

# ASA Manual – All Employees

Date: January 1, 2025

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**Certain employees are covered by a Collective Bargaining Agreement (the “CBA”). In the event of a conflict between this Handbook and the CBA, the CBA will control. Employees covered by a CBA (“bargaining unit employees”) are expected to review, abide by and follow the terms of the CBA in addition to this Handbook where this Handbook does not otherwise conflict with the terms and conditions of employment contained in the CBA. This Handbook does not supersede or modify any applicable collective bargaining agreement.**

## **Welcome!**

Welcome to the Auxiliary Services Association (ASA) team at Stony Brook University. We wish you the best in your new position. At the ASA, we believe that the Association's most valuable asset is our staff. Our mission is to exceed our client's expectations while simultaneously offering growth opportunities to our employees. We strive to continue to provide benefits and compensation programs that are viewed as competitive.

The purpose of this manual is to provide information regarding our policies and benefits. The policies, benefits, and services detailed herein have been established to maintain a safe, friendly, and productive work environment. We hope your experience here will be fulfilling and enjoyable.

Sincerely,  
Dr. Diana Kubik  
Executive Director

## 100: ABOUT THE AUXILIARY SERVICES ASSOCIATION

The Auxiliary Services Association (ASA) at Stony Brook University is a not-for-profit auxiliary services corporation licensed by the State University of New York to provide goods and services that contribute to the quality of campus life in a flexible, efficient, and responsive manner to support the mission of the Stony Brook campuses. ASA operates with no State support and is responsible for generating revenues to support its services, fund major capital improvements, and contribute to the educational, health care, and outreach missions of Stony Brook University, Stony Brook University Hospital, Southampton Hospital, and the Long Island State Veterans Home. ASA's vision is to provide services to the Stony Brook community, prioritizing the student, patient, veteran, and customer experience driven by excellence, aspirational thinking, fiscal prudence, sustainability, and inclusive practices. While supporting the University, Hospital, Veterans Home, and other site missions, ASA will improve the Stony Brook experience by creating a positive and memorable experience for all our constituents.

To achieve its vision, ASA commits itself to:

- Maintaining and enhancing the quality, diversity, cost, and value of food in the dining programs;
- Maintaining and, where possible, improving fiscally prudent and affordable food plans;
- Ensuring the availability of desired and appropriate merchandise, products, and services;
- Fostering and supporting a community identity that connects all of the campuses and community constituents to Stony Brook University, Stony Brook Medicine, and Long Island State Veterans Home's mission by supporting academic, athletic, cultural, healthcare, research, and community-based campus events;
- Maintaining contact with peer and aspirational institutions to keep current on emerging trends relative to ASA's functions on campus;
- Supporting the campus's core mission of academics, research, scholarship, intellectual creativity, inclusivity, and sustainability.

The Auxiliary Services Association's market segments include students, faculty and staff, administration, hospital patients and guests, veterans, the outside Stony Brook community, and alumni.

There are five main goals for our organization:

- Provide our guests with an unforgettable experience.
- Become an essential part of the campus story.
- Be acknowledged both on and off campus as a world-class service provider.
- Bring cutting-edge technology to our community.
- Execute our financial obligations prudently.

ASA is proud to partner with nationally recognized organizations such as CulinArt (part of Compass Group),-Coca-Cola, Canteen, Lessing's, and FedEx to offer over 16 retail operations and brands such as Popeyes, Subway, Starbucks®, Dunkin', Nathan's, Carvel, and Au Bon Pain.

## **101: ASA EMPLOYEE MANUAL DISCLAIMER**

Employees are responsible for reading the ASA Employee Manual (“Manual”) in its entirety, familiarizing themselves with its contents, and adhering to all of the policies and procedures of the Auxiliary Services Association at Stony Brook University, Inc. (“ASA”), whether outlined in this Manual or elsewhere.

This Manual is designed to summarize and acquaint you with ASA’s current personnel policies and practices and should be used as a reference only. The policies, procedures, and practices described in the Manual are not terms or conditions of employment. This Manual shall not be construed as granting or creating any rights and does not create an express or implied contract between ASA and any of its employees. ASA adopted all policies, procedures, and practices contained herein and supersedes any previous conflicting policies.

This Manual, in its entirety or in part, may be modified, amended, suspended, discontinued, canceled, or otherwise changed at any time, with or without notice to employees, at ASA’s sole discretion. No individual Supervisor, manager, or representative of ASA, other than the Executive Director, has the authority to change this Manual, in whole or in part, or any ASA policy or procedure at any time. In its sole discretion, ASA reserves the right to interpret and clarify any policy or procedure stated in this Manual, in whole or in part, at any time, with or without notice to employees. Any modification, amendment, suspension, discontinuation or cancellation, interpretation or clarification, or any other change to this Manual or ASA policy or procedure will be effective on the date ASA determines. After such effective date, any superseded Manual, or portion thereof, policy or procedure will be null and void.

Unless otherwise provided for by law or in a separate written contract or collective bargaining agreement, all ASA employees are terminable at-will. The contents of this Manual shall not constitute or in any way be construed as a promise of continued employment or as a contract of employment between ASA and any of its employees. No individual Supervisor, manager, or representative of ASA other than the Executive Director is authorized to enter into any employment agreement on behalf of ASA, and any such agreement, if made, shall not be enforceable unless it is a formal written agreement signed both by the employee and ASA’s Executive Director.

This Manual supersedes all previous personnel policies that may have been issued occasionally on the subjects covered in this manual.

## **200: EMPLOYEE PROFESSIONAL CONDUCT**

**Original Date:1985**

**Revision Date(s): 7/2021, 1/2025**

All employees must be aware of their responsibilities to ASA and fellow employees. ASA intends to take a constructive approach in this area and ensure that actions that interfere with ASA's operations or an employee's job are not continued. Not conforming to ASA standards will result in one of the following forms of disciplinary action: Verbal warning/discussion, written warning, suspension, or discharge. In arriving at a proper course of action, the seriousness of the infraction, the employee's record, and the circumstances surrounding the matter will be considered. ASA may proceed directly to termination.

When employees receive counseling, they are often given suggestions for how to improve. However, it is the employee's responsibility to inform their Supervisor of any assistance they may need to correct performance deficiencies. ASA will consider all requests for help.

Although it is impossible to identify every possible violation of standards of conduct, the infractions below are examples of behavior for which employees will be disciplined or discharged and are not all-inclusive:

- Falsifying Company records, including employment applications.
- Theft, fraud, or embezzlement.
- Carrying concealed weapons.
- Jeopardizing the health, safety, or well-being of others.
- Sexual harassment or sexual assault.
- Using Company equipment, material, time, or information for personal use without authorization.
- Abusing or destroying SUNY or ASA property or equipment.
- Working under the influence of intoxicating beverages or drugs or bringing unauthorized alcohol or drugs into the workplace.
- Violation of safety rules.
- Violating Company Policies and Procedures.
- Failing to follow the lawful directives of a supervisor.

## **201: CONFLICT OF INTEREST**

**Original Date:**

**Revision Date(s): 7/2021, 1/2025**

The Auxiliary Services Association (ASA) expects its employees to perform their duties according to the highest ethical standards. Employees are expected to devote their best efforts to the interests of ASA. Business dealings that result in an actual conflict or perceived conflict between the interests of ASA and the interests of an employee are unacceptable. ASA recognizes the right of employees to engage in activities outside of their employment that are private and unrelated to our business. However, the employee must disclose any possible conflicts so that ASA may assess and prevent potential conflicts of interest from arising.

An actual or perceived conflict of interest exists when an employee's personal, financial, or other commitments and obligations are likely to compromise or may have the appearance of compromising, the objective performance of their professional duties, responsibilities, or obligations to ASA, particularly if those interests or commitments are not disclosed. No employee shall accept other employment or business that will impair their independence of judgment in exercising their duties at ASA. Any employment outside of ASA, whether paid or unpaid, must be immediately disclosed to Human Resources. Personal, business, or volunteer affiliations that may give rise to an actual or perceived conflict of interest shall be disclosed to Human Resources. Employees must notify Human Resources of any actual or perceived conflicts of interest as soon as they arise or the employee becomes aware of them.

All ASA employees, including Supervisors, Managers, and Directors, must complete a Conflict of Interest Disclosure form annually and as otherwise may be required by ASA.

Some common relationships or circumstances may create or give the appearance of a conflict of interest. These situations generally involve gifts and business or financial dealings. Employees may not engage in private transactions involving personal gifts, services, money, or anything else of value from any ASA client, contract, vendor, board member, or funding source. Employees are also to refrain from accepting (including borrowing) gifts or money from direct reports or colleagues, which could impact decision-making or create a perception of favoritism.

All vendors, contractors, or other entities with which ASA does business should be selected solely on their merits and in the best interest of ASA, without regard to personal considerations. Vendor relationships with relatives or anyone else who may create an actual or perceived conflict of interest must be avoided. Personal relationships with or financial involvement or ownership of a substantial interest in any individual or entity that does business (or seeks to do business) with ASA must be disclosed to Human Resources and on the required Conflict of Interest Disclosure form.

## 202: BEHAVIOR OF EMPLOYEES

Original Date: 5/2000

Revision Date(s): 5/2001, 7/01/2021, 1/2025

ASA's policy is that specific rules and regulations regarding employee behaviors are necessary for efficient business operations and for the benefit and safety of all employees. Conduct that interferes with operations, discredits the Association, or is offensive to customers or coworkers will not be tolerated.

Appropriate employee conduct includes:

- Treating all customers courteously.
- Reporting suspicious, unethical, or illegal conduct to management by coworkers, customers, or suppliers.
- Report any threatening or potentially violent behavior by co-workers or others to management.
- Cooperating with ASA investigations.
- Complying with all ASA safety and security regulations
- Wearing clothing appropriate for the work being performed. (Performing assigned tasks efficiently and following established quality standards.)
- Reporting to work as scheduled and being at the proper workstation, ready for work, at the assigned starting time.
- Giving proper advance notice whenever unable to work or report on time.
- Maintaining cleanliness and order in the workplace and work areas.
- Not engaging in any form of sexual or other harassment.

## 203: CONFIDENTIALITY

Original Date:

Revision Date(s): 1/2025

**Policy Statement** - All Association employees, volunteers, and constituents' information must be treated with discretion and confidentiality. During employment and after separation from the Association, there should be no discussion, photocopying, duplication, or revealing of Association employee or constituent information that is not generally known to the public in any form to anyone outside the Association. Information obtained as a result of employment with the Association and from contact with constituents is considered proprietary and confidential and can only be used in the course of employment with the Association. Confidential information should only be shared with other employees within the Association who have a business need to receive such information or as required by legal authority. (i.e. financial records, ASA vendor contact list, customer information (student, resident, and patient records covered under HIPPA)

**Confidential Association Information** - All records and files maintained by the Association are confidential to the extent permitted under the Freedom of Information Law, including, but not limited to, personnel and payroll records, trade secrets, and confidential information relating to constituents, salary information, negotiations, and contracts, inventions, and discoveries.

**Security of Confidential Information** - An employee is responsible for properly securing and maintaining confidential and proprietary material in the employee's possession.

**Removal of Confidential Information** - Confidential information may not be removed from the Association premises without prior authorization from an employee's Supervisor, including all media, paper, or electronic formats.

**Disciplinary Action** - Any unauthorized use, collection, copying, removal, divulging, or transfer of confidential information in any manner not in the Association's best interest may result in disciplinary action, including termination and legal action.

## **204: EQUAL EMPLOYMENT OPPORTUNITY**

**Original Date:** 3/1995

**Revision Date(s):** 7/2021

This policy has been written in compliance with Title VII of the Civil Rights Act of 1964, Title IX of the Education Amendments of 1972, and the Division of Human Rights Law of New York State. ASA is committed to equal employment and environments, ensuring everyone in the ASA community is treated with respect, dignity, fairness, and equity. The ASA community includes, but is not limited to, employees, students, visitors, guests, contractors, and vendors associated with the institution.

ASA prohibits discrimination based on **race, sex, sexual orientation, gender identity or expression, religion, age, color, creed, national or ethnic origin, hair or hairstyle, disability, marital status, familial status, genetic predisposition, political affiliation, criminal convictions, domestic violence victim status, and veteran or military status, citizenship status, reproductive health decision making** and all other protected classes under federal or state laws in the administration of its policies, programs, activities, or employment, and includes the terms, conditions, and privileges of employment or access for students, faculty, and staff. ASA's non-discrimination policy affects all employment practices, including but not limited to recruiting, hiring, transfers, promotions, benefits, compensation, training, educational opportunities, discipline, daily responsibilities, and terminations.

It is important to note that ASA also strictly prohibits discrimination or any harassing or inappropriate behavior on any of the above bases by any ASA employee. Acts of discrimination directed by or at a Supervisor, co-worker, subordinate, visitor, or contractor will not be tolerated.

Retaliation against an employee, student, or witness participating in any ASA investigation is prohibited. Retaliation is also prohibited against any individual who files a discrimination complaint under Title IX or participates in a complaint investigation in any way. Any substantiated act of retaliation may result in sanctions or other disciplinary action as covered by Labor Management processes, collective bargaining agreements, or applicable ASA policies.

## **205: REASONABLE ACCOMMODATIONS**

**Original Date:** 1/2025

**Affects:** All Employees

The Auxiliary Services Association is committed to providing equal access to individuals with disabilities. Reasonable accommodations will be provided to qualified employees with disabilities to enable them to perform the essential functions of the positions for which they are applying and in which they are employed.

The Employee Disability Accommodation Process is a collaborative and interactive process between the employee and Human Resources.



The Association complies with the Americans with Disabilities Act (ADA), as amended, and applicable state and local laws that provide for nondiscrimination against qualified individuals with disabilities. ASA does not discriminate against any job applicant, employee or other individual, otherwise qualified to perform the essential functions of the job, with respect to any terms, privileges or conditions of employment because of that person's physical or mental disability or perceived disability.

In accordance with applicable law, and to ensure equal employment opportunities to qualified individuals with disabilities, ASA will make reasonable accommodations for the known physical or mental disabilities of an otherwise qualified applicant or employee to enable the individual to perform the essential functions of his or her job, unless an undue hardship would result.

Any applicant or employee who requires an accommodation in order to apply for the position or to perform the essential functions of their job should contact human resources. You may also contact your supervisor if the request is time sensitive or make a request for an accommodation in writing to human resources. Human resources will engage in an interactive and cooperative dialogue with you regarding your accommodation needs, potential accommodations--which may include alternatives to accommodations you propose--and any difficulties the proposed accommodations will impose upon the ASA. Human resources will then provide you with a written final determination either granting or denying the accommodation. If the accommodation is reasonable, will not create an undue hardship on the Association, or create a safety threat, ASA will grant the accommodation request. The Association may request a statement or documentation of the need for the requested accommodation and other pertinent information.

Your full cooperation and input in this process are expected. The Company will review the request and any supporting documentation and, where warranted, implement an appropriate reasonable accommodation.

ASA's policy of providing equal employment opportunities to qualified individuals with disabilities applies to all of its personnel and employment practices.

## **206: GENDER EXPRESSION NON-DISCRIMINATION ACT (GENDA)**

**Original Date:**

**Revision Date(s): 7/2021**

Our ASA *Gender Expression Policy* bars discrimination, harassment, and retaliation based on "gender identity or expression," which is defined as "a person's actual or perceived gender-related identity, appearance, behavior, expression, or other gender-related characteristic regardless of the sex assigned to that person at birth, including but not limited to the status of being transgender." As with conduct based upon an individual's age, race, creed, color, national origin, sexual orientation, military status, sex, disability, predisposing genetic characteristics, familial status or marital status, employers, employees (ASA employees or University employees) and ASA vendors may not discriminate, harass or retaliate based on gender identity or expression or any of the above bases.

Specifically:

- Employers are prohibited from refusing to hire or employ or to bar or to discharge from employment an individual because of an individual's gender identity or expression;
- Employers are prohibited from discriminating in compensation or terms, conditions, or privileges of employment because of an individual's gender identity or expression;

- Employers are prohibited from printing or circulating statements, utilizing applications, or making inquiries that express directly or indirectly any limitation, specification, or discrimination based on gender identity or expression;
- Employers are prohibited from denying or withholding admission to or participation in any occupational training or retraining program because of an individual's gender identity or expression and from discriminating against a person in the terms, conditions, or privileges of such programs based upon gender identity or expression.

ASA will regularly provide guidance relating to the use of names and pronouns, the types of conduct that constitute gender stereotyping, and the applicability of existing anti-harassment and anti-retaliation prohibitions to conduct based upon an individual's gender identity or expression.

## **207: SAFETY IN THE WORKPLACE**

**Original Date:** 1/1998

**Revision Date(s):** 7/2021

**Statement:** The Auxiliary Services Association commits itself to providing a safe environment for our employees. The safety of all employees is a primary consideration in the operation of our services, and every attempt will be made to reduce the possibility of accidents while maintaining a safe and efficient organization.

In an effort to keep the workplace as safe as possible, we maintain a safety and health program that is comparable to the best practices of similar organizations. The program must embody all our staff's proper attitudes toward injury and illness prevention to succeed. Employees are responsible for practicing and complying with safety rules and regulations while performing their duties. Only through such cooperative efforts can a safety program in the best interest of all be established and preserved.

Our safety and health program includes:

- Developing and enforcing various health and safety rules and regulations. Employees are required to cooperate with said policies as a condition of employment.
- Utilizing our Safety Committee. This committee meets regularly and tours our facilities. Based on their observations, they recommend and suggest ways of reducing and preventing accidents. The names of the committee members are posted on the bulletin board. Employees can contact any committee member with suggestions, recommendations, or issues they have regarding their safety.
- Providing mechanical and physical safeguards to the greatest extent possible.
- Conducting a safety and health inspection program that finds, controls, and eliminates unsafe working conditions or practices.
- Training all employees in good health and safety practices.
- Providing necessary personal protective equipment and instructions for its use and care.
- Promptly and thoroughly investigate every accident to discover what caused it and correct the problem so it won't happen again.

