirement Annuity plan (SRA). This is a salary reduction plan, and amounts contributed will not be taxed until they are withdrawn. Contributions made under this plan are voluntary and may begin at any time. Employees have the option to change the amount of their contributions anytime they choose. UAS will transmit bi-weekly a portion of the employee's paycheck to TIAA-CREF to be credited to the investment account(s) chosen by the employee.

Under both RA and SRA plans, employees can allocate funds as they choose, and change the allocations at any time.

Employees are urged to consult with a TIAA-CREF advisor in matters related to retirement plans. The Director of Human Resources is not authorized to give tax or investment advice.

LIFE INSURANCE

All active full-time employees are eligible to be covered under a Term Life Insurance and Accidental Death and Dismemberment Insurance policy through Guardian with no waiting period and at no cost to the employee. Employees are covered for an amount equal to 200% of their annual earnings to a maximum of \$150,000. A form must be completed at the beginning of employment to ensure coverage.

Within 31 days from separation of employment, an employee may elect to continue the Basic Term Life Insurance at his or her own expense by converting the group policy to an individual one. Terminated employees can contact the Director of Human Resources if they are interested in this option.

LONG TERM DISABILITY INSURANCE

UAS offers a policy which insures all active full-time employees against economic hardship in case of extended (more than 180 days) illness or injury. The cost of this insurance is paid in full by UAS. The insurance provides gross monthly benefits equal to 60% of the prior month's earning to a maximum of \$2,500. Completion of a form at the beginning of employment will activate the long-term disability insurance.

Coverage ends under this plan on the date that active, full-time employment is terminated.

TUITION REIMBURSEMENT POLICY

UAS offers all full time employees (non-student titles) the opportunity for educational development in the form of tuition reimbursement. This service is designed to assist employees in continuing their education towards a degree. It is also intended to aid employees in learning skills that will help them best function in their position, or in a position of increased responsibility within the University at Albany community. Employees are expected to continue working full time at UAS throughout the duration of the course covered by tuition reimbursement, as well as a reasonable expectation that their employment will continue beyond the course duration so that the University, as well as the employee, will benefit from the acquired knowledge.

The amount of reimbursement is equal to 75% of up to the full-time rate per semester at SUNY in-state rates. If an employee wishes to enroll in a college or university outside of the SUNY system, the maximum reimbursement will be at the rate of 75% of SUNY in-state rates, at either the undergraduate or graduate level. Only tuition may be waived. Other course expenses, such as textbooks and University fees, are the responsibility of the employee. Reimbursement takes place at the successful completion of the course. Successful completion is defined as a grade of a B or better. Employees who receive a grade below a B or who drop courses are responsible for any charges billed by the campus.

Employees must complete and submit an Application for Tuition Reimbursement prior to the start of any course. These applications are available from the UAS Director of Human Resources. All applications require the approval of the employee's immediate supervisor. Employees will be notified by letter as soon as action has been taken on their application.

Every effort should be made by employees to schedule classes outside of normal work hours. However, UAS understands that this is not always possible within certain degree programs. If an employee must enroll in a class that meets when they are scheduled to work, the employee must make arrangements with his or her supervisor to ensure that all work assignments are completed.

If UAS requests an employee to take specific course work, the agency will assume the cost of the entire course and provide payment prior to the course registration date.

UNIVERSITY OFFERED BENEFITS

Employee Assistance Program: As a member of the University community, UAS staff members are permitted to use the University's Employee Assistance Program (EAP) resources, free of charge. The EAP Office offers assistance for a wide variety of issues, including family and relationship problems, work stress, inter-personal difficulties, intense emotions, substance abuse or dependency, aging parents, and financial concerns. The EAP program is a confidential resource and referral agency. Employees may call the EAP Program Coordinator on a confidential basis at (518) 442-5483. Please visit the EAP webpage for additional information at www.albany.edu/eap.

Fitness Facilities: All UAS employees are permitted to use the University fitness facilities free of charge. This includes the gymnasium (SEFCU Arena), the fitness center, and the pool. Additionally, fitness classes may be offered at different times throughout the year for free or a minimal fee. Employees must present their SUNYCard for access to these facilities and to register for fitness classes. Please contact the Director of Human Resources or visit the Athletic Department's website at www.ualbanysports.com for more details.

