



Connecticut State University System

Developing a State of Minds

BR#04-37



RESOLUTION

concerning

HUMAN RESOURCES POLICIES FOR MANAGEMENT AND CONFIDENTIAL PROFESSIONAL PERSONNEL OF THE CONNECTICUT STATE UNIVERSITY SYSTEM (VERSION 2.0)

June 14, 2004

WHEREAS, The Human Resources Policies for Management and Confidential Professional Personnel have not been revised since 1997 (formerly called Personnel Policies), and

WHEREAS, An extensive review process has occurred in which suggestions for revision from Management and Confidential Professional Personnel through the Council on Employee Relations and the Council of Presidents were solicited, considered and incorporated wherever possible, therefore, be it

RESOLVED, That BR#97-62 is rescinded and the attached document entitled, Human Resources Policies for Management and Confidential Professional Personnel of the Connecticut State University System (Version 2.0), is herewith adopted by the Board of Trustees.

A Certified True Copy:

[Handwritten signature of Lawrence D. McHugh]

Lawrence D. McHugh
Chairman

Human Resources Policies
for
Management and
Confidential Professional Personnel

Connecticut State University System

Central Connecticut State University
Eastern Connecticut State University
Southern Connecticut State University
Western Connecticut State University

Approved by the Board of Trustees on June 14, 2004
Version 2.0

ARTICLE 1 — PURPOSE AND DISCLAIMER

1.1 Purpose

These policies are promulgated by the Board of Trustees for Connecticut State University System (the Board) to set forth the terms and conditions of employment of Management and Confidential Professional Personnel under Board jurisdiction. They have been amended effective June 11 2004, superceding and canceling all prior practices and agreements, whether written or oral unless expressly stated to the contrary herein.

1.2 Disclaimer

Nothing contained herein shall constitute a contract of employment and the Board of Trustees reserves the right to alter, amend, revise, or repeal these policies from time to time in whole or in part. Nothing contained in these policies constitutes a promise or guarantee of continuing employment or that benefits or policies contained herein will not be modified in the future. This booklet simply describes current benefits and policies, subject to change through the appropriate process.

1.3 Interpretation, Application and Modification of Human Resources Policies

Disputes concerning the meaning of these policies shall be reduced to writing and submitted to the CSU Chief Administrative Officer who will forward the documentation to the Council on Employee Relations (see Section 4.5). A meeting shall be convened of the Council on Employee Relations to hear the dispute and give the parties an opportunity to present information and respond to questions. Said Council shall make a written recommendation within thirty (30) calendar days to the CSU Chief Administrative Officer to resolve the dispute. Within a further fifteen (15) calendar days the CSU Chief Administrative Officer shall issue a written decision in the matter which shall be final and binding.

Periodically, these policies are revised or modified. Employees may make suggestions for alterations to these policies to their respective Chief Human Resources Officer.

ARTICLE 2 — DEFINITIONS

2.1 Professional Personnel

The term "professional personnel" includes all unclassified personnel, excluding those in the SUOAF-AFSCME and CSU-AAUP bargaining units, under the jurisdiction of the Board of Trustees. These employees, or persons, are referred to as Management Personnel or Confidential Professional Personnel.

2.2 The Four State Universities

The terms, "four State Universities" means Central Connecticut State University, Eastern Connecticut State University, Southern Connecticut State University and Western Connecticut State University.

2.3 Connecticut State University System

The words "Connecticut State University System" (CSU) include the Connecticut State University System Office, Central Connecticut State University, Eastern Connecticut State University, Southern Connecticut State University and Western Connecticut State University.

2.4 University Personnel

The term "university personnel" excludes personnel in the CSU System Office and refers to persons assigned to Central Connecticut State University, Eastern Connecticut State University, Southern Connecticut State University, Western Connecticut State University and the Connecticut State University Research Foundation.

2.5 The Board of Trustees for the Connecticut State University System

Except when specifically identified otherwise, the term "Board" means the Board of Trustees for the Connecticut State University System.

2.6 Chancellor

The term, "Chancellor" means the Chief Executive Officer of the Connecticut State University System.

2.7 President

The term "President" refers to a president of one of the four State Universities as defined in Article 2.2.

2.8 Vice President

The term "Vice President" refers to a vice presidential position at one of the four State Universities as defined in Article 2.2.

2.9 Connecticut State University System Office

The term "System Office" means the office housing the staff of the Board of Trustees for the Connecticut State University System.

2.10 Management and Confidential Professional Personnel

The term "Management Personnel" includes the Chancellor, Presidents, CSU Chief Officers, CSU Executive Officers, Vice Presidents, Associate and Assistant Vice Presidents, Executive Deans, Deans and such other persons as may be designated by the Chancellor or Presidents.

The term "Confidential Professional Personnel" includes those employees under these policies not designated as Management.

2.11 Full-time/Part-time

As used herein "full-time" means a position or an employee in said position whose regularly assigned hours of work are at least 40 hours per week. "Part-time" employees or positions are those that are less than full-time.

2.12 Non-Temporary Employee/Appointment

A non-temporary employee is any individual whose appointment is without term and may be terminated pursuant to Article 10.

2.13 Temporary Employee/Appointment

A temporary employee is any individual whose appointment is limited in duration, grant-funded, or whose letter of appointment indicates that employment ends on a specified date. A temporary appointment may also be terminated pursuant to Article 10.

2.14 Employer

As used herein the term employer shall mean either the Board, the Chancellor, the Presidents, or their designee, as appropriate.

ARTICLE 3 — PROFESSIONAL RESPONSIBILITIES

3.1 Non-Discrimination, Affirmative Action & Sexual Harassment

It is the legal, intellectual and moral responsibility, but more importantly, the policy of the leadership of the Connecticut State University System to advance social justice and equity by exercising affirmative action to remove all discriminatory barriers to equal employment opportunity and upward mobility. Accordingly, the University will, with conviction and effort, undertake positively to overcome the present effects of past practices, policies or barriers to equal employment opportunity, and to achieve the full and fair participation of all protected groups found to be underutilized in the workforce or adversely impacted by system policies and practices.

Similarly, it is the policy of the Connecticut State University System that sexual harassment is prohibited. This policy is a strong statement of our institutional commitment to have a community in which individuals can work and learn in an environment which fosters dignity and mutual respect, and it reaffirms our University's commitment to fair and equal treatment for all.

All personnel are expected to discharge their affirmative action responsibilities, in word and deed, consistent with this institution's objective of establishing and implementing affirmative action and equal employment opportunity.

Complaints alleging discrimination and sexual harassment will be investigated according to the complaint procedures adopted at each of the universities or at the System Office. Complaints must be filed with the individual responsible for affirmative action at the appropriate CSU location.

3.2 Chancellor of the Connecticut State University System

The Chancellor is responsible for implementation of all decisions and policies of the Board. The Chancellor is responsible for the operation of the Connecticut State University System and supervises the work of staff in the Connecticut State University System Office. The work of the CSU System Office includes, but is not limited to: academic affairs; student affairs; budgeting; financial management; personnel matters including affirmative action and collective bargaining; institutional research; telecommunications; and information technology. The Presidents report to the Chancellor and are responsible to the Chancellor for the effective management of their institutions.

The Chancellor shall keep the Board fully informed on all aspects of the Connecticut State University System. He or she prepares the agenda for Board meetings, provides adequate notice of the meetings as required by state statute and Board policy, and maintains records of the Board's actions. The Chancellor or designee acts for the Board and represents the Board, the Connecticut State University System, and the four universities to other units of state government.

In the absence of Board policy, the Chancellor determines appropriate action and need for policy. The Chancellor is empowered to issue administrative directives and to call for

reports. The Chancellor may direct transfers of funds among the universities and CSU System Office whenever such transfers, in the Chancellor's judgment, provide the best management and operation of the Connecticut State University System. The Chancellor shall report such transfers to the Board.

