

Admin Tech Specialist Handbook

09/22/2021

Administrative and Technical Specialist Handbook

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1.1 ABOUT THIS HANDBOOK

This handbook is intended to provide a summary of procedures, policies, guidelines, and current benefit plans for **Administration and Technical Specialist Staff** only. However, it does not constitute a contract between the University and its employees. Contents may be changed, modified, or deleted at any time, with such actions being announced by the Office of Human Resources.

1.2 EMPLOYEE RELATIONS POLICY

Employees are a critical resource of Alfred University and related policies are meant to help ensure a high quality of work life for employees. In this spirit, it is intended that policy development be established with appropriate consultation in a supportive environment based on mutual trust and respect, within a framework of the highest ethical and professional standards.

1.3 HIRING AND EMPLOYMENT PRACTICES

Alfred University is an Affirmative Action, Equal Opportunity Employer and is committed to designing personnel policies that help to ensure equal employment opportunities for all individuals. As such, personnel decisions and practices are based strictly on job-related criteria.

It is against Alfred University's policy to discriminate against, or tolerate the harassment of, any employee or applicant for employment on the basis of race, color, national origin or ancestry, citizenship, religion, age, gender, gender identity or expression, physical or mental disability, sexual orientation, marital status, veteran status, genetic predisposition or carrier status, political activities or other protected legal activities conducted outside working hours, and any other status protected by law.

Any employee who believes s/he has experienced such discrimination or harassment should immediately report such action to their supervisor or the Office of Human Resources.

1.4 ORGANIZATION AND GOVERNANCE

1.4.1 History of the University

Alfred University was incorporated by special act of the New York State Legislature on March 28, 1857, "for the purpose of promoting education by cultivating art, literature and science". The statutory college known as the **New York State College of Ceramics** was created on April 11, 1900 as "the state school of clay-working and ceramics". It is administered by Alfred University for the state university trustees.

Throughout the handbook, references will be made, as appropriate, to Non Statutory or Statutory, since certain policies and procedures may apply only to a particular sector. In such cases, application will be specified. Should such specification not be included, it is then to be assumed text refers to both sectors.

1.4.2 Board of Trustees

The estate, powers and business of the Alfred University Corporation are vested in, controlled, and managed by a Board of Trustees. There are three classes of 11 trustees so that each year a third of the Board comes up for election. University By-Laws prescribe how trustees are to be recommended for election by the Board's Human Resources Committee, a committee composed of the chairs of the Executive, Finance and Academic Affairs Committees. The Chairman of the Board and the President of the University serve as ex-officio members of this committee, with other membership eligible for appointment as designated by the Board Chair.

Although the Board provides general oversight in the administration of the University, the President and his Cabinet of Senior Administrators are charged with the day-to-day operation and administration of the institution.

1.4.3 Organizational Structure

When the President is absent from the campus, the Provost presides over the administration of the University. In the Provost's absence, the following order of delegation is in effect:

- Vice President of Business and Finance
- Vice President of University Advancement
- Vice President for Enrollment Management/Associate Provost
- Vice President for Student Affairs
- Academic Deans

1.4.4 Committee Structure and Policy

The Administrative/Technical Specialist Council, with its own constitution and bylaws, exists to represent the needs and concerns of these employees. In addition, many other varied committees exist to advise and assist in conducting University business.

Membership and terms vary, as does the level of activity. Personnel are encouraged to become active in such professional services. The Provost's Office maintains and annually distributes a current listing of standing committees and their respective memberships.

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2.1 NEW EMPLOYEES: REGULAR FULL OR PART-TIME

Prior to rendering service to the University, regular full or part-time employees must schedule a meeting to register with the Office of Human Resources, a step prerequisite to official placement on the payroll, enrollment in applicable benefit programs, and receipt of an identification card and other pertinent employment information.

2.2 PROVISIONS OF APPOINTMENT

2.2.1 Classification

2.2.1.1 Regular Designations

Determined at the time of recruitment, positions are generally designated as falling into one of the following categories: Administration, Faculty, Technical Specialist, Hourly Professional or Support Staff.

2.2.1.2 Other Designations

Called "Administrators with Academic Rank", some administrators carry academic rank as well, thus having the right to vote in University and College faculty meetings. Such eligibility will normally be restricted to the President, Provost, Academic Deans, and the University Librarian. This standing list may be modified only by the President following appropriate consultation. Should such modification occur, the President will provide written notice to the faculty and the Office of Human Resources for recordkeeping and implementation purposes.

Other administrators, who teach on a part-time or occasional basis, may have academic rank during those periods in which such teaching responsibilities occur. However, voting privileges in University or College faculty meetings are not inherent to these special designations unless specifically authorized in writing by the President.

Unless such employees come to these designations already having achieved tenure at Alfred University, neither tenure nor a tenure track is inherent to the "Administrator with Academic Rank" designation, unless specifically authorized in writing by the President.

2.2.2 Full-Time vs. Part-Time Status

Full-time employees are those regularly scheduled to work at least 35 hours (in NYS College of Ceramics, 37.5 hours) per week for a minimum of nine months per year. Those not scheduled according to this standard are considered part-time employees. Letters of appointment specify an employee's full- or part-time status.

2.2.3 Regular vs. Temporary Status

2.2.3.1 Regular

Regular employees are those on the University payroll who are employed for an indefinite time period and who are not designated as temporary.

2.2.3.2 Temporary

Temporary appointments are those granted for a fixed term in order to supplement the regular workforce, and are so defined at the time of employment. Any benefits for Temporary assignments will be outlined in the appointment letter and may vary depending upon length of assignment and full or part time status. Temporary employees are subject to the policies and procedures in this handbook, unless stated otherwise.

Employment beyond an initially determined fixed term is not to be construed as a change in an employee's temporary status since temporary appointments may be renewed for fixed terms subject to applicable laws and regulations.

2.2.4 Exempt vs. Non-Exempt

Administrative and technical specialist employees are considered exempt employees, such definition meaning that the employee is not subject to the overtime provisions of the Federal Fair Labor Standards Act and New York State Pay Provisions.

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3.1 POSITIONS DESCRIPTIONS

It is required that an up-to-date position descriptions accompany all recruitment requisition forms filed with the Office of Human Resources. It is the responsibility of both the employing department as well as the Office of Human Resources to keep such descriptions on file.

It is the joint responsibility of the employee and supervisor to review such summaries during annual performance evaluations. At the time of such review, substantial changes should be documented by the supervisor and a revised description placed on file in both the department and the Office of Human Resources.

3.2 PROBATIONARY PERIOD

Upon being hired or rehired, all new staff will be in a probationary period for their first 90 calendar days. Employees promoted or transferred within the University will also complete a probationary period of the same length of time with each assignment to a new position. Employee absences or holiday leaves will automatically extend the probationary period by the length of the absence or leave.

During this period, the supervisor will strive to provide the employee with the job knowledge, training, skills and supervision needed to competently perform his/her work. This is an important time for both Alfred University and the employee since it provides the employee with an opportunity to evaluate the University in relation to his/her needs, and provides the University an opportunity to do the same.

Before the close of the probationary period, the supervisor will evaluate the employee's performance since beginning the job. At that time the supervisor will decide whether to continue or end the employee's employment. If the supervisor determines that the designated probationary period does not allow sufficient time to thoroughly evaluate the employee's performance, the probationary period may be extended for up to three additional months. In addition, should the supervisor feel the employee is not making the desired progress at any time during the probationary period, the employee's employment may be terminated. Upon satisfactory completion of the probationary period, the employee is classified as a regular full-time employee or regular part-time employee. Satisfactory completion of the probationary period does not guarantee future employment.

3.3 PERFORMANCE EVALUATIONS

In a process initiated by the Office of Human Resources, evaluation of all regular administrative and technical specialist staff is scheduled to take place on an annual basis.

3.4 RULES OF CONDUCT

No listing can capture all responsibilities of employment. The following list contains some, but by no means all, of the more serious problems, which require disciplinary action up to and including termination of employment with the University:

- Falsifying or misrepresenting University records

- Falsifying leave reports and failing to record all time taken off
- Violating University policies or rules, including but not limited to those set out in this Handbook
- Insubordination or refusal to comply with supervisory instruction
- Engaging in acts of dishonesty, fraud, theft, or unauthorized use of University property or time
- Unauthorized possession of firearms or other weapons on campus
- Physically assaulting, threatening, intimidating, or using abusive language or behavior toward other employees

3.5 DISCIPLINARY AND CORRECTIVE ACTION

3.5.1 Conditions

The University will issue disciplinary or corrective action to regular employees as appropriate to the facts of a particular situation, the nature of such action dependent on the severity of the problem and other pertinent factors. Action may include, but is not restricted to, a verbal or written warning, suspension with or without pay, or termination of employment. Supervisors are to consult with the Office of Human Resources before undertaking any disciplinary and/or corrective action. Temporary employees may be terminated at any time and for any reason with or without having received any type of disciplinary and/or corrective action.

3.5.1.1 Verbal Warning

A verbal warning is considered to have taken place when the supervisor verbally informs the employee of a problem related to employment and discusses the need for correction. Supervisors will document such activity and provide a copy to the Office of Human Resources to be included in the employee's official Personnel File. The verbal warning should include the date of the verbal warning, the nature of the problem and the expectations discussed.

3.5.1.2 Written Warning

A written warning requires that the supervisor inform the employee in writing of the problem, the need for correction, the time period during which correction is to take place, and the consequences of a failure to do so. As evidence of receipt of the written warning, employees will be asked to sign such warnings. A copy of the signed warning notice will be maintained by the supervisor and the original sent to the Office of Human Resources for placement in the employee's official Personnel File.

3.6 GRIEVANCES -OTHER THAN TERMINATION OF EMPLOYMENT GRIEVANCES

Employees may, from time to time, have concerns or disputes regarding some aspect of employment. To settle such concerns, employees are invited to discuss such issues with the immediate supervisor. Although this course of action is preferred, employees may also contact the Office of Human Resources to assist in the resolution.

3.7 TERMINATIONS

All administrators and technical specialists are employed at-will unless a written statement to the contrary is issued, detailing the terms, and either signed by the President or denoting that such agreement is with the express approval of the President. Otherwise, terminations may occur for any reason, with terminal salary payment according to the following specifications. In all cases of pending termination, supervisors are required to work in coordination with the Office of Human Resources. Termination of temporary employees may occur at any time.

3.7.1 Layoffs

Layoffs may occur when a regular (not temporary) job: (1) is eliminated; (2) is redefined and the incumbent does not have the newly required qualifications; or, (3) has evolved in terms of expectations and the incumbent has not kept up with the skills associated with such evolution.

In such cases, the University will provide employees with two weeks wages and one week for each completed year of service with the University, up to a total terminal salary equivalent of six weeks' pay.