University Libraries: All UAS employees are permitted to use the University libraries free of charge. This includes the Dewey Library, the University Library, and the Science Library. Please contact the Director of Human Resources or visit the University Library's website at www.library.albany.edu for more details.

U-Kids Child Care Center: U-Kids Child Care Center is a satellite of Campus Children's Center, Inc., and is located on the ground floor of the Dutch Quadrangle. The Center provides a diverse, educational, friendly, and safe environment that meets the needs of children. In accordance with the Department of Social Services' regulations, the goal of the U-Kids Child Care Center is to provide quality, affordable child care designed for the University at Albany students, faculty, and employees in a safe atmosphere. The Center operates Monday through Friday, 7:30 a.m. until 5:30 p.m., and services children aged eight weeks through twelve years. Please call (518) 442-2660 for rates and more details.

LEAVING UAS

VOLUNTARY SEPARATION

Resignations with Notice: Employees who intend to resign from employment with UAS are expected to provide at least two weeks written notice. Under normal circumstances, employees will not be granted Leave time during the resignation period. Employees will receive earned salary, wages, and unused accrued Leave time on the next regular payday. Unused accrued Sick Leave will not be paid. Employee benefits will end upon separation, unless otherwise noted by law. Employees eligible under COBRA to continue their group health plans coverage may do so at their own expense. Employees will meet with the Director of Human Resources before leaving the organization for an exit interview, and will be able to clarify any questions involving the conversion of voluntary benefits.

Resignation without Notice: Employees who do not provide the required minimum two weeks' notice will not receive payment for unused Leave time. Unused accrued Sick Leave will not be paid. Employee benefits will end upon separation, unless otherwise noted by law. Employees eligible under COBRA to continue their group health plans coverage may do so at their own expense. Failure to return to work at the end of an authorized leave will be considered a resignation without notice. Absences of three or more consecutive days without notification to UAS will be considered a resignation without notice, unless an employee can prove that it was impossible to notify the immediate supervisor or the Director of Human Resources.

Retirement: UAS requests at least one month written notice from employees who are retiring. Employees who do not provide a one month notice will likely not have their retirement benefits activated in time. Retiring employees will receive earned salary, wages, and unused accrued Leave time on the next regular payday. Unused accrued Sick Leave will not be paid. Employee benefits will end upon separation, unless otherwise noted by law. When an employee is nearing retirement, he or she should make an appointment with the Director of Human Resources review conversion voluntary of benefits, as well as to conduct an exit interview.

INVOLUNTARY SEPARATION

Discharge: In the event that it becomes necessary to discharge an employee, a supervisor, with the prior approval of the Executive Director and in consultation with the Director of Human Resources, may do so upon proper notice to the employee. Any discharged employee will receive earned salary or wages no later than the following regular payday. A discharged employee will not receive payment for unused accrued Leave or Sick Leave. Benefits will end immediately upon discharge, except those otherwise noted in this handbook or by law.

Employees eligible under COBRA to continue their group health plans coverage may do so at their own expense.

Layoff: Employees working in certain departments may be laid off if UAS is no longer operating certain functions as requested by the University. In the case of layoffs, employees will receive earned salary, wages, and unused accrued Leave no later than the following regular payday. Unused accrued sick leave will not be paid. Employee benefits will end upon separation, unless otherwise noted in this handbook or by law. Employees eligible under COBRA to continue their group health plans coverage may do so at their own expense.

RETURN OF PROPERTY

Employees are responsible for UAS's equipment, property and work products that may be issued to them and/or are in their possession or control, including but not limited to:

- Cell phones;
- Credit cards;
- SUNYCard and office keys;
- Special permit and parking tags;
- Computers and other technological devices (e.g., flash drives, printers, external hard drives, etc.);
- Intellectual property (e.g., written materials, work products);
- UAS records (written and electronic).

In the event of separation from employment, employees must return all UAS's property that is in their possession or control. Where permitted by applicable law(s), UAS may withhold from the employee's final paycheck the cost of any property, including intellectual property, which is not returned when required. The Director of Human Resources may also require the return of UAS property in cases of disciplinary action.