The Chancellor may define categories of students to insure appropriate designation for purposes of fee payment and uniform enrollment reporting.

3.3 Presidents of the Four State Universities

Each of the four Presidents is the Chief Executive Officer of the University to which appointed, and reports to the Chancellor. In the capacity of Chief Executive Officer, the President is responsible for meeting stated missions, the executive management of the university and promoting its development and effectiveness within approved Board policy. In addition, the President is responsible for the welfare of all students and employees at the university.

3.4 The Management and Confidential Professional Staff of the Connecticut State University System Office

The professional staff of the Connecticut State University System Office shall be the Chancellor and the Management and Confidential Professional staff to the Chancellor. Duties and responsibilities of the Chancellor shall be as assigned by the Board of Trustees. The duties and responsibilities of professional staff shall be assigned by the Chancellor or designee.

3.5 The Management and Confidential Professional Staff of the Four State Universities

Each of the four State Universities shall have a President and such other Management or Confidential Professional Personnel as are specifically approved by Board policy. Duties and responsibilities of the President shall be as assigned by the Board and/or by the Chancellor, except that the assignments made by the Chancellor shall not negate duties and responsibilities assigned by the Board. Duties and responsibilities borne by university-based Management and Confidential Professional Personnel shall be as assigned by the President or designee.

3.6 Special Responsibility of the Chancellor and the Presidents of the Four State Universities

The management and operations of the Connecticut State University System depends upon the leadership and oversight exercised by the Chancellor and Presidents. When the Chancellor is to be absent from the office and inaccessible for a period of more than a day, except for an absence which occurs because of a state holiday, then he or she shall inform the Board's Chairperson of the planned absence, as well as who has been assigned the responsibility for the management of the CSU System Office. Similarly, when a President is to be absent from the office and inaccessible for more than a day, the President shall inform the Chancellor of the planned absence, as well as who has been assigned the responsibility for the university.

3.7 Reporting Attendance

Management and Confidential Professional Personnel are required to report their work attendance in the manner prescribed by the Chancellor or by the President, as appropriate.

3.8 Address and Telephone Number

Management and Confidential Professional Personnel have specialized skills and knowledge essential to the operation of The Connecticut State University System. For this reason it is essential to be able to contact such persons in the case of emergencies or other unusual circumstances.

All Management and Confidential Professional Personnel shall file home addresses, telephone numbers and emergency contacts with the Chancellor or the President, as appropriate. Whenever an address or a telephone number is changed, the new address or telephone number must be reported immediately to the Chancellor or the President. Persons who wish their addresses and/or telephone numbers kept confidential must so inform the Chancellor or the President. In such cases, an effort will be made to protect confidentiality.

3.9 Code of Ethics Standard

All state officials and employees, including all Management and Confidential Professional employees of the CSU System must comply with the Code of Ethics. The ethical rules are contained in Connecticut General Statutes §§1-84 through 1-86. These sections are intended to prevent one from using their public position or authority for personal financial benefit.

3.9.1 Financial Disclosure

Certain public servants in significant positions (*all personnel who exercise significant policymaking, regulatory, or contractual authority*) in the Legislative and Executive Branches of State Government and the State's Quasi-Public Agencies must file annually with the Ethics Commission by May 1, statements of financial interests held during the previous year. These CSU Management employees are identified by the Chancellor for the System Office and by the Presidents for the universities.

Any "necessary expense" payments received in the capacity of a state employee if lodging and/or out-of-state travel is included, unless provided by the Federal Government or another state government must be disclosed to the Commission within thirty (30) days.

Also, whenever a gift to the state incidentally benefits a public official or state employee in the amount of fifty dollars (\$50.00) or more and is donated by an individual or entity regulated by, doing business with, or seeking to do business with the recipient agency, the individual's superior, shall certify in writing to the Ethics Commission, prior to the acceptance of the benefit, that the gift, in fact, facilitates state action or functions and is sanctioned by the recipient agency, notwithstanding any potential conflict of interests.

An example of such a gift to the state is when a regulated entity pays the cost for a state regulatory employee to take a course relevant to his or her area of expertise.

3.9.2 Questions About the Ethics Code

Anyone subject to the Code may request the Commission's advice (advisory opinion) as to how the Code applies to a situation. The Commission staff also provides informal advisory letters when the question posed is unambiguous or has been previously addressed by a Commission opinion. Finally, staff are available to discuss application of the Code to particular issues on a confidential basis.

Questions about the above information or requests for more information about the Ethics laws, may be addressed to:

State Ethics Commission
20 Trinity Street
Hartford, CT 06106-1660
Phone: 860 566-4472 Fax: 860 566-3806
Hours: Weekdays 8:30 a.m. - 4:30 p.m.
Web Page: <http://www.ethics.state.ct.us> or refer to C.G.S., Chapter 10, Part 1

The full Guide for Public Officials & State Employees can be viewed by going to: http://www.ethics.state.ct.us/Regs_and_Code_Information/pocode.htm

3.9.3 Political Activity and Employment

Political activity of state employees is governed by both the Federal Hatch Act and Connecticut General Statute. To avoid conflicts with the law, employees who are considering running for political office must notify the human resources office prior to initiating a campaign to determine if the state or federal laws apply and to determine whether an accommodation will be needed or possible.

ARTICLE 4 — THE DECISION MAKING PROCESS

In order to enable the Connecticut State University System to benefit from the knowledge and experience of the entire management group, the Board of Trustees has established systemwide councils to advise the Chancellor and the members of his/her staff.

4.1 Council of Presidents

The Council of Presidents (COP) is made up of the Chancellor and the Presidents of the four State Universities. It is advisory to the Chancellor. It is presided over by the Chancellor and meets upon the Chancellor's call.

4.2 Council on Academic Affairs

The Council on Academic Affairs made up of the CSU Chief Academic Officer, the four university Vice Presidents for Academic Affairs and appointees of the CSU Chief Academic Officer. It advises the CSU Chief Academic Officer in academic matters. It is presided over by the CSU Chief Academic Officer or designee of the Chancellor. It meets at the call of the Chancellor, the CSU Chief Academic Officer or designee of the Chancellor.

4.3 Council on Finance and Administration

The Council on Finance and Administration is made up of the CSU Chief Financial Officer, the four university Chief Financial Officers and appointees of the CSU Chief Financial Officer. It advises the CSU Chief Financial Officer in administrative matters. It is presided over by the CSU Chief Financial Officer or designee of the Chancellor. It meets at the call of the Chancellor, the CSU Chief Financial Officer or designee of the Chancellor.

4.4 Council on Student Affairs

The Council on Student Affairs is made up of the four university Chief Student Affairs Officers or designees and appointees of the CSU Chief Academic Officer. It advises the CSU Chief Academic Officer on matters concerning students. It is presided over by the CSU Executive Officer for Academic Affairs and Research: Student Life and Student Learning or designee of the Chancellor. It meets at the call of the Chancellor, the CSU Chief Academic Officer or designee of the Chancellor.

4.5 Council on Employee Relations

The Council on Employee Relations is made up of the four university Chief Human Resources Officers and appointees of the CSU Chief Administrative Officer. It advises the CSU Chief Administrative Officer in personnel matters. It is presided over by the CSU Executive Officer for Human Resources or designee of the Chancellor. It meets at the call of the Chancellor, the CSU Chief Administrative Officer or designee of the Chancellor.

4.6 Council on Information Technology

The Council on Information Technology is made up of the four university Chief Information Officers or designees and appointees of the CSU Chief Information Officer. It advises the CSU Chief Information Officer on matters concerning information technology. It is presided over by the CSU Chief Information Officer or designee of the Chancellor. It meets at the call of the Chancellor, the CSU Chief Information Officer or designee of the Chancellor.