3.7.2 Terminations for Unsatisfactory Work Performance

Termination may occur if, in the judgment of the supervisor, an employee is not satisfactorily performing the responsibilities inherent to the job despite his/her good faith efforts to do so. Before termination, the University will generally provide regular employees with written notice of the deficiencies, specifying a period of time for improvement and final consideration.

In such cases, the University will provide employees with two weeks wages and one week for each completed year of service with the University, up to a total terminal salary equivalent of six weeks' pay.

3.7.3 Other Terminations

Termination may also occur for reasons other than those involving unsatisfactory work performance or layoff as defined above. Such termination may include, but is not limited to, termination for misconduct. (See "Rules of Conduct" in preceding text for selected examples of misconduct.)

Should factors related to such termination involve the need for an investigation into employee conduct, the University may suspend or transfer a regular employee until the investigation is completed. In such instances, a regular employee's compensation will continue at a level consistent with that at which the suspension or transfer occurred.

Terminal pay consideration for terminations falling into this category will be at the discretion of the President. The University will not generally provide terminal salary for those terminations associated with misconduct. Terminal pay will not be provided to temporary employees.

3.7.4 Termination Grievance Procedure

Eligibility: Regular Employees

A grievance procedure is available to administrators and technical specialists to help resolve major differences relative to termination. This procedure, which is available to deal with questions of fact, interpretation, and other elements of the personnel dispute (as opposed to matters of University policy) is to function as follows:

3.7.4.1

If an employee has a dispute relating to his or her termination, they should submit the grievance in writing to the Office of Human Resources within five business days of being informed of the termination decision. The Officer will review the issues of the complaint with the supervisor, with the HR Director, then submitting a written decision indicating whether the termination decision is to be upheld.

3.7.4.2

If the dispute remains unresolved, the employee may, within five business days of being so informed, submit a written request for review by the appropriate Vice-President. (Note: Should the immediate supervisor be the Vice President, or if the Vice President made the termination decision, the President will undertake the review.) Following such review, the Vice President will provide final determination on whether the termination is to be upheld.

3.8 SEPARATION PROCEDURES

3.8.1 Notification

The relevant supervisors and Office of Human Resources are to be notified, in writing, as soon as an employee knows s/he will be leaving University employment, the anticipated last day of work being clearly specified in such communication. (Except in the case of the most senior management where three months' notice is generally requested, one months' notice is customary.) The last day actually worked will be the termination date. Employees may not extend their employment by electing to take vacation days after their last day of actual work. On receipt of such written notification, the Office of Human Resources will provide written confirmation of final compensation and benefit arrangements.

As relevant, it is the responsibility of the employee to provide a forwarding address to all involved offices for the purpose of future communication as it may be necessary and/or required by law.

3.8.2 Return of University Property

At the time of separation from employment, the employee is required to return all University property. This includes, but is not limited to, such items as the following: handbook, keys, tools, identification cards, supplies, equipment, information/records/documents, and anything else the employee may have that is the property of the

University. A checklist will be provided to assist with documenting the return of all required property.

If the employee fails to return University property in his/her possession, the University reserves the right to take appropriate action, hold the employee legally responsible and/or require restitution.

3.9 BRIDGING OF PRIOR SERVICE

Eligibility: Regular Employees, except those covered by a collective bargaining agreement

A regular employee who has prior service with the University may be eligible for bridging of the service based on the Bridging of Prior Service policy. The full policy may be viewed by clicking [Bridging of Prior Service](#).

3.10 EMPLOYMENT OF RELATIVES

No employee shall have supervisory authority over a member of his or her family. Such supervisor relationships create the impression that the supervisor could be influenced by the relationship, either positively or negatively. The full policy may be viewed by clicking [Employment of Relatives](#).

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4.1 SALARY BASE AND INCREASES

All regular employees may receive annual across-the-board salary increases, merit increases, a combination of both, when approved by the Board of Trustees. However, compensation adjustments are not guaranteed.

4.2 PAYROLL PERIODS

Alfred University paychecks are distributed on a bi-weekly basis. Employees hired after July 1, 2008, will be compensated for services rendered in the pay period previous to the date of the check. This is referred to as a lagged payroll.

Special compensation arrangements normally apply to those full-time regular employees working 9, 10, or 11 months per year. It is intended that compensation be evenly distributed throughout the 12 months beginning 8/15 through 8/14. (This

arrangement may be varied according to the employee's initial letter of agreement upon hire.) If your employment with the University should terminate before the designated term of employment, your total salary will be adjusted on a pro rata basis to reflect actual time worked.

4.3 RECORDING LEAVE TIME

Accurately recording time away from work as vacation, floating holiday, personal, sick, family sick, or FMLA is the monthly responsibility of the employee. Employees should record the number of hours missed on the electronic leave report in Bannerweb under the correct classification and submit to their Supervisor for approval. This will update leave balances and reflect accurately any time missed from work.

4.4 ATTENDANCE AND PUNCTUALITY

Each employee is expected to work his/her work schedule as assigned by management. Management reserves the right to change an employee's work schedule at any time as needed, and will try to give the employee as much advance notice as possible given the circumstances.

Only management may make or approve changes to an employee's work schedule. An employee may not alter his/her own work hours, make arrangements to have another employee work in his/her place, work for another employee in his/her place, or make any other alterations to work schedules without the prior approval of the supervisor.

Punctual and regular attendance is an essential function of the job and is expected of everyone. Punctuality and attendance are as important for satisfactory performance as applying yourself while at work. Whenever you are unable to report for work, you are expected to notify your supervisor as soon as possible, preferably before the start of your work day, for every day you are absent.

In the event that you are absent for three consecutive work days without notifying your supervisor, as required, you will be considered as having resigned unless extenuating circumstances can be shown which made such notification impossible.

4.5 DIRECT DEPOSIT

Direct deposit is a service provided to employees by the University for the convenience of the employee. Participants may have paychecks directly deposited into any participating institution. Though this option is normally offered and selected at the employee's introductory benefits meeting, the election may be started or changed at any time by contacting the payroll office for an authorization form.

The Payroll Department distributes pay advices specifying wages and payroll deductions to all participants via email during the payroll week.

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5.1 HOLIDAYS

Eligibility: Regular Employees

The University grants 12 paid holidays. Employees are also allowed time off with pay (not to exceed ½ day) to attend one major religious holiday service each calendar year. The schedule is published and distributed annually by the Office of Human Resources. This benefit is available immediately after hire.

All employees must work their last and first scheduled day adjacent to the Holiday in order to receive holiday pay.

5.2 PERSONAL DAY AND FLOATING HOLIDAY - NON STATUTORY SECTOR

Eligibility: Regular Employees

In addition to vacation and paid holidays as noted, ATS staff are granted one paid Personal Day and one paid Floating Holiday annually on January 1 for non-statutory employees and the anniversary date for the statutory employees. Employees who are in an unpaid status on the first day of work in a calendar year must return to work in order to be awarded these days for that calendar year. Such days are to be scheduled at the mutual convenience of supervisor and employee and may be taken in 1 hour increments.

Non-statutory sector employees must use these days during the calendar year in which they were issued; statutory sector employees must use these days during the anniversary year in which they were issued.

5.3 VACATION LEAVE

5.3.1 Non Statutory Sector

5.3.1 Non Statutory Sector

Regular administrators and technical specialists accrue vacation days as detailed in the Vacation Policy located on the Human Resources Employment Policies page. Such vacation is to be scheduled at those times mutually agreeable to the supervisor and employee. In some cases, depending on the position, it may be specified that vacation must be taken when the University is not "in session".

Administrators/Tech Spec Non Statutory (Exempt)- 70 hours per Bi-Weekly (Hired before 6/30/19)

Years of Service	Days	Hours	Hours Accrued Per Pay-Period	Max Accrual Days
Date of Hire	25	175	6.73	37.5

Administrators/Tech Spec Non Statutory (Exempt)- 70 hours per Bi-Weekly (Hired after 7/1/19)

Years of Service	Days	Hours	Hours Accrued Per Pay-Period	Max Accrual Days
Date of Hire	20	140	5.39	20

For those full-time employees working less than 12 months during the calendar year, vacation will be determined on a case-by-case basis according to the requirements inherent to the position description. Specifications will be so defined in the initial letter of agreement.

5.3.2 NYS College of Ceramics

Regular administrators and technical specialists accrue vacation days as detailed in the Vacation Policy located on the Human Resources Employment Policies page.

Administrators/Tech Spec Statutory (Exempt)- 75 hours per Bi-Weekly Hired before 6/30/2019

Years of Service	Days	Hours	Hours Accrued	Max Accrual Days
Date of Hire	21	157.50	6.06	40

Administrators/Tech Spec Statutory (Exempt)- 75 hours per Bi-Weekly Hired after 7/1/19

Years of Service	Days	Hours	Hours Accrued	Max Accrual Days
Date of Hire	20	150	5.77	20

Employees must work a majority of the workdays in the month to earn vacation for that month. (Vacation days taken are considered as time worked for the purpose of determining vacation accrual.) Earned vacation is to be scheduled at times mutually agreeable to both the supervisor and employee.

5.3.3 Vacation Not Taken

Because vacation is deemed necessary in order for an employee to get away from the job and have the opportunity for renewal, vacation pay is not offered in lieu of vacation time not taken, except upon termination of employment as stated below.

5.3.4 Vacation and Separation

When employment terminates, whether voluntary or involuntary, compensation will be provided for unused earned vacation days consistent with the Vacation Policy which they were hired under.

The last day actually worked will be the termination date. If consistent with the needs of the department, unused earned vacation time is to be taken prior to separation.

If a temporary employee is granted vacation days, all such days must be used prior to termination. Any unused vacation days will be forfeited.

5.4 BEREAVEMENT LEAVE

Eligibility: Regular Employees, except those covered under a collective bargaining agreement

Up to five paid days of Bereavement Leave are provided to allow the employee to mourn and otherwise attend to the death of an immediate family member. Family members are defined to include: spouse or spousal equivalent; child, stepchild, or grandchild; grandparent or parent; sibling; or parent-, son-, daughter- or sibling in-law. This benefit is available immediately after hire.

One work day is provided to allow the employee to mourn the death of a cousin, aunt, uncle, niece or nephew.

Time will be prorated for regular employees who work less than full-time.

As necessary, particularly difficult situations and circumstances related to such bereavement should be brought to the attention of the Director of Human Resources for further consideration. Employees covered by a collective bargaining agreement will be provided benefits in accordance with the agreement in force at the time.

5.5 JURY DUTY, COURT OR OTHER LEGAL HEARING APPEARANCE

To allow the employee to fulfill jury duty responsibilities or otherwise make a court appearance as required by subpoena, leave is provided as necessary. To qualify for such leave, the employee must provide management with a copy of the official papers indicating times and dates to be spent in such activity, notifying the supervisor as soon as possible in the process in order to allow for work coverage during the absence. (The University may employ temporary personnel during such absences.) Should an

employee be excused early from such obligations on any given day, s/he is expected to report to work for the remainder of the workday.