**Accidents:** If an injury occurs on the job, no matter how slight, employees must report it immediately to their Supervisor or the Human Resources Department. Failure to report an injury could affect a subsequent Workers' Compensation claim.

Facility Evacuation Procedures: When the alarm sounds, employees must immediately leave the building or go to the designated emergency evacuation areas. They may not re-enter the building until they are told it is safe to do so by a Fire Marshall, a University Police officer, or a member of the building management staff. Supervisors should check that their areas are evacuated.

Automobiles and Parking: Employees must only park in designated staff lots and spaces. Parking in loading dock areas is prohibited as it presents a serious safety hazard and prevents proper access to buildings by fire and other emergency vehicles. Possession of a "Special Services Permit" does not permit ASA employees or ASA vendor staff to park in loading docks, even in "designated" spaces. Temporarily leaving vehicles in designated spots in loading docks is only permitted for deliveries and staff engaged in a service operation. Driving on campus sidewalks is also prohibited.

Domestic Violence: Domestic violence permeates the lives and compromises the safety of thousands of employees each day, with tragic, destructive, and often fatal results.

Domestic violence is defined as a pattern of coercive tactics, which can include physical, psychological, sexual, economic, and emotional abuse perpetrated by one person against an adult intimate partner to establish and maintain power and control over the victim. In addition to exacting a tremendous toll on the individuals it directly affects, domestic violence often spills over into the workplace, compromising the safety of both victims and co-workers and resulting in lost productivity, increased health care costs, increased absenteeism, and increased employee turnover.

The Auxiliary Services Association, to the fullest extent possible without violating any existing rules, regulations, statutory requirements, contractual obligations, or collective bargaining agreements, will take all appropriate actions to promote safety in the workplace and respond effectively to domestic violence victims' needs. The Auxiliary Services Association will abide by the current guidelines, participate in any training, and utilize other resources available from the University to benefit all staff.

## **General Rules of Safety**

### **Code of Safety Practices**

- All persons shall follow safe practices rules, aid in keeping operations safe, and report all unsafe conditions or practices to management.
- Supervisors shall insist on employees observing and obeying every rule, regulation, and order as necessary to the safe conduct of the work and acting as necessary to obtain observance.
- Anyone known to be under the influence of drugs or intoxicating substances which impair the employee's ability to perform the assigned duties safely shall not be allowed on the job.
- Work shall be planned and supervised to prevent injuries when working with equipment and handling materials.
- Employees are not permitted to work while their ability or alertness is impaired by fatigue, illness, or other cause.
- Employees shall not enter areas with little or no ventilation unless it has been determined that it is safe to enter.
- Employees shall ensure that all guards and other protective devices are adjusted and in their proper places and report deficiencies promptly.
- Workers shall not handle or tamper with any electrical equipment, machinery, or air or water lines in a manner not within the scope of their duties unless they have received instructions from their Supervisor.
- All injuries shall be promptly reported to the Supervisor so that arrangements can be made for first aid or medical treatment.
- When lifting heavy objects, use the larger muscles of the leg instead of the smaller muscles in the back to prevent injury.

- Before leaving any work area, be sure it is in a safe condition.

### General Office Safety

- When using file cabinets, never open more than one drawer at a time to avoid tipping.
- Desk drawers, filing, and storage cabinets must be closed when unused.
- Floors, work areas, and hallways must be cleared of boxes, papers, electric cords, and telephone wires.
- Chairs shall be kept in a safe condition (properly adjusted, wheels secured, etc.)
- Inspect electrical wires periodically to make sure that plugs and cords are in safe operating condition.
- All spills, whether water, chemicals, grease, oil, or ink, must be quickly cleaned up.
- Ensure that all personal items are safe (e.g., shoes are non-skid, and eyeglasses have shatterproof lenses).
- Always think about Safety Awareness.
- Refrain from horseplay that could endanger you or your fellow employees.
- Always adhere to the proper dress code to allow adequate movement of arms and legs.
- Always maintain adequate lighting and ventilation in work areas.
- When stocking shelves, refrain from placing heavy, bulky objects at the top of shelving units. Ask for assistance when receiving, transporting, and stocking heavy packages.
- Avoid cuts and scrapes from sharp edges of cards or paper. If cuts occur, administer the proper first aid and complete an injury report.
- Turn off all electrical equipment at the end of the day.
- During meetings, seating arrangements must include exit aisles no less than 24 inches wide. Aisles must be kept clear at all times.
- Binders shall contain no more materials than required for work.
- Exercise care when using cutting devices.
- Bookshelves and cabinets will be substantially braced to prevent them from tipping or falling.
- Store storage boxes out of the way and in a safe manner.
- When using ladders or short steps, never stand on the top or second to top step unless there are handrails on the ladder to support you.
- Always have a coworker nearby in case of an emergency when using ladders.
- Use handcarts and other mechanical stock-handling equipment when moving heavy loads.
  - Follow procedures established for spill cleanup involving chemical substances. Consult with the Material Safety Data Sheets (MSDSs) if you do not know the hazards associated with a particular chemical spill.
- Ensure that computer or Video Display Terminal (VDT) workstations comfortably sit at an appropriate distance from the terminal screen.

### General Automobile Safety

- Employees must park in designated staff lots and spaces only.
- Parking in loading dock areas is prohibited, as it prevents proper access to buildings by fire and other emergency vehicles in emergencies.
- Possession of a "Special Services Permit" does not permit ASA employees or vendor staff to park in loading docks, even in designated spaces.
- Only staff engaged in service operations or making deliveries can temporarily leave vehicles in designated spots in loading docks.
- Driving on campus sidewalks is prohibited.

## Food Service Area General Safety

- All unsafe conditions seen in the kitchen should be immediately reported to management.
- Report accidents on the job to management, even if no serious injury is apparent.
- Employees must disclose to their Supervisor the use of any substances, legal or illegal, that create drowsiness, slowed reaction times, hallucinations, etc.

## Receiving and Storage

- Protruding nails or staples must be removed when opening boxes, barrels, crates, or similar containers. Box openers, not knives, should be used.
- Store heavier and bulkier on lower shelves. Anything 25 pounds or over should be located between the knees and shoulders.
- Stack layers of cases in a crisscross formation to reduce the possibility of toppling. Do not stack cases too high.
- Ladders for obtaining storage materials should be safe and equipped with non-skid feet.
- Lift heavy items safely and properly. Back support belts should be used when lifting anything over 25 pounds, and multiple people should lift heavier items.

## Food Preparation and Avoiding Burns

- Wear dry oven mitts when handling hot utensils.
- Wear aprons when using the oven, grill, char-broiler, or fryer.
- Use no more water than needed to cook to avoid boiling over. This also makes it easier to pour off hot liquids.
- Lift lids cautiously from hot pots or steam tables to allow steam to escape and prevent scalding your hands or face.
- Turn pot handles away from the stove's edge so the pots will not be knocked off. Ensure handles are not too close to an open flame.
- Have multiple people move heavy containers of hot food. Before moving hot containers, clear the work area. If a cart is used, place a towel under the hot pot to reduce the chance of it sliding off.
- Control splash when draining kettles. A plastic bucket with a hole in the bottom can help direct the hot liquids to a drain.
- Turn spigots slowly when drawing hot water or coffee to avoid splashing. Make sure that valves and spigots are in proper position before using them,
- Close oven doors when not in use.
- Ventilate ovens for several minutes before lighting. Strike matches away from clothes or other flammable material. Place matches or wicks at the gas jet before turning on the gas. Gas should be gradually turned on to avoid blowing the match or wick.
- Ovens, stoves, grills, or fryers should not be cleaned until cooled.
- Do not use pan coating sprays near any flame. Turn off stove tops before using pan coating sprays.

## Knives and Food Preparation

- Cut- or slice-resistant gloves, knives, and equipment with blades should be used when cleaning.
- Full attention is required when using knives.
- Cut away from the body.
- Keep sharp edges away from the body when drying and using knives.
- All knives should be kept in their proper storage place when not in use. Do not store knives in a drawer.
- Do not leave knives in the sink where they cannot be easily seen.
- Keep knives sharp at all times. Remove steel particles from knives after they are sharpened.

- If a knife is dropped, do not try to catch it. Make sure the knife cannot hurt you as it falls.
- Use proper knives for each procedure, i.e., boning knives, carving knives, paring knives, etc.
- Do not use knives to open cans.
- Put damp towels under cutting boards to keep them from slipping.

### Machines used for Food Preparation

- Machinery and tools, including knives and slicing equipment, should only be used for their intended purpose.
- Machines should not be used until the employee is trained on their use. All guards and safety devices must be in place when used.
- Unplug and turn off all equipment before cleaning or adjustments. Fingers, hands, utensils, etc., must be kept from moving parts.
- Make sure that all electrical appliances are turned off before being plugged into an outlet.
- Use film wrap cutters to cover the serrated blades on film wrap boxes.
- Employers should never attempt to repair equipment. Report any equipment that appears defective or in need of repair to management.
- Do not start the mixers until the bowl or kettle is appropriately placed and the beaters are securely fastened.
- Use tampers (plastic food stompers) to push food into grinders.

### China and Glassware

- Use care when handling glasses and dishes.
- Use dustpans, brushes, or brooms to sweep up pieces of broken glass or China. Use damp paper towels to clean up the remaining slivers. Put broken pieces of glass or China Special containers with secured lids labeled "Broken Glass/China." Broken glass must not be placed in waste paper baskets, garbage, or refuse cans.
- Keep glass and China out of the pot sink.
- If broken glass or dishware is suspected to be in the sink with soapy water, drain the water before carefully removing the broken pieces.

### Refuse Disposal

- Put scraps of food and waste in the proper containers. Containers should be as small as practical to decrease their weight.
- Empty containers regularly so that refuse does not overflow onto the floor.
- Refuse containers that are broken or otherwise defective should be reported promptly.
- Keep lids on all outside refuse containers.

### Use of Chemicals

- Before using any chemicals, read their directions carefully. Follow the directions thoroughly to avoid injury.
- Chemicals should never be mixed with anything but water.
- Wear protective goggles, gloves, aprons, etc., as the manufacturer recommends on the MSDS.

### Floors and Avoiding Falls

- Wear approved non-slip safety shoes.
- Keep floors clean and dry. Clean up refuse, food, and water spills immediately.
- Tile floors may be slippery when the weather is humid and muggy. Special attention must be made at such times to avoid slips and falls.
- Employees must walk, not run or slide across the floor.

- Use wet floor signs when necessary.
- Floors should be cleaned in a two-step fashion, leaving a dry path to walk.
- Use non-skid mats in areas that are likely to be wet.

#### Self-Protection

- Use designated employee entrances, which are monitored and well lit, at all times.
- Employees who work alone should be familiar with the emergency assistance procedures.

#### Violation of Safety Rules

Guidelines must be followed to enforce safety rules, policies, procedures, and directives from appropriate management personnel. Employees will be subject to disciplinary action for violating safety rules.

Employees shall be afforded instructive counseling or training to understand the infraction and the proper conduct under Association guidelines. However, nothing in this policy will prevent management from terminating an employee for a safety violation. This is not a progressive discipline system, and any safety violation may lead to an employee's termination without prior instruction or warning. Management reserves the right to impose whatever disciplinary action it deems appropriate, including but not limited to:

- Verbal warning with documentation in the personnel file.
- Written warning outlining the nature of the offense and necessary corrective action with documentation in the personnel file.
- Disciplinary suspension with documentation in the personnel file.
- Termination.

Management, including Supervisory personnel, shall be subject to disciplinary action for the following reasons:

- Repeated safety rule violations by their department employees.
- Failure to provide adequate training prior to job assignment.
- Failure to report accidents and provide medical attention to employees injured at work.
- Failure to control unsafe conditions or work practices.
- Failure to maintain good housekeeping standards and cleanliness in their departments.

## **208: PROHIBITION AGAINST DISCRIMINATION AND HARASSMENT**

**Original Date:** 1/2025

**Revision Date(s):**

It is the policy of the Association that all employees should be able to work in an environment free from discrimination or harassment of any kind whatsoever, including discrimination or harassment on the basis of an individual's race, color, national origin, religion, age, sexual orientation, gender, pregnancy, citizenship, gender identity, gender expression, marital status, disability, domestic violence victim status, predisposing genetic characteristics, employee's or dependent's reproductive decision making, military status, arrest or conviction record, credit history, citizenship, veteran status, salary history, unemployment status, caregiver status or any other characteristic protected by applicable federal, state, or local law.

Our goal is to provide a workplace free from discrimination and harassment, sexual or otherwise. Such conduct will not be tolerated by the Association and does not belong in the workplace.

Discrimination or harassment of employees by other employees is strictly prohibited. Depending on the extent of the Company's exercise of control, this policy may also apply to non-employees, such as vendors and other visitors. Discrimination or harassment includes, without limitation, subjecting an individual to adverse job action, disparaging verbal remarks (i.e., epithets, derogatory statements, slurs, etc.), physical harassment (i.e., assault, physical interference with normal work or involvement, etc.), visual harassment (i.e., posters, cartoons, drawings, etc.) or innuendo.

Specifically, the following conduct constitutes harassment other than sexual harassment and will not be tolerated:

- (i) Use of ethnic slurs or racial epithets;
- (ii) Telling jokes or other language that may be construed as harassment of others based on their race, national origin, age, disability or religious beliefs or any other protected characteristic;
- (iii) The display of cartoons or other images (including images displayed on computers and emails) that may be construed as harassment of others based on their race, national origin, age, disability, religious beliefs, or any other characteristic protected by law.

The policy prohibiting discrimination or harassment applies to everyone in the Association, regardless of title or job classification. Supervisors are responsible for encouraging employees within their area to report any violations and creating a work environment where discrimination or harassment of any kind is not permitted.

All employees must comply with this policy and take appropriate measures to ensure that violations do not occur. Individuals who engage in such conduct will be subject to discipline, up to and including termination.

## **209: SEXUAL HARASSMENT PREVENTION**

**Original Date:** 6/2000

**Revision Date(s):** 6/2004, 7/2021, 1/2025

### **Purpose and Goals**

The Auxiliary Association at Stony Brook University is committed to maintaining a workplace free from harassment and discrimination. Sexual harassment is a form of workplace discrimination that subjects an employee to inferior conditions of employment due to their gender, gender identity, gender expression (perceived or actual), or sexual orientation. Sexual harassment is often viewed simply as gender-based discrimination, but the *Auxiliary Services Association* recognizes that discrimination can be related to or affected by other identities beyond gender. Under the New York State Human Rights Law, it is illegal to discriminate based on sex, sexual orientation, gender identity or expression, age, race, creed, color, national origin, military status, disability, predisposing genetic characteristics, familial status, marital status, criminal history, or status as a victim of domestic violence. Our different identities impact our understanding of the world and how others perceive us. For example, an individual's race, ability, or immigration status may impact their experience with gender discrimination in the workplace. While this policy is focused on sexual harassment and gender discrimination, the methods for reporting and investigating discrimination based on other protected identities are the same. The purpose of this policy is to teach employees to recognize discrimination, including discrimination due to an individual's intersecting identities, and provide the tools to take action when it occurs. All employees, managers, and Supervisors must work in a manner designed to prevent sexual harassment and discrimination in the workplace. This policy is one component of the Auxiliary Services Association's commitment to a discrimination-free work environment.



## **Goals of this Policy:**

Sexual harassment and discrimination are against the law. After reading this policy, employees will understand their right to a workplace free from harassment. Employees will also learn what harassment and discrimination look like, what actions they can take to prevent and report harassment, and how they are protected from retaliation after taking action. The policy will also explain the investigation process into any claims of harassment. Employees are encouraged to report sexual harassment or discrimination by filing a complaint internally with the Auxiliary Services Association. Employees can also file a complaint with a government agency or in court under federal, state, or local anti-discrimination laws. To file an employment complaint with the New York State Division of Human Rights, please visit <https://dhr.ny.gov/complaint>. To file a complaint with the United States Equal Employment Opportunity Commission, please visit <https://www.eeoc.gov/filing-charge-discrimination>.

## **Sexual Harassment and Discrimination Prevention Policy:**

### **PROHIBITION AGAINST DISCRIMINATION AND HARASSMENT**

It is the policy of the Company that all employees should be able to work in an environment free from discrimination or harassment of any kind whatsoever, including discrimination or harassment on the basis of an individual's race, color, national origin, religion, age, sexual orientation, gender, pregnancy, citizenship, gender identity, gender expression, marital status, disability, domestic violence victim status, predisposing genetic characteristics, employee's or dependent's reproductive decision making, military status, arrest or conviction record, credit history, citizenship, veteran status, salary history, unemployment status, caregiver status or any other characteristic protected by applicable federal, state, or local law.

Our goal is to provide a workplace free from discrimination and harassment, sexual or otherwise. Such conduct will not be tolerated by the Company and does not belong in the workplace.

Discrimination or harassment of employees by other employees is strictly prohibited. Depending on the extent of the Company's exercise of control, this policy may also apply to non-employees, such as vendors and other visitors. Discrimination or harassment includes, without limitation, subjecting an individual to adverse job action, disparaging verbal remarks (i.e., epithets, derogatory statements, slurs, etc.), physical harassment (i.e., assault, physical interference with normal work or involvement, etc.), visual harassment (i.e., posters, cartoons, drawings, etc.) or innuendo.