4.7 Institutional Research Council

The Institutional Research Council is made up of the four university directors of institutional research or designees and appointees of the CSU Chief Academic Officer. It advises the CSU Chief Academic Officer in institutional research and planning matters. It is presided over by the CSU Director of Institutional Research or designee of the Chancellor. It meets at the call of the Chancellor, CSU Chief Academic Officer or designee of the Chancellor.

4.8 Connecticut State University Committees

The Chancellor has authority to establish other systemwide committees on a standing or ad-hoc basis and shall designate the chairpersons of such committees. Said committees shall be advisory to the Chancellor and shall meet upon the call of the Chancellor or the Chancellor's designee.

ARTICLE 5 — PROFESSIONAL DEVELOPMENT

5.1 Professional Development

The Board recognizes that professionals must have opportunity to keep abreast of developments in their fields, to sharpen their skills and to increase their knowledge. The various types of leaves provided in paragraphs 8.8, 8.9 and 8.10 are intended to provide opportunity for such professional development.

Employees may be granted reimbursement for coursework, provided the request is made and approved by the President/Chancellor in advance of scheduling the coursework and increases an employee's value to CSU by improving professional skills.

5.2 Travel

Travel is an important ingredient in the development of professional skills. The Board requires the Chancellor to set reimbursement standards and rates for Management and Confidential Professional Personnel which shall be not less than the most favorable granted to any employees of the Board of Trustees who are covered under a prevailing bargaining unit contract.

Following approval by the President/Chancellor, employees shall have the right to make their own travel and lodging arrangements and to purchase their own tickets without seeking approval of any outside agency.

Consistent with the *CSU Travel Policies and Procedures*, a person who is required to travel out-of-state on business may be provided with a cash advance if such is requested. Such requests shall not be unreasonably denied. At the conclusion of the trip, proper vouchers or receipts to justify the advance shall be filed. If the advance taken was less than justified, the traveler shall be reimbursed for the amount of the out-of-pocket expenses within 30 days of filing the required expense report. If the advance taken was more than justified, the employee shall return the excess amount within 15 business days after completion of the trip.

For additional details concerning travel, refer to the *CSU Travel Policies and Procedures*.

ARTICLE 6 — APPOINTMENTS

6.1 Chancellor

The Chancellor is appointed by the Board. Temporary appointments, as defined in Section 2.12, end on the date specified. Non-temporary appointments are without term and may be terminated by the Board pursuant to Article 10.

6.2 Presidents of the Four State Universities

Presidents of the four State Universities are appointed by the Board. Temporary appointments, as defined in Section 2.12, end on the date specified. Non-temporary appointments are without term and may be terminated by the Board pursuant to Article 10.

6.3 Management and Confidential Professional Personnel Assigned to the CSU System Office

Management and Confidential Professional Personnel in the System Office are appointed by the Chancellor. Temporary appointments, as defined in Section 2.12, end on the date specified. Non-temporary appointments may be terminated pursuant to Article 10.

6.4 University Management and Confidential Professional Personnel

University Management and Confidential Professional Personnel are appointed by the President. Temporary appointments, as defined in Section 2.12, end on the date specified. Non-temporary appointments may be terminated pursuant to Article 10.

6.5 Faculty Appointed as Management or Confidential Professional Personnel

When faculty or other ten-month employees are appointed to Management or Confidential Professional positions at a time other than the beginning of the academic year, they shall be paid a lump sum for any prior service completed.

6.6 Appointment of Acting Officers

When a Management position or a position assigned to Confidential Professional Personnel becomes vacant because of resignation, retirement, illness, sabbatic leave or any other cause, the Chancellor or the President, as appropriate, may appoint an employee of the Board or any other qualified person to fill the position on an acting basis in accordance with the Management and Confidential Professional Classification and Compensation Policy concerning temporary assignments (see also Article 6.7). Acting appointments may be discontinued at any time by the Chancellor or the President, as appropriate. A person who is an employee of the Board and who accepts an acting appointment may receive a non-temporary appointment to the position in which such a person is serving in an acting capacity, provided such a non-temporary appointment is made in accordance with existing Board and human resources policies, as well as affirmative action rules and procedures.

6.7 Temporary Appointments to Management or Confidential Professional Positions from a Bargaining Unit Position

6.7.1 Salary Determination

When a member of a bargaining unit is temporarily appointed to a Management or Confidential Professional position within Connecticut State University, their salary shall be expressed as what they would receive had they remained in their bargaining unit position plus any additional biweekly amount they may receive for the period they serve in the Management and Confidential Professional position. The salary adjustment shall conform to the Management and Confidential Professional Classification and Compensation Policy concerning temporary assignments. Faculty or other ten-month employees shall not be paid lump sums for prior service completed.

6.7.2 Salary Adjustments and Benefits

At such times as salary adjustments are considered for non-temporary Management and Confidential Professional employees, the salary of the temporary Management or Confidential Professional employee may also be adjusted, if the employee meets all other conditions for consideration of a Management or Confidential Professional salary increase.

Individuals serving temporarily as a Management or Confidential Professional employee shall be entitled to all benefits provided under these Policies. Upon return to bargaining unit status, instructional faculty members shall be compensated for unused accrued vacation leave at the daily rate they last earned as a Management or Confidential Professional employee. Temporary Management or Confidential Professional employees who return to their former bargaining unit position shall immediately return to the biweekly pay rate they would have received if they had never left and continued to be paid at that rate without a break in pay schedule.

6.8 Consultants and Temporary Workers

The Chancellor and the Presidents are authorized to employ consultants and other temporary workers, provided such employment does not violate an existing collective bargaining agreement or other state regulation and provided the funds expended are within the budgetary provisions approved by the Board.

6.9 Faculty and Administrative Bargaining Unit Ranks

As part of an employment package, a prospective employee may only be offered academic department status following appropriate faculty consultation procedures. Employees shall not seek assignment of faculty rank, promotion from a former faculty rank, or assignment to administrative rank, while under the aegis of these policies.

6.10 Emeritus Status

When the President/Chancellor believes it appropriate, emeritus status may be conferred upon managers and confidential professional persons. Ordinarily, emeritus status will be conferred only upon persons who have ten (10) years or more of service to Connecticut State University, who are 55 years of age or older, and who have retired from the service of the state of Connecticut. The following privileges are provided for emeriti who were employed on one of the four universities immediately prior to leaving the service of the CSU System: use of the emeritus title, library privileges, computer account, course privileges as provided for employees under Article 7.9, desk space if available, a printed certificate, invitations to functions at the university to which assigned immediately before leaving the service of the CSU System and inclusion on the mailing list for all publications issued by the university to which assigned immediately before leaving the service of the CSU System.

Emeriti who were employed in the CSU System Office immediately before leaving the service of the CSU System shall be provided the following privileges: use of the emeritus title, library privileges at all four universities, computer account, course privileges as provided for employees under Article 7.9, desk space if available, and for the Chancellor, CSU Provost and CSU Chief Officers, up to four (4) hours of clerical service per month.

ARTICLE 7 — EVALUATION, PERSONNEL FILES, COMPENSATION, AND BENEFITS

7.1 Evaluation of Chancellor and Presidents

The Chancellor and Presidents shall be evaluated in conformance with Board policy.

7.2 Evaluation of Management and Confidential Professional Personnel

The Chancellor/President shall evaluate those employees who report directly to the Office of the Chancellor/President. Designees of the Chancellor/President shall evaluate the performance of Management and Confidential Professional personnel who report to them. Such evaluations shall take place annually, except that more frequent evaluations may occur at the discretion of the evaluator. Evaluations will be based upon objectives established for the period since the last evaluation and upon the individual's accomplishments during that period of time. The evaluation schedule and instrument shall be determined by the Chancellor for the System Office and by the President for each university.