Leave for jury duty and court appearances required by subpoena (exclusive of those instances in which the employee him/herself has filed suit) will be paid leave. Those regular Alfred University employees (or those temporary employees on the University payroll) called to jury duty will continue to receive regular salary or wages throughout such service.

5.6 MILITARY LEAVE

The University will comply with all applicable laws regarding employment, reemployment, seniority, leaves, benefits, and other terms and conditions of employment for employees who enlist or are called for active duty or reserve duty in the armed forces of the United States or the military service of the State.

Employees who participate in military reserve training will be excused from work in accordance with the law. In such instances, should military pay be less than regular salary, the University will pay the difference between the two sources of compensation for up to two weeks per year for regular employees.

Employees are required to provide copies of their orders to their Supervisor for our records.

5.7 LEAVE OF ABSENCE

Eligibility: Regular Employees with a Minimum of Seven Years Continuous Service

Alfred University provides a Leave of Absence Plan for administrators and technical specialists. The plan is provided in order to allow the employee to pursue a course of action which would strengthen the institutional and/or departmental mission of Alfred University. Proposed leaves and related projects will therefore be evaluated on the basis of their intrinsic merit and value to the University.

Approved leaves are normally six months in duration, but other time periods may be considered dependent on need and circumstance.

Those wishing to request a leave should secure an application from the Office of Human Resources and submit it for consideration, usually at least nine months in advance of the anticipated Leave of Absence.

In administering the plan, the following guidelines apply:

- The applicant may be eligible to receive pay up to his/her base salary for one-half year.
- The University will determine the beginning and ending date of such leaves.
- If an employee on leave receives financial assistance from sources other than Alfred University, s/he is responsible to report such information to the Office of Human Resources. In such cases, that person's combined income less project expenses shall not exceed the employee's base salary. Should the combined Alfred University and other income related to the leave, less project expense, exceed the base /salary, Alfred University's compensation shall be reduced by a commensurate amount.

- Employees are expected to return to regular University employment for at least two years subsequent to such leave. Any individual resigning prior to this shall be obligated to reimburse the University for funds received in support of the leave, prorated dependent on time served following the absence.
- Leaves are granted at the discretion of the President.

Those employees awarded a Leave of Absence must sign a letter of agreement relative to the terms of the leave. This document will then be kept on file in the Office of Human Resources.

5.8 SICK DAYS

5.8.1 Non Statutory Sector

Regular administrators and technical specialists will accrue sick leave as detailed in Sick Leave Policy. Employees may accrue up to 132 days.

For continuous and protracted absences related to illness or injury (non-work related), documented as necessary by a physician and assuming the employee meets the eligibility requirements, the University provides New York State disability policy to be used during the elimination period of 180 days as called for in the University's Long Term Disability Policy. In such cases, the Office of Human Resources should be notified as soon as possible so that the situation may continue to be monitored and required paperwork be filed and submitted as necessary.

Employee Classification	Hours Worked Weekly	Accrual	Max Days Per Year	Max Days Accumulated
Non-Stat Exempt	40	35.54 hours/ per pay	132	132

5.8.2 NYS College of Ceramics

Regular, full-time employees accrue 1-3/4 paid sick days per month of employment. Employees must work a majority of the workdays in the month to earn sick leave for that month. (Vacation days taken are considered as time worked for the purposes of determining sick time accrual.) A maximum of 200 days may be accumulated. (For part-time regular employees, sick leave is pro-rated.) For short-term disabilities, should the employee exhaust his/her accumulated sick leave through extended and consecutive absence, the employee should contact the Office of Human Resources for further relevant benefit information during the elimination period of 180 days as defined and required for long-term disability consideration.

Where, under the laws of the State of New York, employees are permitted to convert accumulated unused sick leave as credit toward retirement and health insurance premiums, such conversion shall be permitted up to a maximum of those days allowed under the Civil Service Law. When an employee is off for a majority of the workdays in a month due to sick leave or unpaid leave, there will be no credit accumulated for that month.

Employee Classification	Hours Worked Weekly	Accrual Per Pay Period	Max Days Per Year	Max Days Accumulated
Stat Exempt	37 ½	6.06 hours	21	200
Stat Exempt	40	6.47 hours	21	200

5.8.3 Temporary Disability

Pregnancy and related medical problems, miscarriage, abortion, childbirth, and recovery therefrom are considered "temporary disabilities" which, to the extent medically verifiable, qualify for sick leave as described according to the applicable sector. Such time as described, as well as sick leave based on other temporary disabilities, will run concurrently with that awarded according to requirements of the Family and Medical Leave Act and the New York State Paid Family Leave Act.

5.8.4 General Policy - Medical Certification

The employee will be required to provide proper FMLA Certification Paperwork from their physician that verifies the beginning and ending dates of illness or injury to certify their leave. Before returning to work, Human Resources will need to be supplied with a fitness for duty form, from the physician, indicating the employee's readiness to return to work. When requested, such verifications and releases are a condition of receiving sick leave benefits or returning to work. A physician's statement will be requested for absences of three working days or more.

5.8.5 Unused Sick Days

Except where regular NYS College of Ceramics employees may avail themselves of sick leave conversion policies as noted above, sick leave unused at the time of separation of employment is not paid out upon separation.

5.9 FAMILY SICK DAYS

All regular employees, not covered by a collective bargaining agreement, will be allowed to use five (5) sick days per year for the purpose of assisting an ill/injured immediate family member. Immediate family members include parent, spouse or AU-certified domestic partner, child, stepchild living (or raised) in the employee's home. These days are in addition to the Family Emergency Sick Leave granted to attend to an emergency medical situation (requires the employee's presence at home to arrange for care of an ill family member, or at the hospital while the family member undergoes surgery or is hospitalized with a serious illness). Family Emergency sick leave is also limited to five (5) sick days per year. Family sick days may be subject to provisions of the New York State Paid Family Leave Act, depending upon circumstances. Contact the Office of Human Resources for details.

5.10 FAMILY MEDICAL LEAVE ACT

Eligibility:

In order to qualify to take family and medical leave under this policy, the employee must meet all of the following conditions:

- The employee must have worked for the University at least 12 months, or 52 weeks. The time period need not have been consecutive.
- The employee must have worked at least 1250 hours during the twelve-month period immediately preceding the date the leave would begin.

- The employee must work at a worksite where 50 or more employees are employed within 75 miles of that worksite.

In compliance with federal requirements, it is Alfred University's policy to grant up to 12 weeks of family and medical leave during a 12-month period to employees meeting the FMLA eligibility criteria. This policy is designed to define employee rights in coordination with other pertinent University policies and as required by the Family and Medical Leave Act of 1993 (FMLA). Leave may be paid, unpaid, or a combination of paid and unpaid, depending on the circumstances and as specified in the complete policy. To the extent applicable, the University requires the employee to use sick leave as warranted and other benefit days as they are available. Should paid leave be exhausted before the expiration of the 12 weeks, leave is awarded without pay.

5.11 LEAVE FOR VOLUNTEER FIREFIGHTERS, AMBULANCE DRIVERS, AND EMERGENCY MEDICAL TECHNICIANS

Eligibility: Regular Employees

Volunteer firefighters, ambulance drivers, and emergency medical technicians (EMT) affiliated with volunteer fire and/or ambulance departments will be granted excused leave with pay at their straight time hourly rate when responding to emergencies during normally scheduled work hours, provided that these volunteer services are limited to unplanned emergencies.

If a call takes place before the start or extends beyond the end of a workday, employees will be paid only for the time that overlaps regular work hours.

5.12 LEAVE FOR STUDENT ORGANIZATION ADVISORS

Eligibility: Regular Employees, except those covered under a collective bargaining agreement.

Staff who serve as officially designated volunteer advisors to University recognized student organizations and who require release time to accompany such organization on overnight, long-distance outings may be provided excused time for up to five work days per calendar year.

5.13 EXCUSED TIME FOR COMMITTEE MEETINGS

Alfred University employees who serve on the ATS Council or any other University committee will be given reasonable excused time to attend meetings.

5.14 NEW YORK STATE PAID FAMILY LEAVE

Eligibility:

Employees who regularly work at least 20 hours a week will be eligible for paid-family-leave benefits after 26 weeks of employment, and employees who work fewer than 20 hours a week will be eligible after 175 work days. Participation in the program is not optional for employees.

New parents can use the leave for baby bonding in the first year after a child's birth, adoption or foster placement. Employees can also use the paid leave when a family member has a serious health condition or is called to active military duty.

Family members under the new law include: spouses, domestic partners, children, parents, grandparents and grandchildren. A "parent" or "child" is defined as: biological, adoptive, step, foster, or in-law parental relationships.

Benefits: 12 weeks available at 67% of the employees average weekly wage, the weekly wage benefit is capped at the New York State Average Weekly Wage.

PFL may be received on an intermittent basis, in increments of one full day. An employee who uses PFL on an intermittent basis is required to provide Alfred University with notice as soon as practicable before each day of intermittent leave.

What PFL can be used for:

- Maternity and Paternity Leave: Leave only begins after birth and is not available for prenatal conditions. A parent may take Paid Family Leave during the first 12 months following the birth, adoption, or fostering of a child.
- Caring for a Close Relative with a Serious Health Condition: A close relative is defined to include: spouse, domestic partner, child, parent, parent-in-law, grandparent, and grandchild
- Active Duty Deployment: Leave is available for families eligible for time off under the military provisions in the federal Family Medical Leave Act when a spouse, child, domestic partner or parent of the employee is on active duty or has been notified of an impending call or order of active duty.

5.15 NEW YORK STATE ELECTION LAW

A registered voter may, without loss of pay for up to three hours, take off so much working time as will enable them to vote at any election.

The employee shall be allowed time off for voting only at the beginning or end of their working shift, as the employer may designate, unless otherwise mutually agreed.

If the employee requires working time off to vote the employee shall notify their employer not less than two working days before the day of the election that he or she requires time off to vote in accordance with the provisions of this section.

6.0 FRINGE BENEFITS (SECTIONS 6-8)

INTRODUCTION: The benefit descriptions in this Handbook, applicable to the Non Statutory Sector, Statutory Sector, or both, are summaries and therefore general in nature. In some instances benefits are more fully described in benefit plan documents that are separate from this Handbook and available to employees from the Office of Human Resources. Employees should thus refer to actual plan documents for complete information and eligibility requirements. Should there exist conflicting language between the benefit summaries of this Handbook and the actual plan documents, then plan documents take precedence over the summaries in this handbook. The University and/ or the Benefit Plan Administrator have the sole discretion to determine employee benefit eligibility and to interpret and administer these plans.

Employees may add, change, or discontinue certain benefits only during the annually announced Open Enrollment Period or on the occasion of a Qualifying Event. The Office of Human Resources may be contacted for more specific information.

