Acknowledgement of Receipt of Web Access Instructions

I acknowledge that I have received directions for accessing this Handbook on the Human Resources web page. I understand that if I have any difficulty accessing the Handbook on the web I am responsible for contacting the Human Resources Department for assistance or to request a paper copy of the Handbook. I understand that it is my responsibility to read and comply with the policies contained in this Handbook and any revisions made to it by Colgate.

In particular, I acknowledge that I have read and understand Colgate’s Non-Discrimination and Harassment Policy.

I understand that this Handbook supersedes all previous versions that have been issued by the University. Further, I understand that because the University may add, modify, delete or otherwise change provisions of the Handbook, I should contact the Human Resources Office to obtain current information regarding the status of any particular policy, procedure or practice.

___________________________________________
Employee’s Signature

___________________________________________
Employee’s Name (Please Print)
Colgate University

Personnel Policies and Benefits Handbook

For Administrators, Technicians and Support Staff

Human Resources Department
Revised June 2012
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This Handbook

This handbook is intended as an explanation and description of Colgate's policies and employee benefits. It is not intended nor should it be construed as an employment contract. The descriptive materials contained in this handbook are only summaries, and any discrepancies between these summaries and the terms of the actual plans, or plan documents, must be governed by the actual terms of the more detailed plans and plan documents. Like any other compilation of general information, certain portions of the handbook may become outdated. You should check with the Human Resources Office to be sure you have current information before taking action based on any specific information in this handbook. It is your responsibility to confirm the status of policies or other information. This Handbook is available in a hard copy version from Human Resources or on the Web at http://offices.colgate.edu/hr/. The web version will be the most up-to-date.

Colgate reserves the right at any time to modify, revoke, suspend, terminate or change, either retroactively or prospectively, any and all terms of this handbook, plans, policies or procedures, in whole or in part, at any time. However, Colgate will make every effort to notify all affected employees when such changes or modifications are made. Except for Colgate benefit documents, the policies contained in this handbook are intended to supersede the policies and procedures that existed prior to the date of this handbook. All prior policies and procedures are, therefore, null and void except where Colgate has agreed otherwise.

Employees have the right at any time to terminate their employment with or without good cause, and Colgate reserves the same right to terminate employment in accordance with the provisions of this Handbook. No University official has authority to make any agreement to the contrary. Colgate University is committed to treating all members of the University community in an equitable manner. We will not discriminate against any employee or applicant for employment because of race, color, sex, pregnancy, religion, creed, national origin (including ancestry), citizenship status, physical or mental disability (including AIDS), age, marital status, sexual orientation, status as disabled veteran or veteran of the Vietnam era, predisposing genetic characteristics, domestic violence victim status or any other protected category under applicable local, state or federal law. Further, it is our policy to recruit, hire, retrain, train, terminate, transfer, promote, compensate and distribute all benefits without regard to any such considerations.

The Staff Affirmative Action Officer oversees the implementation of Colgate’s Affirmative Action and Equal Opportunity plan. All questions regarding compliance with the University’s Harassment Policy should be directed to the University Harassment Officer. In addition, questions about Colgate’s Affirmative Action and Equal Opportunity plan and the University’s policy on discrimination and harassment, may be directed to the Associate Vice President for Human Resources or to the Director, Office for Civil Rights, U.S. Department of Health and Human Services, Cohen Building, 330 Independence Avenue, SW, Washington, D.C. 20201. The Associate Provost coordinates the University’s efforts to comply with and carry out its responsibilities under Title IX of the Educational Amendments of 1972 as amended. The Director of Academic Program Support and Disability Services has been designated as the Section 504 Coordinator and is the officer responsible for coordinating efforts to comply with the Americans With Disabilities Act of 1990 (ADA).
SECTION I: INTRODUCTION TO COLGATE UNIVERSITY

Mission
Colgate’s mission is to provide a demanding, expansive, educational experience to a select group of diverse, talented, intellectually sophisticated students who are capable of challenging themselves, their peers and their teachers in a setting that brings together living and learning. The purpose of the university is to develop wise, thoughtful, critical thinkers and perceptive leaders by encouraging young men and women to fulfill their potential through residence in a community that values all forms of intellectual rigor and respects the complexity of human understanding.

History of Colgate University
In 1817, 13 men - six clergy and seven laymen - met in the frontier settlement of Hamilton with "13 dollars, 13 prayers, and 13 articles." (To this day, members of the Colgate community consider the number 13 a good omen.) In that meeting, the men founded the Baptist Education Society of the State of New York, the cornerstone in the foundation of what would become Colgate University.

The state chartered the Baptist Education Society in 1819, choosing Hamilton as the location for its school; one year later, the school opened. In 1823, Baptists in New York City - soapmaker William Colgate among them - consolidated their seminary with the Hamilton school to form the Hamilton Literary and Theological Institution. The Colgate family connection was thus established.

The oldest building on the current campus, West Hall, was built four years later in 1827. By 1834, the institution included preparatory, collegiate, and theological departments. In 1839, the first students "not having the ministry in view" were admitted.

The year 1846 witnessed a name change (to Madison University) and, through a state charter, the right to grant degrees. Madison became Colgate in 1890, recognizing nearly 70 years of continuous involvement and service by the Colgate family.

Colgate Academy, the preparatory department, was discontinued in 1912. The theological division merged with the Rochester Theological Seminary in 1928 to become the Colgate Rochester Divinity School, and Colgate has been nonsectarian since that time. The university became coeducational in 1970.

Colgate today is a highly selective, independent, coeducational liberal arts college enrolling approximately 2,700 undergraduates in programs that lead to the bachelor of arts. A small graduate program offers the master of arts and the master of arts in teaching.
SECTION II: TERMS AND CONDITIONS OF EMPLOYMENT

Appointment, Types of Employment and Other Key Terms
The Associate Vice President for Human Resources provides a letter as a formal notification of initial appointment to each new Administrative, Technical, or Support Staff employee hired in a regular position. Appointment letters include the terms and conditions of employment.

Administrative employees, including employees working in administrative, managerial or professional positions as defined by law and the University, receive individual letters of appointment with reappointment letters issued annually by the Dean or Vice President responsible for a division. Administrative appointments may be terminated at any time for violations of policy, practice, procedure or regulations of the University or for other reasons deemed appropriate by the President of the University.

To determine eligibility for benefits the University distinguishes between the following types of employment:

Regular full time: employees who work in established positions that are approved for 37.5 or more hours per week on a twelve-month schedule.

Regular part time: employees who work in established positions that have been approved for less than full time, but at least 1040 hours per year. Certain benefits are prorated for employees in these positions.

Interns: includes program assistants and assistant coaches and employees holding other similar positions. Employees who work in these positions are eligible only for certain benefits.

Part time: employees who work in an on-going position of less than 1040 hours/year with only benefits required by law provided.

Casual or Temporary: employees who work on an on-call basis only when needed by the University for a specific, limited period of time, generally to meet a short-term staffing need. Only those benefits mandated by law are provided.

Part time and temporary employees who have accumulated 450 hours of work with no break in service receive holiday pay and sick leave at the rate of one-half day per month. These holiday and sick leave benefits terminate with any break in service.

Grant-funded: employees who work in grant-funded positions and certain temporary appointments of one year or more are entitled to the same benefits as regular full-time or part-time appointments, as appropriate.
Other Key Terms

Exempt positions are those positions which are exempt from the Fair Labor Standards Act (FLSA) provisions because the work is predominantly “professional, administrative or executive” in nature as defined by specific criteria in the regulations. Exempt employees are not eligible for overtime compensation under the FLSA.

Non-exempt positions are those that are covered by the FLSA and are eligible for overtime compensation. All Technical and Support Staff positions at Colgate are non-exempt and are subject to the federal and state wage and hour laws. All non-exempt employees have a designated base hourly pay rate. Employees in these positions record their time worked on timesheets and are eligible for overtime pay. The University reserves the right to reassign employees based on the needs of the University.

Date of Hire is the date employment begins, including any adjustments made to give credit for previous service.

Employee Orientation
Orientation programs will be scheduled by the Human Resources Department to acquaint each new employee with University policies, benefits and services. New employees must report to the Human Resources Department on or before their first day of work for initial orientation and completion of necessary forms. Supervisors are responsible for introducing new employees to co-workers, for orienting them to the campus and for on the job training.

Hours of Work
The normal hours of work for offices are from 8:00 a.m. to 4:30 p.m. or 8:30 a.m. to 5:00 p.m., although some departments may differ. The normal work schedule for full-time employees is 7½ hours per day with a one hour, unpaid lunch period taken between 11:30 a.m. to 1:30 p.m. With supervisory approval, some flexibility in starting time of work and lunch breaks is permitted, provided that the business needs of the office and University are met. This flexibility normally allows for an employee to start work at either 8:00 a.m. or 8:30 a.m., work 7.5 hours, and finish at 4:30 p.m. or 5:00 p.m. depending on the time taken for lunch. The primary purpose of this flexibility is to provide employees with the opportunity to use Colgate facilities during the lunch hour. The Department Head normally establishes the hours of work in accordance with Colgate’s guidelines.

Lunch Period/Breaks
Minimum time lengths for meals are mandated by state law. The lunch period is from 11:30 a.m. to 1:30 p.m. during which time full-time employees working at least 7½ hours per day are entitled to one hour, unpaid time off for lunch. A minimum of 30 minutes is required. Any employee who works a shift of more than four hours which extends over the period of 11:00 a.m. to 2:00 p.m. is entitled to 30 minutes off within that period. An employee working more than six hours starting between 1:00 p.m. and 6:00 a.m. shall be allowed at least 30 minutes off for a meal period.
In some instances, as approved by the Human Resources Department, where only one person is on duty or is the only one conversant in a specific occupation, the employee may be authorized to eat on the job without being relieved of his or her duties. The employee will be paid for this time.

A specific time for a rest break or coffee break is generally not scheduled for administrative and office employees. One 15 minute morning break is provided to full-time employees working in such departments as the mailroom, print shop, bookstore, and library.

**Attendance, Punctuality and Dependability**
To maintain a productive work environment, Colgate expects employees to be reliable and to be punctual in reporting for scheduled work and in remaining in the office throughout the scheduled work day. When you know about an expected absence, you should notify your supervisor at least five (5) business days prior to your absence. When you are unable to report to work due to an illness or injury, you must notify your supervisor as early as possible, each day of your absence. Excessive tardiness, absenteeism, or unauthorized absence may result in disciplinary action, up to and including termination (see “Hours of Work” on page 3).

**Identification Cards (“Gate Card)**
A Colgate University identification card is issued to each new employee. New employees are given a temporary ID by Human Resources Department which can be presented at Campus Safety to receive a picture ID. This card, called the ‘Gate Card, represents official University identification and may be used to obtain tickets or admission to sporting events and facilities on campus. The ‘Gate Card also has an optional debit feature. This feature will be activated upon an initial deposit on your Card Debit Account. The Card Debit Account is a declining balance account, and can be used for purchases at the Bookstore, C-Store, Juice Bar, Coop, University Mailroom, vending machines, library copiers and laundry machines on campus, and participating area merchants off campus. Deposits on your account can be made three ways: 1) with cash in person at the Accounting office or at one of the Card Systems Value Terminal machines located in O’Connor Campus Center and Case Library, 2) with check in person at the Accounting office or by mail and 3) with Credit Card in person at the Accounting office, by mail, or on line at [www.colgate.edu/gatecard](http://www.colgate.edu/gatecard). ‘Gate Card Terms and Conditions can also be found at this website.

A lost card may be replaced through the Campus Safety Office. ID cards are to be turned in to the Human Resources Department when employment is ended.

**Immigration Reform and Control Act**
In compliance with the Immigration Reform and Control Act of 1986, each new employee, under penalty of perjury, must complete and sign the Employee Eligibility Verification Form I-9 and provide original documentation establishing their identity and legal right to work in the United States no later than three (3) business days after the employee’s hiring.

If your immigration status changes, and therefore impacts your employability, you must notify Human Resources.
Introductory Period
All new Support Staff, Technical employees in regular positions will have up to the first 90 days of employment as an Introductory Period. Campus Safety employees have a 180 day Introductory Period. During this time, the employee will have the opportunity to become familiar with the duties of the position and the employee's supervisor will evaluate the ability of the employee to perform capably. Employees may be dismissed without prior notice or obligation during this period.

Supervisors must complete an evaluation report to indicate whether or not an employee will continue in the position. A supervisor may extend the Introductory Period, if necessary, after consultation with the Associate Vice President for Human Resources. Some benefits are not provided until successful completion of this period.

Employees transferring to a new job within the University will undergo a new Introductory Period, but continue to receive all benefits as appropriate.

Length of Service and Reemployment
An employee’s length of service is defined as the period of continuous employment in a regular Colgate position beginning with the current period of work, plus any qualified previous service.

Such employment is the basis upon which eligibility for benefits is normally determined, although specific programs may impose additional restrictions and waiting periods. Authorized absences such as vacation, sick leave, personal leave, military leave, and so forth do not constitute a break in continuous employment. A break in employment occurs when the employee is removed from the active employment records of the University.

Reemployment. If an employee has five years of previous service in a regular position, was not terminated for cause, and returns to University employment within two years of the previous termination date, the employee will be reinstated with an adjusted date of hire reflecting the number of years of previous service.

Summer Hours
The University currently observes “summer hours” during the months of June and July. The workday is reduced by one-half hour per day for full time support and technical staff, Monday through Friday. This practice is subject to annual review to ensure University needs are not adversely affected. Regular Support Staff and Technical employees are compensated with a summer adjustment: Support Staff and Technical employees who are in positions normally scheduled to work 75 or more hours per pay period will be credited with an additional five hours of pay for the two-week period. Employees in positions normally scheduled to work at least 40 to 74 hours per pay period will be credited with an additional 2.5 hours of pay. Employees only report the actual hours worked each pay period. Salaried staff (non-hourly), the Office of Campus Safety or employees covered under the Facilities collective bargaining agreement are not eligible for the summer adjustment.
Summer Work Policy for Support Staff
Each summer, academic departments will determine the workload and needs of each office for the summer months. Twelve-month employees may request vacation, part-time schedules, or unpaid leaves of absence during the summer. If the workload is low during this time, employees may be asked to assist in other areas where needed. In each case the decision must be the supervisor's and will depend upon the needs of the office and vacation schedules. Leaves should not be granted if they make it impossible for other employees to take vacations.

Those employees who work in positions of less than 12 months may request an alternate work situation for the summer. They may be assigned temporary work in offices that have greater needs when such opportunities exist. Those assigned to such work will continue to be paid at their regular rate for the hours worked. An academic year employee must take vacation during the designated term of employment, i.e., vacation may not be taken after the end of the 9 or 10 month term for which the employee is scheduled to work. Benefits are continued during the summer months, but the employee must arrange to pay his/her share of the premiums in advance by contacting the Human Resources Department.

After the needs of each office have been determined, the Human Resources Department should be informed of plans for leaves, reduction in positions, or requests for temporary work. It is essential that the Human Resources Department be informed of any such changes in order to ensure accurate continuation of benefits.
SECTION III: POLICIES AND PROCEDURES

Automobile Registration/Parking
Parking is available for employees on the campus at no charge. All cars on campus must be registered with the Campus Safety Office, located at 88 Hamilton Street. Employees will be issued a staff parking decal to affix to the vehicle and will then receive a Colgate University Motor Vehicle Handbook http://offices.colgate.edu/campus_safety/

Background Checks
Colgate University seeks to provide a safe and productive environment for faculty, staff, students and visitors. To accomplish this goal, the University performs background checks for certain positions to identify individuals who may have committed serious crimes or because their presence in the work place would create an unacceptable risk to our University community. Consideration will be given to the relationship between a conviction and the responsibilities of the position that is or will be held. A relevant job-related conviction is grounds for termination of employment or non-selection of an applicant.

An employee may not begin to work until all appropriate background checks have been completed. Falsification of application materials, including failure to disclose misdemeanor or felony convictions, is grounds for termination of employment or non-selection of an applicant.

Employment Verifications will be performed on all new hires. Degree Verifications will be performed on all hires for positions requiring a degree or professional certification. Criminal Background Checks will be performed for safety-sensitive positions such as custodial, security, residence life, and positions allowing access to funds, buildings and facilities. The University reserves the right to perform criminal history record checks for other positions or in individual circumstances whenever it is deemed appropriate to protect the interests of the University. Credit Checks will be conducted on positions that allow access to funds. Prior to taking any adverse employment action based on information contained in a credit history record check report obtained from a consumer reporting agency, Human Resources will provide the employee or candidate a copy of the report and a notice summarizing the individual’s rights under the Fair Credit Reporting Act. The employee or candidate will also be given information on the credit reporting agency providing the report and a reasonable opportunity to submit information to Human Resources disputing the accuracy or completeness of the report before a final decision is made and communicated. Motor Vehicle License Checks will be conducted on candidates applying for positions that entail the use of Colgate University vehicles or require a valid driver’s license. Additional motor vehicle license checks may be performed throughout employment. For positions that require operation of a motor vehicle, a conviction shall include misdemeanor traffic violations. If the record indicates negligent driving, driving while impaired, loss of license, and/or a pattern of repeated violations, this will be treated as an indication of poor judgment or lack of behavioral control. No offer will be made to a candidate with repeated offenses. Employees whose positions require driving personal or University vehicles are required to maintain an unrestricted, valid driver’s license and insurance coverage as long
as they are in the position necessitating this requirement. Employees must promptly report any changes in restrictions on their license or in insurance coverage to their supervisor and the Human Resources Office.

University employees must notify the Office of Human Resources within five days of a conviction for a misdemeanor, felony, or any drug, alcohol, or sex-related offense. Failure to report such conviction is grounds for disciplinary action up to and including termination of employment. Supervisors should notify Human Resources immediately upon being informed of any such conviction.

Colgate University offers a wide array of computing, networking, and media service to students, faculty members, administrators, and staff members. These services are in place to facilitate teaching and learning, research, and administrative activities to further Colgate’s mission. By using these services, all users agree to abide by and be subject to the terms and conditions contained in Colgate’s computing policies (available from ITS) and all other applicable university policies. Some departments on campus may have additional facilities, practices, and policies that apply to use of computing facilities in those departments. In these ways Colgate intends to enable high-quality services and maximize productivity while protecting the rights of all members of the community.

Appropriate Use of E-mail
Colgate discourages the use of e-mail for other than business purposes; however, Colgate recognizes that from time to time it may be necessary to send personal e-mail messages. While personal use is not specifically prohibited, it should be kept to a minimum and is subject to the same procedures and policies outlined for business use. All electronic and telephonic communications and information systems provided by Colgate are Colgate’s property. All communications and information transmitted by, received from, or stored in these systems, including e-mail and voicemail, are also Colgate’s property.