Each employee shall be shown the original evaluation and shall sign and date such evaluation indicating that the document has been reviewed. Employees may append statements to the evaluation within a ten-day (10-day) period following signature.

7.3 Personnel Files

Personnel files shall be maintained in accordance with the Personal Data Act (C.G.S. 4-190 et seq.)

A. General

1. Official employee files located in the Human Resources Office shall include, but not be limited to, application for employment and supporting documentation, recommendations, evaluations, disciplinary actions, benefit-related forms and correspondence reasonably related to personal status of employees. These files shall be maintained under the direction of the Chief Human Resources Officer. A subset of these files related to payroll may be separately maintained in the Payroll Office by the designee of the Chief Financial Officer. Reasonable precautions will be taken to maintain personnel files in a secure location and to protect these files from natural disaster or other physical threat.
2. The purpose of maintaining these files is to keep accurate records for payroll, retirement, employment, job-related communications, disciplinary actions and other activities related to on-the-job performance and state employee status. The personnel file is a manual file augmented by a personnel/payroll software system.
3. Each employee file shall contain a five-year (5-year) log of every instance of access to that file except by the Chancellor/President, Chief

Administrative Officer, Chief Human Resources Officer, and the staff charged with the Human Resources responsibilities.

B. File Access to Individual Employees

1. Employees shall have access to their personnel file at the mutual convenience of the Human Resource Office staff, and the employee. Nothing may be added, removed, or altered, in a personnel file by the employee except upon the agreement of the Chief Human Resource Officer, or designee.
2. Upon employee request, a copy of any document(s) within the file shall be given to the employee within a reasonable period of time.
3. Employees wishing to contest the accuracy, completeness or relevancy of documents in the personnel file shall submit a request for addition, deletion, or correction, in writing to the Chief Human Resources Officer. The dated request shall provide detailed reasons for the proposed change. The decision in the matter by Chief Human Resources Officer shall be final, binding, and issued within thirty (30) days of the initial written request. Contents of Chief Human Resource Officer's file may only be changed upon the agreement of the Chancellor/President.

C. Access and Disclosure to Individuals or Groups Other than the Employee

An employee's file may be opened to an outside party pursuant to and in accordance with the Freedom of Information Act and other relevant laws. An affected employee shall be promptly notified of any such request.

7.3 Salary Adjustment Policy

The Board recognizes the dedication and professional accomplishments of the Management and Confidential Professional Personnel and is committed to compensating such persons fairly. Salary adjustments shall be administered in accordance with Board and System policies.

7.3.1 Salary Ranges

Each Management and Confidential Professional title, with the exception of the Presidents and Chancellor, is assigned to a salary range. The assignment of new titles to ranges and the reassignment of existing titles to new ranges shall be pursuant to the Classification and Compensation Policy.

7.3.2 Salary Adjustments for the Chancellor and Presidents of the Four State Universities

Initial salary offers and salary adjustments for the Chancellor and Presidents shall be pursuant to Board policy.

7.3.3 Salary Adjustments for Management and Confidential Professional Employees

Salary adjustments for Management and Confidential Professional Personnel shall be pursuant to Board policy. All salary adjustments shall fall within the ranges established for the positions by the Board. The effective date for annual salary adjustments shall be the beginning of the pay period which includes July 1. No one employed less than three (3) months as a Management/Confidential Professional employee shall be eligible for consideration for a salary increase. Anyone who will not be employed in a Management or Confidential Professional position as of the first day of the upcoming academic year, for any reason including, but not limited to resignation, retirement, return to a bargaining unit position, or non-continuation, will not be eligible for the salary adjustment, nor will the employee's salary be included for calculation of the salary increase pool.

Once each year, the Board shall separately consider the salaries of the CSU Chief Administrative Officer and any other employee designated by the CSU Chief Administrative Officer as instrumental in collective bargaining over economic matters.

7.3.4 Reporting Salary Adjustments

All salary adjustments for Management or Confidential Professional personnel shall be reported on the CSU-1 form immediately following the effective date of the increase.

7.4 Longevity

Semi-annual longevity payments shall be provided to Management and Confidential Professional Personnel. Longevity payments shall be provided for eligible employees as follows:

7.4.1 Increment Value

The increment value for longevity purposes shall be 3.315 percent of base annual salary.

7.4.2 Payment Dates

Such semi-annual longevity payments shall be made at the last pay day in April and October, respectively, of each year, except that a retiring employee shall receive, the month immediately following retirement, a prorated payment based on the proportion of the six-month period served prior to the effective date of retirement.

7.4.3 Semi-annual longevity payments shall be calculated as follows

7.4.3.1 10 - 14 Years of State Service

An employee who has completed 10 or more years of satisfactory state service but less than 15 years of such service, shall receive an amount equal to one-fourth (1/4) of the increment established by Article 7.4.1.

7.4.3.2 15 - 19 Years of State Service

An employee who has completed 15 or more years of satisfactory state service but less than 20 years of such service, shall receive an amount equal to one-half (1/2) of the increment established by Article 7.4.1.

7.4.3.3 20 - 24 Years of State Service

An employee who has completed 20 or more years of satisfactory state service but less than 25 years of such service, shall receive an amount equal to three-fourths (3/4) of the increment established by Article 7.4.1.

7.4.3.4 25 or More Years of State Service

An employee who has completed 25 or more years of satisfactory state service shall receive an amount equal to the increment established by Article 7.4.1.

7.5 ARP Disability Plan

Employees who are members of the Alternate Retirement Plan (TIAA) shall be covered at no expense to the employee by a CSU group disability plan – six-month elimination with annual benefit increase provision.

7.6 Group Life Insurance

Employees shall continue to be eligible to participate in the state's group life insurance plan pursuant to Section 5-257 of the Connecticut General Statutes under the most favorable arrangement available to any Connecticut State University employee.

7.7 Payroll Deductions

Upon the request of the employee, the Board shall provide optional payroll deductions for credit unions, tax shelter annuities, and like plans when such deductions are authorized for payroll deduction within CSU.

7.7.1 Overpayment Recovery

When the University determines that an employee has been overpaid, the human resources office shall give reasonable notice to the employee of the fact and reasons therefore. Overpayments or other unauthorized payments may be involuntarily recovered by payroll deduction. Such biweekly recovery deduction(s) shall not exceed the amount of overpayment(s). The deduction shall begin promptly provided:

- (a) The individual employee has not agreed, in the opinion of the Chief Human Resources Officer, to an alternative reasonable repayment schedule;
- (b) There is no pending litigation related to the issue; and
- (c) The recovery rate shall not exceed five (5) percent of the employee's gross biweekly salary.

7.8 Medical and Dental Insurance

The Board requires the Chancellor to seek for Management and Confidential Professional Personnel medical insurance and dental insurance plans on the most favorable terms granted to any employee of the Connecticut State University System.

7.9 Course Privileges

Subject to the approval of the university offering the instruction, a full-time non-temporary employee covered under these Policies, the employee's spouse and unmarried dependents under the age of 25 of such an employee may take courses at any of the four universities on a space available basis without payment of tuition, State University Fee and University General Fee for full-time students, and Extension Fee and Registration Fee for part-time students; provided that participation in courses does not interfere with the employee's professional obligations. This benefit shall also be available to the above-mentioned spouse and dependents surviving a deceased employee (death having occurred on or after July 1, 1990, during the employee's active service) who had accumulated ten (10) years of service in CSU.

Space available means that there is space in the class without the displacement of a regular student or a fee-paying student and that admission of the employee, the spouse, or the employee's dependent will not create a workload entitling the instructor to additional pay or to a reduction in the number of hours the instructor is required to teach.

With the exception of the death benefit described above, emeritus employees shall be eligible for course privileges on the same basis as full-time non-temporary employees.