The University reserves the right to amend, delete or change the cost arrangements of any benefit plan, or part thereof, any time, at its sole discretion, and without prior notice to employees or retirees. In addition, the University offers no guarantee of warranty of benefits to employees or retirees.

All benefits are subject to eligibility requirements. If an employee changes from full to part-time status, or changes job classifications, they may lose eligibility for certain benefits described below.

[6.1 HEALTH INSURANCE](#)

[6.2 DENTAL INSURANCE](#)

[6.3 ALFRED UNIVERSITY 403B RETIREMENT PLAN WITH TIAA/CREF](#)

6.1 HEALTH INSURANCE

Eligibility: Full-Time Regular Employees Fully Compensated by Alfred University Non-Statutory Sector Payroll

Employees may enroll, or make changes in, the Health Insurance Plan (individual or family coverage) at any one of the following times: Date of Hire, Open Enrollment, and for a Qualifying Life Event. Coverage is effective beginning the first day of the month following enrollment. Participation may only be discontinued for a qualifying Life Event or at Open Enrollment. (Under certain circumstances and with appropriate application, coverage may be extended to domestic partners, as defined by the University. Contact the Office of Human Resources for further information.)

The premium is a shared expense of the employee and the University. The employee's contribution is generally paid through payroll reduction. Full detail is provided to the employee at Orientation and in Open Enrollment meetings annually.

Prior to the beginning of an unpaid leave of absence or other significant change in the circumstances of employment, the employee must contact the Office of Human Resources to determine any impact on health insurance coverage and make arrangements, if necessary, for premium payment.

6.2 DENTAL INSURANCE

Eligibility: Full-time Regular Employees Fully Compensated by Alfred University Non-statutory Sector Payroll

Employees may enroll, or make changes in the Dental Insurance Plan (individual, two person, or family coverage) at any one of the following times: Date of Hire, Open Enrollment Period, and Qualifying Event. Coverage is effective beginning the first day of the month following enrollment. Participation may be discontinued due to a qualifying Life Event or Open Enrollment. (Under certain circumstances and with appropriate application, coverage may be extended to domestic partners, as defined by the University. Contact the Office of Human Resources for further information.)

The premium is paid fully by the employee through payroll reduction. Full detail is provided to the employee at Orientation and Open Enrollment meetings, annually.

Prior to the beginning of an unpaid leave of absence or other significant change in the circumstances of employment, the employee must contact the Office of Human Resources to determine any impact on dental insurance coverage and make arrangements, as necessary, for premium payment.

6.3 ALFRED UNIVERSITY 403B RETIREMENT PLAN WITH TIAA/CREF

Eligibility: Employees On the Alfred University Non Statutory Sector Payroll Who Work a Minimum of 1,000 Hours during the Calendar Year as Defined by the Plan Document and approved amendments.

Designed to enable the employee to plan for retirement, the Retirement Plan calls for a 5% contribution of base salary by the employee through payroll reduction. At the same time, the University contributes 7% of base salary. Participation in this program is mandatory for all regular eligible employees.

Beyond that required by the University's Retirement Plan, all employees may also make additional contributions to tax-sheltered plans through payroll reduction, according to established IRS limit guidelines. Such guidelines establish the maximum allowable joint contribution of the employee and employer and are made available to the employee each year by the Office of Human Resources. Numerous investment choices are available and the responsibility for specific elections resides with the employee.

Though various Early Retirement Options exist, the Plan is generally designed to provide income as a proportion of salary based on retirement at age 65.

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7.0 FRINGE BENEFITS: NYS COLLEGE OF CERAMICS EMPLOYEES ONLY (Sections 7.1 - 7.3)

[7.1 HEALTH INSURANCE](#)

[7.2 DENTAL INSURANCE](#)

[7.3 RETIREMENT PLANS](#)

7.1 HEALTH INSURANCE

Eligibility: Regular Employees Who Are Regularly Scheduled to Work At least half-time for the NYSCC

Employees are eligible for coverage, individual or family, through NYSHIP and may enroll, or make changes in, the plan at any one of the following times: Date of Hire, Open Enrollment Period, and a Qualifying Life Event. With premium cost shared by the employee and the University, coverage becomes effective 42 days following enrollment. Participation may be discontinued at any time with a qualifying life event. (Under certain circumstances and with appropriate application, coverage may be extended to domestic partners, as defined by the College. Contact the Office of Human Resources for further information.)

7.2 DENTAL INSURANCE

Eligibility: Regular Employees Who are Regularly Scheduled to Work At Least Half-time for the NYSCC

On the first day of the month following six full months of continuous employment, employees are eligible for individual or family dental insurance coverage. Under certain circumstances and with appropriate application, coverage may be extended to domestic partners, as defined by the College. Contact the Office of Human Resources for further information. The full cost of the premium is born by the University.

7.3 RETIREMENT PLANS

(Note: State retirement plans have changed over the years, depending on Tier Classification. Further information relative to plans other than those noted below is available through the Office of Human Resources.)

Eligible employees must choose between three retirement plan options:

7.3.1 The Optional Retirement Program

Eligibility: Regular and Temporary, Exempt, Full-Time Employees on the State Payroll. For employees whose date of membership in the plan is prior to July 27, 1976, this plan calls for an immediate required 3% contribution (on the total, annual salary received) by the employee through payroll reduction. For the first year, this contribution is not vested unless the employee has a prior retirement contract with any of the ORP carriers. After 366 days of continuous employment, the University contributes retroactively to date of hire as described on the SUNY Retirement at Work website.

7.3.2 NYS Employees' Retirement System (ERS)

Eligibility: All Employees of the NYSCC

Those participating in this plan with less than ten years of membership, or ten years of credited service, are required to contribute 3% of annual salary through payroll reduction. Payments are not vested until after completion of five years of credited service.

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8.0 FRINGE BENEFITS: ALL EMPLOYEES (Sections 8.1 - 8.16)

[8.1 LIFE INSURANCE](#)

[8.2 ACCIDENTAL DEATH AND DISMEMBERMENT INSURANCE](#)

[8.3 SHORT TERM DISABILITY INSURANCE- OPTIONAL CIGNA COVERAGE](#)

[8.4 SHORT TERM DISABILITY INSURANCE- NYS DISABILITY](#)

[8.5 LONG TERM DISABILITY INSURANCE](#)

[8.6 VISION AND DENTAL INSURANCE](#)

[8.7 FLEXIBLE SPENDING ACCOUNT](#)

[8.8 SOCIAL SECURITY AND MEDICARE INSURANCE](#)

[8.9 WORKERS' COMPENSATION INSURANCE PLAN](#)

[8.10 ACCIDENT INSURANCE](#)

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[8.12 BENEFITS CONTINUATION \(COBRA\)](#)

[8.13 TUITION REMISSION PLAN](#)

[8.14 TUITION EXCHANGE PROGRAM](#)

[8.15 ALFRED UNIVERSITY AND ALFRED STATE COLLEGE OF TECHNOLOGY
CROSS-REGISTRATION PLAN](#)

[8.16 BENEFITS IN RETIREMENT](#)

8.1 LIFE INSURANCE

Eligibility: Regular employees Working at least 30 Hours per Week for Nine Months of the Year

With eligibility, enrollment in the basic plan is automatic, and covers the employee, spouse, and dependent children. The full cost of the basic plan is born by the University, with coverage beginning on the effective date of employment. Further detail is available at Orientation and during Open Enrollment meetings.

In addition, within established guidelines, the employee may purchase additional coverage at their own expense), to up to five times base salary (subject to underwriting rules).

8.2 ACCIDENTAL DEATH AND DISMEMBERMENT INSURANCE

Eligibility: Regular employees Working at least 30 Hours per Week for Nine Months of the Year

With eligibility, enrollment in the basic plan is automatic and covers the employee.. The full cost of the basic plan is born by the University, with coverage beginning on the effective date of employment. Further detail is available at Orientation and during Open Enrollment meetings.

In addition, within established guidelines, the employee may purchase additional coverage at their own expense).

8.3 SHORT TERM DISABILITY INSURANCE- OPTIONAL CIGNA COVERAGE

Eligibility: Regular employees Working at least 30 Hours per Week for Nine Months of the Year

All employees who meet the eligibility requirements are automatically enrolled to participate in this program unless they affirmatively opt-out of the program with a written request during open enrollment or upon becoming first eligible. The full cost of the premium is born by the employee.

With appropriate documentation and application following an elimination period of 7 days (employee absence due to applicable disability), this program is designed to provide the employee with 50% of weekly earnings (\$1,500 maximum weekly benefit) at time of disability for a period of up to 26 weeks. Full detail and application assistance is available at the Office of Human Resources.

8.4 SHORT TERM DISABILITY INSURANCE- NYS DISABILITY

Coverage begins after four consecutive weeks of service for full time employees; after 25 regular work days for part-time employees.

With appropriate documentation and application following an elimination period of 7 days (employee absence due to applicable disability), this insurance will provide employees with 26 work weeks off from work should you become disabled. This benefit will provide 50% of weekly earnings (\$170 maximum weekly benefit).

There is no cost to the employee for this benefit.

8.5 LONG TERM DISABILITY INSURANCE

Eligibility: Regular employees Working at least 30 Hours per Week for Nine Months of the Year

With eligibility, enrollment in the basic plan is automatic and begins with effective date of employment. The full cost of the premium is born by the University.

With appropriate documentation and application following an elimination period of 180 days (employee absence due to applicable disability), this program is designed to provide the employee with up to 60% of annual compensation at time of disability. Full detail and application assistance is available at the Office of Human Resources.

8.6 VISION AND DENTAL INSURANCE

Eligibility: Vision: Full-time Employees

Eligibility: Dental: Full-time Non-Statutory Employees

Employees may enroll, or make changes in the Vision or Dental Insurance Plan (individual, two person, or family coverage) at any one of the following times: New Hire Orientation, Open Enrollment Period, and Qualifying Event. Coverage is effective beginning the first day of the month following enrollment. Participation may be discontinued at Open Enrollment or due to a Qualifying Life Event. (Under certain circumstances and with appropriate application, coverage may be extended to domestic partners, as defined by the University. Contact the Office of Human Resources for further information.)

The premium is paid fully by the employee through payroll reduction. Full detail is provided to the employee at the Entrance Interview.

Prior to the beginning of an unpaid leave of absence or other significant change in the circumstances of employment, the employee must contact the Office of Human Resources to determine any impact on vision or dental insurance coverage and make arrangements, as necessary, for premium payment.

8.7 FLEXIBLE SPENDING ACCOUNT

Eligibility: All Regular Employees except where noted below

8.7.1 Health Care Flexible Spending Account

Employees are eligible to set aside pretax dollars up to a legislated maximum in a Health Care FSA to be used for medical expenses/services within a given calendar year that are not covered by insurance. Reimbursement, which must be applied for no later than March 15th beyond the calendar year for which the account was established, requires appropriate application and documentation.