Specifically, the following conduct constitutes harassment other than sexual harassment and will not be tolerated:

- (iv) Use of ethnic slurs or racial epithets;
- (v) Telling jokes or other language that may be construed as harassment of others based on their race, national origin, age, disability or religious beliefs or any other protected characteristic;
- (vi) The display of cartoons or other images (including images displayed on computers and emails) that may be construed as harassment of others based on their race, national origin, age, disability, religious beliefs, or any other characteristic protected by law.

The policy prohibiting discrimination or harassment applies to everyone in the Company, regardless of title or job classification. Supervisors are responsible for encouraging employees within their area to report any violations and creating a work environment where discrimination or harassment of any kind is not permitted.

All employees must comply with this policy and take appropriate measures to ensure that violations do not occur. Individuals who engage in such conduct will be subject to discipline, up to and including termination.

### **POLICY AGAINST SEXUAL HARASSMENT**

The Company prohibits sexual harassment and retaliation of or against its employees, applicants, interns, contractors, volunteers, vendors, consultants, or anyone providing services in our workplace (including independent contractors, gig workers, and temporary workers) by another employee, supervisor, customer, client, vendor or other third party in

all aspects of the employment relationship including: recruitment, hiring, placement, promotion, transfer, training, compensation, benefits, activities, access to programs and treatment. Sexual harassment is a form of workplace discrimination that subject an employee to inferior conditions of employment due to their gender (including pregnancy, childbirth and related medical conditions), gender identity, gender expression (perceived or actual), and/or sexual orientation. This policy is one component of the Company's commitment to a discrimination-free work environment.

## **SEXUAL HARASSMENT DEFINED**

Sexual harassment is a form of sex discrimination. Discrimination of any kind, including sexual harassment, violates Company policy and is unlawful under federal, New York State and local law (as applicable). Sexual harassment includes unwelcome conduct which is either of a sexual nature or which is directed at an individual because of that individuals' sex or gender, gender identity or gender expression, and/or sexual orientation when:

- Submission to that conduct or those advances or requests is made either explicitly or implicitly a term or condition of an individual's employment; or
- Submission to or rejection of the conduct or advances or requests by an individual is used as the basis for employment decisions affecting the individual; or
- The conduct or advances or requests have the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile, or offensive working environment, even if the individual is not the intended target.

Sexual harassment can be verbal (e.g., jokes, insults, gestures or teasing), visual (e.g., offensive posters, symbols, cartoons, drawings, computer displays, text messages, social media posts or e-mails) or physical conduct (e.g., unwanted touching, physically threatening another) that denigrates or shows hostility or aversion towards an individual based on sex or gender, gender identity, gender expression and/or sexual orientation. In New York, harassment does not need to be "severe or pervasive" to be illegal.

Examples of conduct that violate this policy include:

- unwelcome sexual advances, flirtations, advances, leering, whistling, touching, pinching, assault, blocking normal movement
- repeated requests for dates or romantic gestures, including gift-giving
- requests for sexual favors or demands for sexual favors in exchange for favorable treatment
- obscene or vulgar gestures, comments, or posters (this also extends to the virtual or remote workspace and can include having such materials visible in the background during a virtual meeting)
- sexual jokes, noises, or comments about a person's body, sexual prowess, sexuality, sexual experience, romantic history, or sexual deficiencies
- propositions, or suggestive or insulting comments of a sexual nature
- derogatory cartoons, posters, and drawings
- sexually-explicit e-mails, text messages, posts or voicemails
- conversation about one's own or someone else's sex life
- conduct or comments consistently targeted at only one gender, even if the content is not sexual
- teasing or other conduct directed toward a person because of the person's gender, gender identity, gender expression, or sexual orientation (including the intentional misuse of an individual's preferred pronouns and creating different expectations for individuals based on their perceived identities)
- sex stereotyping, which occurs when someone's conduct or personality traits are judged based on other people's ideas or perceptions about how individuals of a particular sex should act or look

This list is just a sample of behaviors and should not be considered exhaustive. Any employee who believes they have experienced sexual harassment, even if it does not appear on this list, should feel encouraged to report it.

Sexual harassment is not limited to sexual contact, touching, or expressions of a sexually suggestive nature. Sexual harassment includes all forms of gender discrimination including gender role stereotyping and treating employees differently because of their gender. The intent of the behavior, for example, making a joke, does not neutralize the conduct. Not intending to harass is not a defense. The impact of the behavior on a person is what counts. In addition, sexual harassment is not limited to interactions in person. Sexual harassment can occur when employees are working remotely from home as well. Harassment can happen on virtual meeting platforms, in messaging apps, and during non-working hours, and regardless of whether the communication occurs on Company owned or personal devices.

### **RETALIATION DEFINED**

Retaliation is adverse conduct taken because an individual reported an actual or perceived violation of this policy, opposed practices prohibited by this policy, participated in the reporting and investigation process set forth in this policy or testified or assisted in an investigation or proceeding involving an actual or perceived violation of this policy. Adverse conduct includes, but is not limited to any action that would keep an employee from reporting sexual harassment or retaliation; shunning and avoiding an individual who reports sexual harassment or retaliation; express or implied threats or intimidation intended to prevent an individual from reporting sexual harassment or retaliation; and denying employment benefits because an applicant or employee reported or encouraged another employee to report sexual harassment or retaliation or participated in the reporting and investigation process. No one should fear reporting sexual harassment if they believe it has occurred.

### **REPORTING PROCEDURE**

The Company cannot prevent sexual harassment unless it knows about it. If an employee believes someone has violated this policy, the employee should promptly bring the matter to the immediate attention of his/her supervisor, human resources manager or any member of management with whom the employee feels comfortable. Reports of sexual harassment may be made verbally or in writing. Written complaints can be submitted internally using a complaint form. The complaint form can be found from Human Resources, without difficulty. Use of this form is not necessary. Verbal or other written complaints (such as an email) on behalf of oneself or another employer will be treated with equal priority. If the employee makes a complaint under this policy and has not received a satisfactory response within five (5) business days, the employee should contact the President immediately.

### **SUPERVISORY RESPONSIBILITIES**

Supervisors and managers have a special responsibility to make sure employees feel safe at work and that workplaces are free from harassment and discrimination. Every supervisor who learns of any employee's concern about conduct in violation of this policy, whether in a formal complaint or informally, must immediately report the issues raised to the human resources manager. Managers and supervisors should not be passive and wait for an employee to make a complaint. If they observe or are otherwise aware of conduct in violation of this policy, they must act.

### **INVESTIGATION PROCEDURE**

Upon receiving a complaint, the Company will timely conduct a fair and thorough investigation into any claim of a violation of this policy to ensure a fair and impartial investigation. The Company will endeavor to keep the reporting employee's concerns confidential. However, complete confidentiality may not be possible in all circumstances. Employees are required to cooperate in investigations conducted pursuant to this policy.

During the investigation, the Company generally will seek to interview all parties involved, conduct further interviews as necessary and review documents or other information the investigator believes are relevant.

Upon completion of the investigation, the Company will determine whether this policy has been violated based upon its reasonable, good-faith evaluation of the information gathered during the investigation. The Company will inform the complainant and the accused of the results of the investigation, and will take such action as necessary to ensure that employees are provided with a safe working environment.

Any employee found to have engaged in conduct in violation of this policy will be considered to have engaged in employee misconduct. Individuals who violate this policy (which includes supervisory or management personnel who fail to report or knowingly allow sexually harassing behavior to continue) will be subject to disciplinary action, up to and including termination from employment. Individuals who engage in conduct that rises to the level of a violation of law can be held personally liable for such conduct. In addition, employers or supervisors who fail to report or act on harassment may be liable for aiding and abetting such behavior.

### **BYSTANDER INTERVENTION**

Any employee witnessing harassment as a bystander is encouraged to report it. There are five standard methods of bystander intervention that can be used when anyone witnesses harassment or discrimination and wants to help.

1. A bystander can interrupt the harassment by engaging with the individual being harassed and distracting them from the harassing behavior;
2. A bystander who feels unsafe interrupting on their own can ask a third party to help intervene in the harassment;
3. A bystander can record or take notes on the harassment incident to benefit a future investigation;
4. A bystander might check in with the person who has been harassed after the incident, see how they are feeling and let them know the behavior was not ok; and
5. If a bystander feels safe, they can confront the harassers and name the behavior as inappropriate. When confronting harassment, physically assaulting an individual is never an appropriate response.

As noted above, a supervisor or manager that is a bystander to harassment is required to report it.

### **LEGAL PROTECTIONS AND EXTERNAL REMEDIES**

Aside from the internal complaint process, employees may choose to pursue external legal remedies with the following governmental entities:

#### **New York State Division of Human Rights (DHR)**

The DHR enforces the New York State Human Rights Law (HRL), codified as N.Y. Executive Law, art. 15, § 290 et seq., which protects employees, paid or unpaid interns and non-employees regardless of immigration status from unlawful discrimination, harassment or retaliation. The DHR has the power to award relief, which varies but may include requiring an employer to take action to stop the harassment, or redress the damage caused, including paying monetary damages, punitive damages, attorney's fees and civil fines.

DHR's main office contact information is:

NYS Division of Human Rights  
One Fordham Plaza, Fourth Floor  
Bronx, New York 10458  
(718) 741-8400  
[www.dhr.ny.gov](http://www.dhr.ny.gov)

Individuals also may contact the DHR at (888) 392-3644 or visit [dhr.ny.gov/complaint](http://dhr.ny.gov/complaint) for more information. In addition, DHR has established a toll-free confidential hotline to provide counsel and assistance to individuals who believe they are experiencing workplace sexual harassment. Employees can call the toll-free sexual harassment hotline at 1-800-HARASS-3 Monday through Friday, 9:00 AM to 5:00 PM.

### **United States Equal Employment Opportunity Commission (EEOC)**

The EEOC enforces federal anti-discrimination laws, including Title VII of the 1964 federal Civil Rights Act (codified as 42 U.S.C. § 2000e et seq.). If an employee believes he/she has been subjected to harassment, he/she can file a "Charge of Discrimination." The EEOC has district, area, and field offices where complaints can be filed. The EEOC does not hold hearings or award relief, but may take other action including pursuing cases in federal court on behalf of complaining parties. Federal courts may award remedies if discrimination is found to have occurred.

The EEOC can be contacted by calling 1-800-669-4000 (1-800-669-6820 (TTY)), visiting its website at [www.eeoc.gov](http://www.eeoc.gov) or via email at [info@eeoc.gov](mailto:info@eeoc.gov).

### **Local Protections**

Many localities enforce laws protecting individuals from sexual harassment and discrimination. An individual should contact the county, city or town in which they live to find out if such a law exists. For example, employees who work in Suffolk County can file complaints of sexual harassment with the Suffolk County Human Rights Commission H. Lee Dennison Building, 100 Veterans Memorial Hwy, third Floor, Hauppauge, NY 11788; 631-853-5480; [www.suffolkcountyny.gov/Departments/HumanRightsCommission.aspx](http://www.suffolkcountyny.gov/Departments/HumanRightsCommission.aspx).

### **Contact the Local Police Department**

If the harassment involves unwanted physical touching, coerced physical confinement or coerced sex acts, the conduct may constitute a crime. Those wishing to pursue criminal charges are encouraged to contact the local police department or, in an emergency, dial 911.

# Complaint Form for Reporting Sexual Harassment



*Auxiliary Services Association*

New York State Labor Law requires all employers to adopt a sexual harassment prevention policy that includes a complaint form to report alleged incidents of sexual harassment.

If you believe that you have been subjected to sexual harassment or gender discrimination, you are encouraged, but not required, to complete this form and submit it to the Human Resource Director. No employee will be retaliated against for filing a complaint.

If you are more comfortable reporting verbally or in another manner, your employer should complete this form, provide you with a copy, and follow its sexual harassment prevention policy by investigating the claims as outlined at the end of this form.

**For additional resources, visit: [ny.gov/programs/combating-sexual-harassment-workplace](http://ny.gov/programs/combating-sexual-harassment-workplace)**

## COMPLAINANT INFORMATION

Name:

Work Address:

Work Phone:

Job Title:

Email:

Select Preferred Communication Method: Email Phone In person

## SUPERVISORY INFORMATION

Immediate Supervisor's Name:

Title:

Work Phone:

Work Address:

**COMPLAINT INFORMATION**

1. Your complaint of sexual harassment is made about:

Name:

Title:

Work Address:

Work Phone:

Relationship to you: Supervisor Supervisee Co-Worker Other (please specify)

2. Please describe what happened and include as many details as possible. You may use additional sheets of paper if necessary. If you have any relevant documents, please include them.

3. Date(s) sexual harassment occurred:

Is the sexual harassment continuing? Yes No

4. If possible, please list the name and contact information of any witnesses or individuals who may have information related to your complaint:

*The last question is optional but may help the investigation.*

5. Have you previously provided information (verbal or written) about related incidents? If yes, when and to whom did you provide information?

This portion is not required, but if you have retained legal counsel and would like us to work with them, please provide their contact information.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

# 210: SUBSTANCE ABUSE AND TOBACCO PRODUCTS BAN

Original Date: 1/2001

Revision Date(s): 7/2021, 1/2025

In compliance with the Federal Drug-Free Workplace Act of 1988 and the Federal Drug-Free Schools and Communities Act of 1989, it is the policy of the Auxiliary Services Association to make a good-faith effort to maintain a drug-free workplace. Accordingly, all employees are responsible for observing ASA and University regulations and applicable laws and statutes. All employees must adhere to the following University policy as a condition of employment:

## Alcoholic Beverages

New York State Law prohibits the sale, giving, and serving of alcoholic beverages to those persons under the age of 21. It further prohibits the possession and consumption of alcoholic beverages by persons under the age of 21. Specific campus regulations regarding the sales, service, and consumption of alcoholic beverages are contained in the campus [Alcohol Policy](#) and [University Student Conduct Code](#).

Alcohol may be consumed only at state-licensed sites, facilities, or events where a State Liquor Authority Permit has been obtained. The Office of Administration is responsible for establishing application procedures and enforcing guidelines under which alcohol may be served at any University event.

## Illegal Possession, Sale, and Use of Drugs and Drug Paraphernalia

No student, staff, or faculty member will illegally manufacture, sell, possess, or use controlled substances as defined by New York State or Federal Law. The introduction or possession of drug paraphernalia is prohibited explicitly on campus, including, but not limited to: bongos, water pipes, roach clips, or hypodermic needles (not specifically for the administration of prescribed medications).

## Education and Awareness, Counseling, Treatment and Re-Entry Programs

Employees and students are encouraged to participate in alcohol and drug awareness training and activities to be fully informed as to the detrimental physical and psychological side effects of these substances and the health risks.

The University recognizes the need for assistance, intervention, and educational programs related to the abuse of alcohol and drugs. Counseling and Psychological Services (CAPS), the Center for Prevention and Outreach (CPO), and the Employee Assistance Program (EAP) provide confidential assessment and referral services for students and employees, respectively.

## Policy Compliance

**Employees** who unlawfully manufacture, distribute, dispense, possess, or use a controlled substance will be subject to disciplinary procedures consistent with applicable laws, rules, regulations, and collective bargaining agreements. Any illegal activity involving drugs or alcohol on the campus grounds is considered "misconduct." Penalties sought under these provisions are independent of sanctions imposed by Federal and State laws and may include termination of employment.

The use, possession and impairment by marijuana during work time is strictly prohibited, including during meal breaks and other breaks. The use of marijuana is not permitted at outdoor smoking areas or in the parking lot. Employees are prohibited from reporting to work while impaired by marijuana. Employees in safety-sensitive



positions (generally defined as those positions in which impairment by drugs or alcohol could threaten the health or safety of the employee or others) are prohibited from using marijuana for six hours prior to reporting for duty. Employees who violate these rules will be subject to discipline up to and including termination.

**Employees** must notify the Human Resources Department of any criminal drug statute conviction for a violation occurring in the workplace or at the worksite no later than five days after such conviction.

**Students** suspected of violating Federal, State, or local controlled substance statutes will be referred to the Office of University Community Standards for possible violations of the Student Conduct Code (CODE). If found responsible for a CODE violation, a student may receive an educational sanction and may be subject to other sanctions outlined in the CODE. In some instances, an interim suspension (i.e., immediate suspension) may be appropriate. Sanctions imposed by the University are independent of penalties prescribed by Federal and State laws.

Intoxication or substance abuse does not excuse individuals from the legal or disciplinary consequences of disorderly or inappropriate conduct. The individual's responsibility will be restitution for the cost of damages to university property resulting from such misconduct.

## **NO TOBACCO PRODUCTS ALLOWED ON CAMPUS**

In keeping with the University's desire to provide a respectful, safe, healthy, and clean environment for all students, employees, and visitors, using tobacco products is prohibited at Stony Brook. No forms of tobacco use are allowed on university property, including all indoor and outdoor locations. Tobacco use is also prohibited in all University vehicles, including buses, vans, cars, golf carts, and trucks. The sale of cigarettes and other tobacco products is prohibited anywhere on university property, and tobacco advertisements must not be publicly displayed at the University. Stony Brook University Institutional Review Board (IRB) approved research is exempt from this policy.

## **211: INFECTION CONTROL**

**Original Date:**

**Revision Date(s): 7/2021**

Infection Control is a routine part of every employee's job responsibilities. We are all conscious of taking the proper precautions to avoid potentially infectious situations. This protects the patients, some of whom might be immunocompromised, fellow employees with whom we come in contact, and ourselves.

Employees with potentially infectious conditions such as diarrhea, gastroenteritis, or a fever are not to work in food service until their symptoms are controlled. Employees with rashes, dermatitis, upper respiratory infections, wounds, abscesses, or boils are prohibited from working. In addition, under SUNY and DOH policies, an employee who has been absent/ill for five or more consecutive shifts will not be permitted to return to work without a doctor's note stating that they may return to work.