7.10 Moving Expenses

The Chancellor and Presidents are authorized to offer reimbursement for out-of-state moving expenses for prospective employees when, in their judgment, such offer would be in the best interests of CSU. Such offers must be in writing and conform to current Board Policy.

7.11 Consulting

Management and Confidential Professional Personnel may be compensated for performance of research, consulting, or similar activities which are beyond the scope of their normal duties provided;

- (1) Notification and approval has been granted by the direct supervisor, or, for those of rank Executive Officer (salary grade 44) or above, notification by the President/Chancellor or designee ; and
- (2) That no conflict of interest results, and that such activities can be accomplished on personal time in such a way as not to conflict with normal duties; and
- (3) That payment is made directly to the employee or, if payment to the employee is made by the University or Board of Trustees, the University or Board of Trustees shall be reimbursed for such payment by a funding source other than the Connecticut State University.

7.12 Teaching

Management personnel of the rank of dean or above may teach course(s) within CSU with the approval of the President or Chancellor but may not be compensated for such teaching. Internal or external teaching may be undertaken with the approval of the Chancellor/President. Other Confidential Professional employees may be compensated for teaching within CSU or elsewhere provided their direct supervisor is notified before teaching schedules are established, teaching activity does not conflict with normal duties and no conflict of interest results.

Individuals teaching under these Policies within CSU shall be accorded academic freedom under the same general conditions applicable to CSU teaching faculty.

ARTICLE 8 — VACATIONS, HOLIDAYS, COMPENSATORY TIME OFF, AND LEAVES

8.1 Status Report

Prior to January 31 of each year, each active employee shall receive a status report as of the December 31 immediately preceding, showing the following: annual salary, accumulated vacation leave, accumulated sick leave, years of credit for retirement, and years of credit for longevity salary increments.

8.2 Part-time Benefits

Non-temporary part-time employees who work twenty (20) or more hours per week, shall receive salary and fringe benefits on a *pro rata* basis except as otherwise specifically provided in these Human Resources Policies.

Proration of benefits shall be measured by the length of the part-time employee's work week, divided by the length of the workweek for full-time employees.

8.3 Vacation Days

Vacation days do not accrue in any month in which an employee is on leave of absence without pay for an aggregate of more than five (5) working days during that month. Full-time personnel employed on a 10-month basis are entitled to a total of 18.33 working days of vacation per calendar year accrued at the rate of 1.833 days per calendar month of service. Full-time personnel employed on a 12-month basis are entitled to a total of 22 working days of vacation each calendar year accrued at the rate of 1.833 days per calendar month service.

8.3.1 Accumulated Vacation Days

Employees may accumulate vacation days with pay from year to year up to a maximum of 120 such days (960 such hours). The Human Resources Office will notify an employee before he/she reaches the maximum limit and for employees who are at the limit will adjust the balance to remove the overage to such employee's record once a year on January 1st or at the time of separation .

Upon separation from state service, an employee shall be compensated for unused vacation days (to a maximum of 120 days) at the daily rate of pay at the time of separation. In the event of death, the compensation shall be paid to the beneficiary.

8.4 Personal Leave

In addition to annual vacation, each full-time employee shall be granted up to three (3) days of personal leave with pay in each calendar year. Such leave shall be for the purpose of carrying out important personal matters, including the observance of religious holidays, and shall not be deducted from vacation or sick leave credits. Except in emergency situations, employees who desire to use personal leave are expected to give reasonable advance notification to their immediate supervisors.

If at any time a part-time Management or Confidential Professional employee is changed to full-time status, they shall receive the remainder of the personal leave time given a full-time employee for the year.

Any individual commencing employment in the first four months of the calendar year is eligible to receive the full three (3) days of personal leave; in the second four months, two (2) days; and in the last four months, no days.

Personal leave days not taken within the calendar year may not be carried over to the next year.

8.5 Sick Leave

Full-time employees shall accrue sick leave with pay at the rate of one and one-quarter (1 1/4) working days per completed calendar month of continuous full-time service commencing with the date of initial employment. Such leave starts to accrue only on the first working day of the calendar month. (moved location of following sentence:) No such leave will accrue for any calendar month in which an employee is on a leave of absence without pay an aggregate of more than five (5) working days. Part-time employees shall accrue sick leave monthly on a prorated basis as defined in Section 8.2.

Each January 1st, full-time employees shall be credited with one year's sick leave credit (12.5 days for 10-month employees and 15 days for 12-month employees. New full-time employees shall receive monthly accruals for each completed calendar month of continuous state service commencing with the first date of service until January 1st. On January 1st they shall be credited with the full advance of sick leave as noted above. An employee who has been credited in advance with a full work year's sick leave days and whose service to the Board is terminated prior to the end of that year, for whatever reason, shall be entitled only to the sick leave accrued during the portion of the year during which he or she was employed. Consequently, sick leave days awarded at the beginning of the year will be reduced at the rate of 1 1/4 days per month for the period of the year in which the employee does not work.

8.5.1 Accumulated Sick Leave

There shall be unlimited accumulation of sick leave; however, upon retirement from the CSU System an employee shall be compensated for 1/4 of the sick leave days accumulated by the employee up to a maximum of 60 full days. Payment for accumulated sick leave shall not be included in computing retirement income. Upon the death of an employee who has completed 10 years of satisfactory state service, the beneficiary shall receive the sick leave compensation which would have been provided the employee if the employee had retired on the date of the employee's death.

8.5.2 Purposes of Sick Leave, Medical Certificates

Earned sick leave is granted for the following reasons: (A) temporary incapacitation for duty; (B) avoidance of the exposure of others to contagious disease; (C) dental, medical or eye examination or treatment which cannot be scheduled outside of working hours; (D) in the event of death in the immediate family when as much as five (5) working days' leave with pay shall be granted (immediate family means husband, wife, father, mother, sister, brother, child, or any other person who is domiciled in the employee's household); (E) if critical illness or severe illness or severe injury in the immediate family creates an emergency which requires the attendance or aid of the employee, when up to five (5) working days' with pay in a calendar year shall be granted; (F) disabilities caused or contributed to by pregnancy, including recovery therefrom; (G) in the event of death the President/Chancellor may also authorize the use of sick leave not to exceed in the aggregate a total of ten (10) working days' leave per calendar year, to fulfill the obligations of traveling to, attending and returning from funerals.

In the following situations an acceptable medical certificate is required before sick leave is granted: any period of absence of more than five (5) consecutive working days, when evidence indicates a reasonable cause for requiring such a certificate, and, provided the employee has been notified that a certificate will be required; when absence recurs frequently or habitually; or to adjust vacation leave to sick leave in the event that an employee becomes ill while on vacation. Occasionally, the University may require a second medical certificate from a physician of its choosing selected from the list of state-approved medical providers.

8.5.3 Sick Leave Bank

There shall be a Sick Leave Bank established for use by non-temporary employees covered by these Policies who have exhausted their own sick leave and who have a catastrophic and extended illness. Part-time employees shall be eligible to participate in the Sick Leave Bank in accordance with the provisions in Section 8.2.

Each new employee shall make a mandatory contribution of four (4) sick leave days upon employment.

The Sick Leave Bank shall be administered by a Sick Leave Bank Committee consisting of the four Chief Human Resources Officers and the CSU Executive Officer for Human Resources or designee. The Sick Leave Bank Committee shall determine the eligibility for the use of the Bank and the amount of leave to be granted. The following criteria

shall be used by the Committee in administering the Bank and determining the eligibility and amount of leave:

- (a) Adequate medical evidence of catastrophic and extended illness; and
- (b) Prior utilization of all available sick leave, including prior sick leave patterns and usage.