8.7.2 Dependent Care Flexible Spending Account

Employees are eligible to set aside pretax dollars up to a legislated maximum in a Dependent Care FSA to be used for dependent care expenses incurred within a given calendar year while the employee and/or spouse are employed. Reimbursement, which must be applied for no later than March 15th beyond the calendar year for which the account was established, requires appropriate application and documentation.

8.7.3 Enrollment

Enrollment must take place at time of hire, due to a qualifying life event, or during a designated Open Enrollment Period. More detailed information, including the maximum amount one may contribute per year, is provided during the Orientation and Open Enrollment meetings or may be secured at any time from the Office of Human Resources.

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8.8 SOCIAL SECURITY AND MEDICARE INSURANCE

Eligibility: All University Employees

According to government established contributory requirements, the employee and the University contribute equally to the Federal Government Social Security Plan. The employee contribution is an automatic payroll deduction. Benefits derived from the plan are designed to aid in supplementing University retirement benefits. In addition, should the employee die or become totally disabled prior to retirement, the program provides death/disability benefits for the employee and/or the family.

Employees and retirees become eligible at age 65 for medical benefits through Medicare. Non Statutory sector employees must apply for Medicare Part A while still employed. Retirees participating in University-sponsored health insurance coverage must apply for Medicare coverage and enroll in Medicare Part A and B to continue receiving such benefits. NYS College of Ceramics retirees participating in a State health insurance plan must be enrolled in Medicare Parts A, B, and D by the age of 65 The Office of Human Resources should be contacted to ensure the required coordination of benefits.

More detailed information concerning Social Security benefits is available from the Social Security Administration Office located in Olean, New York.

8.9 WORKERS' COMPENSATION INSURANCE PLAN

Eligibility: All University Employees

All work-related injuries or incidents of illness must be reported immediately to the Office of Human Resources, at which time an accident report will be filed. It is the joint responsibility of the employee and supervisor to report such incidents. Failure to do so promptly can result in the loss of compensation benefits.

8.9.1 Non Statutory Sector

The Office of Human Resources administers the non-statutory Workers' Compensation Insurance Program. This program provides compensation coverage of up to approximately two-thirds of base wages and reimbursement of medical expenses for injuries and illnesses that are job-related.

8.9.2 NYS College of Ceramics

At the NYS College of Ceramics, the State Insurance Fund administers the State of New York Workers' Compensation Insurance Program for on-the-job injuries and illnesses, which covers salary and related medical expenses, according to levels set by state statute. As above, this program too provides compensation coverage of up to approximately two-thirds of base wages to a statutory maximum and reimbursement of medical expenses for injuries and illnesses that are job-related. The balance of the related absence from work is charged against the employee's available sick days.

8.10 ACCIDENT INSURANCE

Eligibility: All University Employees

At time of hire and wholly at University expense, employees are automatically enrolled in and covered by an accident insurance plan which includes travel over 100 miles from home. The plan provides coverage of up to \$10,000 for accidental death, dismemberment, or loss of sight.

8.11 EMPLOYEE ASSISTANCE PROGRAM

Eligibility: All Regular Full-Time Employees

NexGen EAP is your confidential EAP, Work/Life, Wellness, and Health Advocacy benefit provided by AU at no cost to you. You and your eligible family members can trust the NexGen EAP services to address your total wellbeing for accessing counseling services to maximizing work/life balance to assistance navigating your health plan to providing personalized wellness resources.

Services offered:

- Counseling Services- 8 free sessions offered either virtually or in-person

- Child/Elder Care Resources- access resources to help you find the child and elder care that you need
- Legal and Financial Consultations- half-hour legal consultations can be done over the phone or in person, and can be used for issues such as divorce, custody disputes, and wills.
- Virtual Concierge- the Virtual Concierge Service features dedicated Personal Assistants available to provide you with research, referrals, or information on just about any topic
- Individualized Wellness Resources- your comprehensive, personalized Wellness Program encompasses all areas of wellbeing from nutrition and fitness to relaxation and restoration.
- Health Advocacy- Care Guides provide health care claims and appeals management, health care billing assistance, prescription information and costs, as well as health care provider research

8.12 BENEFITS CONTINUATION (COBRA)

Eligibility: All University Employees and Qualified Beneficiaries Eligible for Health Plans during Employment.

The Federal Consolidated Omnibus Budget Reconciliation Act (COBRA) provides employees and qualified beneficiaries with the opportunity to continue health insurance coverage under the applicable employee health plan when a "Qualifying Event" would normally result in loss of eligibility. Common Qualifying Events include: employment termination, death of an employee, reduction in employee hours, leave of absence, employee divorce or legal separation, and a dependent child no longer meeting eligibility requirements.

For a specified period of time, under COBRA regulations, employees or qualified beneficiaries may continue group health insurance coverage by paying the full cost of the premium plus a 2% administrative fee. Additional information is provided to the employee and qualified beneficiaries upon notification of a Qualifying Event and/or during an Entrance or Exit Interview.

8.13 TUITION REMISSION PLAN

Eligibility: Full-Time Regular Employees

The Tuition Remission Plan provides educational privileges and opportunities for employees and employee family members who meet University established employment, dependent, and admissions requirements. All employees or family members wishing to participate in either an undergraduate or graduate program must apply for admission through the Admissions Office. Family members eligible for the benefit include the following: legal spouse or registered spousal equivalent (hereafter both groups being referred to in this section (and Section 8.10) by the term "spouse"), and dependent children. (Dependent Child is defined as the employee's birth or legally adopted child whose age is less than or equal to 23 years of age on the intended date of matriculation. With appropriate documentation as requested, other situations may be submitted for Tuition Benefit Committee consideration.) Those wishing to participate in the program must submit an application for approval that may be obtained from the Human Resources webpage.

The Plan, which applies only to those courses and curricula provided- on the Alfred University campus and considered an integral part of the University Program (exclusive of Study-Abroad and Study-Away Programs) as determined by the University and its Officers, is administered according to the following regulations: *For employees and defined family members, tuition remission is available for undergraduate courses, exclusive of laboratory, student service and other miscellaneous fees.

*For employees and spouses (not dependent children), tuition remission is also available for graduate level courses and are subject to federal and state income taxes.

*In the Summer School Program and Allen Term classes, tuition remission will apply only to those courses with a sufficient enrollment of paying students. There is no tuition remission for Independent Study in either the Summer School or Allen Term.

*In the event of the death or retirement of an employee who at the time of such an event was eligible for the Tuition Remission benefit, the employee and/or family members meeting dependency and other eligibility requirements will continue to qualify for such benefits, subject to the usual conditions and requirements of Tuition Remission.

*New York State Tuition Assistance Program Awards (TAP) and other similar awards given through the New York Education Department will serve as an offset to tuition remission (or exchange). However, New York State academic awards will not serve as an offset, with the result that such students will receive the full financial value of the scholarship as a benefit added to that of tuition remission (or exchange).

Before tuition remission credit can be issued, all full-time students are required to file a New York State Express TAP Application before the beginning of each academic year of study.

*To continue eligibility for tuition remission, recipients must demonstrate minimum academic performance standards as outlined in the Alfred University Financial Aid Satisfactory Progress Standards Policy.

*University Administration reserves the right to place restrictions on the conditions of tuition remission, including the time frame for which it shall be operative in any specific case.

*Some or all of the tuition benefits may be considered taxable income, according to governing IRS regulations.

*Decisions with respect to the interpretation of the provisions and implementation of this plan, as well as special conditions not covered, shall be made by the Tuition Benefit Committee.

8.14 TUITION EXCHANGE PROGRAM

Eligibility: Dependent Children of Full-Time Regular Employees

Because Alfred University is a participating member of the Tuition Exchange Program, a limited number of faculty and staff dependent children may attend, on an exchange basis, a number of colleges other than Alfred University. The number of such children who can become "exports" is determined by the number of "credits" our Institution accumulates as participants from other schools attend Alfred University. As a result, there may frequently be an imbalance between those applying for this benefit and the openings available. Thus, after it is determined that the employee and dependent child are eligible for the benefit, applicant names are forwarded to the Tuition Exchange

Committee for consideration in the final selection process. Selection is based on a number of criteria such as: the availability of the desired academic program at Alfred University, the employee's length of service to the University, the applicant's year in college, and the family's prior benefit under the program. After an applicant is selected for the benefit, final participation is contingent on acceptance into the program by the receiving institution.

8.15 ALFRED UNIVERSITY AND ALFRED STATE COLLEGE OF TECHNOLOGY CROSS-REGISTRATION PLAN

Full-time regular Alfred University employees may receive a tuition waiver for cross-registration in courses at Alfred State College. The application process must be initiated and approved by Alfred University before the registration process may be undertaken at Alfred State College. The Office of the Registrar administers cross registration.

8.16 BENEFITS IN RETIREMENT

8.16.1 Health Insurance - Eligible Retirees

8.16.1.1 Private Sector

Eligibility: Regular Employees Who Meet Combined Age/Service Requirements.

Employee must be at least 55 years of age with a minimum of 10 years of service with age and years of service equal to or greater than 75. An employee who is required to retire early under the terms of an early retirement option and does not meet the 75 rule shall be considered a retiree.

8.16.1.1.1 Hire Date Prior to July 1, 1998

For those employees meeting the combined age and service requirements of the program under which they retire, the University continues to provide the benefit of a group health plan. Under this plan, the University will share in the cost of the premium for those with coverage, at the same rate as active employees.

Once the retiree and/or spouse reaches the age of 65, the University requires that the individual and/or dependent enroll in Medicare Parts A and B in order to continue to receive benefits as described.

8.16.1.2 NYS College of Ceramics

Eligibility: Regular Employees Who Meet Combined Age/Service Requirements as Defined by the Retirement Plan

For those employees meeting the combined age and service requirements of the program under which they retire, the State continues to provide the benefit of a group health plan. Under this plan, the cost of the premium remains the same as that which an employee pays for both single and family coverage. The value of each retiring employee's remaining sick days at the time of retirement will be applied to the cost of health insurance as per the State's rules.

Although Medicare allows enrollment up to three months after a person's 65th birthday, the State health insurance program requires that retirees have Medicare Parts A, B, and D in effect on the first day of the month in which they reach age 65. (Note: It takes up to three months for Medicare to be effective so employees should plan accordingly to avoid a gap in coverage.)

8.16.2 Life Insurance

Eligibility: Eligible Retiree

The University will continue to pay for a reduced amount of Life Insurance up to an amount not to exceed \$5,000 in coverage.

8.16.3 Tuition Remission

Eligibility: Eligible Retiree

The University will continue to honor the conditions of the Alfred University Tuition Remission Plan for the individual, the spouse or spousal equivalent, and dependent children (as such spouses and children meet the eligibility requirements as defined in the Tuition Remission policy).

8.16.4 Other Benefits in Retirement

Recognizing the value of the experience and maturity of its retirees, the University encourages their continued research, scholarship, and professional activity.