All cuts, burns, and rashes must be covered entirely. After cleaning a cut or wound, bandage the area and protect it with a plastic or rubber glove.

### Universal Precautions

Universal precautions are the methods we use to prevent infections. They include using Personal Protective Equipment (PPE) such as plastic, vinyl, or rubber gloves, masks, face shields or eye protectors, and fluid-resistant aprons.

Body fluids to which universal precautions apply are: blood and other body fluids that contain visible blood, vaginal secretions, semen, fluids that surround the joints, lungs or abdomen, amniotic fluid, and saliva.

Body fluids to which universal precautions **do not** apply: Nasal secretions, sputum, sweat, tears, feces, urine, and vomit unless they contain visible blood.

### Blood-borne Pathogens

Blood-borne pathogens (such as Hepatitis B, Hepatitis C, and HIV) are transmitted through bodily fluids. They are primarily transmitted via blood and semen, although all body fluids and tissues should be regarded as potentially infectious. The most common modes of transmission are sexual contact, needle sharing, and, to a lesser degree, infusion of contaminated blood products. They are not transmitted by casual contact, touching or shaking hands, eating food prepared by an infected person, or drinking fountains, telephones, toilets, or other surfaces.

Blood-borne pathogens may infect you through a variety of means, including:

- Accidental injury by a sharp object contaminated with infectious material, such as a needle, scalpel, or broken glass.
- Blood or body fluid contamination of open cuts, nicks, skin abrasions, and the mucous membranes of your mouth, eyes, and nose.
- Indirect transmission, such as touching a contaminated object or surface and transferring the infectious material to your eyes, nose, or open skin.

For Hepatitis B and Hepatitis C, symptoms include loss of appetite, nausea and vomiting, vague abdominal discomfort, and changes in stool and urine color. HIV symptoms include flu-like symptoms, fever, diarrhea, and fatigue.

### Tuberculosis

Tuberculosis (TB) is an infectious disease caused by bacteria. Infectious TB particles are usually spread from a person through the air when they cough, sneeze, or talk. Anyone can get TB. Some people are at higher risk, like older adults, those who are immuno-compromised, and employees and residents of long-term care facilities.

Symptoms of TB include a chronic productive cough, feeling tired all the time, weakness, night sweats, unexplained weight loss, loss of appetite, fever, coughing up blood or cavity lesions on a chest x-ray.

### Multiply-Resistant Organisms

Multiply-Resistant Organisms (MRO) are clinically significant organisms that resist certain important antibiotics (such as penicillin). Isolation procedures (such as gloves, gowns, and masks) protect patients and staff members. Food and Nutritional Services personnel follow the isolation tray procedures for rooms marked with a sign. Trays for these patients are left at the nurse's station.

### What to Do if Exposed

- Clean the affected area immediately.
- Notify your Supervisor immediately.
- Complete an accident/incident report.
- Immediately report to Employee Health Services- Level 5, Room 255– Monday through Friday, 8:00 a.m. to 4:00 p.m. (4-7767).

At all other times, report to the emergency room (4-2465).

## **212: LACTATION POLICY**

**Original Date:**

**Revision Date(s): 7/2021, 1/2025**

Under Section 206-c of the New York State Labor Law, ASA shall provide paid break time for thirty minutes and permit an employee to use existing paid break time or meal time for time over thirty minutes to allow an employee to express breast milk for such employee's nursing child each time such employee has a reasonable need to express breast milk for up to three years following childbirth.

For employees who need to express breast milk during the workday, upon request, ASA provides the following:

- Access to a lactation room (as defined by this policy) containing a refrigerator suitable for breast milk storage that is in close proximity to the employee's work area; and,
- Lactation breaks for employees nursing during the workday.

### **Lactation Room Defined**

For purposes of this policy, a lactation room is a room or location, other than a restroom or a toilet stall, that can be used to express breast milk shielded from view and free from intrusion from other persons in the workplace or the public. The lactation room must be well lit and include, at a minimum, a chair, a working surface (a surface on which to place a breast pump and other personal items), an electrical outlet, and nearby access to clean running water.

In the event ASA cannot provide a room dedicated solely for lactation purposes, ASA will designate a room or other location that may be used for other purposes provided:

- The designated lactation room will be used solely as a lactation room during times when an employee is using the room to express breast milk; and,
- ASA will provide notice to all employees as soon as practicable when the room is designated to be used as a lactation room only.

### **Lactation Room Request & Usage Process**

ASA has designated a lactation room ("Lactation Room") as the location for employees to express breast milk. All employees have the right to request use of the Lactation Room and it shall be made available to a requesting employee when needed. Below is the process for employees to request such use:

1. An employee should notify Human Resources via e-mail or telephone of the request to use the Lactation Room as soon as practicable.
2. As soon as possible, but not more than five (5) business days from the employee's request, Human Resources will provide a written response to the employee regarding the request.
3. ASA will notify the employee's direct supervisor or manager of the employee's eligibility to use the Lactation Room and take lactation breaks.

4. If two or more employees require use of the Lactation Room at the same time, ASA will create and maintain a log for employees to reserve time to use the Lactation Room. If scheduling issues remain such that use of the Lactation Room is not possible or practicable for an employee, the affected employee shall contact Human Resources to discuss alternative accommodations for expressing breast milk. ASA will discuss various options with all employees to ensure that each employee has access to the Lactation Room when needed.

Reasonable lactation breaks that do not coincide with existing breaks and meal periods will be provided as needed.

### **Additional Information**

ASA shall not discharge, threaten, penalize, discriminate or retaliate against any employee for breastfeeding or expressing breast milk. ASA shall make reasonable efforts to assist employees in meeting their infant feeding goals while at work. Employees are required to report to the appropriate manager any conduct intended to interfere with or invade an employee's nursing privacy.

The ASA shall make reasonable efforts to provide a room or other location close to the work area where an employee can express milk in privacy. Please submit the Request to Express Breast Milk form to Human Resources to facilitate using a room or other location.

Employees wishing to avail themselves of this benefit must give their employer advance notice.

The ASA does not discriminate against employees for exercising their right to express breast milk in the workplace.

### **Additional Campus Resources:**

For West Campus, please use the following link:

<https://www.stonybrook.edu/commcms/studentaffairs/student-community-development/LactationRooms/lactationrooms.php>

For Stony Brook University Hospital:

Lactation and Meditation Pods are located on Level 5 and Level 4. To access the pods, download the Mamava App.

For Long Island State Veteran's Home:

There is a lactation room available on Level B in the East Pavilion. To request access, please contact the LISVH Human Resources department.

## **213: WHISTLEBLOWER PROTECTION**

**Original Date:** 7/2007

**Revision Date(s):** 11/2015, 7/2021, 1/2025

**Statement of Purpose:** Auxiliary Services Association prohibits any form of retaliation, intimidation, harassment, or adverse employment action against any trustee, officer, employee, former employee, independent contractor, agent, or volunteer of the Association for disclosing or threatening to disclose any conduct that they have a good-faith belief or reasonably believe (1) violates any law, rule, regulation, executive order, or any judicial or administrative decision, or order; (2) constitutes a substantial and specific danger to the public health or safety; or (3) violates university policy. The Association investigates reports of such activity promptly, fairly, and in accordance with this policy.

**Definition:** A whistleblower, as defined by this policy, is an employee of the Auxiliary Services Association who reports an activity that the employee considers illegal or dishonest to one or more of the parties specified in this policy. The whistleblower is not responsible for investigating the activity or determining fault or corrective measures; appropriate management officials are charged with these responsibilities.

**Examples:** Illegal or dishonest activities violate federal, state, or local laws; billing for services not performed or goods not delivered; and other fraudulent financial reporting.

If an employee knows or is concerned about illegal or dishonest fraudulent activity, the employee must contact their immediate Supervisor or the human resources director. The employee must exercise sound judgment to avoid baseless allegations. An employee who intentionally files a false report of wrongdoing will be subject to discipline up to and including termination.

**Whistleblower Protections:** These are provided in two important areas: confidentiality and against retaliation. Insofar as possible, the confidentiality of the whistleblower will be maintained. However, identity may have to be disclosed to conduct a thorough investigation, comply with the law, and provide accused individuals with legal defense rights. Auxiliary Services Association will not retaliate against a whistleblower, including, but not limited to, protection from retaliation in the form of an adverse employment action such as termination, decrease in compensation, poor work assignments, and threats of physical harm. Any whistleblower who believes they are being retaliated against must contact the human resources director immediately. The right of a whistleblower for protection against retaliation does not include immunity for any personal wrongdoing that is alleged and investigated.

Defend Trade Secrets Act (DTSA) Compliance: "Immunity from Liability for Confidential Disclosure of a Trade Secret to the Government or in a Court Filing:

- (1) Immunity—An individual shall not be held criminally or civilly liable under any federal or state trade secret law for the disclosure of a trade secret that—(A) is made—(i) in confidence to a federal, state, or local government official, either directly or indirectly, or to an attorney; and (ii) solely to report or investigate a suspected violation of law, or (B) is made in a complaint or other document filed in a lawsuit or other proceeding, if such filing is made under seal.
- (2) Use of Trade Secret Information in Anti-Retaliation Lawsuit—An individual who files a lawsuit for retaliation by an employer for reporting a suspected violation of law may disclose the trade secret to the attorney of the individual and use the trade secret information in the court proceeding if the individual—(A) files any document containing the trade secret under seal; and (B) does not disclose the trade secret, except under court order."

All reports of illegal and dishonest activities will be promptly submitted to the vice president of human resources, who will be responsible for investigating and coordinating corrective action.

An employee who makes a disclosure to a public body must first make a good faith effort to notify ASA of the activity, policy or practice.

Such notification to ASA shall not be required in limited instances where: (a) there is an imminent and serious danger to the public health or safety; (b) the employee reasonably believes that reporting would result in a destruction of evidence or other concealment of the activity, policy or practice; (c) such activity, policy or practice could reasonably be expected to lead to endangering the welfare of a minor; (d) the employee reasonably believes that reporting would result in physical harm to the employee or any other person; or (e) the employee reasonably believes that Human Resources is already aware of the activity, policy or practice and will not correct such activity, policy or practice.

Employees with any questions regarding this policy should contact the director of human resources.

## **214: EMPLOYEE USE OF COMPANY ASSETS**

**Original Date:** 1/2025

**Revision Date(s):**

### **Purpose**

This policy aims to ensure that all property maintained by the Auxiliary Services Association (ASA) is kept in the best possible working condition and to ensure proper use of such property and the ASA network.

### **General Guidelines on the Use of Association Property**

All ASA employees must maintain an orderly work environment and follow all ASA rules to ensure proper use and maintenance.

No employee will use ASA property (including but not limited to computers, telephones, cellphones, copiers, faxes, Internet services, and printers) for personal use unless the employee's department Director has granted specific permission. If such permission is granted, the employee will be responsible for the care and return of the loaned property. Special care should be taken to identify any concerns regarding its condition before the employee removes or uses the property for personal use.

Refer to the Automobile Usage, Cell Phones, & Communications and Electronic Monitoring policies for asset specific information.

### **Use and Dissemination of Association Information**

"Information," as the term is used in this policy, includes without limitation any information owned or used by Auxiliary Services Association, such as:

- Any Association employee, customer, or client lists.
- Any Association database information, including addresses and telephone numbers.
- Any information from employee personnel files, including employee addresses, telephone numbers, employment status, and wage history.
- Any photographs, videotapes, and sound clips of any ASA employee, customer, or client.

Only employees authorized by the ASA's board of directors or executive team or whose job description permits them to do so may speak on behalf of the Auxiliary Services Association. Notwithstanding the previous, specific permission from the ASA's Board of Directors or executive team will be required before any ASA employee may disseminate confidential ASA information.

## **215: AUTOMOBILE USAGE**

**Original Date:** 7/1997

**Revision Date(s):** 4/2008, 10/2008, 7/2021, 1/2025

The ASA's policy is to provide a vehicle for applicable business use, to allow employees to drive for company business, and to reimburse employees for business use of personal vehicles according to the procedure below.

1. Employees may not drive company or personal vehicles for company business without the prior approval of their Supervisor. Before approving a driver, the Supervisor must ensure that the Director of Contracts Administration & Compliance has determined that the employee has been verified and recorded the existence of a valid driver's license, completion of a defensive driving course, and has confirmed that the employee is eligible for coverage under applicable Association insurance.

2. Employees whose jobs require regular driving for business as a condition of employment must always meet the approved driver standards of this policy.
3. It is expected that employees holding jobs that require regular driving must inform their Supervisors immediately of any change that may affect their ability to meet the standards of this policy. For example, employees whose licenses are suspended or revoked must report this to their Supervisors within one business day of receiving such notification.
4. For overnight travel involving ground transportation, employees should inquire about the availability and feasibility of using a company or rented vehicle and utilize it when favorable circumstances are favorable.
5. Use of company provided motorized vehicles, including “carts,” will be restricted to staff with current certificates of completion for a New York State Defensive Driving course. (Proof of certification must be provided and maintained by the employee.) All drivers of “carts” must sign a Golf Cart Operator Agreement.
6. Any employee for whom driving is an essential job duty must be authorized and approved by Human Resources in collaboration with the employee’s Department Director to drive ASA vehicles. The employee driver of an ASA vehicle is responsible for ensuring that the vehicle is fully operational before each use. The employee driver will sign in on the vehicle log (located in the vehicle) and report any problems with, or damage to, the vehicle before each use to their department Director. Should the employee return the vehicle to the Association with damage to the vehicle, the vehicle log report will be used as evidence of the vehicle’s condition before the employee driver used it. Any vehicle found to be unsafe will be removed from the operational fleet until appropriate maintenance or repairs have occurred.
7. Employees may use their vehicle for business purposes, but only with the prior approval of their Supervisor. Employees who receive prior Supervisor approval may rent a car or use their vehicle when traveling out of town overnight on ASA business.
8. In addition to meeting the approval requirements above, Employees who drive a vehicle on ASA business must exercise due diligence to drive safely and maintain the vehicle’s security and contents. Drivers using their vehicles for business must also ensure that they are adequately insured, inspected, and registered according to state, county, and federal standards. Employees are responsible for any driving infractions or fines that result from their driving and must immediately report them to their Supervisors upon their return to an ASA location.
9. Employees are not permitted, under any circumstances, to operate an ASA vehicle, a rental vehicle, or a personal vehicle for ASA business when any physical or mental impairment causes the employee to be unable to drive safely and may place the employee or others at risk. This prohibition includes circumstances in which the employee cannot operate a vehicle safely or legally because of illness, medication, intoxication, or other reasons.
10. Employees driving on ASA business may claim reimbursement for parking fees and tolls incurred during this business. In addition, employees driving an ASA vehicle may claim reimbursement for gasoline and other expenses directly incurred for business purposes. The employee’s Supervisor must approve all requests for reimbursement.
11. Employees authorized per this policy to use their vehicles for approved business purposes will receive a mileage allowance equal to the Internal Revenue Service’s optional standard mileage rate.

12. Employees entitled to reimbursement for the use of personal vehicles should submit a Mileage Reimbursement Form within 30 days of travel. The form must be approved by their immediate Supervisor and submitted to the Payroll Department for mileage reimbursement.
13. Employees will be advised of the mileage reimbursement allowance at the beginning of each year. If a staff member is required to drive their vehicle on ASA business, they will be reimbursed the current year's mileage allowance as designated by the IRS.
14. Employees must immediately report any accident, theft, or damage involving an ASA vehicle or a personal vehicle used on ASA business to their Supervisor and Human Resources upon their return to an ASA location, regardless of the extent of damage or lack of injury. These reports must be made as soon as possible but no later than one business day after the incident. Employees are expected to interact respectfully with authorities in the event of an accident. However, they should not make any statements other than in direct reply to questions of investigating officers.
15. Time spent by employees driving an ASA or personal vehicle on ASA business during regular working hours is considered hours worked for pay purposes. Commuting time before the start and after the end of the workday is not treated as work time for pay purposes.
16. Employees who drive ASA-owned vehicles as a regular part of their job must complete a safe driving course annually. ASA will reimburse for the cost of this course.



## Golf Cart Operator Agreement

**Serious injuries and significant property damage can be related to the use of golf carts.**

**The following safety regulations are required of all operators:**

1. All operators must have a valid driver's license and be at least 18 years old.
2. Only individuals authorized by a Director or Manager may operate these vehicles.
3. Usage of the vehicle is only permitted for business purposes.
4. Operators must check the gas gauge before and after usage to ensure proper fuel level.
5. Operators must know where a golf cart is permitted and restricted.
6. Golf carts should not be operated at speeds greater than 15 mph. The maximum speed depends upon the terrain over which it is being driven, other pedestrian or vehicle traffic, the weather conditions, and the total weight of the vehicle, passengers, and any equipment being carried. The vehicle should be operated at a speed equivalent to a quick walking pace. Use extra care on hills, wet turf, loose surfaces, or rough ground.
7. Drive slowly around turns, on hills, in dimly lit areas, and when visibility is restricted.
8. **Golf carts are subject to rollover.** To avoid a rollover, drive slowly through turns and drive straight (and slowly) up and down slopes. Do not drive on the diagonal.
9. Reduce speed when approaching pedestrians and give pedestrians the right of way.
10. Golf carts are to cross at crosswalks only.
11. Operators and passengers must remain seated and keep hands, arms, and legs inside the vehicle when in motion. No one should exit until the vehicle has come to a complete stop.
12. No texting or cell phones are allowed while operating the vehicle.
13. Golf carts must never exceed the maximum number of passengers designated by the manufacturer.
14. Operators must always take the keys out of the vehicle and set the brake when leaving.
15. Do not park vehicles blocking emergency lanes/equipment, pedestrian aisles, doorways, intersections, or traffic flow.
16. Abide by New York traffic laws such as stop signs and traffic lights.
17. When driving, maintain adequate distance between vehicles and pedestrians.
18. Operators and passengers may not drink alcoholic beverages before they enter a golf cart or while in the vehicle.