Colgate takes reasonable steps to protect users from unauthorized entry into their accounts or files, whether by other users or by system administrators, except in instances where a system-related problem requires such entry. A limited number of authorized Colgate personnel must occasionally monitor information on the network and/or computer systems to maintain the integrity of the systems. This access is required for reasons that include, but are not limited to, retrieving business-related information; trouble-shooting hardware and software problems; preventing unauthorized access and system misuse; providing for the overall efficiency and integrity of the systems; protecting the rights and property of the university; ensuring compliance with software and copyright, distribution, and other university policies; and complying with legal and regulatory requests for information.

E-mail should not be used for confidential communication. E-mail is now considered a formal written record that carries the same legal weight as a formal memorandum. Users of e-mail should remember that e-mail messages become the possession of the receiver and can be easily duplicated and redistributed by recipients. Messages that have been deleted can unintentionally be retained on system backup files. In addition, even secure passwords are not completely confidential. When a private
message needs to be conveyed between two individuals, a conversation is the best way to accomplish it, and messages that should not be preserved should be deleted immediately.

University policy prohibits certain types of e-mail. These include mail that may be perceived as harassment, political campaigning, or commercial solicitation. Chain mail is also prohibited because it consumes large amounts of system resources. These policies will be enforced when violators are brought to the attention of the ITS administration. Certain types of e-mail, including but not limited to harassing e-mail, may also subject the sender to civil or criminal penalties. In spite of university policy, e-mail can be abused by malicious users who know the owner’s computing ID and password. Users are responsible for protecting their own passwords.

Confidential Material
Employees of Colgate University have access to academic, personnel, financial or other information that is considered confidential. Confidential Information shall mean any information or data (including without limitation, programs, methods, techniques, processes, patterns, compilations, and formulae) which is not generally known to persons who are not officers, agents, board members, or employees of the University or which otherwise has been designated confidential by the University. Examples of confidential information include, without limitation, the following: personal information relative to past, present or prospective students, donors, staff, or faculty members, including social security numbers or other identification numbers; information relative to methods and procedures for pricing; information regarding marketing strategies, operational planning and strategies; changes in management or operations of the University; University financial information; passwords and the object code and source code to the University’s software; student information, including student and parent financial information, social security numbers or other identification numbers; medical information of students and/or employees of the College.

Employees are expected to maintain the confidentiality of such information and not disclose it to anyone who does not have an official, business need for it. No information should be copied, distributed or discussed with others or removed from your office without the approval of your immediate supervisor except in connection with University business. When in doubt, treat the matter in the strictest confidence and consult with your supervisor for clarification.

Upon termination of employment with the University for whatever reason, all material related to the College’s business that is in your possession or under your control, without limitation, all documents, lists, electronic information storage media, manuals, letters, notes and reports shall be promptly returned to the College, without deleting, copying or summarizing.

Violations of this policy will be subject to disciplinary action, up to and including termination of your employment. Misuse of confidential information could also be considered a theft that could lead to criminal prosecution.

This confidentiality policy is intended to protect not only the University but each member of our community. As members of the Colgate community each of us has a responsibility to respect and protect the personal and private institutional information that is maintained by the University.

Conflicts of Interest
The University recognizes that many staff participate in non-university activities that are recreational or that increase personal or professional development. The University encourages those activities that
do not constitute or appear to constitute a conflict of interest. All employees shall disclose to their supervisor, department head or appropriate University officer any possible conflict of interest at the earliest practicable time.

Simply stated, a conflict of interest occurs whenever a staff member is in a situation where the prospect of direct or indirect personal gain could influence a staff member’s judgment or action. Examples of conflict of interest include interests in a business supplying goods or services to the University or use of University facilities or supplies for non-university business. Some examples include (but are not limited to):

- outside employment, outside business, philanthropic, community, political or other interests or activities that require commitments of time or use of University supplies or facilities;
- outside interests of the staff member or of close family members with or related to suppliers of goods and services to the University; and
- personal gifts or gifts of entertainment of more than nominal value received from suppliers of goods and services, or from persons associated or seeking to associate with the University.

**Disability Accommodation**
Colgate University is committed to full compliance with the Americans with Disabilities Act of 1990 (ADA), which prohibits discrimination against qualified persons with disabilities, as well as other federal and state laws pertaining to individuals with disabilities. Under the ADA, a person has a disability if he or she has a physical or mental impairment that substantially limits a major life activity. The ADA also protects individuals who have a record of a substantially limiting impairment. A substantial impairment is one that significantly limits or restricts a major life activity such as hearing, seeing, speaking, breathing, performing manual tasks, walking or caring for oneself.

When appropriate, the University will make reasonable accommodations to qualified individuals with disabilities who need assistance to perform the essential functions of their positions, provided the accommodation does not cause an undue hardship on the University or cause a direct threat to the health and safety of the individual or others. The employee is responsible for requesting accommodation and for providing medical documentation to assist in understanding the nature of the employee’s functional limitations. This documentation may be subject to confirmation by a University-appointed healthcare provider.

**Drug-Free Workplace**
A separate, annual mailing distributes Colgate’s complete policy on drug and alcohol prohibition to all employees. The policy applies to all Colgate employees, including full and part-time, temporary or regular Faculty and Staff and to student employees and interns. Agreeing to comply with the policy will be a condition of employment.

Colgate University is committed to creating and maintaining a drug-free workplace and does not permit or condone the unlawful possession, use, consumption or sale of illegal drugs and/or alcohol by
employees on its property or as part of any of its activities. The University expects that all members of the Colgate community who serve or consume alcoholic beverages will do so in a responsible, lawful, and non-abusive manner. The University also expects all members of the Colgate community to comply with the laws of New York State as well as local statutes and ordinances pertaining to alcohol.

Employees are prohibited from working, or operating any Colgate vehicle or equipment, while under the influence of alcohol or controlled substances. In addition, no passenger in a Colgate vehicle may consume alcoholic beverages or use controlled substances while in the vehicle. Employees using medication are also prohibited from operating Colgate vehicles or equipment at any time when their ability to do so might be impaired by the medication.

Further, the possession, use, consumption, sale, or distribution of alcohol during working hours is prohibited except on occasions when the consumption of alcoholic beverages in a social setting is authorized and sponsored by the University. Employees who violate this policy will be subject to appropriate disciplinary action, consistent with local, state, and federal law, which may include counseling, mandatory participation in an appropriate rehabilitation program, unpaid suspension from employment, loss of the privilege of operating a Colgate vehicle, and/or termination of employment and referral for prosecution. In addition, there are additional requirements for employees who are directly engaged in the performance of work pursuant to the provisions of a federal grant or contract.

The purpose of this policy is to produce a workplace and campus environment that discourages the unauthorized or illegal use of drugs and/or alcohol by employees and to support the requirements of the Drug-Free Schools and Communities Act Amendments of 1989 and the Drug-Free Workplace Act of 1988.

**Emergency Closing Policy**

The university will make every effort to provide essential services to residential students and campers, even in cases of extreme adverse weather or other emergencies. Therefore, the university will almost always remain open. Under extraordinary conditions, however, the university may: (1) close entirely and cease operations prior to normal operating hours, (2) close while asking essential personnel to report prior to normal operating hours (3) close during operating hours while asking essential personnel to remain and/or report or (4) delay opening while asking essential personnel to report or (5) early release due to extreme adverse weather.

**University Status**

**Closed.** This status may apply under unusual, extreme conditions. If the university is closed, employees are not to report. However, certain employees necessary to protect the university and maintain life safety systems may be asked to report by the appropriate Vice President/Dean (or his/her designee) on a case-by-case basis. These employees will be notified in response to each specific emergency. An official closing announcement will be communicated via the university communications channels described in this policy.

**Closed with Essential Personnel Reporting.** This status may apply where severe weather conditions or other emergencies interfere with normal operations. Classes will normally be cancelled. Essential personnel identified at the end of this policy will be expected to report, unless told not to do so by a supervisor. Under certain circumstances, a limited number of non-essential personnel may also be asked to report based on the type of emergency and the specific needs of the campus. A supervisor must have the approval of the appropriate Vice
President or Dean before asking non-essential personnel to report. An official closing announcement will be communicated via the university communications channels described in this policy.

Closing during Normal Operating Hours. This status may apply where severe weather conditions or other emergencies interfere with normal operations after the workday has begun. An official closing announcement and time will be communicated to all employees via the university communications channels described in this policy. Classes will not be held after the closing time. All but essential personnel may leave the campus. Essential personnel will be expected to remain until relieved or notified by their supervisors to leave.

Delayed Opening. This status may apply when severe weather conditions interfere with employee travel but conditions are expected to improve. Classes will normally be cancelled during the time of the delayed opening with essential personnel expected to report. If conditions do not improve, a decision may be made later to close the university (essential personnel reporting). An official delayed opening announcement will be communicated via the university communications channels described in this policy.

Early Release due to Extreme Adverse Weather. This status may apply when severe weather conditions interfere with employee travel. Generally classes will not be cancelled, and some offices may need to continue to operate. As a result, some staff may be asked to remain or, in the case of second or third shift employees, to report to work by the supervisor. Second and third shift employees should check with their supervisor to determine whether or not to report. An official early release announcement and time will be communicated to all employees via the university communications channels described in this policy. Essential personnel will be expected to remain until relieved or notified by their supervisors to leave. As indicated elsewhere in this policy, employees must make individual decisions about whether to travel between the university and home based on local conditions. Every effort will be made to accommodate essential personnel who feel that it is unsafe to travel.

Localized and Temporary Closing. Extreme conditions occasionally may make working conditions in a particular building or location intolerable. Supervisors or employees in the affected unit(s) should discuss the problem with the Human Resources Department. If the problem cannot be resolved, the supervisor may request permission of the Division Head to temporarily close the area or location. Building closures must be authorized by the Vice President for Finance and Administration, the Provost and Dean of Faculty, the Director of Campus Safety, or the Director of Environmental Health and Safety.

Decisions to Close the University

Decisions to close the university will be made by the Vice President for Finance and Administration and the Provost and Dean of Faculty in consultation with other university executives as needed, including, but not limited to, the Director of Campus Safety and the Director of Environmental Health and Safety Office.

Communication and Information Sources Concerning University Status

Reliable university status information is available only through the following sources:

1. Colgate’s home web page (www.colgate.edu)
2. Colgate’s Campus Alerts email system
3. Colgate’s Rave Alert System (for closings and delays)

Although closing information is provided to the following regional news outlets, experience suggests that the information broadcast may not be reliable. However, these may be the only operational information sources in the event of some power failures.
Safety

Irrespective of University status, employees – even essential personnel – must make individual decisions about whether to travel between home and the university or between the university and home based on local conditions. Employees who cannot travel should notify their supervisors as soon as possible, if communication is practical.

Compensation during an Emergency Closing

Hourly employees will be paid for the time they normally would work while the university is officially closed and during a delayed opening. Hourly employees designated as essential personnel who report and those asked to report by their supervisors will be paid for the number of hours worked during the emergency closing and, in addition, will have the option of either: 1) receiving additional pay for the actual hours worked, or 2) receiving time off equivalent to the number of hours worked. Any time off taken by an employee should be used as soon as practical after an emergency closing. Supervisors are responsible for tracking this time.

Employees who are not asked to report will not receive additional compensation if they choose to work when the University has been closed.

When there is a localized or temporary closing, hourly employees will be paid for the time they normally would work while an area, location, or building is closed.

Employees who do not report to work or who leave work early without an official closing or early release should charge the time missed to accrued vacation. Alternatively, an employee may be permitted to make up a limited amount of time missed with the supervisor’s approval.

States of Emergency

States of emergency may be declared by head officials of the Village of Hamilton, the Town of Hamilton, Madison County, and the State of New York. A state of emergency is operationalized by accompanying executive orders that declare a curfew, prohibit travel, control traffic, designate areas as emergency shelters, and close public places of assembly. States of emergency do not mean that roads are closed, unless so stated. Even if roads are closed, essential personnel and employees asked to report by their supervisors should report, but only if they are able to travel safely between home and the university.

Essential Personnel

Essential personnel are identified by job title and department below. These employees should keep a copy of this policy in their vehicles to identify themselves to authorities during emergencies. Colgate and Sodexo ID cards also will specify essential personnel status.

Non-essential employees asked to report by their supervisors should receive email or other hardcopy notification to identify themselves to authorities during emergencies whenever practical.
Departmental Plans

Departments are responsible for creating their own call lists and plans for communicating the needs for their departments with their employees.

The following employees have been identified as essential personnel:

Administration - President
Administration - Vice President for Finance and Administration
Administration – Vice President and Dean of Admission
Administration - Associate Vice President for Facilities
Administration - Director of Environmental Health and Safety
Administration – Associate Vice President for Human Resources
Administration – Director, Human Resources
Campus Safety - Director of Campus Safety
Campus Safety – Assistant Director of Campus Safety
Campus Safety – Fire Safety and Emergency Preparedness Manager
Campus Safety - Officers
Campus Safety - Dispatchers
Communications – Director of Web Content
Facilities - Grounds Staff
Facilities - Heating Plant Staff
Facilities – Shift Millwrights
Facilities - Forepersons (Carpentry Shop, Electrical Shop, Millwright Shop, Plumbing Shop and Grounds)
Facilities - Grounds Supervisors
Facilities - Environmental Services Supervisor/Forepersons
Facilities – Custodians – Frank Dining Hall
Facilities – Custodians – Case-Geyer Library
Facilities – Associate Director of Facilities and Manager of Engineering Services
Facilities - Associate Director of Facilities and Manager of Lands and Grounds
Facilities - Associate Director of Facilities and Manager of Environmental Services
Facilities - Associate Director of Facilities and Manager of Capital Projects
Facilities – Trade Supervisor
Information Technology - On-Call Network Administrator
Sodexo - Director of Dining
Sodexo - Management and Supervisors
Sodexo - Frank Dining Hall and Coop Production Staff
Dean of the College - On-Call Dean
Dean of the College - Vice President and Dean of the College
Dean of the College - Associate Vice President and Dean of Students
Dean of the College - Associate Dean of the College
Dean of the College - Director of Residential Life/Asst. Dean of the College for Residential Education
Dean of the College - Director of Health Services
Dean of the College - Director of Counseling and Psychological Services
Provost /Dean of the Faculty
Provost/Dean of the Faculty – Laboratory Animal Technician
Emergency Procedures
For all life-threatening emergencies on campus, employees should immediately call 911. For a non-life-threatening emergency, employees should call Campus Safety at extension 7333. Colgate University has an Emergency Response Plan which is available from the Office of the Vice President for Administrative Services.

Employment of Relatives
It is the policy of Colgate University not to discriminate on the basis of marital status or family relationship. Applications for employment from spouses or other relatives of employees will be considered on the basis of professional criteria and qualifications for specific positions. Normally, a supervisor, department head, or administrative officer cannot exercise responsibility for decisions that directly affect the relative's initial appointment, promotion, reappointment, rate of pay, leave of absence or other actions related to the employee's status. In any area where a conflict of interest may develop, the responsibility for the decision will pass to the next higher administrative level. For this policy, persons related by family or marriage include a spouse, parent, child, sibling, uncle, aunt, niece, nephew, grandparent, and in-laws in these categories.

It is not appropriate for departments to hire children or other relatives of their employees. Employees' relatives should apply for employment through the Human Resources Department. Relatives of employees will not normally be placed in the same department in which the employee works.

Mail Services [http://www.colgate.edu/offices/support/mailservices](http://www.colgate.edu/offices/support/mailservices)
Postage for professional correspondence is usually paid by the University or charged to a department. Official University mail entering the U.S. Postal system must be marked to identify the appropriate department or account to be charged for the postage costs. Personal correspondence to be sent through the U.S. Postal system must be stamped before placing in outgoing mail.

In addition to the U.S. Mail, the Mail Service Department distributes official University mail and notices to departments, employees and students. Outgoing mail and inter-office communications are picked up and delivered to University offices twice a day. This service is designed to provide an efficient internal distribution system for University business correspondence. This system is not intended to serve as a means of distributing personal correspondence. Other campus sources are available for personal communications. For example, employees may use the Personnel Advisory Council forum, or submit letters for publication in *The Open Gate* or student newspapers to express personal opinions. Questions or concerns regarding whether or not campus mail meets the criteria as official University business may be directed to the office of the Dean of Faculty/Provost.

In addition, the following materials will not be delivered via campus mail:

- advertising, solicitations, or promotional material for commercial or private activities or for personal gain;
- bulk mailings of materials that do not identify the originator and are not addressed to the recipient by name and full address;
- any type of material, correspondence, or literature that would be illegal for distribution through the U.S. Postal Service (e.g. chain letters).
Mail items may be delayed or stopped if it is obvious that they are in violation of the policies listed above. However, sealed material will not be opened to review the contents, unless required by competent judicial or law enforcement authority. Complaints regarding receipt of personal or inappropriate mail delivered via the campus system should be directed to the office of the Dean of Faculty/Provost.

All campus mail pieces should either be in envelopes or be letter size. Pieces which are folded should be taped or stapled shut. Interoffice envelopes may not be used to send mail to student boxes and Colgate envelopes may not be used for personal correspondence. Reusable campus mail envelopes are available from departmental offices and from the mail room. The name of the person and the departmental address should be used when sending inter-office communications.

**General Mail Distributions**

For ecological and economical reasons, Colgate attempts to minimize the amount of paper that is generated and distributed on campus. People needing to communicate events or broadly disseminate information are encouraged to use *Colgate This Week*, *The Open 'Gate*, student newspapers, e-mail distributions and/or posters. When approved as necessary, the following are the types of mass mail distributions that can be used on campus:

**A - TO ALL EMPLOYEES OR TO THE COLGATE COMMUNITY.**
Requires approval by the Dean of Faculty/Provost's office. Copies are distributed to each member of the faculty, administration, support staff, technical staff and B&G even though no names or labels are required.

**B - TO FACULTY ONLY.**
Requires approval by the Dean of Faculty/Provost's office. Copies are distributed to all faculty members, including part-time, members of the Dean of Faculty's staff, and appropriate Deans.

**C - TO ALL FACULTY AND ADMINISTRATORS.**
Requires approval by the Dean of Faculty/Provost's office. Copies are distributed to all faculty and administrators.

**D - TO ALL DIVISIONS AND DEPARTMENTS.**
Requires approval by the Department or Division Head. One copy is distributed to departments for general information for all employees in the department and posting on a departmental bulletin board.