Dependent on the availability of space and other resources of the University, such privileges as the following may be available to the retiree: *Library Facilities *Laboratory/Office Space *Fitness Center Membership *Research Activity Eligibility *Continued Participation in Professional Groups and Activities

Retirees should contact the Office of Human Resources regarding space and/or resource availability and usage.

Note: With approval from appropriate administration, any sponsored research proposals will utilize normal University channels and policies. Financial control will reside with the University, rather than the retiree. The University will primarily utilize its financial resources to support those projects and instructional programs considered fundamental to its primary and contemporary mission.

9.0 MISCELLANEOUS BENEFIT PROGRAMS AND SERVICES: ALL EMPLOYEES (Sections 9.1 - 9.5)

[9.1 FITNESS CENTER AND OTHER ATHLETIC FACILITIES](#)

[9.2 LIBRARIES: HERRICK MEMORIAL AND SCHOLLS LIBRARY OF CERAMICS](#)

[9.3 CREDIT UNION](#)

[9.4 NOTARY PUBLIC](#)

[9.5 SUMMER HOURS](#)

9.1 FITNESS CENTER AND OTHER ATHLETIC FACILITIES

Eligibility: Regular Employees

Alfred University's extensive athletic facilities are generally available, free of charge, for employee use according to a schedule and guidelines as announced by the Athletics Director.

The Fitness Center, located in McLane Center, contains state-of-the-art fitness equipment and is available for employee and family use according to a schedule announced by the Athletics Director. Usage requirements; adherence to established rules, and appropriate submission of a signed waiver/release form.

Further information about facilities may be obtained by contacting the Administrative Offices of McLane Center.

9.2 LIBRARIES: HERRICK MEMORIAL AND SCHOLLES LIBRARY OF CERAMICS

Eligibility: All Employees

Herrick Library houses the University's general academic library resources, including reference works and serials. Scholes Library of Ceramics is a specialized library supporting curricula and research programs of the NYS College of Ceramics and other engineering departments of the University.

Both libraries provide on-line access to their library catalogs, electronic journal indexes, specialized databases, and full-text journals. On-line access is also available to the Alfred State College Hinkle Library catalog.

Further information about either library, including lending privileges, may be obtained by contacting the respective circulation offices.

9.3 CREDIT UNION

Eligibility: All Employees

Membership in the ServU Federal Credit Union is available to all employees. The Credit Union makes available share accounts; Christmas, Vacation, and Back-to-School Clubs; and various loan programs. More detailed information is available from the Credit Union located at 180 Main Street, Alfred.

9.4 NOTARY PUBLIC

Notaries are available in numerous University offices. The Office of Human Resources can provide further location information.

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9.5 SUMMER HOURS

Summer Hours begin on the Monday after Commencement and continues through the second Friday in August.

- While most University employees will be working according to the Administrative Office hours, some department schedules may vary. Please speak with your supervisor for your department's schedule.

Administrative Office Hours: 8:00 a.m. – 3:30 p.m.

Maintenance, Grounds and Custodial: No schedule change

Additional Information:

- On the door of your office, please post Summer 2021 office hours
- Please change your voice mail message to indicate your specific summer hours.
- Any questions regarding payroll/timesheets, please contact the Payroll Department

10.0 RECORDS (Sections 10.1 - 10.2)

[10.1 ACCESS TO RECORDS](#)

[10.2 CHANGES IN PERSONAL INFORMATION](#)

10.1 ACCESS TO RECORDS

The Office of Human Resources maintains a personnel file on each employee for administrative and business purposes. Medical information is kept in a separate and confidential file. The information in the files may not be accessed by individuals other than the employee except on a need-to-know basis as related to a legitimate business interest. (Note: An employee may inspect his or her file during regular office hours by scheduling an appointment with the Office of Human Resources.) No copies may be made nor may any materials be removed or added without specific authorization from the Director of Human Resources. Anyone who handles or learns information about students or employees during the performance of their job duties must maintain such information in strictest confidence.

All requests for employee information from outside the University must be referred to the Office of Human Resources. Generally, dates of employment and job title are released; salary is not released without employee authorization. The University reserves the right, however, to release further information when the University believes it is warranted for legitimate business or personnel reasons.

10.2 CHANGES IN PERSONAL INFORMATION

Employees must notify the Human Resource office in a timely manner of any changes such as campus, home or mailing address, phone numbers, emergency names/ addresses/phone numbers, tax withholding information, dependent data and benefit information.

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11.1 ALFRED UNIVERSITY ANTI-DISCRIMINATION STATEMENT

Alfred University is committed to an anti-discrimination policy in all of its programs and services. Alfred University is consciously and proactively inclusive of all areas of diversity including, but not limited to, race, ethnicity, color, national origin, religion, creed, age, disability, sexual orientation, gender, gender identity, gender expression, familial status, pregnancy, predisposing genetic characteristics, military or veteran status, domestic violence victim status, criminal conviction or any other characteristic protected by applicable law. Complaints or concerns regarding discrimination should be directed to [Mark Guinan](#), Director of Human Resources and Title IX Coordinator or to Alfred University Human Resources, 1 Saxon Drive, Greene Hall, Alfred, NY 14802.

11.2 DISCRIMINATION GRIEVANCE PROCEDURE

The Discrimination Grievance Procedure is available to University personnel who believe they have been discriminated against by the University on the basis of race, color, religion, national origin, age, sex, sexual preference, disability, or marital status. (Note: Complaints of sexual harassment, however, are handled according to the Sexual Harassment Policy and Complaint Procedure as noted in Section 11.1 of this Handbook.)

Legislation covered by the policy includes, but is not limited to, Title IX of the Education Amendments of 1972, the Rehabilitation Act of 1973, and the Age Discrimination Act of 1975.

Questions on procedure should be directed to the Director of Human Resources.

11.3 EMERGENCY CLOSING

In the event of severe weather conditions or other emergencies, a decision will be made by the President on whether the University and/or its offices shall remain open or be closed. In the President's absence, the decision will be made according to the Alfred University Delegation of Authority. Supervisors and/or others are not authorized to close offices except by explicit instruction of the President or his designee. Likewise, supervisors and/or others are not authorized to require and/or permit employees to work on days the University is officially closed or partially closed by the President. An employee who is using benefit time on the day of the closing is assumed to be unavailable for work. The day of paid leave will be charged as intended before the closing, they will not receive excused time. If an employee is deemed essential by the Vice President of their area, and asked to work during the closing, the employee will receive additional hourly pay for hours worked.

Click [Emergency Closing Procedure](#)

11.4 EMPLOYEE ALCOHOL AND DRUG POLICY

The negative physical and mental effects of the use of illicit drugs or abuse of alcohol are well-documented. Alfred University employees are prohibited from coming to work, or working, while under the influence of substances which may alter their ability to perform their jobs.

The University further prohibits the unlawful possession, use, or distribution of illicit drugs and alcohol by any employee on its property or as part of its activities. Violation of this policy may be cause for requiring satisfactory participation in a substance abuse and rehabilitation program and/or appropriate disciplinary action up to and including discharge.

To view policy click [Substance Use & Abuse Policy](#)

11.5 CLEAN AIR POLICY

In recognition of the NYS Clean Indoor Air Act of 1989 (which prohibits or severely restricts smoking in all indoor areas generally accessible to the public) and Alfred University's commitment to a philosophy of endeavoring to provide a healthy and safe workplace, all campus buildings have been designated as smoke-free.

11.6 ANIMAL CONTROL POLICY

No animals of any kind, with the exception of registered service or assistance animals (with permission of the University), are allowed in non-residential campus buildings. Animals may be permitted elsewhere on campus so long as they are leashed, attended by the owner at all times, and not interfering with normal use of University facilities. Stray animals found on campus will be removed. Violations of the Animal Control Policy should be reported to the Director of Human Resources.

11.7 SAFETY, SECURITY AND ACCIDENT REPORTS

The establishment and maintenance of a safe work environment are shared responsibilities of the University and its employees. While the University takes all reasonable steps to assure a safe environment and compliance with federal, state and local safety regulations, employees are expected to practice safety at all times. It is the further responsibility of all staff members to immediately report any unsafe conditions to their supervisor, the Department of Environmental Health and Safety, the Director of Public Safety, or the Office of Human Resources so that unsafe conditions can be corrected.

Regardless of how minor an incident may seem at the time, all employment-related accidents and illnesses must immediately be reported to the appropriate supervisor and the Office of Human Resources.

11.8 ACCOMMODATIONS FOR PERSONS WITH DISABILITIES

The University complies with the Rehabilitation Act of 1973, the Americans with Disability Act (ADA) of 1990, and the New York Human Rights Law regarding the needs of persons with disabilities. Questions or concerns with regard to accessibility of facilities or special accommodations should be forwarded to the Office of Human Resources.

11.9 COMPUTER POLICY

11.9.1 General Computer Policy

Employees are expected to read and comply with the Computer Use Policy posted on the AU Web.

11.9.2 Computing Facilities Policy

Computing facilities are available to the staff for university-related educational purposes, research, and administrative work. Users are expected to show consideration for one

another and to use the system ethically, responsibly and efficiently. Those abusing the privilege may be subject to temporary or permanent suspension of access privileges, disciplinary action, and/or be held liable for violation of applicable civil and criminal law.

Use of computing facilities is strictly governed and enforced, according to established Alfred University policy, the full content can be found here [Computer Use Policy](#)

11.9.3 AU WEB

Access to computing resources at Alfred University is a privilege, not a right. Each author of an AU Web page is responsible for its content. Authors and users must adhere to all local, state and federal laws and regulations, as well as all Alfred University policies. Violators may be prosecuted and/or disciplined as appropriate.

The University reserves the right to remove content of, and access to, any page on the AU Web believed to be non-compliant with governing laws and policy. Please review the Visual Identity Standards. Users are expected to be familiar with all such materials and abide by their content.

11.10 MAIL DIRECTORY POLICY

As a regular part of its business communication effort, employee directories are routinely made available to staff members. Employees have the right to limit their personal information included in the directory. Those Employees wishing to do so should contact the Marketing and Communications Department.

The information contained in the directory is considered private and is provided solely for internal University use. Any private or outside use is prohibited without the express written consent of the President or a member of the President's Cabinet. Any employees violating the privacy of this information will be subject to discipline up to and including dismissal.

11.11 TELEPHONE AND ELECTRONIC COMMUNICATIONS POLICY

The University provides computer and telephone equipment, and related facilities, for the purpose of conducting University business. Alfred University computer users can expect reasonable confidentiality in the messages they receive and the files they create. Information Technology Services and Safety, Security and Telecommunications personnel do not routinely monitor an individual's computer and telephone use, nor do they routinely examine files, read electronic mail, or review phone messages in an individual's account, or review any content on web pages accessible through the University's web site. However, Information Technology Services and Safety, Security and Telecommunications staff are responsible for responding to alleged abuses and have the right to investigate suspected offenses, to suspend or revoke computing and phone privileges, or to remove or deny access to any content it deems objectionable or illegal.