The initial grant of sick leave by the Sick Leave Bank Committee to an eligible employee shall not exceed 30 workdays. Upon completion of the 30-workday period, the period of entitlement may be extended by the Sick Leave Bank Committee upon demonstration of need by the applicant. In normal circumstances, such grants from the Sick Leave Bank shall not exceed a total of 120 consecutive workdays per occurrence.

If the Sick Leave Bank is exhausted, it shall be renewed by the contribution of up to four (4) additional days from each employee covered by these Policies. Such additional days will be deducted from the employee's annual days of sick leave. The Sick Leave Bank Committee shall determine the time when it becomes necessary to replenish the Bank.

The decision of the Sick Leave Bank Committee, with respect to eligibility and entitlement, shall be final and binding with no appeal.

When an employee has a catastrophic and extended illness that has exhausted their sick leave, a request for use of the Bank may be made to the Chief Human Resources Officer or the CSU Executive Officer for Human Resources.

8.6 Holidays

Employees shall be granted time off with pay for the following holidays if these holidays fall within their working year. If university classes are in session on a scheduled holiday, a substitute day may be subsequently taken with the agreement of the President:

New Year's Day	Independence Day
Martin Luther King's Day	Labor Day
Lincoln's Birthday (observed the Friday preceding Washington's Birthday)	Columbus Day
Washington's Birthday	Veterans Day (observed the Friday after Thanksgiving)
Day of Reflection	Thanksgiving Day
Memorial Day	Christmas Day

Should one of the holidays fall on a Saturday or Sunday, employees shall be excused from work in accordance with state practice. Whenever the Governor of Connecticut or the Governor's designee excuses state employees from work, the Chancellor or designee may grant time off to Management and Confidential Professional employees.

8.7 Compensatory Time Off

The Board of Trustees for Connecticut State University recognizes that Management and Confidential Professional positions are demanding and often require work beyond that normally expected of other employees.

- Travel-related functions (i.e., conferences, seminars, etc.) do not qualify for compensatory time.
- Personnel *who are below the salary range of Assistant Director (salary grade 36)* and who are required to perform extended service beyond the normal workweek to complete a special project, participate at a university function on a weekend (i.e., orientations, graduations, conference, etc.), or meet specific deadlines due to unusually heavy, peak-period workload, may claim compensatory time provided they have received written approval from their supervisor or the Chancellor/President or designee.
- In other circumstances, compensatory time for work on a legal holiday, a Saturday or a Sunday may be granted at the discretion of the Chancellor/President or designee, as appropriate, provided they have received written approval from the Chancellor/President or designee.

Such compensatory time off must be taken within one year of such work. Compensatory time will not be used as the basis for additional compensation. Employees may not aggregate more than 15 days (120 hours) of compensatory time. With written approval from the Chancellor/President or Chief Officer/Vice President an employee may aggregate more than 15 days, but in no case shall the aggregate exceed 20 days (160 hours).

8.8 Sabbatic Leave

Sabbaticals are granted to increase an employee's value to CSU by improving professional skills and thereby enriching the employer. Sabbatical leaves shall be granted for planned travel, study, formal education, research, writing or other experience of professional value. Such leave shall be available as a matter of privilege rather than a right and shall be granted to an eligible employee only in those cases where the criteria set forth below are met.

Upon completion of six (6) years' full-time service, an employee may be considered for sabbatic leave. After a sabbatical, a person does not again become eligible until the completion of an additional six (6) years' of full-time service. The number of sabbatic leaves available each year is limited and depends upon the availability of funds. Leaves are granted without regard to seniority or to the number of years a person has been eligible for a sabbatical. Proposals for such leaves must be submitted to the Chancellor /President or Board, as appropriate. The proposal must include:

- (1) A full description of the activity to be undertaken;
- (2) A detailed explanation of how this activity will improve professional skills and is mutually beneficial to the institution/University System and the individual;
- (3) The time period for which the leave is requested; and
- (4) A description of the individual's role, his/her prior service to the institution/University System, and other contributions to the university community.

Chancellor/President or Board, as appropriate, will evaluate the request for sabbatic leave based on the following criteria:

- (1) The merits of the project to CSU;
- (2) The merits of the project to the professional development of the individual;
- (3) The feasibility of completing the project within the timeframe stated in the proposal; and
- (4) How the leave would impact the functioning of the unit.

Leaves approved by the Chancellor/President or Board shall be reported to the Board on the CSU-1 Form.

Payment for employees on sabbatic leave shall be at the rate of full pay for leaves of six (6) months or less or half pay for leaves of more than six (6) months, but not to exceed twelve (12) months. An employee on sabbatical shall continue to accrue sick leave, vacation leave, longevity credit and retirement credit. An employee on a half-pay sabbatical shall be credited with one full-year service (but not salary) for purposes of retirement and longevity.

Management or Confidential Professional Personnel on sabbatic leave are permitted to receive additional compensation in the form of fellowships, government grants, and honoraria for purposes related to the leave, and part-time employment directly related to the project at an institution where they are in residence for the purpose of study and research, or other educational purpose, in addition to the partial salary from CSU, provided that the total compensation from all sources does not exceed full salary at the University/System Office. The leave may not be used to accept paid employment during the period of the leave except as provided above.

Upon completion of the sabbatic leave and within three (3) months of returning from the leave, the employee will submit a written report to the Chancellor/President or Board that details the professional activities and accomplishments attained in pursuit of the objectives set forth in the original proposal report (a dissertation may be substituted if completed while on the sabbatic leave).

Employees accepting and completing sabbatic leave are expected to return to the University or System Office for one (1) year following expiration of the leave unless specifically exempted from this provision in writing by the Chancellor/President or Board.

8.9 Short-term Professional Leave With Pay

The Chancellor or the President may grant short-term leave with pay for not more than five consecutive working days. The Chancellor and the Presidents may take short-term leave with pay on their own authority for not more than five consecutive working days. Such leave shall be reported to the Board. The Chancellor shall report the taking of such a leave to the Chairperson of the Board and a President shall report the taking of such a leave to the Chancellor. Such short-term leaves shall be taken only to improve a person's professional competency or for the benefit of Connecticut State University. No person may take more than two such short-term leaves during any calendar year.

8.10 Leaves Without Pay

The Chancellor or the President, as appropriate, may grant an employee an unpaid leave of absence for periods lasting up to one calendar year. Unpaid leaves of absence may be extended for up to no more than one (1) additional year at the discretion of the Chancellor or President. During an unpaid leave, an employee may exercise the option of continuing all benefits normally provided by the state by paying all the required premiums for such benefits. While on unpaid leave, an individual shall remain an employee of the Board; however, the period of any such leave shall not be considered a period of service for purposes of salary and fringe benefit calculation, retirement, longevity, seniority or eligibility for sabbatic leave. Any family or medical leave taken pursuant to Article 8.15 shall count toward the one-year limit.

8.11 Short-Term Military Leave

Short-term military leave shall be granted in accordance with state and federal statutes.

8.12 Court Leave

An employee who serves on a jury or is subpoenaed to testify to matters which arose out of the course of state employment, shall be entitled to receive full pay and benefits for the duration of such duty in return for relinquishing to the state all fees received for such jury duty.

8.13 Maternity Leave

Absences due to illness of any nature resulting from pregnancy, childbirth, or recovery therefrom certified by the attending physician as a period of time when the employee is unable to perform her job requirements shall be charged to sick leave under the same terms and conditions as any other illness or disability.

Upon expiration of a physician's medical certificate, the employee may use earned personal leave, vacation leave, and compensatory time. The employee may also request, and shall be granted, a family/medical leave of absence without pay pursuant to Article 8.15.

Any request for leave under this Article shall be submitted in writing to the Chancellor/President must be accompanied by a Form P-33 Medical Certificate that has been completed and signed by the attending physician and include the following information:

1. The expected, or actual, date of delivery;
2. Anticipated use of sick leave, personal leave, and any vacation days; and
3. Expected date of return to work.