**E - TO ALL STUDENTS.**
Requires approval by the Dean of Faculty/Provost's office.

**F - TO ONE OF THE FOUR CLASSES OF STUDENTS (varies).**
Requires approval by the Dean of Faculty/Provost's office.

**G - SPÉCIAL DISTRIBUTIONS.**
Requires approval by the Department or Division Head and the use of specific labels.

**Mailings to Students**

Each registered Colgate student is assigned a mail box in the Colgate Station. Students' box numbers are given in the Student Directory, which is published in the fall term and distributed to faculty and departmental offices. Correspondence to a student may be sent without charge to his or her mail box.
in the Colgate Station by showing the student's name, box number and the words “campus mail” on the envelope. Colgate “campus mail” envelopes, which are used for inter-office communications, may not be used to send mail to Colgate Station mail boxes for students. All mail to Colgate Station boxes should be banded together and separated from other outgoing mail.

**Non-Discrimination/Affirmative Action Policy**

Colgate will not discriminate against any employee or applicant for employment because of race, color, sex, pregnancy, religion, creed, national origin (including ancestry), citizenship status, physical or mental disability, age, marital status, sexual orientation, veteran or military status (including special disabled veteran, Vietnam-era veteran, or recently separated veteran), predisposing genetic characteristics, domestic violence victim status, or any other protected category under applicable local, state, or federal law. Further, it is Colgate’s policy to recruit, hire, retain, terminate, transfer, promote, compensate and distribute all benefits without regard to any such considerations.

The College is also committed to policies of affirmative action designed to increase the employment of minorities in administrative, professional and staff positions. Colgate aspires to broaden the diversity of its educational community. Colgate also aims through affirmative action to help overcome the effects of both conscious and unconscious discrimination as well as any under-representation experienced by these groups.

**No Smoking**

It is a goal of the University to reduce the health risks of faculty, staff and students. A significant means of accomplishing this goal is to reduce the exposure to smoke and its adverse effects. Therefore, it is the policy and goal of the University to achieve a working and learning environment as close to smoke-free as possible and to comply with New York’s Clean Indoor Air Act.

To achieve this goal, all indoor areas of the University are designated as no-smoking areas, in accordance with New York State Law. Therefore, no person shall smoke or carry a lighted cigar, cigarette, pipe, or any other matter or substance which contains tobacco in any indoor area. Furthermore, no person shall smoke or carry cloves or any illegal substances including, but not limited to, marijuana in indoor areas. Indoor areas of the University include all Colgate-owned residential facilities. Smoking is also prohibited in Colgate-owned vehicles. Although all persons are strongly encouraged not to smoke at all on campus, smoking is permitted in areas outside of buildings. Individuals who choose to smoke outside should do so at a reasonable distance from any building entrances.

This policy seeks the mutual cooperation, consideration, and thoughtfulness of smokers and nonsmokers. All faculty, staff and students share in the responsibility for adhering to and enforcing this policy and have the responsibility for bringing it to the attention of visitors. *Supervisors are expected to implement this policy in their areas.* A complaint or concern regarding this Policy should be promptly referred to the immediate supervisor or appropriate Dean or Vice President for resolution. Colgate prohibits any retaliatory action to be taken against you for reporting a perceived violation of this policy.
Violations of this policy will be dealt with in a manner similar to violations of other University policies, with an attempt to resolve the problem as simply as possible, but allowing for the possibility of disciplinary action if necessary.

**Nursing Mothers Policy**
Colgate University understands that many women returning to work following the birth of a child may require breaks in a private area for the purpose of expressing breast milk. Colgate University will provide a location (other than a restroom) where an employee may express breast milk in privacy and will allow reasonable breaks for the purposes of expressing breast milk. Generally, these breaks shall be twenty to thirty minutes in duration, once every three hours. A particular employee may require a different break schedule and, if so, she should notify her supervisor or Human Resources, who will work with her to accommodate her needs.

Break periods for breast milk expression are unpaid. An employee may opt to take her breaks for breast milk expression concurrently with her lunch breaks. An employee may be required to postpone a scheduled breast milk expression break for up to thirty minutes if appropriate coverage is not available.

An employee is entitled to breast milk expression break time for up to three years following the birth of her child. Any employee interested in breast milk expression breaks should notify her supervisor or Human Resources, preferably prior to the employee’s return to work. An employee may not be retaliated or discriminated against if she chooses to express breast milk pursuant to this policy. Any employee who believes she has experienced discrimination or retaliation should notify her supervisor or Human Resources.

**Outside Employment**

**Technical and Support Staff**
Colgate University does not prohibit an employee from seeking outside employment. If such employment interferes with the employee’s work performance, including the employee’s availability for overtime work, the supervisor will attempt to resolve the matter with the employee. If necessary, the supervisor may consult with the Associate Vice President for Human Resources for help in resolving the problem.

**Administrative Staff**
While members of the administrative staff are expected to devote their working time and efforts primarily to University activities, the University recognizes that a limited amount of outside work for private compensation may be advantageous to all concerned. Administrators may request approval to engage in outside consulting that will affirmatively contribute to their professional advancement or correlate usefully with their University work as long as that employment does not interfere in any substantial way with their duties or assignments.

If the staff member receives substantial remuneration for outside work performed during the University’s normal work week, vacation time should be charged. If the staff member is not
substantially remunerated and if the outside work will enhance Colgate’s reputation and/or help in the professional development of the employee, the employee will not be required to charge vacation time.

Requests to engage in outside employment should be submitted to the Human Resources Department with written approval from the department head and appropriate Vice President or Dean. The request should indicate the nature of the outside work to be performed, an estimate of the expected time commitment and, if available, a copy of the consulting contract.

(Please see Conflicts of Interest Policy on page 9).

**Personnel Records**

The University maintains individually identifiable personnel files for persons who have been or who are employed. With the exception of faculty and students, all official employee personnel files are maintained in the Department of Human Resources. Personnel files contain but are not limited to, the following types of information:

- employment letters or contracts
- change in employment status forms
- payroll information
- employee benefit information
- application or resume
- recommendations
- discipline letters and evaluations
- other personnel actions

Each employee may review the contents of his or her personnel file in the Human Resources Department by appointment during normal office hours except for confidential information. Confidential information includes, but is not limited to internal references; information relating to civil, criminal or grievance procedures; and materials used by the University to plan future operations.

Information regarding an employee’s benefits or other information may be discussed with the employee’s spouse/domestic partner with the employee’s written consent.

Supervisors and administrators may have access to the personnel files of persons employed or being considered for employment in their areas of responsibility on a need-to-know basis. A record of access will be maintained.

Written or verbal requests for information about a current, retired or terminated non-student employee of Colgate University are to be referred to the Associate Vice President for Human Resources. Written consent of the individual must be received before releasing any information contained in a current or former employee's personnel file to an external source, except for the following cases:

1. Disclosure of dates of employment, title of position, and verification of a stated salary; or,
2. Duly authorized and served requests from law enforcement agencies, including investigations, summonses, subpoenas and judicial orders.
Salary information is not releasable unless the employee has given written permission or the request is for verification of a salary already provided. Normally, information about the quality of work or reason for separation will not be released without the employee's written consent.

An employee should report any changes of address, name, telephone number or educational status to the Human Resources Department.

**Pets on Campus**
With the exception of seeing eye and hearing dogs and animals specifically approved for the educational purposes of the University, pets are not allowed in campus buildings.

**Recruitment and Selection**
The Human Resources Department is responsible for publishing a Notice of Vacancy for all non-faculty regular positions to be filled through a competitive process involving internal and/or external candidates. Internal promotions of highly qualified individuals whose careers at Colgate have prepared them for specific vacancies will be permitted without a search when the head of the administrative department or division identifies a current employee whose specific skills qualify him or her for the promotion. Such promotions will require the review of the Associate Vice President for Human Resources, the Staff Affirmative Action Coordinator, and the Divisional Vice President or Dean. In the case of an administrative promotion, the Personnel Review Committee shall also be consulted.

The Notice of Vacancy is distributed to all departments and is posted on the bulletin board in the Human Resources Department and on the Human Resources web page. The notice contains information on the job responsibilities, qualifications, skill band and method of application. Employees who have successfully completed the Introductory Period may apply for a transfer to a new position. Whenever possible, employees will be given first consideration for a position and supervisors are normally encouraged to interview employees who apply and meet the minimum qualifications and possess the necessary skills to perform the job.

When accepted for a position in another department, the employee must give the current home department a minimum of two weeks’ notice of departure unless a notice other than two weeks is agreed to by the employee, the hiring department and the transferring department. The hiring department assumes responsibility for the employee’s accrued vacation and sick time.

The specific procedures for recruiting Administrative, Support Staff and Technical employees are available from the Human Resources Department. Supervisors are responsible for complying with these procedures and Colgate's Affirmative Action Plan.

All regular positions and temporary appointments of more than six months' duration, will be advertised after approval by the Personnel Review Committee, except when an existing employee's position has been eliminated due to position reductions, reorganization or other extenuating circumstances.
The University will then make every effort to transfer the employee to a vacant position, if one exists at the time of reduction, providing that:

1. the employee qualifies for the position;
2. the position is not in a higher skill band and therefore would result in a promotion; and
3. the Dean or Vice President responsible for the administrative division with the vacancy approves of the transfer.

This exception does not apply when employment is terminated due to performance criteria.

The Human Resources Department must be consulted before recruiting temporary employees and supervisors must consult with the Human Resources Department prior to extending an offer of employment for temporary or continuing positions.

All employees, including temporary, casual, or regular employees, must complete required payroll forms that establish the employee’s identity and ability to work in this country on or before the first day of work. In addition, an Employee Change of Status form must be completed for each hire. These forms are available from the Human Resources Department.

**Safety on the Job**
Colgate University is committed to reducing the risks to the health and safety of its students, employees and visitors. It is essential that the entire campus community accept responsibility for developing and practicing safety awareness. Every employee is responsible for complying with Colgate and governmental safety and health standards in the work area, using protective equipment and promptly reporting hazardous conditions and job-related injuries.

To meet the health and safety standards, Colgate has a Safety Advisory Committee (see Safety Advisory Committee on page 28) to assist in the review of University policies, procedures and physical plant issues related to the safety of University employees, students and the public. The Committee attempts to reduce the potential for accidents or injuries. The committee is principally charged with promoting safety on the campus and fostering an environment in which the risk of accidental injury to individuals is minimal.

Employees should immediately report any concerns about unsafe health, safety or environmental conditions to their supervisor, a member of the Safety Advisory Committee or to Colgate’s Environmental Health and Safety Officer in SB-4 McGregory Hall at extension 7994.

**Bloodborne Pathogens**
The Occupational Safety and Health Administration (OSHA) has issued standards governing occupational exposure to bloodborne pathogens. Staff members who could reasonably be expected to come into contact with potentially infectious materials during the performance of their duties are included in the University’s exposure control program. Regular training about bloodbourne pathogens is conducted by the Director of the Student Health Center.
**Communicable Diseases**

Colgate has developed systematic approaches for controlling contamination risks associated with the serious strains of communicable diseases, including but not limited to Acquired Immune Deficiency Syndrome (AIDS). As an institution, we are concerned with both the health and safety of the individual and the group, with balancing those interests, and with developing University-wide educational programs.

Colgate University is committed to providing fair and nondiscriminatory treatment of all employees and is responsible for protecting employees' rights while ensuring a safe working environment. Any faculty or staff member identified as having AIDS or being HIV positive, or any other communicable disease, will not be barred from working, teaching, attending classes or participating in activities unless appropriate administrative officers, in consultation with the individual's personal physician or state health officials, determine that the person is unable to perform the essential functions of the position, with or without reasonable accommodation or presents a clear and present danger to the public health. All such decisions will be made on a case-by-case basis and will remain open to re-examination in light of new information as it becomes available. Confidentiality will be maintained with each case; no information about individuals will be released to the community. If an employee's ability to perform assigned duties is restricted or diminished to a point where disability benefits are applicable, his or her physician should inform the supervisor and Associate Vice President for Human Resources.

It is the responsibility of an infected individual to avoid contact or activity which will facilitate communication of the disease to other members of the community. Failure to act responsibly may result in disciplinary action or removal from the college community.

Federal and New York State laws prohibit an employer from discharging, refusing to hire or otherwise discriminating against an individual because of a disability, including AIDS. Employees who become aware that a co-worker has AIDS or is HIV positive cannot refuse to work with that individual. Counseling will be made available to employees as appropriate, and educational and informational programs will be provided as well.

**Right to Know/Hazard Communication**

It is Colgate policy that every employee is entitled to a safe and healthy place to work. Employees have a right to know what hazardous chemicals they work with or could be exposed to, and what they can do to avoid injury or illness when working with these chemicals. Information and training is provided in order to reduce the possibility of accidental exposure and to comply with the Occupational Safety and Health Administration (OSHA) Hazard Communication Standard.

The Hazard Communication Compliance Plan for Colgate University is in written form and is kept at the locations noted below:

1. 105 McGregory Hall, office of Associate Provost
2. SB-4 McGregory Hall, office of the Environmental Health and Safety Officer, Hazard Communication Coordinator (HCC)
3. Maintenance Building, office of Assistant Director of the Physical Plant.
Employees and OSHA officials can read the program at any time during working hours. A complete list of all hazardous chemicals used by Colgate University will be kept with the written Hazard Communication Program. For employee information, each department will maintain and post a list of chemicals it uses.

The Hazard Communication Coordinator is responsible for keeping the Hazardous Chemical List up to date. The Purchasing Department or anyone who orders chemicals shall notify the HCC that a new chemical has been purchased. All purchase orders shall include a requirement that a Material Safety Data Sheet (MSDS) be sent with the first delivery to the attention of the HCC on or before receipt of such material.

A complete set of Material Safety Data Sheets for the chemicals used by Colgate will be kept with the written Hazard Communication Program in SB-4 McGregory Hall.

A copy of a MSDS can be obtained by employees by submitting the MSDS Request Form. This form is completed by the employee, and returned to the department supervisor who will provide a copy of the MSDS and explain it to the employee if requested. The supervisor shall forward the completed form to the Hazard Communication Coordinator for filing.

Supervisors are responsible for making sure that employees are informed about the Hazard Communication Program, and that MSDS are available to any employee on any work shift, that protective equipment is available and used, and that engineering controls, such as ventilation, are in place and operating properly.

The determination of which employees will be selected to receive Hazard Communication training will be based upon their job description exposure. Those employees who have actual as well as potential exposure to hazardous chemicals will receive training.

The New York State Right-to-Know Act of 1980 grants to all employees in the state the legal right to information about toxic substances in their workplace. Informed employees can observe symptoms of toxicity in themselves and understand the relationship between the symptoms and exposure and can therefore evaluate the need for any corrective action. Employees throughout the state have several rights which they may exercise under the Right-to-Know law:

- Employees may request and must receive written information about toxic substances with which they work. The employer is required to provide data on generic and trade names of substances, levels at which the substance is hazardous, symptoms of acute and chronic exposure, reactivity and flammability potential, emergency treatment, conditions necessary for safe use, and procedures for cleanup of leaks and spills. The compiled information must be written in plain English and is due 72 hours (excluding weekends and public holidays) after the request is made.
- An employee may refuse to work with a toxic substance if he or she has requested information about it and has not received the written reply within 72 hours of its receipt by the employer.
• An employee may exercise any right pursuant to, or directly related to, the "Right-to-Know" Act without fear of any discrimination whatsoever.
• An employee must not be required to waive any rights under the “Right-to-Know” Act as a condition of employment.
• An employee may file a complaint with the Department of Labor if he or she has been discriminated against in violation of the “Right-to-Know” Act.

The New York State Department of Health has been given the responsibility for implementing and enforcing the law in cooperation with the Department of Labor. Official information packets on the “Right-to-Know” Act may be obtained upon request from the New York State Department of Health, Bureau of Toxic Substances Management, Empire State Plaza Tower Building, Room 372, Albany, New York 12237.

Solicitation on the Campus
The University prohibits solicitation or the distribution of literature for any purpose on University-owned property by non-employees of the University, without specific written permission from the Vice President for Administrative Services. The University also prohibits the solicitation of employees by fellow employees for any purpose during working time (when the employee being solicited and the employee doing the soliciting are both on working time). Further, the University prohibits the distribution of any literature by employees in work areas on University property. Self-employed Colgate students may obtain specific written permission from the Office of Student Activities to sell goods or services in order to pay for college expenses.

Temporary Help
The use of temporary “floaters” is generally only authorized under the following circumstances:
• to fill in for an employee who is on an approved leave of absence or is on an extended absence covered by disability or workers’ compensation.
• to fill in for an employee who is on an extended vacation of two weeks or more and there is no other help available.
• there is a vacant position in the department.
• there is a critical need that cannot be met in any other way and the appropriate Vice President or Dean has authorized the temporary hire.

Departments are encouraged to schedule time off for their staff in a way that reduces the need for temporary help. All requests for temporary help must be coordinated through the Human Resources Department.

Travel
Colgate University has designated **BTI Travel of Syracuse, NY** and **AAA of Utica, NY**, as its preferred travel agents. University travelers and guests, including candidates for vacant positions, are requested to use one of the above agencies.

Employees may also use the services offered through Internet sites. Charges must be billed to the University supplied Chase MasterCard travel card or personal credit cards and a comparable quote
from BTI or AAA should be obtained. Colgate will not be responsible for travel related problems, including monetary losses, that occur from the use of Internet ticketing.

The University will reimburse a member of the staff for all reasonable travel expenses incurred while on a trip for university business approved by the appropriate administrative official. The following provisions shall apply:

• Reimbursable expenses include transportation, meals, and lodging. Normally, the following expenses are not considered reimbursable: laundry, cleaning and pressing, personal telephone calls, personal entertainment. Specific questions should be directed to the Associate Vice President/Controller.
• Reimbursement for public transportation will be based on actual receipts.
• Hotel, travel, and other receipts must be attached to the Travel Expense Report to support reimbursable expenses and filed with the Office of Accounting and Control.
• Travel Advances: When necessary, an advance of funds may be obtained from the Office of Accounting and Control for authorized travel purposes. A Travel Expense Report must be properly completed, signed, and be submitted to the Office of Accounting and Control within 30 days of the conclusion of the trip. Settlement for additional funds due to, or from, the University, are to be made at this time. Only one advance may be outstanding at a time.