Employees are expected to read and comply with the Computer Use Policy posted on the AU Web and to conduct electronic communications in the same professional and respectful manner as all other internal or external University communications. Naturally, employees may not use the University's computer facilities to conduct illegal activities

of any sort. Employees who violate this policy may be subject to discipline up to and including discharge.

The University phone system is vital to the operation of University business and should be used primarily for that purpose. However, it is recognized that it is sometimes essential for an employee to make or receive personal calls at work. In such cases, the employee is expected to keep personal calls to a minimum both in frequency and length and that the individual will reimburse the University for any charges resulting from personal telephone use.

11.12 KEYS AND OTHER UNIVERSITY PROPERTY POLICY

With supervisory approval, employees are allotted equipment and keys for the work area as appropriate. Once issued, such items become the responsibility of the employee. In the event such materials are lost or stolen, it is to be reported immediately to the supervisor and Security Office so that appropriate action may be taken.

11.13 PURCHASING AND PROPERTY CONTROL POLICY

11.13.1 Private Sector

Purchases of \$1,000 or more must be processed through Procurement Services and require the use of a requisition form. Procurement will determine if a purchase order is to be processed, or if they will place the order on Procurement's One Card. Those under \$1,000 may be processed directly by the department and do not require Procurement's authorization. Other guidelines apply to purchases over prescribed dollar amounts and may be secured through Procurement Services. For further policies and procedures on purchasing and the bid process, contact Procurement Services.

11.13.2 Property Control

Equipment purchases over \$5,000 are considered capital equipment which are managed by the Business Office. It is the purchaser's responsibility to notify the Business Office of changes in location, condition or status and of the receipt of gifted or donated equipment. When a department that is the custodian of capital equipment determines that a piece of equipment is no longer being used by the department, they are required to notify the Business Office to obtain approval for disposal. For full policy and forms for disposal of an asset, go to the Business Office Website.

11.14 SOLICITATION POLICY

Wishing to maintain a campus environment of academic integrity and personal development, the University recognizes the need to protect this environment from uncontrolled solicitations, while still acknowledging the need of the campus community to support worthy causes and freely exchange ideas.

In order to minimize personal inconvenience and interference with one's job, non-employees are not permitted to engage in solicitations, selling or appeals for donations, or distribution of related literature on University premises unless authorized in advance by the University. Solicitation by, or for, employees is not permitted during work time,

which does not include breaks or meal period. Mass mailing or other distribution of non-work related literature by employees is not permitted in work areas at any time.

11.15 TRAVEL AND ENTERTAINMENT POLICY

11.15.1 General Statement

The University Travel Policy is intended to establish principles by which University personnel will be reimbursed for University business-related travel expense. Such travel will be reimbursed based on the guidelines established by individual departments in addition to those established in the University Travel Policy

11.15.2 Cash Advances

Cash advances for travel are available for estimated expenses from the Business Office. Such advances may be obtained up to 30 days in advance of the scheduled travel. Approved requests for amounts of \$100 or more must be submitted at least ten days in advance of the scheduled travel. Such advances are considered to be a personal obligation until removed with the submission of an approved Travel Expense Report at the end of the trip.

Advances are to be settled with the Business Office within 20 business days of the completion of the trip or other purpose for which funds were obtained.

Advance registrations requiring a check (check request) must be submitted to the Business Office at least ten days in advance of the necessary mailing date to insure timely payment.

11.15.3 Motor Pool

The University maintains a limited number of vehicles available for business use for employees meeting registration eligibility requirements. Reservations can be made through the Motor Pool Webpage. The Motor pool office has related authorization and reporting requirements, details of which may be secured from the office.

Personal vehicles, when properly insured and in good operating condition, may also be used. In such cases, mileage expense will be reimbursed.

11.15.4 Travel Expense Report

Travel Expense Reports make provisions for reporting all expenses of the trip whether payment is in advance, by cash, or with credit. Such reports establish those expenditures for which reimbursement will be provided. Receipts are required for items over \$25 and for all lodging charges. It is the responsibility of both the traveler and the supervisor approving the form to verify that the expenditures reported conform to the stipulations as detailed on the travel reimbursement forms and specified by the University Travel Policy.

11.16 VEHICLE AND TRAFFIC REGULATIONS

11.16.1 Scope

Prescribed regulations apply to all operators of motor vehicles on property owned or controlled by Alfred University. It is the responsibility of the primary operator to assure that the vehicle is neither parked nor operated in violation of University regulations, local ordinances, or State law.

The operation of motorcycles, in areas other than those designated for all motor vehicles, is prohibited. The operation of snowmobiles is not permitted on any University property.

Alfred University assumes no responsibility for a vehicle or its contents when on University property. This includes any damages that may be caused by the necessity to tow or otherwise move a vehicle.

11.16.2 Parking Regulations

11.16.2.1 Enforcement

The enforcement of parking and vehicle regulations is under the direction of the Alfred University Office of Public Safety.

11.16.2.2 Registration

All motor-operated vehicles must be registered with the Office of Public Safety. Permits are issued to regular full-time or part-time employees. They will receive one permit in the form of a hangtag that can be transferred from one vehicle to another depending upon employee need. The tag permits the driver to park in authorized areas. In the event of a change in the vehicle or the vehicle plates, the Office of Public Safety must be notified of the change within two working days.

11.16.2.3 Authorized and Prohibited Parking Areas

Signs are erected throughout the campus designating given parking areas as either student or faculty-staff areas. Normally restricted faculty/staff areas, however, are open parking from 5 p.m. to 7 a.m.

Parking is prohibited in front of all loading docks, entrances to buildings, crosswalks, and fire hydrants. It is further restricted in any other areas where signs, restrictive guardrails, yellow-curbings, or lines so indicate. Fire lanes are strictly controlled, with only necessary emergency, service, or delivery vehicles authorized to park even temporarily in such locations.

Unauthorized parking may result in ticketing and/or booting of the owner's vehicle.

11.16.2.4 Special Parking

Special parking permits for visitors and campus guests are available from the Office of Public Safety. Such permits entitle the bearer to park in designated areas as specified on the permit by the Office of Public Safety.

Permits are also available for those with physical disabilities. In such cases, a physician's certification may be required, documenting the need and indicating the period of time for which the permit will be required. Such a permit entitles the bearer to park in designated handicap parking areas as well as any other area for which s/he would normally qualify.

Special parking permits, which are not transferable, must be displayed on the dash of the vehicle for which it is registered.

11.16.2.5 Revocation of Parking Permit

Parking permits may be revoked at any time for repeated violation of prescribed regulations or for the reckless operation considered to be endangering life or property.

11.16.3 Pedestrian Areas of Campus

Pedestrian areas of campus are defined as those areas within a closed gate or a sector that is usually secured by a closed gate. A pedestrian area sufficiently wide enough for emergency vehicle travel is considered to be a Fire Lane. With the exception of necessary service or delivery vehicles, operation of motor vehicles is prohibited in designated pedestrian areas of campus unless special authorization has been granted by the Office of Public Safety.

11.16.4 Penalties

11.16.4.1 Tickets/Fines

Tickets and related fines are invoked by the University for violation of vehicle regulations and are payable at the Business Office within five working days from the date of issuance.

11.16.4.2 Appeal Procedure

Vehicle violations may be appealed within five working days from the date of issuance. Appeals beyond this time will not be considered. Appeals are processed by an autonomous board consisting of students, faculty and administrative staff.

11.16.4.3 Booting

Booting is the disabling of a vehicle by applying a clamp to a wheel that can only be removed by the Safety Office. Unregistered vehicles, vehicles parked in violation of regulations where signs and lot markings prohibit parking, or repeated tickets, will be booted.

11.16.4.4 Abandoned Vehicles

Vehicles will be considered abandoned if left in unauthorized locations for more than seven continuous days. Such vehicles will be disposed of according to the State Vehicle and Traffic Law Code, Section 1224.

11.17 CREDIT CARD USAGE

Credit cards registered in the University's name are available to employees only on a very limited basis, dependent on need and as approved by the applicable Vice President. Use is carefully governed requiring that all expenditures be reconciled with appropriate receipts, and are restricted to business use only.

11.18 CONFLICT OF INTEREST AND BUSINESS ETHICS POLICY

The University is expected to conduct its business transactions at the same high level of integrity expected in its educational approach to students. This business conduct is carried on through employees of the University and encompasses contacts with the public as well as with other University personnel.

A conflict of interest is defined as the existence of a situation where an employee's position or authority can be used to influence decisions in ways that would directly or indirectly lead to financial or personal gain for that employee or his or her immediate family. Immediate family, for the purpose of this policy, is defined as spouse, spousal equivalent, parents, children, siblings, spouses or spousal equivalents of these individuals, and in-laws. A conflict of interest also includes those employee activities that have the potential to adversely affect the individual's ability to carry out the responsibilities inherent to his/her University position.

All University employees are required to review the Conflict of Interest Policy and sign a statement that they have read and understood the principles inherent to the policy and are responsible for following the practices covered therein. The Conflict of Interest and Business Ethics Policy covers the following: *Description of situations which create the potential for Conflict of Interest; *Responsibilities and duties inherent to all University positions; * Disclosure requirements for purposes of government grants.

11.18.1 Potential Conflict of Interest

Potential for Conflict of Interest exists when a University employee or a member of his/her immediate family:

- Has material financial interest in (defined as a value exceeding \$5,000 or representing more than 5% ownership interest in any one business enterprise or entity), business relationship with, or significant indebtedness to, anyone doing business with the University;
- Accepts payments, loans, services, significant favors, or gifts from anyone doing business with the University (dependent on the individual's position and the responsibilities inherent to that position);
- Is an officer, director, partner, or consultant with an organization that does business with the University;
- Has outside interests which have the potential to impair independent, unbiased judgment with regard to the employee's University function;
- Participates in outside activities which have the potential to create a material conflict of interest relating to the University's trade secrets, proprietary information, or other proprietary or business interest;

- Holds membership in a professional organization, the objectives of which are in conflict with University interests to the extent they would adversely affect the individual from fulfilling the responsibilities of his/her position.

11.18.2 Basic Business Practice

Basic business practice dictates that employees accept responsibility for properly carrying out the duties of his/her position at the University and, with these duties, ensure the following:

- Related University revenues and expenditures are to be promptly recorded and duly accounted for, according to the financial system of the Institution;
- Funds received are to be promptly deposited according to University guidelines;
- Privileged information and confidential data of the University and/or its constituencies are to be treated as such and transmitted only according to University direction.

In general, it is required that employees handle University funds, assets, intellectual property (including computer software and other copyrighted material), and privileged information in a legal and ethical manner consistent with the interests of the University. It is further required that employees conduct all internal and external University business interactions in an ethical manner, free from personal or other improper influence.