## 216: CELL PHONES

**Original Date:**

**Revision Date(s): 7/2021, 1/2025**

### **Purpose**

This policy outlines the use of cell phones by employees of the Auxiliary Services Association (“the Company”). This policy should be read and understood by all employees who:

- Use a personal mobile device for work purposes
- Use a company owned cell phone

### **Eligibility for ASA Provided Cell Phone**

Eligibility is guided by a legitimate business purpose and approved by the Finance department. Business purpose is established and guided by the following criteria:

- The employee is responsible for emergency institutional matters where they must be available.
- The employee does not have access to a landline phone or other communication device when doing a substantial portion of their job.
- Using other less expensive communication devices is not a viable alternative for business purposes.
- The employee’s job effectiveness will show a significant increase through the use of a cell phone.
- A group of employees needs shared devices such as rotating on-call contact.
- Legitimate business needs that cannot be served by less costly communication devices. Such purposes must be explicitly stated as part of the approval process.

### **Policy**

**Use of Company-owned cell phones:** Certain employees may be issued a company-owned cell phone. Using these devices is contingent upon continued employment with the company, and the device remains the company’s sole property. company-provided mobile devices are part of an “unlimited plan” for voice, data, and text.

**Use of personal mobile devices:** Employees may use their mobile devices for work purposes when authorized in advance in writing by the employee and management.

### **Ported Phone Numbers**

Ported phone numbers become the company’s property as they are registered with the contracted mobile device service provider. Employees may request the transfer of a ported number to their private mobile device at any time, including separation. Granting permission to port the number will be at the company’s sole discretion.

### **Security**

Employees must put a PIN, password, or other security measures on every device to access company information. When possible, they should use two-factor or two-step verification for added application/device security.

- Employees may not use cloud-based apps or backups that allow company-related data to be transferred to unauthorized users.
- Due to security issues, mobile devices may not be synchronized to other devices in the employee’s home.
- Unless approved by the IT department, modifications to the device hardware or software or installation of additional hardware or software beyond authorized and routine installation updates are prohibited.
- Family and friends should not use company cell phones.
- Employees may not store information from or related to former employment on the company’s device.

## **International Travel and Roaming Charges**

Before traveling internationally with their company-provided phone, all employees must check with the ASA IT department for the following: (This is important to remember if you are traveling for personal reasons but may be required to receive or make business calls.)

- To ensure your phone will work in your intended destinations. Cell companies worldwide use different technologies and frequencies, and there's no guarantee that your phone will work with all of them. Be aware that just because your phone works for voice calls, some other functions – such as sending and receiving data or text messaging – might not work.
- To determine if your carrier has international roaming arrangements with the service providers in the country you are visiting.
- ASA does not enable your account to roam internationally automatically due to the high costs that can be incurred. Once it has been determined that your phone is capable of working in a particular destination:
  - ASA IT will:
    - Determine international roaming costs for your phone
    - Provide the employee and their manager with the cost of international roaming
  - Employee will:
    - Confer with their manager to determine if international roaming shall be applied to the employee's account for the intended destination
  - Employees Manager will:
    - Send an email to ASA IT with approval/disapproval of the international roaming request

## **Behavior**

Employees are expected to exercise discretion when using their personal or company-provided cell phones at work. Company policies on harassment, discrimination, retaliation, trade secrets, confidential information, and ethics apply to using personal devices for work-related activities.

- Excessive personal calls, e-mails, or text messaging during the workday, regardless of the device used, can interfere with employee productivity and distract others. Employees must handle personal matters on non-work time and ensure that friends and family know the policy.
- Mobile devices shall be turned off or set to silent or vibrate mode during meetings, conferences, and other locations where incoming calls may disrupt standard workflow.

## **Privacy**

The company has the right, at any time, to monitor and preserve any company-provided cell phone communications that utilize company networks in any way, including data, voicemail, telephone logs, Internet use, network traffic, etc., to determine proper device utilization used to access the company's networks and resources.

Management reserves the right to review, retain, or release personal and company-related data on company provided cell phones to government agencies or third parties during an investigation or litigation. Management may review the activity and analyze usage patterns and may choose to publicize this data to ensure that company resources in these areas are being utilized according to this policy.

## **Inspection**

Human Resources may ask the employee to produce the mobile device for inspection with the Executive Director's approval at any time. These inspections ensure that the employee is following company policy.

## **Safety**

Employees are expected to follow applicable state or federal laws or regulations regarding using electronic devices at all times. Employees whose job responsibilities include regular or occasional driving are expected to refrain from

using their cell phones while driving. The only exception to this stipulation is if the call can be placed or accepted hands-free.

Employees charged with traffic violations resulting from using cell phones while driving will be solely responsible for all liabilities resulting from such actions.

### **Lost, Stolen, Hacked, or Damaged Equipment**

Employees are expected to protect mobile devices used for work-related purposes from loss, damage, or theft. Employees must notify management immediately if their company-provided mobile device is lost or stolen.

If the company provided mobile device is damaged, the employee must notify management immediately. The employee will not be responsible for the cost of repair or replacement. Employees may receive disciplinary action up to and including termination for damage to company owned mobile devices caused willfully by the employee.

If the employee's mobile device is damaged, the employee is responsible for all repairs or replacement.

### **Termination of Employment**

Upon resignation or termination of employment, the cell phone shall be returned to ASA.

## **217: COMMUNICATIONS & NOTICE OF ELECTRONIC MONITORING**

**Original Date:** 1/2000

**Revision Date(s):** 9/2000, 7/2008, 3/2014, 7/2021, 1/2025

ASA's policy is to provide the communications services and equipment necessary to promote the efficient conduct of its business. ASA's communication services and equipment are not intended for personal use. The Auxiliary Services Association acts under Stony Brook University Policy: "Responsible Use of Information Technology Resources." "Property," as the term is used in this policy, is defined as any piece of equipment, furnishing, vehicle, building, or supply leased, owned, donated, or otherwise in the custodial care of ASA or any person acting as its agent.

1. Supervisors are responsible for ensuring employees are instructed on the proper use of the communications services and equipment used by the Company for both internal and external business communications.
2. Most communications services and equipment have associated expenses. When choosing the proper vehicle for each business communication, employees should consider cost and efficiency. Employees should consult their Supervisor if there is a question about the appropriate mode of communication.

### **3. Conditions of ASA Access.**

ASA reserves the right to examine, without user consent, material stored on or transmitted through its IT Systems if there is reason to believe that the standards for appropriate use in this policy are being violated or if required to carry on its operations. IT will seek a review of the circumstances for access by approval of the ASA Executive Director and the Office of General Counsel. Circumstances under which the University may exercise its rights include:

- When necessary to identify or diagnose systems or security vulnerabilities and problems, or otherwise preserve the integrity of the IT Systems or
- When required by federal, state, or local law or administrative rules or
- When such access to IT Systems is needed to carry out necessary business functions of the ASA or

- When required to preserve public health safety or
- When there are reasonable grounds to believe that a violation of law or a breach of ASA policy may have taken place and access and inspection or monitoring may produce evidence related to the misconduct or
- For users who are no longer employed with ASA.

4. The following categories of use are inappropriate and prohibited. Use that impedes, interferes with, impairs, or otherwise causes harm to the activities of others. Employees must not deny or interfere with or attempt to deny or interfere with service to other users in any way, including by "resource hogging," misusing mailing lists, propagating "chain letters" or virus hoaxes, "spamming" (spreading email or postings widely and without good purpose), or "bombing" (flooding an individual, group, or system with numerous or large email messages). Knowing or reckless distribution of unwanted mail or other unwanted messages is prohibited. Other behaviors that may cause excessive network traffic or computing load are prohibited. Any employee found to have neglected or misused property will be subject to disciplinary action, including termination. If an employee's misuse of ASA property damages the property, ASA reserves the right to request the employee to pay all or part of the cost to repair or replace the property.

5. Any electronic correspondence between company employees will not be encrypted or locked, so the correspondence cannot be filed or printed. Any exception to this must be approved in advance by the ASA Executive Director.

6. Employees may not share their passwords with anyone. (Upon separation from the company, an employee may be asked to provide their password.)

7. Employees should not duplicate or download from the Internet or an e-mail any software or materials that are copyrighted, patented, trademarked, or otherwise identified as intellectual property without express permission from the owner of the material. Downloading software for personal use is not permitted.

8. Incidental personal use and internet use by authorized users is permitted as long as the use:

- Complies with the requirements of this policy and all University policies;
- Does not incur more than minimal costs to the ASA;
- Does not interfere with official business or an employee's job responsibilities/work; and
- It is consistent with applicable law.

9. Company communications property or equipment may not be removed from the premises without written authorization from the employee's Supervisor. These authorizations must be renewed annually.

10. Employees should ensure that no personal correspondence appears to be an official communication of the Company since employees may be perceived as representatives of the Company and, therefore, damage or create liability for the Company. All outgoing messages must be accurate, appropriate, and work-related, whether by mail, facsimile, email, Internet, or other means. Employees may not use the Company's address to receive personal mail or use Company stationery or postage for personal letters. In addition, only the Company may issue personalized Company stationery and business cards.

11. Radios and streaming radio online are permissible to provide background music when explicitly approved by a departmental Supervisor and when not deemed disruptive to other staff or customers.

12. Gambling and illegal activities are strictly prohibited during work time, on Company premises, or through the use of Company resources or equipment, including communications devices.

13. Violations and inappropriate use of electronic communications, whether Company or employee owned, such as the Internet, email, mobile phones, etc., include, but are not limited to, accessing, downloading, uploading, saving, receiving, or sending material that includes but is not limited to sexually explicit or pornographic content or other material using vulgar, sexist, racist, threatening, violent, or defamatory language.

14. Users of Company electronic communications should not use ASA's services to disclose sensitive, confidential, or proprietary corporate information without prior notification to and authorization from the appropriate ASA Supervisor.

15. Improper use of ASA communications services and equipment and personal communications prohibited by this policy will result in discipline up to and including termination. Improper use includes any misuse as described in this policy as well as any harassing, offensive, demeaning, insulting, defaming, intimidating, or sexually suggestive written, recorded, or electronically transmitted messages and activation of ASA or personal webcams for anything other than ASA- sanctioned business-related purposes.

### **NOTICE OF ELECTRONIC MONITORING PURSUANT TO NY CIVIL RIGHTS LAW § 52-C**

All company communications services and equipment, including the messages transmitted or stored by them, are the sole property of the company. The company may access and monitor employee communications and files as appropriate. Communications equipment and services include mail, electronic mail (e-mail), courier services, facsimiles, telephone systems, personal computers, computer networks, online services, Internet connections, computer files, video equipment and tapes, tape recorders and recordings, cellular phones, and bulletin boards.

Employees are hereby advised that all telephone conversations or transmissions, electronic mail or transmissions, or internet access or usage by an employee by any electronic device or system, including but not limited to the use of a computer, telephone, wire, radio, or electromagnetic, photoelectronic or photo-optical systems ("Employee Activity"), may be subject to monitoring at all times and by any lawful means.

Although the Auxiliary Services Association has the ability and right to monitor employee activity, no individual actively monitors such activities unless required for a particular purpose. According to ASA policy, personal devices used for ASA business may be monitored or intercepted to the extent such device is used for any employee activity. Such devices include but are not limited to, ASA-owned devices, internet access provided by ASA (including Wi-Fi), email accounts, computers, servers, and networks.

Monitoring activities can be for any lawful purposes, including, but not limited to investigations, system maintenance, quality control, continuity of operations, and training purposes. ASA reserves the right to monitor employee activity via technology systems at any time in compliance with the law. Individuals have no legitimate expectation of privacy during any use of Auxiliary Services Association's IT resources or any data contained in those resources. ASA will comply with and respond to all validly issued legal processes, including subpoenas.

## **218: GIFTS AND GRATUITIES**

**Original Date:** 3/1995

**Revision Date(s):** 7/2021, 1/2025

ASA staff members are not permitted to accept any cash, gifts, travel, meals, special accommodations, event tickets, favors, or use of property or facilities from anyone who would benefit from establishing a relationship with the Association.

Staff members attend and allow others to pay for meals no greater than \$50. Business dinners exceeding \$50 should be discussed with your Supervisor before the event.

Vendors will be notified of this policy. Should a staff member be unsure how to handle a sensitive situation, they should consult their Supervisor.

## **219: OMBUD'S OFFICE**

An ombudsman provides confidential, informal, and impartial assistance in resolving intra-campus conflicts, disputes, and grievances, promoting fair and equitable treatment within the University, and fostering the general well-being of the Stony Brook community. An ombudsman is also a source of confidential advice independent of the University's formal administrative structure. An ombudsperson cannot impose solutions but can help identify options and resolution strategies.

For more information, please refer to their website: <http://www.stonybrook.edu/ombuds>.

## **220: VOTING**

**Revision Date(s):** 7/2021

In accordance with New York State [Election Law Section 3-110](#), the Association provides paid time off to vote during working hours for any election.

If a registered voter does not have sufficient time outside their scheduled working hours to vote on any day they may vote, the employee shall be granted up to two (2) hours off, with pay, for voting. An employee is deemed to have "sufficient time to vote" if an employee has four (4) consecutive hours to vote, either from the opening of the polls and the beginning of their work shift or four (4) consecutive hours between the end of a working shift and the closing of the polls.

### **ASA Procedures:**

ASA will post a notice at least ten days before an election to inform employees of New York State Election Law § 3-110 provisions. The notice will remain posted until the polls close on Election Day.

### **Notification**

If the employee requires paid time off to vote during working hours, the employee should notify their Supervisor no more than ten nor less than two (2) working days before the day of the election that the employee requires time off to vote.

## **221: INTER-OFFICE RELATIONSHIPS**

**Original Date:** 1/2025

**Revision Date(s):**

ASA strongly believes that a work environment where employees maintain clear boundaries between personal and business interactions is most effective for business operations. Although this policy does not prevent the development of friendships between co-workers, it establishes boundaries regarding how relationships are conducted during working hours and within the working environment.

Individuals in Supervisory or managerial roles and those with authority over others, terms and conditions of employment are subject to more stringent requirements under this policy due to their status as role models, their access to sensitive information, and their ability to affect the employment of individuals in subordinate positions.

### Procedures:

1. During non-working time, such as lunches, breaks, and before and after work periods, employees engaging in personal exchanges in nonwork areas should observe an appropriate workplace manner to avoid offending other workers or putting others in an uncomfortable position.
2. Employees are strictly prohibited from engaging in physical contact that would be deemed inappropriate in the workplace by a reasonable person anywhere on company premises, whether during working hours or not.
3. Employees who allow personal relationships with co-workers to affect the work environment adversely will be subject to ASA's disciplinary policy, including counseling for minor problems. Failure to change behavior and maintain expected work responsibilities is a serious disciplinary matter.
4. Any Supervisor, manager, director, or other company official in a sensitive or influential position with ASA must disclose a romantic or familial relationship with another co-worker. Disclosure may be made to the individual's immediate Supervisor and the Director of Human Resources. The Human Resources Department will review the circumstances to determine whether a conflict of interest exists.
5. When a conflict of interest or potential risk is identified due to a company official's relationship with a co-worker, ASA will work with the parties involved to consider resolving the problem. The initial solution may be to make sure the parties no longer work together on matters where one is able to influence the other or take action for the other. Hiring, firing, promotions, performance management, compensation decisions, and financial transactions may require reallocation of duties to avoid any actual or perceived reward or disadvantage. In some cases, other measures may be necessary, such as transferring one or both parties to other positions and departments. If one or both parties refuse to accept a reasonable solution, such refusal will be deemed a voluntary resignation.
6. Failure to cooperate with Human Resources at the ASA to resolve a conflict or problem caused by a romantic or familial relationship between co-workers or among managers, Supervisors, or others in positions of authority in a mutually agreeable fashion may be deemed insubordination and result in disciplinary action up to and including termination.

## **222: WORKPLACE INVESTIGATIONS /SEARCHES**

**Original Date:** 1/2025

**Revision Date(s):**

ASA is committed to maintaining a safe and respectful work environment for all employees. To uphold this commitment, we conduct thorough and impartial workplace investigations into any misconduct allegations, policy violations, or other issues requiring formal review. This policy ensures that investigations are handled reasonably consistently and comply with legal and regulatory requirements.



## **Investigation Process:**

### **Notice of Claim**

All allegations or concerns should be reported to Human Resources (HR). HR or the designated investigator will assess the initial information to determine if an investigation is warranted. Human Resources will keep all information confidential and only reveal identity on a need-to-know basis or as required by law.

### **Investigation**

Human Resources will collect and review relevant documents, statements, records, and evidence related to the allegations. HR will analyze the collected information to determine the facts and assess the credibility of the evidence. HR may identify potential witnesses to interview. Employees must comply with all investigatory interviews and provide truthful and accurate information.

### **Conclusion**

After considering all evidence and based on the investigation findings, Human Resources may take appropriate action, including termination, disciplinary measures, policy changes, or other corrective actions.

ASA prohibits retaliation against individuals who report concerns, participate in investigations, or cooperate with the process. Employees who believe they have been subjected to retaliation should report it to Human Resources immediately.

### **Search Procedure**

Searches will generally be conducted with prior notification to the employee. In cases where immediate action is necessary, such as suspected theft or safety concerns, searches may be conducted without prior notice.