The use of your personal car for business travel will be reimbursed at the federally approved mileage rate as determined by the Accounting Office. Mileage reimbursement may never exceed the cost of alternative transportation. It is important for employees to be aware that the vehicle owner’s insurance policy will always provide the primary liability coverage. The University will not provide reimbursement for the deductibles associated with the primary insurance under these circumstances. All incidents should be reported to the Treasurer’s Office for review by the University’s insurance carrier to determine whether there is secondary liability coverage under the University’s automobile liability policy. The University’s commercial automobile policy cannot provide collision or comprehensive coverage when an employee’s vehicle is used for business travel. The vehicle owner’s policy will provide the only coverage for these types of claims.

For more information, please visit http://www.colgate.edu/offices/administrative/financeandadministration/purchasing/travelpolicyinfo/travelpolicy. Further information or clarification of the travel policy may be obtained directly from the Office of Accounting and Control.

Use of University Equipment and Property
Employees have a responsibility to use University equipment, assets and property in a careful, professional manner for work-related purposes. The University has the right of access to all of its assets, equipment, offices, buildings, machines, etc. Employees do not have a privacy interest in University material, equipment or assets.

Each employee is responsible for taking reasonable safety precautions in regard to University property. Employees will be held responsible for damage to such equipment arising out of negligence or intentional misconduct.
SECTION IV: EMPLOYEE RELATIONS AND COMMUNICATIONS

Communications
Maintaining effective communications with employees is a high priority of the University and the Human Resources Department. This handbook is one means of helping to inform employees of University policies and procedures. Department Heads are encouraged to conduct regular staff meetings to further facilitate communications. The Associate Vice President for Human Resources periodically meets with employee groups on a wide variety of subjects to keep employees informed of changes in policies and benefits.

The Human Resources Department also sponsors informational seminars for employees. The Human Resources Department publishes a monthly employee newsletter, the *Open 'Gate*, which contains information of interest to the campus community.

E-mail distribution lists for staff and faculty have been established so that information may be quickly disseminated. The Associate Vice President for Human Resources and the Associate Provost are authorized to send announcements to staff and faculty.

Committees

**Affirmative Action Oversight Committee (Staff)**
The Staff Affirmative Action Oversight Committee is appointed by the Provost, in consultation with the President, and consists of six administrators representing different segments of the University, including senior administrators and minorities. The Staff Affirmative Action Officer and a Human Resources representative are ex officio, non-voting members. The Human Resources representative also serves as secretary. Recommendations of the Committee are made to the Provost. At least one joint meeting with the Faculty Affirmative Action Oversight Committee should be scheduled annually.

The Staff Affirmative Action Oversight Committee is charged with supporting and updating the University’s Affirmative Action Plan in cooperation with the Faculty Affirmative Action Committee and monitoring progress towards Affirmative Action goals related to the hiring of non-academic administrators, professionals, and staff. Members of the committee serve as Affirmative Action advocates on search committees, promote diversity on campus by planning and assisting in divisional diversity training, and assist the Staff Affirmative Action Officer by compiling and analyzing recruiting data used in the Affirmative Action Annual Report.

**Personnel Advisory Council**
The Personnel Advisory Council (PAC) was established to promote more effective and direct communication between Support Staff members and the administration. Through Council meetings, the administrative staff who serve as members of the Council present information, changes in policies or procedures, and concerns. The employee representatives provide suggestions, comments, and concerns. The Council serves as a forum for discussion and may present recommendations to the President for consideration.

The Council is chaired by the Associate Vice President for Human Resources. There are nine employee representatives and nine alternates, each elected for two-year terms.
representatives are appointed by the President and include the Provost/Dean of Faculty, Associate Vice President for Human Resources, and one Faculty representative.

**Safety Advisory Committee**
The Safety Advisory Committee meets on a regular basis to discuss issues related to safety concerns on the campus. The committee serves in an advisory capacity and makes recommendations to appropriate department heads. The committee is principally charged with promoting safety on the Colgate campus and fostering an environment in which the risk of accidental injury to individuals is minimal. The committee is chaired by the Vice President for Administrative Services and has representatives from the student body, faculty, Residential Life, Campus Safety, Human Resources, Finance and Insurance, Personnel Advisory Committee, Environmental Health, and the Physical Plant.

**Employee Grievance Procedure**
The University wishes to provide individual employees with an avenue by which they can express their concern, dissatisfaction or disagreement with the actions of a fellow employee or supervisor which adversely affect working conditions and job satisfaction, including decisions which are contrary to University policies and/or practices regarding their work performance, assignments and dispensation of benefits. The procedure is applicable to all University administrative and support staff, exclusive of senior administrators, faculty and personnel covered by a collective bargaining agreement containing such a grievance procedure. It does not apply to complaints of discrimination and/or sexual harassment which are covered under separate procedures.

In all matters involving a disagreement or misunderstanding between employees and/or a supervisor, it is in the best interest of all concerned to resolve the problem as quickly and amicably as possible through private and frank discussion, in an effort to clarify and reconcile differences. Supervisors have a responsibility to resolve differences between their employees and to listen and respond in a positive manner to any grievance(s) employees may have with regard to working conditions and decisions over which the supervisor has control. Therefore, as a first step with any grievance, the employee should seek informal resolution of the problem through discussions with his or her immediate supervisor. If the employee is not satisfied with the results of the informal discussion, the grievance shall be documented and submitted to the immediate supervisor as a formal complaint, with a copy to the Associate Vice President for Human Resources. This should be done as quickly as possible, and not more than five working days subsequent to the occurrence of the event that generated the complaint. The supervisor shall have five working days in which to respond to the complaint in writing unless scheduling conflicts intervene.

If the employee is not satisfied with the answer received from the immediate supervisor, the grievance may be appealed to the senior administrator in charge of the area within five working days after receipt of the response. The appeal should set forth in detail all the facts in the case, including the efforts at informal resolution of the problem, the formal complaint, the supervisor's response and the objection to that response. Only matters contained in the original grievance may be appealed and no new complaints may be added or considered in subsequent appeals.

Copies of this appeal and support documentation should be provided to the immediate supervisor and Associate Vice President for Human Resources. At this stage, the senior administrator should confer
with the employee, the immediate supervisor and the Associate Vice President for Human Resources to determine all the facts in the case and applicable University policy or related decisions in similar cases, in an effort to resolve the grievance. Unless scheduling conflicts intervene, the decision should be made in writing within ten working days of receipt of the appeal.

If the employee is dissatisfied with the second-level decision, the formal grievance, with all the supporting documentation and a written statement of objections to the decision, may be submitted to the Assistant to the President within five working days, with a copy of all relevant documents sent to the Associate Vice President for Human Resources.

Depending on the nature of the complaint, the Assistant to the President may review the case and issue a decision or refer it to a Grievance Advisory Committee for such review as he/she deems appropriate. This may include the calling of witnesses, in addition to reviewing the documentation in the case. Unless scheduling conflicts intervene, the committee will have ten working days in which to review the case and submit its recommendations to the Assistant to the President. The Grievance Advisory Committee shall establish its own procedures and rules of conduct.

The Grievance Advisory Committee shall have three members and three alternates appointed by the President for two-year terms. A member and an alternate will be appointed from each of the following groups: faculty; administrative staff; and technical and support staff.

Faculty members will be appointed from a list recommended by the Dean of the Faculty. Appointments from the administrative staff and the technical and support staff will be made from lists of employees in each group who have indicated a desire to serve on the committee. The Associate Vice President for Human Resources shall be an advisor to the committee and will record its deliberations. All members will sign the committee recommendations or attach a signed minority report.

The purpose of the Grievance Advisory Committee is to review the facts in the case and to recommend appropriate corrective action. In cases where an employee is appealing the actions of a supervisor, the purpose of the review is to determine whether the supervisor acted properly in making the decision that generated the complaint; or, if errors of fact, gross prejudice, capricious behavior or factors contrary to good personnel management practices and University policy, influenced the decision. It is not intended that the committee shall substitute its judgment for the decisions of supervisors in its recommendations.

Unless scheduling conflicts intervene, the Assistant to the President shall have ten working days in which to act on the recommendations of the Grievance Advisory Committee and render a decision which is final and binding and shall not be subject to further review.

Equal Opportunity, Nondiscrimination, Sexual Harassment, and Other Forms of Harassment

University Policy on Nondiscrimination

Colgate University fully subscribes to all federal and state civil rights laws banning discrimination in private institutions of higher education. Colgate will not discriminate against any employee or
applicant for employment because of race, color, sex, pregnancy, religion, creed, national origin (including ancestry), citizenship status, physical or mental disability (including AIDS), age, marital status, sexual orientation, status as disabled veteran or veteran of the Vietnam era, predisposing genetic characteristics, domestic violence victim status or any other protected category under applicable local, state or federal law, such as opposing discrimination or participating in any complaint process at the Equal Employment Opportunity Commission or other human rights agencies.

The Board of Trustees has also approved the following policy statement:

All procedures and mechanisms to admit applicants to the student body of the College and to deal with them as students of the College shall be conducted and operated fairly and impartially without discrimination based upon race, color, national or ethnic origin, or handicap.

When the final implementing Regulation of Title IX of the Education Amendments of 1972 became effective in 1975, the President issued the following statement regarding Colgate’s policy with respect to prohibiting sex discrimination in its educational programs:

It is the policy of Colgate University not to discriminate on the basis of sex in the educational programs and activities which it operates. Colgate University will comply with all applicable provisions of Title IX of the Educational Amendments of 1972 and its implementing Regulation.

Inquiries concerning this policy may be directed to the Associate Dean for Affirmative Action and Employment Initiatives, who oversees implementation of Colgate’s Affirmative Action and Equal Opportunity plan and the University’s policy on discrimination and harassment, or to the Director, Office for Civil Rights, U.S. Department of Health and Human Services, Cohen Building, 330 Independence Avenue, SW, Washington, D.C. 20201. The Associate Provost coordinates the University’s efforts to comply with and carry out its responsibilities under Title IX of the Educational Amendments of 1972 as amended.

Colgate University is committed to full compliance with the Americans With Disabilities Act of 1990 (ADA), which prohibits discrimination against qualified persons with disabilities, as well as other federal and state laws pertaining to individuals with disabilities. Under the ADA, a person has a disability if he or she has a physical or mental impairment that substantially limits a major life activity. The ADA also protects individuals who have a record of a substantially limiting impairment. A substantial impairment is one that significantly limits or restricts a major life activity such as hearing, seeing, speaking, breathing, performing manual tasks, walking or caring for oneself. The Director of Academic Program Support and Disability Services has been designated as the officer responsible for coordinating efforts to comply with this Act, including investigation of any complaint alleging noncompliance.

Pursuant to the ADA, Colgate will provide reasonable accommodation(s) to all qualified employees with known disabilities, where their disability affects the performance of their essential job functions, except where doing so would be unduly disruptive or would result in undue hardship. An employee with a disability is responsible for requesting an accommodation in writing from his or her supervisor, who will consult with the individual and the Associate Provost to identify which essential functions are affected by the employee’s disability and what reasonable accommodation could enable the employee to perform those duties.
Employees requesting an accommodation may be required to provide medical certification from the employee’s health care provider that includes: (1) identification of the health care provider; (2) the health care provider’s diagnosis of the disabling condition; (3) specific limitations and/or suggested restrictions and their relation to the disability; and (4) suggested accommodations.

Colgate University reaffirms its commitment to promote the goals of fairness and equality in all aspects of the educational enterprise.

**University Policy on Harassment**

**a. Sexual Harassment**

At its faculty meeting held on December 1, 1986, the faculty passed a resolution supporting the *Final Report of the Committee on Sexual Harassment*. The complete report may be obtained upon request through any of the following offices: the Dean of the Faculty, the Dean of the College, or the Human Resources Department. The final report states, in part:

Colgate University explicitly prohibits harassment of one member or group of the community by another member or group. Students, staff, administrators, and faculty are entitled to a professional working environment. Those in positions of responsibility must exercise a sensitivity that precludes abusive or unprofessional actions. In particular, faculty and supervisors must avoid relationships that can compromise their evaluations of students and supervisees. Discrimination, coercion, and harassment, especially sexual harassment, have no place in the University.

Both the Equal Employment Opportunity Commission and the New York State Division of Human Rights regard sexual harassment as a form of sex discrimination and, therefore, as an unlawful discriminatory practice. The EEOC offers the following guideline for defining “sexual harassment”:

“Harassment on the basis of sex is a violation of Section 703 of Title VII. Unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature constitute sexual harassment when (a) submission to such conduct is made either explicitly or implicitly a term or condition of an individual’s employment, (b) submission to or rejection of such conduct by an individual is used as the basis of employment decisions affecting such individual, or (c) such conduct has the purpose or effect of substantially interfering with an individual’s work performance or creating an intimidating, hostile, or offensive working environment.”

Colgate accepts the EEOC definition of sexual harassment, amended to address the special needs of an academic community, which consists not only of employer and employees but of students as well. The amended definition is as follows:

Unwelcome sexual advances, requests for sexual favors, and other verbal, visual or physical conduct of a sexual nature constitutes sexual harassment when (1) submission to such conduct is made either explicitly or implicitly a term or condition of an individual’s employment or academic status, (2) submission to or rejection of such conduct by an individual is used as the basis of employment or academic decisions affecting such individual, or (3) such conduct has the purpose or effect of unreasonably interfering with an individual’s work or academic performance or creating an intimidating, hostile or offensive working environment.
Faculty and administrators need to be especially sensitive to the power/authority relation in their interactions with students. Actions or remarks which emphasize the sexuality or sexual identity of a student can take on a proportion that they would not have in other contexts, one that could ultimately impair the student’s access to the educational opportunities available at Colgate. Furthermore, amorous relations between teacher and student or between administrator and student are fundamentally asymmetrical and contradict both professional ethics and Colgate policy.

b. Other Forms of Harassment
Colgate University is committed to treating all members of the University community in an equitable manner. Students, staff, administrators, and faculty are entitled to a professional working and educational environment. Colgate is committed to providing a work and educational environment free of harassment. Consistent with the university’s policy on academic freedom (Section III.B) however, Colgate’s harassment policy is not meant to inhibit or prohibit discussions inside or outside of the classroom that include controversial or sensitive matters.

Colgate’s harassment policy explicitly prohibits any form of illegal harassment, by any member or group of the community, that creates a hostile environment. A hostile environment may be created by oral, written, graphic, or physical conduct that is sufficiently severe, persistent or pervasive so as to interfere with or limit the ability of an individual to participate in or benefit from programs or activities. Colgate condemns and will not tolerate harassment against any employee or student because of race, color, sex, pregnancy, religion, creed, national origin (including ancestry), citizenship status, physical or mental disability (including AIDS), age, marital status, sexual orientation, status as disabled veteran or veteran of the Vietnam era, predisposing genetic characteristics, domestic violence victim status or any other protected category under applicable local, state or federal law, such as opposing discrimination or participating in any complaint process at the Equal Employment Opportunity Commission or other human rights agencies.

c. Confidentiality
Colgate will make every effort to handle complaints and investigations with sensitivity to both the rights of the person who complains and the rights of the accused, and will endeavor to maintain confidentiality throughout the investigatory process, to the extent practicable and appropriate under the circumstances. However, in order to conduct an effective investigation, Colgate may need to discuss the allegations with the alleged harasser or other potential witnesses. Records relating to harassment and discrimination complaints and investigations will be maintained only in confidential files, and all individuals receiving information about the allegations will be warned of the consequences of retaliation.

d. Retaliation and Disciplinary Action

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1 This definition of hostile environment is based on Federal Register / Vol. 59, No. 47 / Thursday, March 10, 1994: Department Of Education Office For Civil Rights, Racial Incidents And Harassment Against Students At Educational Institutions Investigative Guidance. The document is available at [http://www.ed.gov/offices/OCR/docs/race394.html](http://www.ed.gov/offices/OCR/docs/race394.html).
Retaliation against an individual for alleging harassment or for assisting in providing information relevant to a claim of harassment is a serious violation of Colgate’s policy and will be treated as another possible instance of harassment. Acts of alleged retaliation should be reported immediately and will be promptly investigated. Colgate is prepared to take appropriate steps to protect individuals who fear that they may be subjected to retaliation.

Colgate will take prompt remedial or disciplinary action against any member of the community who has been found to engage in harassing or discriminatory behavior or retaliation. For employees, remedial action may include any measures that Colgate believes will be effective in ending the misconduct and correcting the effects of the harassment. Responsive action may include, for example, mandatory training or referral to counseling, and disciplinary action such as warnings, reprimands, withholding of a promotion or pay increase, reassignment of the offender, temporary suspension without pay, or termination of employment. The Student Handbook describes disciplinary action against students. Deliberately false and malicious accusations of harassment, as opposed to complaints which, even if erroneous, are made in good faith, are just as serious an offense as harassment and will be subject to appropriate disciplinary action, up to and including termination.

Procedure for Dealing Informally with Complaints of Discrimination or Harassment

Colgate encourages, but does not require, individuals who believe they are being harassed by a member of the community to promptly notify the person that his or her behavior is unwelcome. If for any reason an individual does not wish to confront that person directly, or if such a confrontation does not successfully end the harassment, the individual should notify the Associate Dean for Affirmative Action and Employment Initiatives, a Harassment Advisor, a supervisor, or a dean, who may, if the individual so requests, speak to the alleged harasser on the individual’s behalf. An individual alleging harassment should be aware, however, that Colgate may decide it is necessary to take action to address the harassment beyond an informal discussion. This decision will be discussed with the complainant. The best course of action in any case will depend on many factors and, therefore, the informal procedure will remain flexible. However, attempting to deal with a complaint informally is not required before filing a formal complaint (see section 4, below) nor does it preclude filing such a complaint.

Harassment Advisors

In addition to existing supervisors and deans, a group of Harassment Advisors has been designated to provide advice and guidance to individuals who believe that they have been the targets of harassment. These advisors have been specially trained so that they are familiar with procedures and can be particularly helpful in explaining the definitions of harassment, identifying the various procedures available (including direct action, mediation, and/or complaint investigation), and providing information about psychological counseling and support services that exist for students, faculty and staff.

There will be nine Harassment Advisors appointed by the President to staggered two-year terms. The President shall select the Advisors for their integrity, their ability to serve as honest brokers, and their approachability by various campus populations.
Each spring in preparation for the following Fall term, the President will confirm and appoint members as necessary so that there are two principal facilitators and seven other advisors, including at least two advisors from each of the following groups: students, administrators, faculty, and support staff. The two facilitators will be expected to marshal information about sexual harassment and discrimination harassment respectively. The pool of Harassment Advisors will include at least one tenured faculty member. Since the majority of sexual harassment incidents are directed toward women, it is recommended that at least half of the members of the pool be women. There will also be at least one Harassment Advisor from the ALANA community at Colgate. Harassment Advisors will undergo annual training conducted by the Associate Dean for Affirmative Action and Employment Initiatives, including a review of Colgate policies and procedures so that they are able to provide accurate information to members of the community. All Harassment Advisors are required to attend this annual training.