8.14 Parental Leave

Up to three days paid leave deducted from sick leave will be provided to a parent at the time of the termination of pregnancy, adoption, or taking custody of a child.

8.15 Family and Medical Leave

In addition to any other paid benefits or leaves, upon written request and with proper medical documentation, an eligible employee shall be granted:

Federal FMLA: Up to 12 weeks of unpaid leave in a twelve-month period for the birth, care or adoption a child; placement of a child for foster care; care for an immediate family member with a serious health condition; or to take a medical leave when the employee is unable to work due to a serious health condition. Employees may elect or the CSU may require that the employee utilize their accrued leave for this time.

For the purpose of this section, "serious health condition" is defined as an illness, injury, impairment, or physical or mental condition that involves: (1) any period of incapacity or treatment related to in-patient care in a hospital, hospice or residential care facility; or (2) continuing treatment by a health care provider.

State Family/Medical Leave: Up to 24 weeks of unpaid leave within a two-year period for the birth, care or adoption a child; care for an immediate family member with a serious illness; or to take a medical leave when the employee is unable to work due to a serious illness. The state entitlement begins after the employee has exhausted their applicable sick leave accruals. The employee is allowed to use their personal leave and vacation accruals, however, this will not extend the 24-week period. Where possible, leave time granted under this provision will run concurrently with the federal FMLA entitlement.

For the purpose of this section, "serious illness" means an illness, injury, impairment, or physical or mental condition that involves: (1) in-patient care in a hospital, hospice or residential care facility; or (2) continuing treatment or continuing supervision by a health care provider.

The federal and state leaves both define an immediate family member as a spouse, child or parent of such employee.

The state shall pay for the continuation of health insurance benefits for the employee during any leave of absence taken pursuant to this section. In order to continue any other health insurance coverage during the leave, the employee shall contribute that portion of the premium the employee would have been required to contribute had they remained an active employee during the leave period.

The period of such leave shall count towards the one-year limit described in Article 8.10.

8.16 Return to CSU Employment

A person who terminates employment for reasons other than retirement and who returns to the employment of the CSU System within one (1) year of the date of such resignation or termination shall be credited with the number of unused days of sick leave that were available to them on the last work day. Unused personal leave shall be reinstated to the employee if they return within the same calendar year. No credit will be given for vacation days.

8.17 Leave Privileges for Transferred Employees

Employees of the state who are transferred into or within Connecticut State University shall carry with them all accrued sick, vacation, and personal leave previously earned elsewhere in the service of the state or the Board.

ARTICLE 9 — RETIREMENT or RESIGNATION

9.1 Choice of Retirement Plans

Employees of the CSU System are eligible to participate in one of three retirement plans, subject to eligibility requirements. The three plans are the State Employees' Retirement System (SERS), Alternate Retirement Program (TIAA-CREF) and the Teacher's Retirement System (only for those with prior service in TRS).

State Employees' Retirement System (SERS)

SERS is composed of three (3) tiers commonly referred to as Tier I, Tier II, and Tier IIA. Tier I requires contributions from your salary of 2% or 5%. Tier II is a non-contributory plan (4% contribution for positions designated as Hazardous Duty). Tier IIA is a contributory plan, with employee contributions of 2% (5% for positions designated as Hazardous Duty).

Under the SERS, the Tier, Plan and type of retirement determines which formula will be used to calculate an employee's retirement benefit. The formulas used to identify the annual benefit take into account an employee's years of service and salary (determined by taking the average of their three highest earning years).

TIER I Plan Eligibility

Employees hired on or before July 1, 1984, who elected to participate in the State Employees Retirement System are members of Plan A, Plan B or Plan C of the Tier I Plan. Membership was elected between October 1, 1973, and December 31, 1973, for those hired prior to April 1, 1973; mandated thereafter by statute for those hired prior to July 2, 1984, or for those who elected in lieu of membership, if eligible, from TIER II or another state system, through October 1, 1985, the last date on which a transfer membership was allowed.

TIER II Plan Eligibility

Employees hired by the System (or the state) on or after July 1, 1984, and before July 1, 1997, are members of the non-contributory Tier II Plan, unless they were eligible to elect membership in another retirement plan.

TIER IIA Plan Eligibility

Employees first hired by the System (or the state) on or after July 1, 1997, are a members of the contributory Tier IIA Plan, unless they were eligible to elect membership in another plan.

Alternate Retirement Program

The ARP is a defined contribution or money purchase plan. Contributions are defined as a total of 13% of salary and are applied to individual TIAA and CREF annuity contracts that are fully funded and provide full and immediate vesting of all contributions. The employee contribution is 5% of gross income, the employer contribution is 8% of gross income.

As an ARP member employees' 5% contributions are made by salary reduction and

therefore are exempt from federal income tax up to Internal Revenue Code limits.

Teachers Retirement System (TRS) (only for those with prior service in TRS)

The Teachers Retirement System is available to employees who, at the time of hire with the System are employed as a teacher or professional staff member by the Commission for Higher Education in a state, community, state technical college, or System office. As part of membership in the TRS, state law requires that contributions of 7% of an employee's annual salary be paid into the retirement fund. Employees contribute 6% of their annual salary to a personal retirement account and 1% of their annual salary to the Health Insurance Account used to fund health insurance benefits for retired members and their spouses.

The Board requires the Chancellor to seek to maintain the option for Management Personnel and Confidential Professional Personnel to select from among the retirement systems cited in the heading to this Article. Further, the Board requires the Chancellor to seek for Management and Confidential Professional Personnel membership in each of the cited retirement systems on the most favorable terms granted to any group of state employees.

9.2 Social Security

Employees participate in Social Security as provided by state and federal statutes, laws, and regulations.

9.3 Individual Retirement Annuities

Benefits shall be made available on a voluntary basis to eligible employees as provided in Section 5-264 of the General Statutes of Connecticut whereby, under certain conditions, the Board of Trustees may enter into an agreement involving the purchase of an individual or group retirement annuity contract that will qualify for income tax benefits (see Article 7.7).

9.4 Employee Notice of Retirement or Resignation

Employees contemplating retirement or resignation are encouraged to give six (6) months of notice when possible. Scheduling of the last day at work should be discussed with the employee's supervisor or other designated individual in an attempt to work out the best arrangement for all concerned. Any continuation on the payroll beyond the employee's last day at work must be approved by the Chancellor or President, as appropriate; shall not result in accrual of vacation, sick leave or personal leave credit; and such individuals shall be ineligible for an annual salary increase.

See Article 8.3.1 concerning compensation for unused vacation days and Article 8.5.1 concerning compensation for accumulated sick leave upon retirement from the Connecticut State University System.

ARTICLE 10 — NON-CONTINUATION, DISCIPLINE, REPRIMAND, SUSPENSION AND TERMINATION

10.1 Non-Continuation

Employees may be non-continued in their current positions without cause or explanation at the option of the Chancellor, for System Office personnel; or Presidents, for university personnel; Full-time employees may be non-continued upon a one year written notice, and part-time employees may be non-continued upon a three month written notice. A non-continued employee shall not have access to the procedures of Article 10.4.

The above notice provisions are not required in the case of Discipline for Cause (10.2) or Abandonment (10.5).

10.2 Discipline for Cause

No employee shall be disciplined except for cause. Discipline is defined as suspension or termination, and does not include reprimands, as set forth under Section 10.3.

Cause includes, but is not limited to: conviction of a crime; offensive, indecent or abusive conduct toward students, the public, superiors or co-workers; use of fraudulent credentials in seeking of appointment, continuation of appointment or promotion; theft; willful neglect or misuse of state funds, property, equipment, material or supplies, including state-owned automobiles; violation of law, state regulation, or rule of the Connecticut State University; intoxication while on duty; neglect of duty; insubordination; engagement in an activity detrimental to the state or Connecticut State University; and disloyalty to the United States or to the State of Connecticut.