11.18.3 Notification

All employees of Alfred University are expected to carefully familiarize themselves with the Conflict of Interest and Business Ethics Policy as it pertains to individual situations. If the employee determines that a potential conflict of interest exists, a statement specifying the factors involved is to be sent to the President of the University, or the President's designee, for review and resolution as appropriate. Questions about conflict of interest should be promptly directed to the administration as necessary for direction and guidance.

Employees who wish to engage in any of the activities described in the University policy on "Consulting" must notify the University in advance in accordance with the Consulting Policy.

11.18.4 Sign-Off

University staff who serve as principal or co-principal investigators of federal grants are required to provide sign-off at least annually explaining any possible conflicts which may exist between the individual's personal situation and the contracts s/he administers.

11.18.5 Financial Disclosure Policy

The federal government also requires pertinent financial disclosure of any investigator or person employed by the institution who is responsible for the design, conduct, or reporting of research activities. Each investigator, therefore, must disclose to the institution all significant financial interests of the investigator and/or the investigator's immediate family that would reasonably appear to be directly and significantly affected

by the research or educational activities funded or proposed for funding by government grant. Financial disclosure must be made at the time of the proposal and, thereafter, on an annual basis or as new reportable significant financial interests occur.

The University is responsible for collecting and interpreting all financial disclosures and acting to eliminate any interests that present a potential conflict of interest.

11.19 CONSULTING POLICY

Eligibility: Regular Employees.

The term consulting is understood to refer to service performed by a staff member for outside organizations and refers to that assistance considered primarily advisory in nature. Such activity is recognized as a worthwhile activity that may add to the individual's experience, knowledge and professional growth. It may also enhance the prestige of the University and provide the consultant with additional income. As an institution of higher education, the University is committed to making available to the larger community the special knowledge, experience, and intellectual competence of its staff and considers such activity a benefit to all concerned.

However, moral and ethical considerations are inevitably present in this activity. Potential problems include conflict of interest, interference with the performance of University duties, and improper use of University staff, equipment, materials and time. It is therefore the responsibility of any staff member contemplating such activity to fully inform, and receive the approval of, both the Supervisor and the Director of Human Resources in advance of beginning such activity. (Note: Proposals, and subsequent approval, must detail agreement related to use of University equipment/facilities and provide financial disclosure and arrangements for both the employee as well as the University as applicable.)

In general, the following conditions apply:

- Consulting either on or off campus of up to one day per week is permitted, provided it can be accomplished without interfering with the employee's University responsibilities and/or, in the University's judgment, creating a material conflict of interest;
- Consulting must be carefully undertaken with the employee acting as an individual and not as a University spokesperson;

Consulting should be undertaken only with careful examination of all aspects of the proposed activity in order to avoid those situations that might lead to conflict of interest or other unethical practice. (Note: It is generally considered improper for an employee to serve as a consultant on a research grant or other project of the university unless specifically identified as such in the proposal.)

11.20 PATENT POLICY

11.20.1 General

Patents are valuable to a university and its staff members. Along with publication in scientific journals, they establish dates of scientific contributions, can serve to control the quality of products manufactured by licenses, and may also be a source of income.

Alfred University seeks to extend knowledge on one hand and, on the other, to patent information where financial aspects dictate such as an appropriate course. The University will seek to patent only those inventions that represent major compositional or process breakthroughs. Compliance with the Alfred University Patent and Procedure Policy are essential if the inventor and the University are to obtain maximum benefit from patentable inventions.

A member of the professional staff of Alfred University is required, as a condition of employment, to submit to the University disclosures of ideas, inventions or discoveries that may be patentable and that were conceived and/or reduced to practice during the inventor's employment by Alfred University ("Inventions"). Title to all such Inventions shall vest in the University, subject to the terms of any applicable governmental or private funding agreements. However, Inventions that the inventor can demonstrate were conceived or reduced to practice independently from Alfred University will be exempt from these rules. A member of the University staff must recognize both the legal and ethical obligation that s/he has to the employer. Within two months of that time in which a staff member believes that s/he has a patentable Invention, the employee must prepare a disclosure of the discovery for transmittal to the appropriate Dean and/or Vice President. If the invention is the result of a sponsored research effort, a duplicate copy of the related agreement shall be sent with the disclosure. The Dean will then convene a meeting of the Patent Committee. The Committee will then make one of two decisions:

- 1) Request the Provost to authorize funds to search the patent literature and/or make other arrangements to evaluate the Invention; or,
- 2) Assign the University's rights to the invention to the inventor.

11.20.2 Research Centers

Particular guidelines for Inventions, including patentable Inventions, indigenous to specific Research Centers of Alfred University may be governed by further terms and conditions related to University defined statutes governing a given center as well as those federal, state, or other sponsoring directives appertaining thereto. Such relevant guidelines are held in the central repository of the applicable Center, Research Office, or Business Office as appropriate and may be accessed therein.

11.21 COPYRIGHT INFRINGEMENT POLICY

The Copyright Infringement Policy is intended to promote and encourage excellence and innovation in scholarly research and teaching by identifying and protecting the rights of the University, its faculty, staff, and students. At the same time, we must recognize that copyright owners have exclusive rights to reproduce their copyrighted works, to prepare derivative works, to distribute copies and to perform or display the works publicly. Consequently, it is copyright infringement for any person other than the copyright owner to exercise any of the rights listed above unless properly authorized by the owner, or unless the use of the material constitutes "fair use" as provided by Copyright Law (Title 17, United States Code).

All employees involved in the reproduction of copyrighted materials for classroom use, preparation of lectures and/or labs, or other campus organizational use have an important responsibility to use their best efforts to assure that the rights of the copyright

owners are recognized and honored. This responsibility involves reading and complying with the [Copyright Infringement Policy](#) (click for full policy).

11.22 WEAPONS POLICY

Possession or use of weapons on property owned, affiliated with, or controlled by Alfred University (including sidewalks, driveways and parking lots) or where Alfred University events are occurring, is expressly prohibited, except as may be required by law enforcement officials. This policy further applies to those operating Alfred University Motor Pool vehicles, whether on or off University property.

The definition of "weapons" covers all items capable of inflicting serious injury. Examples include, but are not necessarily limited to, the following: Firearms, Knives, Air Guns, Spear Guns, Paint Guns, Bow and Arrow, Explosives: Gunpowder, Firecrackers, Ammunition, etc.

Because such items are capable of inflicting serious injury and thereby pose a clear risk to persons and/or property, violations of this policy may result in disciplinary action up to and including suspension of students or termination of personnel and may likewise be prosecuted under applicable law.

Note: On occasion, academic programs may require the use of tools falling under this definition. Such use, when applied directly to program-related activity, is exempted from this policy.

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11.23 AU Intellectual Property Policy

All Intellectual Property conceived or first reduced to practice in whole or in part by Creators in the course of their University responsibilities, which may include, but is not limited to, work on publicly or privately sponsored research, or use of University Resources, shall be disclosed to the University on a timely basis and shall be assigned to the University, unless the University otherwise disclaims such IP or re-assigns it to its Creator(s). At the same time, the University acknowledges a responsibility to ensure that the specific Intellectual Property policies of third-party sponsoring organizations be understood prior to acceptance of funding, and complied with after Intellectual Property is developed.

The University shall have the sole right to determine the disposition of applicable Intellectual Property under this Policy. The determination shall take into account the interests of the University, any external sponsors, the public, and the Creator, including the Creator's professional or ethical convictions concerning the use of applicable Intellectual Property. Responsibility for disposition of applicable Intellectual Property resides with the Office of the Provost, consistent with this policy.

Creators shall assist the University as reasonably requested to protect, maintain, and enforce, if applicable, Intellectual Property, including without limitation, executing appropriate assignments and other documents and providing testimony as needed. The University shall reimburse all pre-approved out-of-pocket costs incurred by any applicable Creator in rendering such assistance.

Intellectual Property may be developed under a “sponsored research agreement” where the research is sponsored by an external source (including federal and state agencies). Consistent with its nonprofit status, mission for the public (and not private) good, and federal laws and regulations, the University will own any resulting Intellectual Property. One exception is when the Intellectual Property derives from “prior art” developed by the sponsoring organization; in such cases, joint ownership between the University and Sponsor may be indicated. However, the terms of sponsored research agreements typically provide the sponsor with certain rights to that material, e.g., the grant of the right for a limited period of time to negotiate for an exclusive license of such Intellectual Property with the University, and they may impose other duties, e.g., advance 3 notice of publication. In the case of joint ownership, the University would agree not to dispose of its ownership rights without the consent of the other joint owner.

Intellectual Property may not be licensed or assigned to third parties without the prior written consent of the University, via the Office of the Provost. The decision whether to proceed to patent and/or license any Intellectual Property shall be solely within the discretion of the University, subject to the terms of any agreement(s) that supported or related to the creation of the applicable Intellectual Property.

In the case where the University has reviewed the Intellectual Property Opportunity and elects not to pursue Intellectual Property rights to the project, the University will execute the Waiver Letter in Appendix 5 and allow the Creator(s) to pursue the IP rights at their own expense. The University should make and communicate this decision to the Creator(s) within three (3) months of receiving the Intellectual Property Disclosure Form (Appendix 2), to allow Creator(s) adequate time to pursue the rights on their own.

In the case of Federal agency sponsorship, any “stand aside” as described in Section 3.6 must be made by releasing the invention to the Federal government, following which the Creator may directly petition the agency for a release of rights. Decisions by Federal sponsors to permit Creators to acquire ownership are generally made on a case-by-case basis, and the Federal Government retains for itself March-in and related rights.

Intellectual property developed under an independent consulting agreement is not subject to ownership by the University as long as University resources were not used in the conduct of the consulting work.

In the interest of furthering education and industry research, should the opportunity arise where it will be of benefit to the University to share ownership of a patent, the University will review the opportunity on a case-by-case basis.

11.24 BUSINESS COMMUNICATION ETIQUETTE

Each individual employee represents the University in contacts with both internal and external customers. Internal customers include, but are not limited to, current students and anyone working here at the University. External customers include anyone in contact with the University from outside the organization – potential students, parents, alumni, visitors to campus and others. Individuals judge the University not only on the merit of our graduates but also as a result of personal contacts through correspondence, conversation (including via phone, email, etc.) and visits to campus.

To assure effective communications, particularly when using phone and email, it is important to always identify yourself by stating your name and the area you work in.

Communicate in a courteous and professional manner, confirming information received. Particularly in telephone communications, only hang up after the caller has done so.

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11.25 WORK OUTSIDE OF YOUR UNIVERSITY EMPLOYMENT

You are expected at all times to be able to perform your job as efficiently and effectively as possible. Therefore, while working for another employer is not prohibited, it must not detract from the performance of the duties and responsibilities of your position with the University, nor may it create a conflict of interest.