Functions of the Harassment Advisors

a. Listening and Providing Information. Any member of the Colgate community may talk with any Harassment Advisor about harassment or discrimination. The purpose of these meetings is to provide an objective, non-threatening environment in which the individual can voice the complaint and articulate the effects of the offensive behavior. Complainants may, if they wish, have a friend or advisor accompany them when they discuss a problem with a Harassment Advisor. As stated above, Harassment Advisors will provide the complainant with information about University policies and about available procedures and their possible outcomes.

b. Informal Mediation. Persons considering proceeding to mediation should ask a Harassment Advisor to suggest a mediator. Appropriate mediators depend on circumstances, but may include the Associate Dean for Affirmative Action and Employment Initiatives, one of the two Harassment Advisors who also serve as facilitators, the Associate Vice President for Human Resources, or other appropriate University Official. If the complainant so desires, the Harassment Advisor will accompany the person seeking advice to the meeting with a possible mediator and at other steps in the mediation process. In mediation, the mediator will describe the complaint to the person against whom it is lodged and attempt to resolve the complaint informally.

A person seeking mediation will usually need to agree to be identified to the person against whom the complaint is lodged. The mediator should begin mediation efforts promptly and shall report the results of mediation promptly to the complainant. The mediation process will normally be completed within 10 working days of the request for mediation to occur. If the mediator needs to consult third parties, the complainant should be notified.

c. Education of the Community. Harassment Advisors will try to be educative in response to all of their contacts. In addition, they will advise on and participate in the education of the community as a whole in matters of harassment and discrimination.

d. Record Keeping and Annual Report. It shall be the duty of the two facilitators to the Harassment Advisors group to prepare an annual report and submit it to the President no later than the middle of September. This report shall have two parts: (1) an outline of the number and nature of contacts, i.e. requests for information, initiations of informal mediation, complaints which have been pursued
through a formal grievance procedure; (2) recommendations developed by the Harassment Advisors pertaining to Harassment and Nondiscrimination Policies or any other relevant university policy.

Harassment Advisors will forward to the facilitators a brief log of contacts made during the year. Records kept for this purpose will be kept in a confidential file in the office of the Associate Dean for Affirmative Action and Employment Initiatives.

e. Meetings of the Harassment Advisors. The Harassment Advisors shall meet as a group at least once a semester to review Nondiscrimination and Harassment Policies, to discuss the annual report and make recommendations to be included in that report, and to review the educational initiatives of the group. Individual cases will not be discussed at these meetings, and every effort will be made to respect privacy and confidentiality.

**Procedure for Filing Formal Complaints of Discrimination or Harassment**
At any time, for any level of complaint, a complainant may lodge a formal complaint through the appropriate channels whether or not a Harassment Advisor has first been approached and whether or not mediation has been tried. Harassment Advisors do not handle formal complaints.

Colgate encourages the prompt reporting of any potential violations of its harassment policy, so that it can take appropriate steps to maintain an educational and workplace environment free of harassment, and to ensure that its procedures are effective in promoting this goal. While no fixed reporting period has been established, early reporting and intervention has proven to be the most effective method of resolving actual or perceived incidents of harassment.

The procedure described below is used to resolve all formal complaints of discrimination or harassment involving university employees or students, with the following exceptions: (1) those involving persons employed under a union contract that covers these areas; (2) complaints by students against other students, procedures for which are described in the Student Handbook. This procedure is not a substitute for the appeals procedure concerning decisions in faculty promotion, tenure, or third-year or comprehensive reviews (described in Chapter III, Section C.17); however, filing an appeal under that process does not preclude access to the procedure for formal claims of discrimination and harassment. Similarly, the procedure described below is not a substitute for the review of grade procedure (described in Chapter IV, Section E.2) but going through the grade review process does not preclude access to the procedure for formal claims of discrimination and harassment.

**Associate Dean for Affirmative Action and Employment Initiatives**
Formal complaints of discrimination or harassment should be made to the Associate Dean for Affirmative Action and Employment Initiatives. Upon receiving a complaint, the Associate Dean will promptly investigate the complaint and make a preliminary determination as to whether or not the available evidence appears to support the complainant’s charge; during the academic term, this will normally take place within 20 working days. If the complaint appears to have merit, and resolution attempts are unsuccessful, the Associate Dean will refer the case to the Discrimination and Harassment Hearing Committee, defined below. Where, in the opinion of the Associate Dean, the case lacks merit, the complainant will be so advised, but the complainant may nonetheless request a formal review by the Hearing Committee.
Discrimination and Harassment Hearing Committee

The Discrimination and Harassment Hearing Committee will consist of six members: three elected members of the Committee on Faculty Affairs, appointed annually; and three members of the clerical technical, and administrative staff, appointed to three-year terms by the Provost of the University with the advice of the Associate Dean for Affirmative Action and Employment Initiatives. The Hearing Committee will elect its own Chair.

Hearings will be convened as soon as is practicable and will be conducted in private. Participants will include members of the Committee, the Associate Dean for Affirmative Action and Employment Initiatives, the complainant and any respondents (or their representatives), as well as called witnesses. The complainant and the respondents shall exchange names of called witnesses two days prior to the hearing. All parties will have ample opportunity to present facts and arguments in full, and may invite other persons to testify, including the Associate Dean for Affirmative Action and Employment Initiatives. Formal rules of evidence will not apply; any evidence which the Committee believes is relevant may be admitted. The Committee may also exclude irrelevant or immaterial evidence. The Chair will rule on all matters of procedure and admissibility of evidence.

After hearing evidence and arguments, within 10 days the Hearing Committee will forward to the Provost a written statement summarizing the evidence and presenting the Committee’s findings and recommendations. In case of a tie vote, the Committee will forward the reasons on both sides of the issue to the Provost. The Associate Dean for Affirmative Action and Employment Initiatives will also forward his or her opinion. Where issues of competency or performance are concerned, the Committee will not substitute its judgment of competency or performance for the judgment of appropriate officials; the function of the Hearing Committee is to determine whether those policies, processes, and criteria used in arriving at judgments of competency or performance were consistent with the University’s policies regarding harassment and nondiscrimination.

Role of the Provost

Within a prompt and reasonable time frame, normally no more than 30 days after receiving the report of the Hearing Committee, the Provost will formally notify the Committee, the Associate Dean for Affirmative Action and Employment Initiatives, the parties to the grievance, and appropriate administrative and supervisory officers of his or her conclusions and specify what actions, if any, shall be taken. If his or her decision departs from the recommendations of the Hearing Committee, the Provost will provide a written explanation to the Associate Dean, the complainant, and the chair of the Committee. The final decision of the Provost is binding and shall not be subject to review under any other grievance procedure in force in the University.

Performance Review/Evaluation

Support Staff

Performance Review is an annual process that formally documents performance and identifies ways to help employees continue to contribute to achieving Colgate’s mission and to provide staff with personal and professional growth opportunities.
This performance review program is designed to help staff members take ownership for their own performance and career growth. Each spring semester, staff members will complete a self-review which will be given to the supervisor. Supervisors will also complete a review of the staff member’s performance. At the review meeting, the supervisor and the staff member will compare and discuss the two reviews and staff members should be encouraged to actively participate in the review discussion. This not only gives supervisors insight into the staff member’s perspective, but gives the staff member an active, rather than passive, role in the process of his/her own career progression.

The self review and the supervisor’s review will be forwarded to the appropriate Vice President or Division Head who will, in turn, sign and forward the completed forms to Human Resources.

Coaching and managing staff are on-going activities, whereas the formal performance review occurs once a year. If supervisors and staff have been communicating clearly and effectively throughout the year, there should be no surprises at the performance review meeting.

The following items should be discussed in the formal review:
- how the employee performed his/her major job responsibilities,
- any major changes to the skill and competency levels since the prior year, and
- the actions the staff member can take to maintain or further develop his/her skills, knowledge and competencies, and, if necessary, improve performance.

In addition to the annual performance review, it is a good idea to meet on an informal basis mid-year to see how things are going. This is particularly important if there has been a history of performance problems or if opportunities to communicate regularly during the normal course of activities are limited.

**Technical Staff**
The key element of a performance evaluation process is to establish good communications between the supervisor and the Technician. “Performance Evaluation” refers to the process of observing and evaluating an employee’s performance in relation to pre-determined standards for job responsibilities. Usually, supervisors continuously review and appraise the work that is being done by the staff employee. Documenting the review and establishing a specific process for the review ensures that the employee understands what is expected and understands how well the supervisor believes the employee is meeting those expectations. It also provides an opportunity for the supervisor to indicate ways the employee could improve and an opportunity for the employee to discuss any suggestions or problems with the supervisor. The most important element in any performance review process, however, is the development of an understanding, congenial, and supportive working environment that is conducive to open discussions.

The appraisal process is performed on a continuous, annual cycle. Communications are continuous, not a “once-a-year” exercise. The goal is to keep the lines of communication open so that there are no surprises at the end of the year, and to change inappropriate behavior before it escalates or becomes entrenched.
Throughout the year, the supervisor coaches the employee on how his or her performance has been in comparison to the standards. It is not necessary to wait until the mid-year review or the formal completion time to talk with an employee about job performance. In fact, it is expected that the supervisor would frequently discuss with an employee his/her performance, indicating both strengths and weaknesses. The mid-year review, however, ensures that the supervisor and employee set aside a specific time to discuss the staff member’s performance over the first half of the cycle and revise objectives and plans as necessary. At the end of the year, a specific discussion occurs between supervisor and employee regarding the performance over the last year.

Each employee needs to have a clear understanding of what the job involves, what is the expected level of performance (or standard), and how he or she would be evaluated. To accomplish this, the supervisor and employee should meet to discuss these issues and review the job description for the position. Objectives for the coming year could be established at this time. This meeting is generally held during the anniversary month of employment.

For Technical Staff, a performance evaluation form is completed to document their discussion. Both the employee and the supervisor have the opportunity to comment. If good communications have been established throughout the year, this review should not be a surprise to the employee. The employee should be made aware of the progress being made throughout the year, and this end-of-year review is the culmination of a continuing communications process. At this time, or shortly thereafter, the objectives for the next year or appropriate corrective action should be discussed. A copy of the completed form should be provided to the employee and to the Human Resources Department. The employee should be allowed to submit any statement in response to the formal review to the Human Resources Department for inclusion in his or her personnel file.

**Recognition of Employees**

**Service Awards**

Each year the University formally recognizes the services of Technical, Support Staff and B&G employees who have completed five and ten years of service at a reception. All staff who have completed 15, 20, 25, 30, 35, 40, or 45 years of service are recognized at a special service awards banquet held annually in the spring.

**Retirement Recognition**

Department and Division Heads arrange for appropriate recognition of Administrative, Support Staff and Technical employees in their departments who retire from the University.

**Training and Development**

**Seminars/Training**

Throughout the year employees will be invited to attend training workshops and seminars brought to the campus to enhance the development of skills and provide professional growth opportunities. The Human Resources Department coordinates some of these types of seminars as well as wellness programs, employee assistance programs, and benefit information sessions.
Information Technology Services offers a variety of Computer Short Courses – one, two or three-hour classes, taught in a classroom environment to anywhere from 6-12 people, providing instruction for faculty and staff on how to use available technologies. Computer Short Courses are typically offered during the summer months and the fall, winter and spring breaks during the academic year.

Most events are scheduled during normal work hours and employees may attend, with supervisory permission, on their work time.

**Staff Development Fund**

As part of the support for professional development, Colgate has established a fund to provide Technical and Support Staff with assistance to attend off-campus conferences, workshops, seminars or courses that enhance individual skills. A request form and more information can be obtained from the Human Resources Department. Staff members should report their normal hours of work when attending such sponsored events.
SECTION V: COMPENSATION

Administrative Salaries
A salary range has been established for each administrative position. This range is periodically adjusted to maintain comparability to salaries paid at other similar institutions for similar positions. Employees in Administrative positions are considered for annual salary increases that take effect on July 1. Each year guidelines are developed for distributing available salary monies to employees. Increases may be based on such factors as pay equity issues, job market conditions and job performance. The Dean or Vice President responsible for the division provides a letter each spring for continuing administrators that states the salary for the coming year.

Administrators who begin their first year of Colgate employment between March 1 and June 30 are eligible for salary increases on July 1 of the following year. Thereafter they will be considered for annual salary increases according to the University’s regular salary cycle.

Extra Compensation
Occasionally full-time Administrators may be asked to serve in a capacity outside their normal work environment. Examples of such assignments include, but are not limited to teaching a class, presenting workshops, consulting, serving on various committees and/or performing duties for other Colgate departments. These assignments are to be considered a normal part of exempt employment for which the employee is already compensated. Therefore, Administrators will not receive additional compensation for performing such duties even when such duties are conducted during the employee’s “own time” or outside of normal business hours.

Support Staff Career Progression Program
The Support Staff Career Progression Program is designed to provide career growth opportunities to staff members within their current jobs, to identify potential promotional opportunities, as well as to link pay opportunity to what individuals actually do on the job. The administration and maintenance of the program is the responsibility of the Human Resources Department.

Colgate’s Staff Career Progression Program:
- provides market competitive pay opportunities for support staff,
- links career growth and pay opportunity to each person’s specific skills, competencies and responsibilities,
- provides structure and guidelines for managing compensation consistently for staff across the campus,
- reinforces our intent to recognize and reward high performers for their efforts and results, and
- encourages and rewards staff for taking on new responsibilities and challenges.

Skills and Competencies Assessment
The foundation of this program is the Skill and Competency Model. The Model establishes an individual’s pay opportunity through an assessment of skills and competencies demonstrated on the job. This ensures that the attributes and behaviors of the staff member link with the requirements of the job.
Each Support Staff position has a Skill Band and a corresponding salary range based on an assessment of the position. This will be reviewed annually, but will probably not change significantly unless the staff member demonstrates dramatically different levels or types of skills or competencies.

**Skills Assessment**
The skills assessment will determine the incumbent’s skill band and pay range. Seven skills have been identified as being essential to support staff at Colgate. The mix of required skills will vary from job to job and not all skills will be used in every job. Further, each skill used will be weighted as to its importance to the job.

**Competency Assessment**
Competencies are behaviors that are indicative of superior performance and success within the University. The Competency Assessment determines the recommended pay range within a pay grade.

**Performance Pay**
Performance Pay increases are based upon job performance as indicated in a written evaluation. The amounts of these increases are determined annually, subject to budgetary constraints. Each year, Colgate will determine if an annual performance pay increase will be provided to eligible employees and will set the budgeted amount, expressed as a percentage of payroll. The decision will be based on a review of business and economic conditions. Each division will be given a budget amount to be used for performance pay increases. Actual performance pay increases to individuals may be higher or lower than the budget percent, based on their performance and position in the grade. However, the aggregate of all increases may not exceed the budgeted amount.

The Performance Pay increase is based on the review of a staff member’s overall performance. A performance appraisal is used to promote better communication between staff and supervisors and as documentation for merit increases (see section on performance reviews on page 36 for more information).

Performance Pay increases will be based on the following principles:

- High performers receive larger increases than staff members performing at expectation. Thus, high performers move relatively quickly through the pay range.
- No staff member should be paid below the grade minimum (unless performance is unsatisfactory).
- If the pay structure is adjusted upwards (e.g., as a result of market movement), each staff member whose base pay falls below the adjusted pay band minimum will automatically receive an increase to the new minimum, provided performance is satisfactory. If a staff member’s pay has been adjusted to the grade minimum, due to a pay structure movement, he/she will still be eligible for a pay increase at the normal review time.
- Grades are set at market ranges; midpoints reflect the “average” market rate and minimums and maximums reflect the outside parameters that the market pays for jobs in that grade. Employees paid near the maximum are being paid higher than market average to reflect their skills, knowledge set and contribution to the University.
A new staff member must have at least three months of service with the University and be in their current position for at least three months to be eligible for a performance pay increase.

**Pay Rates**
Employees would normally be hired at the entry salary established for the position. Skill bands are determined by the skill assessment for a position and entry rates are based on appropriate labor market information. Additional experience beyond the minimum required for the position could warrant placement at a higher level within the band at the time of hire, as approved by the Associate Vice President for Human Resources and the department head. After a new employee has been in a position for a period of time (to be determined by the supervisor in conjunction with Human Resources but not less than 90 days), the competency assessment will be completed to determine the appropriate placement within the skill band.

**Longevity**
In recognition and appreciation for service to the University, members of the Support Staff will receive a lump sum payment at each 5 year anniversary as follows:

<table>
<thead>
<tr>
<th>Years of Service</th>
<th>Lump Sum Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>5</td>
<td>$500</td>
</tr>
<tr>
<td>10</td>
<td>$1,000</td>
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<tr>
<td>15</td>
<td>$1,500</td>
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<tr>
<td>20</td>
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<td>25</td>
<td>$2,500</td>
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<tr>
<td>30</td>
<td>$3,000</td>
</tr>
<tr>
<td>35</td>
<td>$3,500</td>
</tr>
</tbody>
</table>

from July 1, 1999 through June 30, 2004, staff members will have the option of selecting a percentage increase to base pay in accordance with the old longevity system. At the end of the five year phase-in period (beginning July, 2004), all longevity payments will be in the form of lump sum payments.

**Technical Staff Pay System**
Technical staff positions are not part of the Support Staff Career Progression Program. The Technical Staff Pay System is market based. Appropriate salary ranges are established for these positions based on salary survey data. Normally, new employees are hired at the minimum of the salary range, but additional experience could warrant placement at a higher level if approved by the Associate Vice President for Human Resources and the department head. Increases to continuing employees are provided once a year in July and are based on the compensation guidelines established in the budget process. A Technical staff employee whose salary is over the maximum of the range will be eligible for half of the normal increase provided to continuing employees.

All technicians would enter Colgate’s employ as a Technician I. Upon recommendation by the supervising department, promotion to Technician II, III, IV and Senior Technician would usually occur at the 5, 10, 15 and 20 years of service marks. Each promotion to the next level would normally be accompanied by a promotion increase of 3%. Technicians would be evaluated for promotion based on
the following criteria: (a) performance of job functions; (b) ability and willingness to learn and apply new skills; (c) service orientation; (d) timeliness of work.

Merit is incorporated into the system by the possibility of a "fast-track" promotion. A supervisor or department could make the case that based on exceptional contributions, learned skills, or taking on significant additional duties, a given technician should be promoted earlier than the five year interval, but at no more frequent intervals than three years. All promotion cases would be documented and approved by the Vice President in the division and the Associate Vice President for Human Resources.