ASA may search for personal belongings brought onto company premises, including bags and briefcases on company property. ASA may inspect and search desks, lockers, workspaces, and other areas of company property provided to employees. ASA may also access and review data stored on company-provided electronic devices, such as computers, phones, and tablets, to ensure compliance with company policies and protect company information.

Searches may be conducted in the presence of a witness, such as a member of Human Resources or a security officer, to ensure transparency and fairness. Searches will be conducted respectfully and with minimal intrusion. Personal privacy will be respected to the extent possible while conducting the search.

Employees are expected to cooperate with searches and provide access to personal belongings and work areas when requested. Information obtained from searches will be handled with confidentiality and shared only with individuals who need to know. Any findings or concerns from a search will be reported to the appropriate authorities or management per company policies and legal requirements.

Failure to cooperate with searches or attempts to obstruct a search may result in disciplinary action, including termination of employment.

## **223: VISITOR'S LOG**

**Original Date:** 1/2025

**Revision Date(s):**

As part of the Auxiliary Services Association's commitment to maintaining a safe and secure work environment, we have established the following workplace visitor policy.

### ***For West Campus:***

1. Upon arrival, all visitors must check in at the West Side Dining, 2nd floor front desk.
  - a. A visitor's log is completed by each visitor, including their name, purpose, date, time in, time out, phone number, and signature.
2. Visitors must comply with all ASA policies and procedures while on the premises.
3. Visitors are not permitted to access restricted areas without prior authorization.
4. An ASA employee is responsible for accompanying their visitor at all times.
5. Visitors are not permitted to use ASA equipment without prior authorization.

### ***For Stony Brook University Hospital:***

All visitors must enter through the main entrance. Please use the following link for the most current guidelines: <https://www.stonybrookmedicine.edu/patientcare/visitorpolicy>.

### ***For Long Island State Veterans Home:***

All visitors must enter through the main entrance and check in with the front desk. Please use the following link for the most current visitor policy: <https://veteranshome.stonybrookmedicine.edu/>

### ***For Southampton Hospital:***

All visitors must enter through the main entrance. Please use the following link for the most current guidelines: <https://southampton.stonybrookmedicine.edu/patients-visitors/visitor-information>

### ***For the Food Business Incubator at Calverton:***

1. All visitors must enter through the main entrance to sign-in at the entrance.
2. Visitors must comply with all ASA policies and procedures while on the premises.
3. Visitors are not permitted to access restricted areas without prior authorization.
4. An ASA employee is responsible for accompanying their visitor at all times.
  - a. Contractors performing work will be escorted to the appropriate area.
5. Visitors are not permitted to use ASA equipment without prior authorization.

## **224: EMPLOYEE PERKS PROGRAM**

**Original Date:** 7/2022

Your work-life balance and general well-being are as important to ASA as the work you contribute. ASA offers a Discount Program through Working Advantage. Working Advantage is the leading Corporate Discount Program provider, offering exclusive discounts and special offers on products, services, and experiences. ASA can receive discounts and save money on theme parks, attractions, hotels, rental cars, concerts, sports, live events, electronics, appliances, apparel, gift cards, movie tickets, and more. This perk is a unique benefit given to all ASA employees, and it is cost-free and easy to enroll.

Visit [www.workingadvantage.com/](http://www.workingadvantage.com/) and use the company code **FSAPERKS** to begin receiving discounts.

## 300: CASH HANDLING - CASHIERS

Original Date: 9/1993

Revision Date(s): 10/29/2018, 7/2021, 1/2025

**These Cashier Cash Handling rules are in place for the protection of the Cashier as the Cashier will be held accountable for the contents of their drawer.**

This policy provides reasonable controls for handling all cash, and ASA management is responsible for ensuring the implementation of these policies.

### START OF SHIFT

The cashier and shift Supervisor will count the register bank (fund) before starting the day's activities. The cashier and shift Supervisor check and sign off on the drawer. Banks are set according to the chart below. All Cashiers on a register drawer will be held accountable for the drawer being in range. The range is defined as [.005%] of sales.

Market Place Cafe	\$350	Market Place Café Emergency Register	\$100
Meeting House Cafeteria SH	\$125	LISVH Cafeteria	\$250
	\$100	LISVH Gift Shop	\$100

The Cashier will sign in to their register by swiping their cashier card. Under no circumstances shall the Cashier leave their card unattended or allow it to be used by someone else. A drawer can never be used by someone other than the Cashier logged into that drawer.

### CUSTOMER INTERACTION

The Cashier will receive USD, Credit Card, Wolfie Wallet/Points, or Voucher from the customer as tender. **(Under no circumstances will non-valid points cards or paper vouchers be accepted)**. The Cashier will place all currency from the customer in the cash drawer, including change and over-rings. Do not take money from more than one customer at a time. After each transaction, the Cashier will close the drawer/complete the transaction.

All sales must be rung up in full. No discounts are allowed unless stipulated by Management. No "IOUs" shall be accepted, and the manager must be notified if a customer does not have money. Give every customer a receipt. Ensure the total amount on the register matches what you entered on the credit card terminal to avoid discrepancies. **All refunds/voids/overrings must be performed by a Supervisor/Lead and signed off by that Supervisor/Lead when the transaction occurs.** All refunds must be done the same way the customer paid: cash in cash or credit card in credit card.

Terms and conditions must be fully read and executed accordingly on any redeemable coupons/vouchers. If they are expired or not redeemable, do not accept them; otherwise, it will violate our policy and result in disciplinary actions.

### TIME AWAY FROM REGISTER

Under no circumstances shall the Cashier leave the register unattended for any period of time without logging off the register. If the Cashier needs to obtain extra change, the shift Supervisor or Lead will come to them. At no time should a cashier remove money from their drawer to get change. Changes from other registers can only be made in the presence of a manager. Never leave money unattended or your cash draw open.

### END OF SHIFT

At the end of the shift, the Supervisor/Lead, in the presence of the Cashier, must print out the *End of Shift* report and remove the drawer. The Cashier and Supervisor/Lead must proceed to the cash counting room. Under no circumstances should any cash be counted in front of customers or other employees. In the cash room, the

employee is to count the cash in their drawer in the presence of the Supervisor/Lead. The Supervisor/Lead will verify the count and fill out the Cashier's check-up sheet. Both the Cashier and the Supervisor/Lead will sign the sheet. The Cashier returns their cashier card to be safely secured. The Cashier will then count back the money left in the drawer, ensuring it equals the drawer's designated bank.

## **LOTTERY**

The lottery terminal and scratch-off count have to be reconciled at the end of the day. Instant summary reports from the lottery machines for online sales and validations have to be reconciled with the *End Of Shift* report to avoid under/over-estimation of sales and ensure the correct reporting of the revenues to the NY lottery. Any differences should be addressed right away with Manager/Supervisor. All the lottery receipts must be kept and filled out accordingly, along with all the necessary backups.

## **SEGREGATION OF DUTIES**

Departments handling cash must separate all duties related to cash handling to the greatest extent possible. A system of checks and balances must be implemented in which different individuals perform tasks to ensure adequate controls. Departments must separate the cash handling components (collecting, depositing, and reconciling) so that one individual is not responsible for more than one component. The department must separate the handling of the actual cash from the reconciliation. Ideally, the department head will not handle or have access to cash.

## **CASH OVER/SHORT**

All cash overages and shortages must be documented, provided adequate internal controls are in place. If the shortage exceeds [.005%] of sales, disciplinary action is required.

## **Disciplinary Action**

Failure of an employee to follow this policy for internal control will be considered negligence and misconduct, resulting in disciplinary action. Employees who handle cash are expected to be careful and accurate and reconcile their funds daily without overages or shortages. Nonetheless, ASA recognizes the possibility that differences may occur from time to time and has developed the following disciplinary protocol:

If an employee has one incident of over/short total of more than [.005%] of sales on any shift or didn't follow proper policy & procedures, the employee will be subject to ASA Disciplinary Policy, which states the following:

1. First Violation -1<sup>st</sup> Warning
2. Second Violation – 2<sup>nd</sup> Warning
3. Third Violation – 3<sup>rd</sup> Warning
4. Fourth Violation – Termination

In addition, any discrepancy of more than \$100 or other egregious error, policy violation, or misconduct may be grounds for immediate dismissal.

The department Supervisor must document each disciplinary action in writing under the advice of the Human Resources Office.

## **IN ADDITION:**

The cashier understands that a manager or Supervisor may conduct spot audits at any time during the shift. The Cashier will be present when the audit is conducted.

Your understanding and compliance with these rules are part of your job responsibility. Failure to comply indicates your inability or unwillingness to perform your assigned duties properly and suggests corrective action following your contractual or occupational agreement.

# 301: CASH HANDLING - MANAGEMENT

Original Date: 09/1993

Revision Date(s): 11/15/2019, 7/2021, 1/2025

**This policy has been implemented to protect the cashiers and management of ASA.**

This policy provides reasonable controls for handling all cash, and ASA management is responsible for ensuring adherence to these policies. All Management **MUST** read and sign the Management Cash Handling Policy.

## START OF DAY:

The shift Supervisor/manager will count each Cashier's register bank (fund). The Supervisor/manager must ensure the Cashier signs off and then signs off. The Supervisor/manager ensures the banks are set according to the location.

Market Place Cafe	\$350	Market Place Café Emergency Register	\$100
Meeting House Cafeteria SH	\$125	LISVH Cafeteria	\$250
LISVH Gift Shop	\$100		

The Supervisor/manager is responsible for approving all over-rings/voids/ or any cash return. For any transaction that has to be voided, the money must be returned to the customer the same way it was paid, meaning cash for cash and credit for credit. Voids must all be reflected on the *End of Shift* report to reflect the correct cash amount for the day and sales and sales tax amounts.

The shift Supervisor is responsible for retrieving or making changes for any Cashier needing extra change. A cashier should never take money from the register to receive additional change without a Supervisor/manager present.

The Supervisor/manager must ensure the cashiers accept only the specified tenders outlined in the *Cashier Cash Handling Policy*. (USD, credit cards, Wolfie wallet/points and card vouchers) ASA will no longer be accepting paper vouchers. The Supervisor/Manager must ensure that the Cashier follows the cashier cash handling policy with no exceptions.

Terms and conditions must be fully read and executed accordingly on any redeemable coupons/vouchers. If they are expired or not redeemable, do not accept them; otherwise, it will violate our policy and result in disciplinary actions.

## CASH AUDITS:

Shift Supervisors/managers are responsible for conducting random daily cash spot audits on cashiers. At which time the Supervisor/manager will:

- Print out a sales report and remove the cash drawer.
- Proceed to the cash room with the Cashier. Under no circumstances should cash be counted in front of any customers or other employees.
- The Cashier must count the cash in their drawer in the cash room.
- The Supervisor/manager will verify the count. The Supervisor/manager and Cashier fill out and sign the cashier check-up sheet. This check-up sheet is filed in the Spot Audit book for future reference.
- **Any discrepancies will be discussed and reconciled at this time.**
- The Supervisor/Manager and the Cashier return the money to the drawer, and the Cashier returns to their respective register.

**Note:** This is the same procedure if a customer claims to have received the incorrect amount of change.

## **CLOSE OF CASHIERS SHIFT:**

At the end of the shift, the Supervisor/manager, in the presence of the Cashier, must print out the *End of Shift* report and remove the drawer. The Cashier and Supervisor/manager must proceed to the cash counting room. Rules of the cash room apply. (Reference attached: Exhibit A: Rules of the cash room) Under no circumstances should any cash be counted in front of customers or other employees. In the cash room, the employee is to count the cash in their drawer in the presence of the Supervisor/manager. The Supervisor/manager will verify the count and fill out the Cashier's check-up sheet. Both the Cashier and the Supervisor/manager will sign the sheet. The Cashier returns their cashier card, and the Supervisor safely secures it. The Cashier and the Supervisor /manager will then count back the money left in the drawer, ensuring it equals the drawer's designated bank.

## **LOTTERY**

The reconciliation of the lottery terminal and scratch-off count has to be supervised at the end of the day. Instant summary reports from the lottery machines for online sales and validations have to reconcile with the *End Of Shift* report to avoid under/over estimation of sales and ensure the correct reporting of the revenues to the NY lottery. Any differences should be addressed right away, and corrective/disciplinary action should be taken to avoid any errors from happening in the future. All the lottery receipts must be kept and filled out accordingly, along with all the necessary backups.

## **SEGREGATION OF DUTIES**

Departments handling cash must separate all duties related to cash handling to the greatest extent possible. A system of checks and balances must be implemented in which different individuals perform tasks to ensure adequate controls. Departments must separate the cash handling components (collecting, depositing, and reconciling) so that one individual is not responsible for more than one component. The department must separate the handling of the actual cash from the reconciliation. Ideally, the department head will not handle or have access to cash.

## **CASH OVER/SHORT**

All cash overages and shortages must be documented, provided adequate internal controls are in place. If the shortage exceeds [.005%] of sales, disciplinary action is required.

## **DISCIPLINARY ACTION**

Failure of a Manager/Supervisor to follow internal control is considered negligence and could be considered misconduct, resulting in disciplinary action. Employees handling cash are expected to be careful and accurate and reconcile their funds daily without overages or shortages. Nonetheless, ASA recognizes the possibility that differences may occur from time to time and has developed the following disciplinary protocol:

1. First Violation -1<sup>st</sup> Warning.
2. Second Violation – 2<sup>nd</sup> Warning
3. Third Violation – 3<sup>rd</sup> Warning
4. Fourth Violation – Termination

In addition, any other egregious error, policy violation, or misconduct may be grounds for immediate dismissal. The department director must document each disciplinary action in writing under the advisement of the Human Resources Office.

## **CASH DRAWERS AND DEPOSITS**

Separate deposits will be made for each cash register drawer after each shift. Under no circumstances is there a combining of drawers.

- Supervisors/managers must personally recount the money provided for each deposit before placing it in a tamper-proof deposit bag.

- The tamper-proof deposit bag must be personally sealed, in the proper manner, by the manager immediately after inserting the cash and completed deposit slip in the presence of the Cashier.
- All currencies must face the same direction, banded in groups of 50 bills, and placed in order of denomination.
- Loose coins are to be placed in a small coin envelope before being put into the deposit bag.
- Dollar coins are to be counted as not currency on the deposit slip and placed in the coin envelope.
- Foreign coins are not to be included in deposits.
- Traveler's Checks must be on a separate deposit slip, as a check, and in a separate deposit bag. Those drawers with Travelers Checks will have two (2) deposits.
- Deposit slips must be written in pen and completed accurately, neatly, and legibly.
- A new deposit slip must be used if an error is made.
- All deposits must be entered in the Deposit Log Cash Breakdown Sheet (Reference attached: Exhibit B: *Deposit Log Cash Breakdown Sheet*) for each location.
- The Deposit Log Cash Breakdown Sheets must be written in pen, neat, legible, and fully completed.
- **DO NOT** use whiteout to correct errors.
- Errors must be crossed out with one line and initialed by the manager with the correction written above the error.
- If there is no deposit for a location on a particular day, "CLOSED" must be written across that section and signed by the manager.
- After a deposit is prepared, it is placed in the safe.
- The Supervisor/manager who places the deposits in the safe must sign the log, and the Supervisor/manager must remove the deposits the following day.
- The manager/Supervisor will verify each deposit bag number and initial on the "Safe Log Sheet."

**Safe Balances:**

Market Place Café	\$9,000	SH Meeting House Café	\$1,000
LISVH	\$5,500		

- The safe should always balance to the location's specified amount.
- No loans, purchases, or other expenses will be reimbursed from the safe.
- The safe must be counted three times daily: Opening shift, Mid-Day shift change, and closing the shift.
- Amounts in transit, such as change orders, must be counted when balancing the safe.
- The safe count must verify the appropriate amount drawers for the location.
- All safe counts must be recorded and initialed in the Safe Count Book Log (Reference attached: Exhibit C Safe Count Book Log) by the person counting the safe and taking over the safe.

## 302: CREDIT CARD AGREEMENT AND APPLICATION

**Original Date:**

**Revision Date(s): 7/2021, 1/2025**

The Auxiliary Services Association (“ASA”) may grant the privilege to authorized full-time employees a Corporate Credit Card to be used at the expense of ASA to purchase selected services, goods, or materials on ASA’s behalf.

**The Finance Office is responsible for the review and execution of this policy.**

Participation in the credit card program is a convenience that carries responsibilities that come along with it. The Corporate Credit Card **cannot** be used for reasons including but not limited to obtaining:

- Cash Advances, Bank Checks, Traveler’s Checks, Electronic Cash Transfers for expenses other than those

incurred by the assigned employee named on the card, Personal Expenses

Misuse of the corporate card will result in immediate cancellation of the credit card and withdrawal of corporate credit card privileges, as well as disciplinary action including termination. In addition, if the corporate credit card is used for personal expenses, ASA reserves the right to recover these monies from the employee. Any employee who utilizes their corporate credit card for unauthorized purchases will be subject to immediate termination from employment and will be required to repay ASA for the unauthorized charges immediately.

The ASA Employee Credit Cardholder will be making financial commitments on ASA's behalf and will obtain fair and reasonable prices.

The credit limit applied to each corporate credit card issued by ASA will be determined on an operational needs basis and approved by the ASA Director of Financial Operations. Increases in credit card limits will be reviewed on a case-by-case basis by the ASA Director of Financial Operations. All corporate credit card expenditures must be reconciled and submitted with original receipts to the ASA Finance Department within 3 business days of the statement date. Repeated non-conformance may result in the cancellation of the corporate credit card and other disciplinary action.