Regular annual performance evaluations are done for technical staff members.

**Acting/Temporary Pay**
A temporary adjustment to pay occurs when an employee is appointed to assume the duties and responsibilities of another job on a temporary basis (generally periods greater than a vacation period). The pay rate will be determined by Human Resources in consultation with the supervisor and the VP or Dean. Once the employee is relieved of the “acting” job, the pay will be adjusted to the previous level. In the event that a temporary assignment becomes permanent, policies and procedures for transfers and promotions will apply (see Transfers and Promotions below).

**Transfers and Promotions**
Technical and Support Staff employees who are promoted to a higher level position will be eligible to receive a wage increase based on the salary range of the new position. A salary increase would be made to at least the minimum of the new grade. An additional salary adjustment may be made in consideration of length of service and internal salary equity within the level and, for Support Staff, based on the employee's demonstrated competency level.

Lateral transfers to positions of the same level will not be eligible for a salary adjustment. Transfer to a lower level position would normally result in a decrease in salary.

If a non-exempt employee is promoted to a professional/administrative position, the accumulated balance of unused sick time will be determined and calculated at the rate of pay at the time of transfer. This amount will be recorded and be paid to the employee when, and only if, the employee retires from Colgate. No interest or inflation factor will be included. The maximum balance allowed is equivalent to the maximum number of hours allowed to accrue for the position, but is in no case more than 680 hours. Accumulated unused sick leave shall have no monetary value; it will only be paid to the employee upon retirement from the University.

**Shift Premium**
Non-exempt employees who are assigned to positions that are regularly scheduled to work the second (beginning at 4:00 p.m. or later) or third shift (beginning at 11:00 p.m. or later) will receive a shift premium of 80 cents per hour in addition to the regular wage.
**Timesheets**
Non-exempt employees are required to record all hours worked for each biweekly pay period on a time sheet. Timesheets must be approved by the supervisor (who should ensure the accuracy of the information) and submitted to the Office of Accounting and Control by Monday noon of the pay week. Employees who attend approved workshops, meetings, or seminars, either on or off campus, should indicate their normal hours of work. **Time sheets should accurately document hours worked.** **Falsification of time sheets by any employee may be cause for immediate termination.**

**Overtime/Compensatory Time Off**
To meet special or unusual business needs, you may be expected to work beyond your regularly scheduled work hours, during your lunch hour, or on Saturday and/or Sunday. An exempt employee is expected to work all hours necessary to complete his or her assignments. A non-exempt employee is entitled to overtime pay as set forth below.

Non-exempt employees will receive 1 1/2 times the regular rate of pay for hours worked over 40 hours per week (hours worked between 37.5 hours to 40 hours will be paid at the regular rate). All employees must receive approval from their supervisors prior to working any hours beyond a regular work week. Employees who work overtime without receiving prior authorization may be subject to disciplinary action, up to and including termination.

New York State and federal labor laws govern compensation/compensatory time under certain circumstances. Compensatory time off for non-exempt employees may be used to offset overtime worked only under the following conditions:

1. An employee may take “comp time” in the same amount of excess hours worked in the same week, or

2. An employee may take “comp time” at 1.5 times the hours worked in excess of 40, if taken in the same pay period.

The request to use compensatory time off is subject to the supervisor's approval. If compensatory time off is not taken in the same pay period, Colgate must pay for the overtime worked at the rate of 1.5 times the regular pay for all hours in excess of 40 per week.

It is Colgate's policy to allow compensatory time off for work on a holiday for Support Staff and Technical employees if taken within 60 days (instead of within the pay period). For work on Labor Day, compensatory time off may be taken by January 1 of the following year. If compensatory time is not taken due to workload demands, then the employee will receive pay for the overtime hours at the rate of 1.5 times the regular rate of pay. In all cases, the actual work should be reported on the timesheet during the week it is performed.

**Payroll Deductions and Paychecks**
Regular employees are paid on either a biweekly (non-exempt) or monthly (exempt) basis. All employees are encouraged to arrange for the direct deposit of their paychecks into their bank account.
Biweekly checks are distributed through campus mail on alternate Fridays following the close of the pay period. Monthly checks are distributed through campus mail on or about the 25th of each month. Employees have a responsibility to verify the information contained on the pay stub.

**Salary Advances**

It is the policy of the University to make payment to those in its employ at the conclusion of the appropriate pay period. Support Staff, Technical and Buildings and Grounds employees are paid bi-weekly; Administrators and Faculty are paid monthly. Salary advances are made at the discretion of the University. Requests should be submitted using an “Advance Request” form which may be obtained by contacting Payroll or Human Resources.

**NEW HIRES.** Supervisors are responsible for submitting all necessary paperwork to ensure that a new employee receives a paycheck during the first regular pay period following employment. Except in certain unavoidable situations, salary advances will not be approved when paperwork is not submitted in a timely fashion.

**UNANTICIPATED EMERGENCIES.** In the event of an unanticipated circumstance of urgent financial need, regular full or regular part-time employees may apply for a salary advance of up to 50% of their gross base payroll for one pay period. Staff requests must be approved by the supervisor and by the Dean or Vice President responsible for the division. Faculty requests must be approved by the Associate Provost. If approved, an advance will be issued through Accounts Payable and must be repaid within four months via payroll deduction. Only one salary advance will be made in any calendar year.

**VACATION ADVANCES.** Employees are encouraged to participate in direct deposit of their paychecks into a bank or credit union account. Direct deposit is available at First Source Federal Credit Union, all local banks, and at many banks nationwide. In most cases, direct deposit eliminates the need for vacation advances because each employee’s paycheck is automatically deposited into an account (and available as cash) on payday.

In cases where an employee plans an extended vacation that includes a payday, a request for a vacation advance must be submitted by the payroll deadline for the preceding pay period. An advance equal to the employee’s regular net base pay will be included with the preceding payroll. The advance will then be deducted from the employee’s regular check the following pay period. Please check the payroll deadlines on the Human Resources web page (http://offices.colgate.edu/hr/payroll2001.htm) or call the Payroll Department (X7803) for more information.
SECTION VI: PAID TIME OFF AND LEAVES OF ABSENCE

Vacation

Administrators
Full-time employees on administrative appointments are entitled to receive 20 days vacation per year. Employees in part-time positions are entitled to a pro-rated amount of vacation time. Employees begin accruing vacation upon hire so that at the end of the first year of employment they would have accrued a total of 20 days. The supervisor should approve requests for use of vacation. Unused vacation time can only be carried forward for one year. Upon termination of employment, employees are paid for any unused balance of vacation time if the Administrator submits a memo, with the supervisor's approval, to the Human Resources Department which indicates the remaining vacation balance. Normally, 20 vacation days is the maximum approved for payment. (This policy also applies to 12-month librarians.)

Technical and Support Staff
The University provides employees with paid vacation and personal days. The amount of vacation accrual is based on an employee’s date of hire:

Employees hired before July 1, 2004
Employees who work a regular 37.5 hour week for 12 months per year currently receive the equivalent of 26 days vacation each year. Vacation is accrued every pay period. Part-time employees earn a prorated amount of time.

Employees hired on or after July 1, 2004
Employees who work 37.5 hours/week for 12 months/year earn vacation in accordance with the following schedule:

<table>
<thead>
<tr>
<th>Years</th>
<th>Vacation Days</th>
</tr>
</thead>
<tbody>
<tr>
<td>0 - 4</td>
<td>15</td>
</tr>
<tr>
<td>5 - 9</td>
<td>17</td>
</tr>
<tr>
<td>10 - 19</td>
<td>20</td>
</tr>
<tr>
<td>20+</td>
<td>26</td>
</tr>
</tbody>
</table>

Vacation is accrued every pay period. Part-time employees earn a prorated amount of time.

Benefit time accrual begins as of the employee's date of hire. Vacation time does not accrue during an unpaid leave of absence.

The Base Hours are determined by the average number of hours established for the position which the employee occupies, and will not fluctuate if an employee happens to work overtime or any different schedule. Vacation time is accrued but may not be taken during the Introductory Period. Vacation time may be taken at any time following the Introductory Period as long as a sufficient balance is available. There will be no extension approved for employees to accrue hours beyond the maximum limit. Employees cannot be paid for absences in excess of their accumulated balance. The minimum amount of vacation that can be requested is one-half hour. All vacation time should be scheduled in advance with the approval of the supervisor and in accordance with the needs of the department.
Normally, employees will be expected to use all available vacation time for daily or short-term absences instead of time without pay. Time without pay is subject to the approval of the supervisor and the Associate Vice President for Human Resources. In the event of transfer to another department of the University, unused vacation time will be transferred. Employees who terminate employment are compensated for unused accrued vacation time. Casual, temporary, or those employees who work less than 20 hours per week are not eligible for paid vacation.

**Sick Leave**

**Administrators**

Sick leave is not provided to employees on administrative appointments. If Administrators are unable to perform their duties due to brief personal illness, they will receive their normal compensation, except as outlined in the sections on Long Term and Short Term Disability. Supervisors should be notified and approve any absence.

Administrators will also be paid when a member of the immediate family is seriously ill and requires their care at home for a reasonable period of time or for doctors’ appointments which cannot be scheduled outside the normal work day. Members of the immediate family include a spouse, parent, child, sibling, grandparents, and other persons in comparable relationships to the employee.

**Technical and Support Staff**

Sick leave is to be used for employees who are absent due to personal illness (including medical or dental appointments). The use of sick leave must be approved by the employee's supervisor. Full-time employees are eligible to accrue eight sick leave days per year. Part-time employees receive a prorated amount of time.

In addition, sick leave may also be used for caring for members of the immediate family who are seriously ill and require care at home or for doctors’ appointments which cannot be scheduled outside of working hours. Members of the immediate family include a spouse, parent, child, sibling, grandparents, and other persons in comparable relationships to the employee.

The employee may be asked to provide a physician's statement at any time regarding the illness, injury, or appointment. Employees must notify their supervisor of absence due to illness as soon as possible.

Sick leave may be used in half-hour increments, but will not be paid if in excess of the employee's accumulated balance of time available. The available balance is reported to employees on their payroll statements with each paycheck. Employees accrue this time every pay period in accordance with the following schedule:

**Employees hired before July 1, 2004**

Full-time employees are eligible to accrue eight sick leave days per year. Part-time employees receive a prorated amount of time. Employees whose cumulative total of accrued days of sick leave exceeds 75 days shall have the option of receiving payment for accumulation above 75 days, once yearly, up to a maximum of 10 days, in the first payday in January. Employees who do not exercise this payout option may accumulate unused sick leave up to 85 days.


**Employees hired on or after July 1, 2004**

Full-time employees are eligible to accrue 12 sick leave days per year. Part-time employees receive a prorated amount of time. Employees whose cumulative total of accrued days of sick leave exceeds 120 days shall have the option of receiving payment for accumulation above 120 days, once yearly, up to a maximum of 12 days, in the first payday in January. Employees who do not exercise this payout option may accumulate unused sick leave up to 132 days.

Employees whose cumulative total of accrued days of sick leave exceeds 75 days shall have the option of receiving payment for accumulation above 75 days, once yearly, up to a maximum of 10 days, on the first payday in January. Employees who do not exercise this payout option may accumulate unused sick leave up to 85 days. On termination, accumulated but unused sick leave shall have no monetary value. However, Colgate will pay employees for all unused accumulated sick time upon their retirement, at the rate in existence at the time of their retirement.

Sick leave will continue to accrue for up to six months if the employee is disabled due to a work-related injury and is receiving worker's compensation benefits. If the employee is disabled by a non-work related incident and is receiving payment through New York State disability benefit coverage, the sick leave does not continue to accrue. Sick leave does not accrue during an unpaid leave of absence.

The employee may use sick leave in conjunction with New York State disability or worker's compensation to achieve a normal paycheck. The employee must automatically go on disability if the illness extends beyond seven days. The seven-day period includes the weekend.

Casual or temporary employees are eligible for sick leave only if employed in a temporary position and if they have accumulated 450 hours of work with no break in service. Qualifying employees are then entitled to receive sick leave pay at the rate of one half-day per month. This benefit terminates with any break in service.

**Catastrophic Leave**

Colgate University maintains a catastrophic leave pool to assist non-exempt employees who are faced with a catastrophic illness of their own, or that of a family member, and have exhausted their own leave balances. The Associate Vice President for Human Resources manages the leave pool and will request donations from employees on an annual basis. Staff may donate either vacation or sick time to the pool in increments of not less than one day and not more than one week, provided that they maintain a minimum balance of 60 days of sick leave after the donation.

Further details about this program are available from the Human Resources Department. Requests for the use of catastrophic leave should be sent to the Human Resources Department.

**Holidays**

Regular full-time and regular part-time employees who are on the active payroll, are entitled to paid holidays according to the University holiday schedule. Regular part-time employees are paid for holidays on a prorated basis. A casual or temporary employee is eligible only under certain conditions,
outlined earlier. Holidays falling on a Saturday will be observed on the preceding Friday. Holidays falling on a Sunday will be observed on the following Monday. The holiday schedule is as follows:

- Day before New Year's*
- New Year's Day
- Good Friday (second half of normal workday)
- Memorial Day
- Independence Day
- Labor Day
- Thanksgiving Day
- Day after Thanksgiving
- Full day before Christmas
- Christmas Day
- Winter Holiday Break (days between Christmas Day and Day before New Year’s)

*1/2 day winter holiday break included.

Half-day holidays are considered to be equivalent to 3.5 hours on a normal 7.5 hour day and 4 hours for 8 hour days.

Non-exempt employees who work on a holiday will be paid for the number of hours worked on the holiday and, in addition, will either 1). will receive pay for the holiday or 2). will be granted another day off at another time. The method of payment will be at the discretion of the supervisor.

**Family and Medical Leave**
It is the policy of Colgate to grant up to twelve (12) weeks of unpaid, job-protected family and medical leave during any twelve (12) month period to eligible employees, in accordance with the Family and Medical Leave Act of 1993 (“FMLA”). Health and disability benefits will be continued for employees on FMLA leave as if they were active employees. The purpose of this policy is to allow employees to take time off to meet certain personal and family obligations as defined below.

**Reasons for Leave**

**Family Leave**
This includes leave for:
- the birth of a child;
- the adoption of a child by the employee or his or her spouse; or the foster placement of a child with an employee or with his or her spouse

**Medical Leave**
This includes leave for:
- a qualifying serious health condition of the employee; or
- a qualifying serious health condition of a spouse, child, or parent requiring the employee to care for that family member.
Eligibility Requirements
To be eligible for FMLA leave, an employee must:

- have been employed by Colgate for at least 12 months; and
- have worked a minimum of 1,250 hours in the 12 months immediately preceding the beginning of the leave.

In the case of FMLA leave for the birth/adoptive/foster placement of a child, parents who are both employed by Colgate are eligible for one combined FMLA leave per child. Colgate reserves the right to deny a request for leave where permitted by law, particularly in the event that such leave would cause a substantial or serious economic injury to operations.

Notice
Colgate requires written notice which sets forth:

- the reasons for the requested leave;
- the anticipated start of the leave;
- the anticipated duration of the leave; and
- in the case of childbirth/placement, the anticipated date of birth or placement.

Birth/Adoption/Foster Placement of a Child: The employee should provide 30 days’ advance notice of his/her intention to take leave, if practicable. If 30 days’ notice is not practicable, notice should be given at least two (2) business days in advance of the date of which the need for leave becomes known to the individual, except in extraordinary circumstances.

Serious Health Condition of Employee, Child, Spouse, or Parent: The employee should provide advance notice of at least 15 days, if practicable. If 15 days’ notice is not practicable, notice should be given at least two (2) business days in advance.

In the administration of this policy, Colgate extends the term “spouse” to include “domestic partner” as defined under Colgate’s domestic partner policy.

Intermittent or Reduced-Schedule Leave
When medically necessary, an employee may take FMLA leave on an intermittent or reduced schedule to care for a sick family member or because of the employee’s own serious health condition. Leave taken intermittently is still limited to a total of 12 weeks in a 12-month period. During an intermittent or reduced-schedule leave, Colgate may require an individual to transfer temporarily to an alternate position with equivalent pay and benefits.

Verification/Medical Certification
In the case of medical leave for the serious health condition of the employee, child, spouse, or parent, the employee must provide medical certification issued by the health care provider of the employee or the employee’s family member with a serious health condition. Medical confirmation must be
submitted within 15 days of the request for leave (or as soon as is practicable if it is a medical emergency).

Information solicited in such medical certification should include:

- identification of the health care provider;
- the date the serious health condition commenced;
- the probable duration of the serious health condition; and
- a diagnosis by the health care provider of the serious health condition, including a description of the nature of the condition.

Colgate reserves the right to require that an employee seeking FMLA leave be examined at Colgate’s expense, by a health care provider chosen by Colgate. In the case of conflicting opinions, Colgate may require the employee to get a third opinion from a health care provider chosen jointly (and paid for by Colgate). This third opinion is final and binding.

Colgate requires all employees on FMLA leave to keep in contact with their supervisor and with Human Resources while on leave and to report periodically his or her status and intent to return to work. In addition, Colgate may request a recertification of the condition of the employee or the employee’s family member.

**Continuation of Benefits**

Colgate will continue to provide health insurance benefits during an approved FMLA leave. Neither sick leave nor vacation time accrue during any unpaid period of a FMLA leave.

Colgate reserves the right to recover its share of health plan premiums for a period of unpaid FMLA leave if the employee does not return to work in accordance with federal and state law.

**Length of Leave**

No more than 12 weeks of FMLA leave can be taken in any 12-month period. The Company will calculate the 12-month period as a “rolling” 12-month period measured backward from the date an employee uses any leave under this policy. Thus, each time an employee takes FMLA leave, the remaining leave entitlement would be any balance of the 12 weeks which has not been used during the immediately preceding 12 months.

**EXAMPLE:** If an employee had taken four weeks of leave beginning February 1, 2000, and four weeks of leave beginning June 1, 2000, and four weeks of leave beginning December 1, 2000, the eligible employee would not be entitled to any additional leave until February 1, 2001, at which time the employee would become entitled to an additional four weeks of leave.

Employees shall be required to apply any unused, accrued vacation or sick leave (if applicable) toward any FMLA leave taken. However, the use of such accrued leave time shall be counted against the employee’s FMLA leave entitlement and will not extend the maximum amount of leave time that the employee can take.
Colgate complies with all applicable state disability insurance laws. Any period of leave for which an employee receives compensation under a state disability insurance program shall be counted against the employee’s FMLA leave entitlement and will not extend the maximum amount of leave that the employee can take.

Failure to return from a FMLA leave of absence after release by a physician or after the allotted twelve weeks, whichever is shorter, will be considered abandonment and can result in automatic termination of employment.

**Job Restoration**
On return from an approved FMLA leave, an employee will be restored to his or her former position or to a comparable position with no loss of benefits or pay. If, during the leave period, the employee’s position is eliminated or restructured, reasonable efforts will be made to restore the individual to a comparable position. However, employees who have taken FMLA leave have no greater right to job restoration than if they had been continuously employed.

FMLA leaves are unpaid, unless expressly provided by another benefit program as outlined in this handbook. In accordance with the Family and Medical Leave Act of 1993 (FMLA) all regular full-time and part-time employees who have worked for the University for at least one year and for 1,250 hours over the previous 12 months are eligible to take family or medical leave for the following reasons:

- the birth of a child or the placement of a child with the employee either through adoption or foster care;
- to care for the employee’s spouse, parent or child who has a serious health condition requiring either inpatient care or continuing care by a health care provider; or,
- because of a serious health condition of the employee that prevents the employee from performing the essential functions of his or her job.

**Funeral Leave**
In the event of the death of a member of an employee’s immediate family, the employee is eligible for up to a three-day leave with pay. Approval of the supervisor is required. The immediate family includes mother, father, husband, wife, domestic partner, son, daughter, sister, brother, mother-in-law, father-in-law, daughter-in-law, son-in-law, sister-in-law, brother-in-law, grandparents, grandparents-in-law, grandchildren, aunt, uncle, and persons in comparable relationships. Foster parents and stepparents are also considered to be within this definition.

**Jury Duty**
Regular full-time and regular part-time employees are eligible for leave with pay for jury duty. Regular pay will be provided by Colgate, but employees should reimburse Colgate for any jury duty pay (less payments for mileage) received from the State during the time the employee is also receiving pay from Colgate.

Employees who have been called for jury duty are expected to report to work if they are excused early by the court.
Leave of Absence
All requests for time off from regular working hours should be approved by the supervisor. Regular full-time or regular part-time employees who have completed one year of service with the University may, upon written request and for suitable cause, be eligible for a personal leave of absence of up to one year without pay. Requests should be submitted to the Human Resources Department with the approval of the supervisor. During this time all University-paid benefits are suspended unless benefits are continued at the employee's expense. Arrangements must be made in advance for employee payment of life insurance and medical insurance during the leave of absence. The seniority that has accumulated to date will remain intact.

If the employee works elsewhere during a leave of absence without prior permission from the Associate Vice President for Human Resources or fails to return promptly at the expiration of the leave of absence, the employee shall be deemed to have left the employ of the University voluntarily. An employee on a leave of absence is not guaranteed reinstatement to the employee's regular position, but will be considered for any available positions for which they qualify.

Maternity Leave/Parental Leave

Child Bearing Leave
Absences caused by temporary disabilities associated with pregnancy or childbirth are subject to the provisions of the short term disability plan and sick leave policy.

Parental Leaves
Less Than One Year of Service
Any member of the Administrative, Technical or Support Staff qualified for benefits who is the parent of a newly-born or newly-adopted child and who has less than one year of service may request an unpaid maternity/parental leave of up to four months in addition to the period of the disability. Technical and Support Staff must have successfully completed the Introductory Period to be eligible.

More Than One Year of Service
An employee who has completed one year of employment who is a parent of a newly-born or newly-adopted child may request an unpaid maternity/parental leave of up to six months in addition to the period of the disability.

University-paid benefits will continue during an approved parental leave. A request for leave should be submitted, with supervisor's approval, to the Associate Vice President for Human Resources. Individuals who take maternity or parental leave will be granted the same reinstatement rights as individuals who are absent due to disability leaves of absence.

Parents who are both employed by Colgate are eligible for one combined leave per child. Maternity and Parental leaves run concurrently with Family and Medical Leave (see page 49).

Military Leave
Any regular full-time or regular part-time employee may request military leave under the regular leave of absence policy except that the leave need not be limited to one year. Additionally, as a member of
the military reserve, the employee is eligible for leaves to participate in active duty necessary to maintain military membership and/or rank. This leave is granted for a maximum of two weeks and is in addition to vacation. The University will pay the difference between the regular base salary and military pay for the two-week period. If an employee is required to attend a period of active duty longer than the two-week period, a leave of absence, without salary, will be granted as described in the section entitled “Leave of Absence,” beginning with the third week of duty.

The reemployment rights for veterans and members of the uniformed services is covered through the Uniformed Services Employment and Reemployment Rights Act of 1994 (USERRA). The law guarantees the reemployment rights and benefits for an individual who leaves to serve in the uniformed services as long as the cumulative period of absence from the individual's employment does not exceed five years.

Colgate does not discriminate against employees because they are subject to military leave.

**Time Off for Fire Fighters and Emergency Medical Technicians**
Employees who are also Volunteer Fire Fighters will be paid for their normal hours of work for absences spent fighting a working fire, if called during normal work hours, and upon presentation of written confirmation from the Chief of the Fire Department. Emergency Medical Technicians will be paid for their normal work time for absences spent on a confirmed emergency medical call during normal working hours. The supervisor must be notified of an absence as soon as possible.

**Time off to Vote**
Colgate encourages employees to fulfill their civic responsibilities by voting. If you do not have sufficient time either before or after work to vote, Colgate will grant you with time off to vote in accordance with state or local law. Employees should request time off to vote from their supervisors in writing at least two working days prior to the election.
SECTION VII: BENEFITS

Summary of Benefits
For a summary of the insurance benefits go to: http://offices.colgate.edu/hr/ and click on Benefits.

Child Care
The University contributes to the Chenango Nursery School, Inc. a not-for-profit parent cooperative with a nursery school and day care center located in Hamilton. A limited number of tuition scholarships are available based on financial need. For further information, contact the Chenango Nursery School at 824-1810.

COBRA
Pursuant to federal law, the Consolidated Omnibus Reconciliation Act (COBRA), employees, spouses and dependents of employees are eligible for temporary extension of health and dental coverage at approximately the same group rates in certain instances when coverage under the plan would otherwise end. The cost would be paid by the employee, spouse, or dependent.

Employees of Colgate University who are covered by Colgate's health insurance plan, have the right to choose this continuation of coverage if group health coverage would stop because of a reduction in hours of employment or the termination of employment (for reasons other than gross misconduct).

A spouse of an employee covered by Colgate's health insurance plan has the right to choose this continuation of coverage, if group health insurance under the plan is lost for any of the following four reasons:

1. the death of the employee;
2. a termination of the spouse's employment (for reasons other than gross misconduct) or reduction in the spouse's hours of employment;
3. divorce or legal separation from the spouse; or
4. the spouse becomes eligible for Medicare.

A dependent child of an employee covered by Colgate's health insurance plan has the right to a continuation of coverage if group health coverage under the health insurance plan is lost for any of the following five reasons:

1. the death of a parent who is an employee;
2. the termination of a parent's employment (for reasons other than gross misconduct) or reduction in a parent's hours of employment with Colgate University;
3. parents' divorce or legal separation;
4. a parent becomes eligible for Medicare; or
5. the dependent ceases to be a "dependent child" under the University's health insurance plan.

Under this law, the employee or family member is responsible for notifying the Human Resources Department of a divorce, legal separation or of a child losing dependent status under the health insurance plan. When the Human Resources Department is notified that one of these events has happened, the Human Resources Department will provide notification of the right to choose
continuation of coverage. The Human Resources Department must be informed within 60 days from the date coverage would be lost. If coverage is not continued, the group health insurance coverage will end as scheduled. If continuation coverage is chosen, Colgate University is required to give coverage which, as of the time coverage is being provided, is identical to the coverage provided under the plan to similarly situated employees or family members.

Coverage can be continued for 18 to 36 months, depending on the reason for termination of insurance. However, continuation of coverage may end for any of the following five reasons:
1. Colgate University no longer provides group health coverage to any of its employees;
2. The premium for continuation of coverage is not paid;
3. The covered person becomes an employee covered under another group health plan. (However, loss of COBRA coverage will not result if the new plan contains a pre-existing condition limitation);
4. The covered person becomes eligible for Medicare; 5. The spouse who was divorced from a covered employee subsequently remarries and is covered under the new spouse's group health plan.

Domestic Partner Benefits
Colgate University extends the same benefits to persons who meet the University's definition of domestic partner that the University presently extends to spouses of employees to the extent permitted by law and by the underwriting guidelines imposed by the insurance companies. The inclusion of domestic partner coverage in Colgate's benefit program is consistent with the University's dedication to ensuring non-discriminatory practices and, represents a commitment by Colgate to remain competitive in the recruiting of new faculty and staff. Finally, it is a recognition of a current social reality, and a belief in the equality, value and legitimacy of all members of our community.

A Domestic Partner is an unrelated adult of the same or opposite sex of the employee with whom the employee is living in an intimate, long-term relationship with an exclusive commitment similar to marriage, in which the partners are jointly responsible for one another's welfare and share financial obligations. In order to qualify for benefits, the domestic partnership must have been in existence for at least six (6) consecutive months with the expectation that the relationship will continue indefinitely.

For more information, including an application, please contact the Human Resources Department.

Educational Assistance Programs
Loans
After successful completion of the introductory period, Administrative, Technical and Support Staff employees are eligible to apply for an educational loan from the University for a dependent's college education. To be eligible, a child must be a dependent of the Colgate-affiliated parent. The dependence requirement follows the guidelines used by the Internal Revenue Service.

Under this program, employees may borrow up to $1,000 without interest for up to two years. The loan is payable by payroll deduction in regular installments commencing 30 days from the date of loan. The loan is immediately repayable upon termination of employment. As the maximum amount of
money to be loaned by the University at any one time is limited, loans will be made on a first-come/first-served basis. If both husband and wife are employed by the University, either, but not both, may apply for an educational loan. Employees are not eligible for this benefit if the employee and/or a Colgate-employed spouse qualifies for the Colgate Higher Education Grant.

**Higher Education Grant Program for Children of Employees**
Colgate University currently grants an amount up to one-half of Colgate’s tuition for any eligible sons or daughters of an eligible employee who are matriculated and attend an accredited college or university in pursuit of an initial undergraduate degree on at least a half-time basis. In the case of two eligible parents, the total grant the two employees can receive together for an eligible child will not exceed one-half of Colgate’s tuition. To be eligible, a child must be a natural or adopted child, or the dependent stepchild, of an eligible Colgate employee, as certified by the employee on a form approved by Colgate (and subject to the right of Colgate to request any information and/or documentation regarding the child as Colgate may, in its sole discretion, determine to be appropriate to review the child’s eligibility or the tax status of any grant provided with respect to the child). This grant is available for a total of eight semesters or the equivalent if the child attends a school with a different academic schedule. This is a voluntary policy which is not legally binding and may be cancelled or changed without notice. Other requirements applicable to the program are listed below:

**Application Process**
An Application for Colgate Higher Education Grant for each academic year for which the grant is sought must be submitted by June 1 immediately preceding that academic year. Applications are available to download at [http://offices.colgate.edu/hr/CHEG_Application.pdf](http://offices.colgate.edu/hr/CHEG_Application.pdf) or by contacting the Office of Human Resources at 228-7411 if computer access is not available. An e-mail reminder with a link to the application form will be sent to all employees on or about May 1 of each year.

**Eligibility**
A child is eligible for the Colgate Higher Education Grant if (in addition to the requirements described above):

1. On the date of enrollment at least one of the child’s parents is:
   a) a full-time employee of Colgate, defined as one who is in a position that is approved for no less than 1462.5 hours per year (“Full-Time Employee”), and who had continuous service as a Full-Time Employee eligible for full Colgate benefits throughout the seven year period ending on the date of enrollment, or
   
   b) deceased, and who at the time of death had continuous service as a Full-Time Employee eligible for full Colgate benefits throughout the seven year period pending on the date of death, or
   
   c) retired at an approved age in accordance with Colgate policy, and who at the time of retirement had continuous service as a Full-Time Employee eligible for full Colgate benefits throughout the seven year period ending on the date of retirement, or
d) age 60 or older and has at least seven years of continuous service as a Full-Time Employee eligible for full Colgate benefits.

2. The 1462.5 hours per year requirement in 1(a)-(d) above shall be based on the twelve month period that ends (a) after the date on which the employee enters an eligible class, and (b) on each subsequent anniversary of such date.

3. Eligible employees who are on approved leaves of absence of not more than one year and periods of illness or disability during which payments were received under a Colgate disability plan shall be included in periods of continuous service and shall not be deemed to terminate the status of full-time employee.

4. The child must be under 25 years of age on December 31st of the academic year for which the grant is sought.

5. An eligible employee described in 1(a) above must, during the period that the grant is received, continue to be a Full-Time Employee eligible for full Colgate benefits.

6. An eligible employee will only be entitled to receive the grant under this program if he or she has first been classified as being eligible for the grant by Colgate’s Human Resources Department.

**Manner of Payment**
1. Colgate shall provide payment for each eligible child who is matriculated for initial undergraduate work at an accredited college or university, except that payment in any one year shall not exceed the tuition and mandatory fees of the institution attended. The term “mandatory fees” shall exclude, among other things, room and board expenses and any other non-academic expenses.

2. Payment shall be made directly to the institution in which an eligible child is enrolled upon certification that the child is duly enrolled as at least a half-time student. Such certification should state the tuition and mandatory fees charged by the institution attended. Special rules apply if an eligible child starts, but does not complete, an academic semester or term, and the Colgate Human Resources Department should be contacted if that occurs. Receipt of institutional, state or federal aid does not affect the amount of the Colgate Higher Education Grant; but receipt of the Colgate Higher Education Grant may affect any institutional, state or federal aid offered by the institution where the child is enrolled (including Colgate University) and may reduce any financial aid award.

3. No eligible child shall receive such assistance for more than a total of eight semesters or the equivalent.

**Procedures**
To assist the University in financial planning for the allocation of sufficient funds to the Higher Education Grant Program, employees who plan to participate in this Program are requested to notify the Office of Human Resources of their intention two years in advance of the proposed date of enrollment in
an accredited educational institution. Please email humres@colgate.edu stating your child’s name and expected high school graduation date. No separate form is necessary.

Miscellaneous
A Colgate Higher Education Grant could, in certain circumstances, be subject to taxes (e.g., if a child does not qualify as a dependent under the Internal Revenue Code, the grant for that child generally will be taxable). If such circumstances are present, Colgate will withhold whatever taxes are required by applicable law. Colgate reserves the right to seek reimbursement of a grant paid if an eligible parent terminates employment and eligibility for the grant ceases. If any issue arises about how this program should be interpreted or applied, such interpretation or application will be made by Colgate in its sole discretion and will be binding upon all interested persons.

Tuition-free Courses at Colgate
Employees:
Colgate University supports the academic achievement and professional development of its staff members. As evidence of that commitment, employees in regular full and regular part time benefit eligible positions are eligible to take up to two Colgate courses per term without any tuition charge. Interns and employees in comparable positions are eligible to take one course per semester. The following conditions apply:

1. The supervisor must approve any rescheduling of working hours and the employee will be expected to work a full daily schedule. Enrollment in Colgate courses by one employee in a department should be managed so that it does not create extra work for co-workers.

Those employees wishing to take a second tuition-free course at Colgate in any one term may apply to do so through the Associate Vice President for Human Resources. The Director will work with the employee's supervisor to ensure that the department's needs will continue to be met and that co-workers will not be adversely impacted by the employee's attendance in the class. In such cases, a second tuition-free course will be approved. Departments are encouraged, wherever possible, to provide employees with the flexibility to pursue professional development opportunities.

2. It is understood that the privilege of continuing in this program is contingent upon satisfactory academic performance in accordance with standard University regulations. **If an employee fails a course, s/he is not eligible to enroll in another course for a year.** S/he does have the option to withdraw from a course during the withdrawal period but overuse of this alternative may warrant withdrawal of this benefit.

3. To enroll in a class, the employee must obtain an “Application for Tuition Free-Course(s)” from Human Resources. You may enroll following the pre-registration for full-time Colgate students prior to the beginning of the semester or at any time until the end of the drop/add period at the beginning of the semester. The Registrar’s Office will provide information regarding space availability. You must obtain the signature of the instructor of the course on the “Application for Tuition Free-Course(s)” Form.
4. Enrollment may not displace a full-time Colgate student from class.

5. The employee must pay a registration fee of $20.00 for each course attempted and a receipt from the Office of Accounting and control must be submitted with the signed application form to the Registrar's Office by the end of the drop/add period in any term.

6. If employment at Colgate is terminated and the termination date is on or before drop/add, eligibility for this benefit ceases and the employee is responsible for full tuition. If the termination date is after drop/add, the course may be completed under the terms of this benefit. Employees in regular positions and their spouses/domestic partners are eligible to take one Colgate course per term without any tuition charge under the following conditions:

**Spouses/Domestic Partners:**
Spouses of regular full and regular part time benefit eligible employees are eligible to take two Colgate courses per term without any tuition charge subject to conditions 2 through 6 above. Those wishing to take more than two courses in any term may do so at a cost of one-half tuition for each additional course. Spouses of interns and employees in comparable positions are not eligible for this benefit.

Colgate employees, their spouses or domestic partners interested in obtaining a Colgate degree will need to apply through Colgate’s Office of Admission. This application process should take place once a minimum of four Colgate courses have been completed but not later than having completed eight Colgate courses. Anyone considering matriculation should talk with the Associate Dean of the Faculty as soon as possible regarding their course selection.

Application materials may be obtained from Colgate’s Admission Office. Transfer admission information can be found in Colgate’s Admission with Advance Standing booklet or on the website: [http://offices.colgate.edu/admission/applying/transfer.asp](http://offices.colgate.edu/admission/applying/transfer.asp). Admission criteria for employees/spouses/domestic partners are similar to Colgate’s admission standards for non-employees. Questions about the Admission process should be directed to the transfer coordinators in the Office of Admission.

**Taxability of Tuition:**
IRS regulations govern the taxability of tuition benefits. Please contact Human Resources for more information.