The below link will be utilized to submit and reconcile receipts and statements within the above-mentioned time frame: <https://www.paymentnet.jpmorgan.com/>

The corporate credit card must be reported immediately to the Corporate Card Administrator and the ASA Director of Financial Operations if lost or stolen. Failure to do so may result in disciplinary action including termination.

### **303: BUSINESS EXPENSE**

**Original Date:** 1/2025

**Revision Date(s):**

**Affects:** All Non-Union Employees (1102/1199 Employees See Contract)

The Auxiliary Services Association (ASA) will reimburse employees for expenditures made while conducting ASA business, including the costs of events involving faculty, staff, students, or guests of ASA, of which a substantial purpose of the event is business related. Social activities such as fundraising, recruitment, employee appreciation, holiday gatherings, and other similar functions may be reimbursable as business expenses. Certain gifts may also be reimbursed. Employees should confirm with their Supervisors prior to making arrangements. In addition, ASA will also reimburse employees for licensure or certification that is required by or related to their job function. Specific conditions must be met for reimbursement to occur:

- If the event involves external parties, the parties must have an actual or potential business relationship with the University.
- The event must provide some documented benefit to ASA.

The employee is responsible for obtaining all proper documentation for each expense. This documentation must be an itemized receipt that identifies the expense and reflects proof of payment of the expense. The employee is also responsible for documenting the business purpose or justification for each expense. This helps to document why the expense is eligible for reimbursement and should not be considered taxable income.

#### **Compliance**

The IRS and Federal regulations require specific standards to be met when documenting, recording, and submitting reimbursable expenses. These include:



- Submitting expenses for reimbursement within a reasonable time limit.
- Documenting the specific business purpose of an expense.
- Providing receipts and proof of payment.

### **Reimbursement Submission Time Limit**

The IRS requires employee expense reimbursements to be reported within a reasonable period. The determination of a reasonable period will depend upon the facts and circumstances. Expense Reports should be submitted to Human Resources within 10 business days after the expense is incurred. Expense Reimbursements submitted more than 10 days after the expense date require employee justification and financial approval.

### **Business Purpose**

All expenses must be for a valid business purpose necessary and reasonable to conduct ASA business. A business purpose must be documented for all expenditures for which an individual reconciles or requests reimbursement.

Business purpose must be specific enough that a third-party reviewer can understand it. "Dinner with donor to discuss alumni event ideas" is an appropriately documented business purpose. "Dinner with donor" is not. The business purpose of an expense may be obvious to the Payee but not to a third-party reviewer.

### **Receipts**

The employee is expected to obtain receipts for all expenses for which they request reimbursement. A receipt may take many forms (i.e., cash register receipt, copy of an order form, web receipt, or confirmation). Original itemized receipts **must** be provided to be reimbursed. A receipt must identify:

- the date of purchase
- the vendor's name
- itemized list and unit price of the purchased items
- the total amount

If the employee cannot obtain a receipt containing all the required information, documentation should be submitted to demonstrate as many items as possible. A copy of the Payees' credit or debit card statement identifying the date, location, and amount of the expense may be submitted along with a description of the purchase, identifying the amount of any expenses to be segregated (i.e., alcohol).

### **Travel by Private Vehicle**

For the business-related use of a personal vehicle, the employee will be reimbursed at a rate based on the Federal IRS approved highway mileage guides. The traveler will not be reimbursed for the vehicle purchase or lease cost. If a staff member is required to drive their vehicle on ASA business, they will be reimbursed the current year's mileage allowance as designated by the IRS.

In addition to the mileage allowance, tolls and necessary parking charges may be reimbursed. ASA does not assume liability for damage to personal automobiles used on ASA business and does not assume liability for deductibles or any other uninsured loss to the vehicle. Expenses for vehicle repairs are not reimbursable. Under no circumstances will ASA reimburse parking fines and moving violations on a personal vehicle.

Employees entitled to reimbursement for the use of personal vehicles should submit a Reimbursement Form within 10 days of travel. The form must be approved by their immediate Supervisor and submitted to the Payroll Department for reimbursement.

### **Documentation Required**

- Reimbursement Form – Ink signatures required for approval

- Original receipt showing proof of payment
- Supporting documents for the points of origin and destination, i.e., a Google map or MapQuest for the travel

## **304: TRAVEL EXPENSE**

**Original Date:** 1/2025

**Revision Date(s):**

**Affects:** Non-Union Full-Time Exempt Employees

**Effective:**

### **Travel Pre-Approval Requirements**

All Auxiliary Services Association (ASA) staff planning to travel to attend a conference or participate in other business must have such plans pre-approved and abide by the following instructions. Travel undertaken without the appropriate pre-approvals will not be reimbursed, and other disciplinary actions may apply.

- Employees must submit a Travel Request Form to their direct Supervisor, program director, and the executive director's office for approval.
- Employees must submit the Travel Request Form with all original itemized receipts for purchases made with personal funds to Payroll for reimbursement. The Travel Request Form must be submitted with all original itemized receipts to account for purchases made with a company credit card.

### **Compliance**

The IRS and Federal regulations require specific standards to be met when documenting, recording, and submitting reimbursable expenses. These include:

- Submitting expenses for reimbursement within a reasonable time limit.
- Documenting the specific business purpose of an expense.
- Providing receipts and proof of payment.
- Segregating non-reimbursable or excessive expenses. Non-reimbursable expenses include, but are not limited to:
  - Alcohol
  - Child care, babysitting, house-sitting, or pet-sitting charges
  - Personal entertainment expenses, including in-flight movies, headsets, health club facilities, hotel pay-per-view movies, in-theater movies, social activities, and related incidental costs.

### **Reimbursement Submission Time Limit**

The IRS requires employee expense reimbursements to be reported within a reasonable period. The determination of a reasonable period will depend upon the facts and circumstances. Expense Reports should be submitted to Human Resources within ten (10) business days after the expense is incurred. Expense Reimbursements submitted more than ten days after the expense date require employee justification and financial approval.

### **Business Purpose**

All expenses must be for a valid business purpose necessary and reasonable to conduct ASA business. A business purpose must be documented for all expenditures an individual reconciles or requests reimbursement.

Business purposes must be specific. "Travel to Albany, NY, to speak at a SUNY conference" is an appropriately documented business purpose. "Travel to Albany for the conference" is not. The business purpose of an expense may be obvious to the traveler but not to a third-party reviewer.

### **Reimbursement Guidelines**

Employees should try their best to choose the most economical option when traveling. The guidelines set below must be kept in mind when booking lodging, airfare, coordinating ground transportation, and purchasing meals:

- Group or conference rates should be taken advantage of when booking lodging
- Gratuities should not exceed 25% of the total meal amount
- Employees should use ground transportation provided by the event they are attending if available

ASA will reimburse expenses with an actual itemized receipt only. Non-itemized receipts or credit card statements will not be considered acceptable for reimbursement purposes. Original itemized receipts will be required for lodging, tolls, parking, ride-sharing, or taxi expense requests. When receipts are unavailable and under \$10.00, a written accounting of the expense detail should be submitted. In general, expense reimbursement will be based on actual costs.

ASA is a tax-exempt corporation. ASA employees will not be charged sales tax on meals or lodging in New York State if vendors are presented with the ASA tax exemption certificate. Tax exemption certificates should be picked up from the ASA business office before departure for travel.

### **Documentation Required**

Travelers must obtain a receipt from the driver or transportation company. The receipts for fares must include the following:

- the dates and points of origin and destination
- business purpose
- the total amount of the fare
- proof of payment

### **Travel by Private Vehicle**

Refer to the Business Expense policy for more information regarding travel by private vehicle and the documentation needed for reimbursement.

### **Travel for Non-Employees**

Additional costs for travel, lodging, meals, or other travel expenses for spouses or other family members will not be reimbursed unless the individual has a bona fide company purpose for engaging in the travel or attending the event.

### **Employee Conduct**

Employees traveling on ASA business are representatives of the company and are expected to maintain a high level of professionalism and to follow the company's policies and rules at all times, even when not on ASA business.

Employees assigned a company credit/travel card may only use this for authorized purchases. Any employee who utilizes their company credit/travel card for unauthorized purchases will be subject to immediate termination from employment and will be required to repay ASA immediately for the unauthorized charges.

## **400: BLOOD DONATION LEAVE**

**Original Date:** 1/2025

**Revision Date(s):**

**Eligibility:** Any employee regularly scheduled to work 20 hours or more per week.

In accordance with New York Labor Law § 202-j, applicable guidelines, and the terms of this policy, the ASA will provide covered employees with paid leave for the purpose of off-premises blood donation. Employees will be granted Blood Donation Leave of up to 3 hours per calendar year during the employee's regular work hours to donate blood. The leave may not exceed three hours unless otherwise agreed to by the employer.

Under this policy, a covered employee must provide at least two weeks' notice to the Supervisor of their intended use of leave time.

The ASA will require covered employees making blood donations to show proof of their blood donation.

The ASA will not retaliate against a covered employee for requesting or obtaining leave time per this policy.

## **500: PAID PRENATAL LEAVE**

**Original Date:** 1/2025

**Effective Date:** January 1, 2025

**Revision Date(s):**

Under Sections 196-b.2 and 4-a of the New York Labor Law, effective January 1, 2025, ASA provides employees 20 hours of paid prenatal personal leave during any 52-week calendar period. Leave can be used for any qualifying reason in increments of one hour at a time. Prenatal leave is available in addition to and may be taken separately from the current statutory sick leave benefits available to New York employees under the Paid Sick Leave Law.

**Qualifying Uses:** Employees can use prenatal leave for health care services received by an employee during their pregnancy or related to such pregnancy, including physical examinations, medical procedures, monitoring and testing, and discussions with a health care provider related to the pregnancy. Employees will be paid at their regular pay rate when prenatal leave is used. Employees will not receive pay for any unused prenatal leave time at any time.

## **501: PREGNANCY ACCOMMODATIONS**

**Original Date:** 1/2025

**Revision Date(s):**

The Association provides reasonable accommodations to applicants and team members who have limitations due to pregnancy, childbirth, and related medical conditions, unless it would impose an undue hardship on the Association to do so. Reasonable accommodations may take many forms. Examples of potential accommodations include but are not limited to things such as the ability to carry or keep water near and drink, as needed; allowing a team member additional restroom breaks; allowing a team member whose work requires standing to sit and whose work requires sitting to stand; allowing a team member breaks, as needed, to eat and drink; accommodations related to lactation; time off to recover from childbirth; modification of equipment; appropriate seating; temporary transfer to a different position that you are able to perform; restructuring job duties; light duty; or a modified work schedule. The Association will work with you to determine what accommodation is appropriate for you, given your unique circumstances, that doesn't impose an undue

hardship on the Association. Depending on the circumstances, the Association may require supporting documentation.

## **502: RELIGIOUS ACCOMMODATIONS**

**Original Date:** 1/2025

**Revision Date(s):**

In accordance with applicable law, the Association will make reasonable accommodations for an applicant's or employee's bona fide observance of religious holidays, beliefs or practices, unless an undue hardship on the operation of the business would result. Requests should be submitted in advance to management who will evaluate the potential options.

## **503: ACCOMODATIONS FOR VICTIMS OF DOMESTIC VIOLENCE**

**Original Date:** 1/2025

**Revision Date(s):**

The Association does not discriminate against any job applicant, employee or other individual who is a victim of domestic violence. The Association will also make reasonable accommodations for victims of domestic violence.

Any applicant or employee who believes he or she needs a reasonable accommodation should discuss the need for a possible accommodation with his or her supervisor.

The Association's policy of providing equal employment opportunities to victims of domestic violence applies to all of its personnel and employment practices.

## **504: WORKERS' COMPENSATION**

**Original Date:** 8/1996

**Revision Date(s):** 5/2002, 10/2013, 7/2021, 1/2025

**Eligibility:** All employees

In accordance with the New York State Workers' Compensation Board, applicable guidelines, and the terms of this policy, the ASA will provide compensation benefits to employees who have suffered a workplace injury or illness. Employees are eligible for workers' compensation on their first day of employment. Workers' Compensation covers medical expenses related to the injury or illness, including doctor's visits, hospital stays, surgeries, and prescribed medications.

### **Reporting Injuries or Illnesses:**

Regardless of severity, all injuries must be reported to Human Resources as soon as possible, ideally within 24 hours of the incident. Report the incident by completing and submitting the Accident Report Form to your Supervisor or Human Resources. In cases of emergency, seek immediate medical attention and inform your Supervisor as soon as possible.

AmTrust North America administers Worker's Compensation benefits. You will be sent a case number after your incident is logged into their system. Whenever you seek medical attention for this incident, please provide this number to the provider.

Workers' Compensation constitutes two-thirds of an employee's average weekly wage for the 52 weeks before the injury or illness. There is a 7-day waiting period in which no benefits are paid. Workers' Compensation begins with the eighth consecutive day away from work. The retroactive compensation initiates on the sixteenth day of an absence. If an employee is away from work for fifteen consecutive days, the first seven days remain non-compensable. All related medical expenses are covered as an employee is not obligated to pay on a Workers' Compensation claim.

Health benefits continue when an employee is away on Workers' Compensation. The employee must continue to make payments for their portion of insurance premiums, either through accruals or a check made out to "The Faculty Student Association (dba Auxiliary Services Association)." However, employees do not continue to accrue vacation and other paid time off while out. Benefits will be provided in accordance with the guidelines established by AmTrust North America and applicable state laws. ASA reserves the right to designate time away from work under Workers' Compensation leave as FMLA-qualifying. ASA will provide a notice of designation to the employee if applicable.

Employees must obtain medical clearance from their healthcare provider before returning to work and provide it to Human Resources. Employees are expected to cooperate with the workers' compensation process, including attending medical appointments and participating in any required evaluations. Any fraudulent claims or failure to adhere to the workers' compensation policy may result in disciplinary action, including potential termination.

### **Reporting and Documentation:**

Human Resources will manage the workers' compensation claims process and ensure timely reporting to AmTrust North America. Employees are responsible for providing accurate and timely information related to their claims. All workers' compensation claims and medical information will be handled with the highest level of confidentiality and in compliance with privacy regulations.

### **Contact Information:**

For specific inquiries related to your claim or benefits, you can contact AmTrust North America at:

Technology Insurance Company, Inc. C/O: AmTrust North America  
P.O. Box 6955 Cleveland, OH 44101-6935  
Toll Free (888) 239-3909

All other inquiries should be directed to the Human Resources Department.

## **505: LEAVE OF ABSENCE**

**Original Date:**

**Revision Date(s): 7/2021, 1/2025**

**Eligibility:** Varies by Leave Type

### **Leave of Absence Administration**

The Auxiliary Services Association offers paid and unpaid employee leaves of absence for medical conditions related to the employee or family member and for personal reasons.

All leave of absence requests must be made to Human Resources. If possible, requests must be made at least 30 days before the start date of the leave. The employee must make every reasonable effort to alert Human Resources of a potential leave of absence.

All leave of absence requests and medical information will be handled with the highest level of confidentiality and in compliance with federal and state privacy regulations.

Please note that paid time off accruals do not continue during any leave.

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

#### **Affects: All Employees**

The Family and Medical Leave Act establishes guidelines for the mandatory granting of leave of absence from work for specific qualifying reasons, and ASA is committed to following these federal guidelines. ASA posts the mandatory FMLA notice and provides all new employees with notices required by the U.S. Department of Labor upon hire. The function of this policy is to provide employees with a general description of their rights under the FMLA.

#### **A. General Provisions**

1. ASA will grant up to 12 weeks of leave to eligible employees during 52 weeks (or up to 26 weeks of military caregiver leave to care for a covered service member with a serious injury or illness). The leave may be paid, unpaid, or a combination of paid and unpaid, depending on the circumstances.

#### **B. Eligibility**

1. The employee must have worked for ASA for a minimum of 12 months and
2. The employee must have worked at least 1,250 hours during the 12 months immediately preceding the commencement of the leave. The 1,250 hours do not include time spent on paid or unpaid leave.
3. The employee must work in a worksite where ASA employs 50 or more employees within 75 miles of that office or worksite. The distance is to be calculated using available transportation using the most direct route.

#### **C. Qualifying Reasons**

1. Childbirth or care for a newborn (within the first 12 months of birth).
2. Childcare needs resulting from an adoption or foster care arrangement (within the first 12 months of the adoption or arrangement).
3. Care for a spouse, child, or parent who has a serious health condition.
4. The eligible employee's inability to perform essential job functions due to a serious health condition.
5. Reasons related to a family member's service in the military, including
  - 1) Qualifying exigency leave - Leave for specific reasons related to a family member's foreign deployment and
  - 2) Military caregiver leave – Leave when a family member is a current servicemember or recent veteran with a serious injury or illness.

#### **D. Certification for a Serious Health Condition**

1. ASA requires all employees to provide Human Resources with a certification form for a serious health condition.
  - 1) In the case of caring for a family member, the employee is required to provide Human Resources with certification from the healthcare provider that the employee is needed to care for the family member, as well as an estimate of the leave time needed.
  - 2) In the case of your own (the employee's) illness, you must provide documentation from your healthcare provider stating that you cannot perform the essential functions of your job due to the condition.
  - 3) ASA may directly contact the healthcare provider for verification or clarification purposes. Before ASA makes direct contact with the healthcare provider, the employee will be allowed to resolve any deficiencies in the medical certification.

#### **E. Amount of Leave**

1. Eligible employees can take up to 12 weeks of leave for reasons 1 through 4 listed in part C during any 12 months. ASA will measure the 12 months as a rolling 12-month period measured backward from when an employee uses any FMLA leave. Each time an employee takes FMLA leave, ASA will compute the leave the employee has taken in the last 12 months and subtract it from the 12 weeks of available leave. The remaining balance is the amount the employee is entitled to take.