**Tuition-Reimbursement: Work Related Courses**
As evidence of its commitment to academic achievement and professional development, it is the policy of the University to assist staff members by providing tuition benefits for them to enroll in work-related courses and degree programs at the undergraduate level of educational institutions other than Colgate. A staff member must complete three months of employment before becoming eligible for this benefit. Under this plan, staff members holding continuing appointments and working regular schedules of half-time or more will be eligible to take work-related courses. This benefit applies to members of the Administration, B&G, Technical and Support staffs. Staff members working regular schedules of less than half-time and those working temporary appointments are not eligible to participate in the plan.
This benefit provides some reimbursement for tuition for undergraduate courses which are related in a direct or general way to the employee's work and professional development. A “work-related” course is one in which the course content is of significant assistance to the employee in his/her present duties and responsibilities or in his/her professional development. Courses that are not directly related to a specific job, but form part of a work-related degree program may also qualify for this benefit. Courses attended under this policy will be taken at educational institutions other than Colgate and normally classes will not be scheduled during working hours. An employee may, with the supervisor's approval, apply to take courses during working hours if the department's needs continue to be met and if co-workers are not adversely impacted by the employee's attendance in the class. Staff members may take up to two courses per semester and no more than three courses in a year under this program.

If approved, reimbursement will be made at 100% of tuition and fees up to $1,970 per academic year. A grade of C or better is required to obtain reimbursement. If the employee is dependent upon University funding for payment of the course, prior approval is required. Approval will be made by the Human Resources Consultant. Staff members should complete the application for taking work-related courses and submit the form to his/her supervisor. Applications are available in the Human Resources Department.

If approval for taking a course is denied, an employee may request a review of the decision by the Vice President for Finance and Administration. The Vice President requests that the written appeal be forwarded with reasons for reconsideration.

**Benefits for Retired Employees**

**Normal Retirement**
Post-Retirement benefits are provided to employees who retire from Colgate University after attaining at least age 65 and after completing at least 10 years of continuous full-time or regular part-time active employment with the University.

**Early Retirement**
Post-retirement benefits also are provided to employees who retire from the University after attaining at least age 62 and after completing at least 15 years of continuous full-time or regular part-time active employment with the University.

For more information regarding eligibility for normal and early retirement, see “Retirement” on page 68.

For University employees who were hired before July 1, 2012, and who satisfy the age and service eligibility requirements described above, the level of post-retirement benefits is determined by the date of retirement as follows:

**For retirements prior to July 1, 1996**
Please contact Human resources for more information.
For retirements between July 1, 1996 – June 30, 2006
Paid life insurance in the amount of $2,000.
Health insurance supplement to Medicare with a prescription drug benefit.
Medicare Part B reimbursement of $40/month with no increases.
No dental insurance.

For retirements July 1, 2006 and after
Paid life insurance in the amount of $2,000.
Health insurance supplement to Medicare with a prescription drug benefit.
No Medicare Part B reimbursement.
No dental insurance.

Benefits provided to eligible retired employees of Colgate will be provided on the same basis and to the same extent as such benefits are provided for full-time employees, except as noted, and such retired employees may be required to contribute toward such benefits depending upon the cost to the University.

Insurance Premiums
Colgate’s contribution toward the cost of health and prescription drug coverage for all retirees (regardless of age or eligibility for Medicare) will be based on the cost of the Supplement to Medicare. If available, retirees may choose to enroll in an alternative plan, but will have to pay the difference between the full premium and the amount Colgate contributes towards the Medicare supplemental coverage.

For University employees who were hired after June 30, 2012, and who satisfy the age and service eligibility requirements described above, post-retirement benefits are determined as follows:

No dental insurance.
No life insurance.
Access to health insurance that is funded, in part, through a “defined contribution” healthcare plan, as follows:

- Beginning upon an employee’s attainment of age 40 (or date of employment, if later), the University will begin making monthly contributions to a tax-exempt trust. Trust accumulations will be applied at the time of retirement to pay premiums for health insurance coverage made available through Emeriti Retirement Health Solutions, a non-profit consortium that provides retiree healthcare products to a number of institutions of higher education throughout the country (“Emeriti”).
- For 2012 – 2013, the University’s annual contribution to the trust shall equal $62.50 per month ($750 annualized) per eligible employee. This contribution amount is scheduled
to increase by 3 percent each year. Employees may make additional voluntary (after-tax) contributions to a separate trust as another means to save for post-retirement healthcare costs.

- Contributions to the trusts will be allocated to separate subaccounts for covered employees. Employees will be responsible for providing investment directions to TIAA-CREF, who will be engaged as the investment manager.
- After retirement, contributions and earnings accumulated in the trust account(s) for an eligible retiree will be applied to pay the premiums on the applicable Emeriti health insurance, or any other health plan, for the retiree and the retiree’s eligible dependents. When a retiree’s trust accumulations are exhausted, the retiree must pay future premiums from the retiree’s other (personal) resources, if the retiree wishes to continue the selected coverage.

Full details of all post-retirement benefits are described in the formal plan documents that govern the rights of eligible retirees. Employees should not rely on the summaries described above. Further, the University reserves the right to modify or discontinue any or all of the benefits provided to retirees at any time. Employees and retirees shall never be considered vested in any right to the post-retirement benefits described above.

**Wellness Program - 'Gateway to Health**

Colgate University recognizes the importance of maintaining and promoting the health and well-being of its employees. The employee wellness program, 'Gateway to Health, provides employees with opportunities to improve their health, to exercise, and to learn how to achieve “wellness.”

Articles concerning health and wellness information and activities appear in *The Open 'Gate*, the monthly campus newsletter. Colgate subscribes to *Top Health*, a wellness publication. A copy is sent to each department for posting on bulletin boards. The Human Resources Department sponsors other events that focus on wellness including classes (aerobics, water exercise, yoga), brown bag lunches, wellness fairs, and Weight Watchers at Work (contact Human Resources for more information).
SECTION VIII: CAMPUS RESOURCES

Admission to University Events (ID Card)
All Colgate employees (except for those hired on an event or on-call basis) will be issued an official Identification Card. This card may be used to indicate eligibility for free admission to many Colgate athletic and cultural events, for the purchase of tickets for family members at discounted rates, and to obtain the employee discount at the Bookstore. Employees are entitled to use University athletic facilities and equipment at times designated by the Division of Physical Education and Athletics (see Athletic Facilities below). Employees are also entitled to library privileges and to receive discounted rates at the Seven Oaks Golf Course.

The Picker Art Gallery, located in the Charles A. Dana Arts Center, has enriched the educational and cultural life of a broad community since 1966. It is the place on campus for all people to develop and pursue their interests in the visual arts. The Picker Art Gallery encourages all interested persons in the Mid-York area to take full advantage of its permanent collection, free exhibitions, and special events.

Athletic Facilities [http://athletics.colgate.edu/](http://athletics.colgate.edu/)
The following facilities are available for use by employees:

**Huntington Gymnasium**
- Wm. Brian Little Fitness Center
- racquetball, squash, handball courts
- basketball courts
- gymnasium facilities
- sauna
- climbing wall
- locker room facilities
- equipment issue room

**Lineberry Natatorium**
An L shaped 50 meter 6 lane pool with a 50 yard competition area and diving stations.

**Base Camp, Outdoor Education Program**
Outdoor Equipment Rental Center with an extensive inventory of camping, backpacking, skiing and snowshoe equipment.

**Reid Athletic Center**
- ice rink
- bowling lanes
- basketball court
Sanford Field House
- 200 meter jogging/walking track
- four indoor tennis courts
- batting cage

Colgate Boat House
Sailing, canoeing and rowing on nearby Lake Moraine.

Seven Oaks Golf Course
Robert Trent Jones championship course and practice range. Employees receive discounted rates and can pay membership fees by payroll deduction.

Abrahamson Tennis Courts
Nine outdoor cork-turf courts (three singles and six doubles).

Trap Range
Trap range and clubhouse facility.

Bookstore  www.colgatebookstore.com
The Colgate Bookstore is located in the center of downtown Hamilton. Upon presentation of the employee's identification card, employees are entitled to a 10% discount on most purchases that total more than $2. The Bookstore has textbooks, other books, stationery, greeting cards, office supplies, CDs, computers and Colgate memorabilia.

Campus Safety  http://offices.colgate.edu/campus_safety/
The Colgate Campus Safety Office is located at 88 Hamilton Street. The office may be reached by telephone by dialing ext. 7333 on campus or, from off campus by dialing 228-7333. The Campus Safety Department reports to the Dean of the College, and is responsible for providing emergency response on campus, and for providing Campus Safety services to the university community. Campus Safety staff regularly patrols the campus seven days per week, 24-hours per day.

Information Technology Services
http://www.colgate.edu/offices/support/informationtechnology/aboutits/itspolicy

Information Technology Services (ITS) provides a wide variety of computer services to the Colgate community. Its primary mission is to develop, enhance and support electronic resources that foster the exchange of information and ideas among students, faculty, staff and the world.

A campus-wide high speed network connects over 4,500 computers in residence halls, classrooms, and faculty and administrative offices. The network provides connection to the Internet as well as communication services including electronic mail, electronic conferencing, video bulletin boards, a web-based campus wide information system and teleconferencing.
ITS offers computer short courses for staff and faculty throughout the year and runs the HELPLINE – a telephone service that provides quick answers to computing questions.

**Dining Facilities**
Merrill House [www.colgate.edu/studentlife/dining/menus.html](http://www.colgate.edu/studentlife/dining/menus.html) (the faculty/staff dining room), the Coop, the Pub, Cutten and Curtis E. Frank Dining Halls, Edge Café, and The Juice Bar (in Huntington) are locations on campus where dining services are available for employees. Colgate also operates the Barge Canal Coffee Company, a coffee house on Lebanon Street in downtown Hamilton. Employees who use their ‘Gate Card at Frank Dining Hall and the Edge Café

**Health Services**
Health Services provides high quality, convenient, accessible, confidential and cost-effective health care as well as educational and preventive services for students. While their primary mission is to provide student medical care, Health Services staff members are available to monitor health concerns for employees such as blood pressure and weight management. They also administer annual flu shots and travel immunizations for faculty and staff. Health Services handles OSHA training for certain departments and teaches first-aid and CPR.

The Health Services Center is not available for the treatment of illness or injuries that require on-going care.

**Human Resources Department**
[http://www.colgate.edu/offices/administrative/humanresources](http://www.colgate.edu/offices/administrative/humanresources)
The Human Resources Department seeks to provide leadership and expertise on human resource issues by serving as internal consultants to University employees. It is the goal of the Human Resources Department to develop and support a quality workforce, to attract and retain quality employees, to facilitate open, two-way communications between supervisory and staff personnel, to develop and maintain a climate of mutual trust, confidence and sensitivity to the needs of the employee and the University, and to build and enhance motivation, a spirit of cooperation and of job satisfaction. The Human Resources Department serves as advocates for equity and diversity, strives to provide excellent customer service and to strengthen and support the University through the human dimension.

**Libraries** [http://exlibris.colgate.edu/](http://exlibris.colgate.edu/)
Two libraries serve the Colgate Community. The Everett Needham Case Library houses collections in the humanities and social sciences; the George R. Cooley Science Library located in McGregory Hall serves the physical and biological sciences, mathematics, computer science and psychology. The mission of both libraries is to provide the Colgate community with outstanding collections and sophisticated information services in support of the university’s educational program. Employees are entitled to use both libraries and books may be borrowed for a two-week period upon presentation of the employee I.D. card.
Lost and Found
The campus lost and found operation is coordinated by the Campus Safety Office located at 88 Hamilton Street.

Mail Services [http://www.colgate.edu/offices/support/mailservices](http://www.colgate.edu/offices/support/mailservices)
The Mail Services Department, located on the lower level of the O'Connor Campus Center, provides services through the campus mail delivery system and through its role as a contract station of the U.S. Postal Service. Postal services include money orders, registered mail, certified mail, parcel post, and the sale of all postal supplies. All incoming mail to the University as well as outgoing mail is processed through the Colgate station. During the academic year, the station's hours are from 10:00 a.m. to 4:30 p.m. on Monday, 10:00 a.m. to 6:00 p.m. Tuesday through Friday, and 9:00 a.m. to 1:00 p.m. Saturday. When school is not in session the hours are 10:00 a.m. to 4:00 p.m. Monday through Friday. (Also see Section IX Mail Services on page 15.)

Document Services [http://www.colgate.edu/offices/support/documentservices.html](http://www.colgate.edu/offices/support/documentservices.html)
The Office of Document Services, located in the basement of the O'Connor Campus Center, provides a number of printing services. All work done by Document Services must be charged against the department code number and the charge approved in advance by the head of the department. The volume of work makes it imperative that sufficient lead time be given for work to be completed when needed. Shorter items which are needed on a rush basis can often be done the same day or on a one day turn-around basis. The Office of Document Services in coordination with the Office of Communications, also has facilities for typesetting, design, and layout of brochures, booklets, programs, posters, flyers, and tickets.

Purchasing [http://www.colgate.edu/offices/administrative/financeandadministration/purchasing.html](http://www.colgate.edu/offices/administrative/financeandadministration/purchasing.html)
The Purchasing Department is responsible for providing the necessary programs and services to procure all equipment and supplies for the University. As a centralized purchasing operation, the department's objective is to obtain equipment supplies and services in the most economical and efficient fashion.

Telephone Service
The telephone system owned by Colgate University provides rapid telecommunication service between campus telephones. The university maintains an online Contact Directory, which includes faculty, staff and students. Staff can access Colgate’s online directory at [http://www.colgate.edu/contactdirectory](http://www.colgate.edu/contactdirectory). Persons using Colgate phones for personal calls are expected to reimburse the University when the monthly statements for each extension are received in the departments.
SECTION IX: SEPARATION

Termination of Employment

Resignations
Employees who resign from the University should submit a letter to their immediate supervisor with a copy to the Associate Vice President for Human Resources. Although employees have a right to terminate their employment without advance notice, it is helpful to give as much notice as possible. Administrative employees are encouraged to provide at least one month's notice and Support Staff and Technical employees at least two weeks' notice.

Retirements

Normal Retirement is age 65 with ten or more years of service.

Early Retirement can occur at age 62 but the employee must have at least 15 years of active service at Colgate University.

- Employees who elect to leave Colgate between the age of 55 and 62, and who have at least 15 years of service at Colgate University, may be eligible for an unpaid leave of absence to age 62. During such leaves of absence, benefits will remain in effect but the employee must pay the costs quarterly in advance. At age 62, the employee is eligible to exercise early retirement as provided above.

- Employees who elect to leave Colgate at age 62, but who have not completed 15 years of service to Colgate University, may be eligible for an unpaid leave of absence to age 65. During such leaves of absence, benefits will remain in effect but the employee must pay costs quarterly in advance. The employee must have completed 15 years of continuous employment by the end of the leave of absence. At age 65, the employee is eligible to exercise normal retirement as provided above. These benefits are also provided to employees who are receiving benefits under Colgate's long-term disability insurance program.

Benefits for employees who retire are outlined on page 61 (Benefits for Retired Employees).

Involuntary Terminations

The University may terminate the employment of an individual at any time in accordance with the provisions of this Handbook.

Colgate may take disciplinary action, up to and including termination, against any employee for failing, in Colgate's sole discretion, to adhere to certain standards of behavior. Such failure is frequently reflected in certain actions by the employee, like some of those mentioned earlier in this Handbook, and including, but not limited to, the following examples:

- Failure to properly perform the duties or fulfill the responsibilities to which assigned, including wasteful and inefficient use of materials, supplies, or equipment;
- Working overtime without receiving prior authorization;
- Making unauthorized commitments or expenditures on behalf of Colgate;
• Failure to promptly notify Colgate of inability to report to work;
• Violations of Company safety policies, causing hazardous or dangerous situations, or failing to report and/or remedy such situations;
• Disregard for, abuse of or failure to comply with Colgate policies;
• Misuse of confidential or proprietary information pertaining to fellow employees or affairs of Colgate;
• Disobedience: failure through neglect or procrastination to follow instructions, procedures, and policies;
• Reporting for work under the influence of liquor, unauthorized prescribed drugs, or any other intoxicant.

It is not possible to list all the forms of behavior that are considered unacceptable in the workplace. You should not assume that your conduct and job performance is acceptable simply because you refrain from the above-listed examples of prohibited conduct.

Colgate expects employees to recognize that standards of performance will and do change as it strives to respond to changing circumstances and to meet its objectives for continued growth and improvement. As a result, employees should not assume that performance considered acceptable in the past will be acceptable in the present or future. Instead, employees should be guided at all times by a commitment to excel.

If there is a problem with the performance of a regular employee, the following procedures should normally be followed to ensure fairness and due process. Although these procedures are generally applied, they may be disregarded for appropriate reasons upon approval of the Associate Vice President for Human Resources.

A supervisor is responsible for providing, on a regular basis, accurate and objective evaluation of an employee's performance. The employee should understand the standards that are established for competent performance of the job. A supervisor should discuss any performance deficiencies with the employee. If improvement does not occur, the employee should receive a written communication from the supervisor that states the problem, outlines need for improvement, and indicates acceptable performance levels. A copy of this notice must be sent to the Associate Vice President for Human Resources for inclusion in the personnel record.

If improvement is not observed after a reasonable time, the supervisor should inform the employee in writing of goals to be achieved within a specific period of time and that employment may be terminated if satisfactory performance is not achieved. A copy should be given to the Associate Vice President for Human Resources. Any recommendations for termination of employment must be reviewed by the Associate Vice President for Human Resources, the appropriate Vice President or Dean of an executive division, and the President, as appropriate. (See Grievance Procedures on page 28.)

Although it is the University's policy to have progressive discipline prior to termination, circumstances may dictate a deviation from this policy. In addition, there may be circumstances which, because of their nature, will result in immediate termination of an employee without prior warning. This category
may include insubordination; sale, possession or unauthorized use of alcoholic beverages, unauthorized prescription drugs or illegal substances on campus; theft, misuse or destruction of University property (including computer data and software); willful mistreatment of fellow employees or students, including rude actions, abusive or obscene language; engaging in unsafe or destructive conduct; assault or fighting; inappropriate or disruptive behavior; threatening, intimidating, or coercing fellow employees on Colgate premises at any time and for any reason; unauthorized possession or concealment of firearms (loaded or unloaded) or other weapons on Colgate premises at any time; sexual harassment; falsification of any college record, including original employment application; unlawful, indecent or immoral conduct; dishonesty; or negligent actions which would cause injury to fellow workers or similar conduct or activity.

The supervisor must contact Human Resources prior to discharging a staff member to ensure consistency with University regulations.

**Termination Procedures**

Employees should contact the Human Resources Department for information and a checklist to assist them during termination of employment with Colgate. All University property, keys, and identification cards must be returned to the appropriate office.

The Human Resources Department may conduct an exit interview with terminating employees on or before their last day of work.

**Employment References**

All requests for employment and salary verification and for job references should be referred to the Human Resources Office.

Requests for personal and payroll information are considered confidential and proprietary and handled appropriately. Generally, without specific written authorization and release from an employee, only job title and employment dates will be released outside the University.