#### **F. Intermittent Leave or a Reduced Work Schedule**

1. Employees have the right to take FMLA leave all at once or, when medically necessary, in separate blocks of time or by reducing the time they work each day or week. Intermittent or reduced schedule leave is also available for military family leave reasons. In all cases, the leave may not exceed 12 workweeks (or 26 workweeks to care for an injured or ill service member) over 12 months.

#### **G. Use of Paid Leave**

1. Employees may use any accrued paid time off to receive pay during all or part of the 12-week leave period. A written request must be made to receive such pay during an absence.

#### **H. Employee Status and Benefits During Leave**

1. While an employee is on leave, ASA will continue the employee's health benefits during the leave period at the same level and under the same conditions as if the employee had continued to work, provided the employee continues to pay their regular contributions to the cost of their health insurance premiums.
  - 1) Insurance premiums can be paid through your paid time off or a check made out to "The Auxiliary Services Association."
  - 2) If your leave is unpaid, pre-tax flexible spending contributions, health savings account contributions, and retirement plan contributions will not continue (including ASA's contribution).
  - 3) If you use any accrued paid time off, flexible spending, health savings account, or retirement plan, contributions will continue while ASA pays you.

#### **I. Procedure for Requesting FMLA Leave**

1. All employees requesting FMLA leave must provide verbal or written notice of the need for the leave to Human Resources. Within five business days after the employee has provided this notice, Human Resources will complete and provide the employee with the Department of Labor Notice of Eligibility and Rights.
2. When the leave is foreseeable, the employee must give the employer at least 30 days' notice. When an employee becomes aware of a need for FMLA leave less than 30 days in advance, the employee must provide notice of the need for the leave as soon as reasonably practicable.



## **Paid Family Leave**

### **Affects: All employees**

**Note:** 1199 SEIU administers paid Family Leave for all 1199 employees.

1102 employees see the contract for additional information.

ASA will provide job-protected paid family leave to eligible employees in accordance with the New York State Paid Family Leave Law (NYSPFL) and applicable regulations.

#### **A. General Provisions**

1. Employees fund New York State Paid Family Leave through payroll deductions. New York State determines the amount of deduction on an annual basis.
2. PFL coverage is provided to all eligible employees through The Hartford.

#### **B. Eligibility**

1. All full-time employees after 26 consecutive weeks of employment.
2. All part-time employees with a regular schedule of 20 or more hours per week after 26 consecutive weeks of employment.
3. All part-time employees with a regular schedule of less than 20 hours per week after 175 days worked.

#### **C. Qualifying Reasons**

1. To bond with their newly born, adopted, or fostered child
  1. In the case of the birth of a newborn child, PFL taken to bond with the child must be used within the first year following the child's birth.
  2. In the case of adoption or foster placement, PFL taken to bond with the child must be used within the first year of the child's adoption or placement.
2. To care for their family member with a serious health condition
  1. "Family member" includes the employee's spouse, a domestic partner (including same and different gender couples), a child/stepchild, and anyone with legal custody, parent/stepparent, parent-in-law, sibling, grandparent, and grandchild.
3. For a military exigency (for any qualifying reason as provided for under the Family and Medical Leave Act ("FMLA") arising from the employee's spouse, domestic partner, child, or parent being on active military duty or being notified of an impending call or order to active military duty in the Armed Forces of the United States).

#### **D. NYSPFL Benefits**

1. Up to twelve weeks of leave within a 52-consecutive week period. Leave can be taken all at once or intermittently in full-day increments.
2. Paid leave equals 67% of the employee's average weekly wage up to a cap. This percentage is set annually by New York State.
3. Continued health insurance provided the employee continues to pay their regular contributions to the cost of their health insurance premiums.
4. Employees on NYPFL are entitled to return to the position they held when the leave commenced or to a comparable position with comparable benefits, pay, and other terms and conditions of employment.

#### **E. Relationship with Other Leaves**

1. Employees who are also eligible for New York State Disability Leave may only receive a combined 26 weeks of disability benefits and PFL benefits in a 52-consecutive week period.
2. PFL will run concurrently with leave under the FMLA, where the reason for leave qualifies under both PFL and FMLA. Under both policies, employees must comply with all applicable employee requirements (e.g., application, certification, notice, etc.).

For the most up-to-date information regarding the New York State Paid Family Leave Law, please visit <https://paidfamilyleave.ny.gov/>.

## **Personal Leave of Absence**

### **Affects: All employees (1102/1199 employees see the contract)**

ASA will consider an employee's request for a personal leave of absence (where the leave does not qualify for protection under any Federal or State statute) in accordance with the guidelines set forth below. The leave may be unpaid, or you may use accrued vacation time to provide you with pay for all or part of the leave period.

#### **A. Duration**

1. Employees may be granted a leave of absence of up to 60 days to attend to personal matters in cases in which ASA determines that an extended period away from the job will be in the best interest of both the employee and the company. This absence may be extended to one year upon approval of the program director.

#### **B. Considerations**

1. The Supervisor and department head must evaluate the consequences of granting the request. Consideration should be given to employee efforts and the department's ability to continue to operate and provide a high level of service during the employee's absence.

#### **C. Benefits**

1. While an employee is on leave, ASA will continue the employee's health benefits during the leave period at the same level and under the same conditions as if the employee had continued to work, provided the employee continues to pay their regular contributions to the cost of their health insurance premiums.
  - 1) Insurance premiums can be paid through your paid time off or a check made out to "The Auxiliary Services Association."
  - 2) If your leave is unpaid, pre-tax flexible spending contributions, health savings account contributions, and retirement plan contributions will not continue (including ASA's contribution).
  - 3) If you opt to use any accrued paid time off, flexible spending contributions, health savings account contributions, and retirement plan contributions will continue while ASA is paying you.

#### **D. Return to Work**

1. ASA will generally reinstate employees to the same position or position with equivalent status, pay, benefits, and other employment terms if they return at the end of the agreed upon duration of their leave. ASA **cannot** guarantee the same shift as the employee had before the start of the leave.
2. If an employee fails to return to work after an approved personal leave, the employee will be considered to have voluntarily terminated employment.
3. If the same job or one of equivalent status and pay is not available due to a reduction in force, the employee will be treated in the same manner as though they have been actively employed at the time of the reduction in force.

#### **E. Procedure for Requesting Personal Leave**

1. The employee must make a written request for a personal leave of absence to Human Resources. The Program Director and Human Resources must approve the request.
2. The request must state the reason for the leave and the dates for which the leave is requested.
3. Employees may not work elsewhere or accept a position outside of ASA during a personal leave of absence. This action would cancel your leave and could lead to disciplinary action.

## **506: DISABILITY**

**Original Date: Various**

**Revision Date(s): 7/2021**

### **Short Term Disability**

**Eligibility:** All employees (Coordinated by 1199 for those employees) effective the first day of Employment.

Employees unable to work due to a non-work-related injury or illness will be eligible to collect disability insurance. Disability insurance begins with the eighth consecutive day away from work. The first seven days are not covered by disability insurance. (ASA allows employees to use their accruals when out on a disability insurance claim. Employees must notify the Payroll Department if they wish to use their accruals.)

Disability insurance is 50% of the employee's average pay for the 8 weeks before the injury or illness, up to a maximum of \$170 per week. New York State makes this payment in accordance with statutory benefits.

A portion of Disability benefits paid are taxable. This portion represents the employer contribution percentage.

Benefits do not continue to accrue when the employee is away from work on a disability claim. Absence for statutory disability qualifies as FMLA leave.

### **LONG TERM DISABILITY**

**Eligibility:** Full-time employees are eligible the first of the month after the employee's one-year anniversary.

The benefit starts on the first day of the month after six months of continuous disability when the short-term statutory disability benefits end. The income benefit would be 60% of the monthly wage base, with a lower benefit offset to a maximum of \$5,000 monthly. In other words, in addition to 60% of the pay awarded to the employee, the employee will receive the same monthly amount of money that the ASA contributes to the employee's pension. This disability covers off-the-job illnesses and injuries. The Guardian administers this plan, and ASA pays for premiums.

### **SUPPLEMENTAL DISABILITY**

This is a voluntary supplemental disability plan offered through Aflac. (Some employees may have insurance through Unum.) This disability benefit does not affect your benefits through the NYS disability benefit. If you are interested in this benefit, please call 800-922-3522. You may also make an appointment with our Aflac representative directly at 917-857-6643.

## **507: MILITARY LEAVES OF ABSENCE**

**Original Date: 1/2025**

**Revision Date(s):**

For service performed in the U.S. Armed Forces, the Military Reserves or the National Guard, the Company will grant eligible employees military leave and/or military spouse leave in accordance with applicable federal and state law. All corresponding rights with regard to reinstatement, length of service, benefits, time accruals and compensation will be retained in accordance with applicable law.

Immediately upon receiving notice that they or their spouse have been called upon to serve, employees should notify their Supervisor.

Advance notice of military service is required, unless military necessity prevents such notice, or it is otherwise impossible or unreasonable. Employees may use any available accrued leave time for the absence.

Continuation of health insurance benefits is available as required by the Uniformed Services Employment and Re-employment Rights Act (USERRA) based on the length of the leave and subject to the terms, conditions and limitations of the applicable plans for which the employee is otherwise eligible.

When the employee is discharged from military service, the Company will re-employ them in their former position or an equivalent position with full seniority and other rights and benefits as required by law.

To qualify for re-employment, the employee must:

- (a) have a certificate of completion of military service;
- (b) still be qualified to perform the duties of the position; and
- (c) apply for re-employment with the Company within ninety (90) days after being released from military service.

A spouse of a member of the U.S. Armed Forces, National Guard or Reserves, who has been deployed during a period of military conflict, is entitled to ten (10) days unpaid leave when that employee's spouse is on leave from military duty.

## **600: HIRING PROCESS**

**Original Date:** 7/1997

**Revision Date(s):** 4/2001, 7/2008, 7/2021, 1/2025

**Affects:** All Non-Union Employees (1102/1199 Employees See Contract)

The Auxiliary Services Association (ASA) prioritizes filling position openings above entry level by promoting from within, including Stony Brook University staff, provided that qualified internal candidates are available.

All positions must be processed through a formal requisition procedure. This process includes:

- **Requisition Submission:** Department Heads or Hiring Managers must submit the Staff Requisition Form detailing the position's requirements and justification for the new role.
- **Approval:** The requisition will be reviewed and must receive approval from the appropriate authority, such as Human Resources or the Executive Director.
- **Job Posting:** Once approved, the job opening will be posted accordingly.

In select instances, job openings are posted both internally and externally. When there is an urgent need to fill a position to mitigate significant risks associated with delays, the Director of Human Resources or Manager may seek authorization from the Executive Director to appoint an interim employee while the formal search process is conducted.

No permanent or guaranteed employment promises will be made during the recruitment, hiring, and orientation processes. Employment with ASA is contingent upon completing all required onboarding tasks, including, but not limited to, submission of necessary documentation, completion of background checks, and fulfillment of any additional pre-employment requirements.

When considering external candidates for job openings, the following procedures must be followed:

- **Application Process:** All candidates must apply through ASA's career site to be considered for hiring.
- **Accommodation Requests:** Human Resources will review requests for accommodations and determine the appropriate accommodations. For additional details, please refer to the Reasonable Accommodations Policy.
- **Position Requirements:** The Department Head or Hiring Manager is responsible for defining the qualifications and requirements of the position. They will draft a Position Description and, with the assistance of Human Resources, create or update the job description, posting, and selection criteria, as well as recommend individuals for the selection committee.

Based on the recommendations of the Selection Team, the Department Head or Hiring Manager will interview top candidates from a qualified and diverse pool. Criminal background checks will be conducted for all external candidates.

A Department of Motor Vehicles license check will be performed for staff with driving responsibilities during working hours.

If background checks, medical evaluations, or any other investigations reveal misrepresentations or information suggesting that the candidate is unsuitable for employment, the applicant will be denied employment or, if already employed, may be terminated.

## **601: DEFINITIONS OF EMPLOYMENT STATUS**

**Original Date:** 3/1998

**Revision Date(s):** 9/2003, 7/2021

The following terms will describe employees' classification and employment status.

The Fair Labor Standards Act (FLSA) requires employers to pay at least minimum wage for up to 40 hours per week and overtime pay for any additional time unless the employee falls into an exception category.

**Exempt Employees:** If an employee is considered exempt, their employer is not required to pay them overtime. To be considered an "exempt" employee, you must be paid a salary (not hourly) and perform executive, administrative or professional duties.

**Non-Exempt Employees:** A non-exempt employee is entitled to overtime pay. Employers are required to pay time and a half the employee's regular pay rate when they work more than 40 hours per week.

**Full-time:** Employees who regularly work the standard work week.

**Part-time:** Employees who work less than a standard work week.

**Regular:** Employees who work the full twelve months of a year.

**Temporary:** Employees who are hired for a specified, limited period. These employees are paid hourly and are not eligible for benefits other than statutory benefits. Occasionally, there may be circumstances in which an employee serves in a Management role in a temporary capacity. As an accommodation to the campus, that employee may be accorded benefits different from an hourly employee, such as prorated vacation and sick days. Such exceptions

would be for the temporary appointment only and would not continue if the employee were to receive a regular appointment subsequently.

## **602: EMPLOYEE COMPLAINTS/CONCERNS**

**Original Date:** 3/1995

**Revision Date(s):** 4/2003 7/2021

The Auxiliary Services Association believes that employees should be able to express their dissatisfaction with any interpretation or application of a work-related policy by management, Supervisors, or other employees. Examples of matters which may be appropriate causes of concern include:

- A belief that Company policies, practices, rules, regulations, or procedures have been applied in a manner detrimental to an employee.
- Treatment considered unfair by an employee, such as coercion, reprisal, harassment, or intimidation.
- Alleged discrimination because of race, color, gender, age, religion, national origin, sexual preference, or disability.
- Improper or unfair administration of employee benefits or conditions of employment such as scheduling, vacations, fringe benefits, promotions, retirement, holidays, performance review, salary, or seniority.
- Being witness to any of the above.

Employees are encouraged to notify the ASA Human Resources Department of their concerns as soon as possible.

## **603: PERSONNEL RECORDS**

**Original Date:** 3/1995

**Revision Date(s):** 7/2021

Important events in the employee history with ASA will be recorded and kept in their personnel file. Annual performance reviews, change of status records, communications, and educational attainment records are examples of records maintained.

Personnel files are available for inspection. Employees must contact the Human Resources Department to request an inspection. All personnel file inspections must be completed within one (1) business day from the time of request.

## **604: EMPLOYEE ASSISTANCE PROGRAM**

ASA is concerned about the health and well-being of our employees. From time to time, everyone experiences personal problems. Occasionally, a problem continues, affecting the employee's health, personal life, or job performance.

The University's Employee Assistance Program is a free, confidential, voluntary consultation and referral service. It can assist with many types of problems, such as marital problems, substance abuse, financial difficulties, or perhaps a legal problem.

The Hardship Fund is a program available to assist employees experiencing a personal financial emergency who have exhausted all other avenues for obtaining assistance. The fund is not a loan. It is a grant of up to \$599

designed to address a non-recurring, sudden, unexpected, and critical event, such as a family crisis, acute illness, natural disaster, or fire.

The EAP is staffed by professionals who provide assessment and referral services. After initial consultation, a referral may be recommended if the employee can benefit from ongoing counseling. The EAP staff are very knowledgeable about educational resources, support services, and skilled professionals in the community. With the employees' permission, they will match their needs with the most affordable, appropriate, and competent professionals.

The EAP is a neutral office that is not associated with disciplinary procedures. To make an appointment, call 631-632-6085.

## **605: CHANGES TO PERSONAL INFORMATION**

**Original Date:**

**Revision Date(s): 7/2021, 1/2025**

The employees can utilize the Dayforce System to make some changes in data. Those changes include:

- Address, phone numbers, and emergency contacts.
- Education, skills, memberships, licenses, and certifications.
- Federal & State tax filing status

Other changes must be communicated to the Human Resources department in writing in addition to the corresponding legal documentation.

- Name changes
- Marital status, birth, or death in your immediate family if it affects deductions or beneficiaries.
- Citizenship status

## **606: DIRECT DEPOSIT / COMDATA PAY CARD**

**Original Date:**

**Revision Date(s): 7/2021**

You may enroll using the Dayforce system. After logging in, click "Forms" and "Direct Deposit". Then, follow the prompts. The direct deposit will go into effect in the second pay period after the Payroll Department receives this.

COMDATA Pay Card: Employees may also use the Comdata Payroll MasterCard® electronic pay program. Get all the bank-like features you demand without the high costs of traditional banking. You can also better manage your funds by tracking balances and online purchases with the click of a button. You can even receive text messages when money is added to your card and after each time you approve a transaction. You will receive your card balance with each text message!

## 607: EMPLOYMENT VERIFICATIONS

Original Date:

Revision Date(s): 7/2021

The Auxiliary Services Association uses The Work Number® to provide automated employment and income verifications for our employees. The Work Number provides proof of your employment or income for life events, including obtaining credit, financing a home or automobile, obtaining a housing lease, or securing government benefits or services.

Additionally, the employees who work for organizations that contribute information to The Work Number can access one (1) free Employment Data Report (EDR) each year through [www.theworknumber.com](http://www.theworknumber.com). The EDR provides complete historical employment and income information, and a listing of verifier requests for the past two years.

For additional information about The Work Number or to access your *Employment Data Report*, please visit [www.theworknumber.com/employees](http://www.theworknumber.com/employees) and use the [log-in information below](#).

To log in, you will need our employer code, 28001. You will be prompted for your Social Security Number (SSN) PIN: the last four digits of your SSN and the MMDD of your birth. Then, follow the prompts.