All discipline shall be subject to the procedures set forth under Section 10.4.

10.3 Reprimand

A reprimand is a form of counseling which may include a warning that similar conduct in the future could lead to discipline. A written reprimand shall be placed in the employee's personnel file and a copy shall be sent to the employee. A written reprimand shall be removed from an employee's personnel file on the one year anniversary date of its issuance unless, during that one year period said reprimand is relied upon for discipline. It shall be the employee's obligation to request removal of a reprimand after its expiration date has passed.

In the event that a reprimand is relied upon for subsequent discipline then an employee may contest the underlying factual basis for the reprimand as part of the appeal of the discipline pursuant to Section 10.4.

10.4 Hearing (not applicable to non-continued employees)

When there is a question concerning discipline of an employee which may result in dismissal for cause and/or suspension of the employee with or without pay; the following steps shall be followed to the extent possible.

- (a) Before any disciplinary action is taken, or, in the event of a suspension where the employer determines that immediate action is necessary, as soon thereafter as practicable, a meeting shall be arranged with the employee and the designee of the employer to discuss the situation. The discussion shall include specific reference to matters of administrative concern and proposed managerial action(s) in light of the situation. The employee shall have the opportunity to present relevant information. With the agreement of both parties, the discussion may be continued to a mutually agreed time.
- (b) After the employer has issued a notice of suspension or termination the employee may request a formal hearing by presenting said request in writing not later than five (5) days after receipt of said notice. Said hearing shall be scheduled not sooner than ten (10) days nor later than thirty (30) days following a timely request by the employee.
- (c) The hearing shall be held before a Committee of Three appointed for the purpose by the employer.

The hearing shall not be governed by formal rules. The Committee shall make a good faith effort to be fair and impartial while eliciting relevant information on the matter in question.

- (d) Within ten (10) days of the conclusion of the hearing, the Committee shall notify the employee of its final and binding decision. Said decision(s) shall be without appeal.
- (e) Failure by the employee to adhere to the deadlines specified herein above, shall be deemed waiver of the opportunity for hearing on the matter.

10.5 Abandonment

Failure to perform assigned duties for five (5) consecutive working days without prior approval of the Chancellor, for System Office personnel; or the President, for university personnel; is abandonment of one's appointment. Reporting of the failure to perform assigned duties is the responsibility of the appropriate supervisor charged with this responsibility by the Chancellor or the President. Such cases shall be investigated by the appropriate official and if circumstances are found which, in the sole discretion of the Chancellor or President, justify such failure to perform assigned duties, the lost time shall be charged to sick leave, leave without pay, or vacation leave, whichever is appropriate.

If the investigation does not reveal circumstances which in the sole discretion of the Chancellor or President, justify such failure to perform assigned duties, then the employee shall be separated from service as a resignation not in good standing.

10.6 Retrenchment and Reorganization

If the System Office of the Board is eliminated or combined with another board, commission, or similar organization or a reduction in the ranks of Management and Confidential Professional Personnel is ordered by the Board, employees with university assignments or former university positions shall be permitted to take up such assignments at a salary commensurate with the salary that they would have been paid had the person filled the regular position continuously.

A good faith effort shall be made to place other affected employees in the CSU system.

In the event of a reduction in the ranks of Management and/or Confidential Professional Personnel resulting from retrenchment or reorganization, the notice provisions for non-continuation shall apply.

APPENDIX A

Connecticut State University Policy on Responsible Use of Information Technology Resources

Purpose: The purpose of this policy is to establish common standards for the responsible use of information technology resources within the Connecticut State University System.

Scope: This policy applies to all users of the Connecticut State University System's computing and network resources.

For the purposes of this policy, computing and network resources include all software, hardware, internal and external networks, systems, databases, electronic mail, and any other files, data, equipment or facilities either owned or leased by the Connecticut State University System.

Overview: The CSU System provides members of the CSU community with access to a broad range of information technology resources including computers, software, networks, databases, files, electronic mail and the Internet. You may also have access to confidential data and external networks. Your use of these resources is authorized only if you use them responsibly, demonstrating respect for individual privacy, ethical standards, and the law.

User Guidelines: Responsible use of CSU information technology resources means acting in a manner that: (1) respects the confidentiality of CSU data; (2) preserves the security, integrity and performance of our information technology resources and (3) complies with all CSU policies, legal standards and contractual agreements.

1. Respecting the confidentiality of CSU data. Violations include *but are not limited to*:

- Intentionally accessing another users' files, e-mail, or other information technology resources without permission.
- Unauthorized monitoring, distribution, duplication or modification of another's data, e-mail, or documents.
- Accessing information beyond the extent necessary to accomplish one's assigned duties.

2. Preserving the security, integrity and performance of our information technology resources. Violations include *but are not limited to*:

- Sharing your personal password(s) or username with others.
- Using the CSU network to sabotage or cause harm to external resources.
- Limiting system capacity/bandwidth by running programs, computers or servers which may cause excessive network traffic (e.g. Napster).

- Sending/forwarding chain letters, virus hoax messages; letter bombing/spamming, etc.
- Using shared resources excessively (e.g., non-essential printing which might hinder other's workflow, wasting valuable disk space, etc.)
- Installing software on your computer without authorization.

APPENDIX B

Connecticut State University Policy on Administrative Access to Electronic Data

Purpose: The purpose of this document is to clarify CSU policy regarding administrative access to electronic data/activity such as electronic mail, word processing files and web browser usage.

Scope: The following guidelines apply to the CSU System employees as well as consultants and vendors contracted by CSU. Individuals who are employed/contracted by or enrolled at CSU's four universities should contact their respective information technology departments for additional information.

For the purposes of this policy, computing and network resources include all software, hardware, internal and external networks, systems, databases, electronic mail, and any other files, data, equipment or facilities either owned or leased by the Connecticut State University System.

Overview: The CSU System is committed to protecting the privacy of every member of the CSU community, subject to the limitations of this policy. As the owner of all CSU computing resources, including any information generated or stored on our network, we reserve the right to access those resources. Situations that might necessitate such actions include *but are not limited to*: (1) business need; (2) system maintenance/ management; (3) suspicion of employee misconduct; and (4) Freedom of Information requests and state or federal laws.

User Guidelines: The following guidelines have been developed to assist in the implementation of this policy:

- When administrative access to electronic data is necessary, every effort shall be made to avoid viewing data beyond that needed to meet the intended purpose.
- Should an employee inadvertently view personal electronic data, such information shall be kept confidential. However, if the individual accidentally uncovers evidence of employee misconduct, he or she must report this information to his/her supervisor or manager.
- Conditions under which administrative access to electronic data shall be permitted include but are not limited to:

Business Need - In an employee's absence, his or her manager/supervisor or other authorized individual may access the necessary CSU documents or files if there is an immediate need for that data. **Note:** *Proper use of file sharing and common directories should be encouraged to eliminate or reduce the need for such access.*

System Maintenance/Management - Authorized Information Technology department personnel shall periodically monitor network and system activity to: (a) perform routine maintenance; (b) optimize system and network performance; and (c) preserve the security of the CSU network and its data. Personal electronic data may be viewed in conjunction with these activities and/or to investigate security breaches, bandwidth issues, etc.

Suspicion of Employee Misconduct - If an employee is suspected of misconduct, CSU reserves the right to monitor that individual's electronic activity and review his/her stored data. This is particularly applicable if illegal activity is suspected.

FOI Requests/State or Federal Laws - Documents and files created or received in the course of CSU business are considered public records. If a Freedom of Information request is received, the authorized individual will evaluate that request to determine its validity. If the information meets the legal definition of a public record, the information must be released. We are also required to release information in compliance with court orders, subpoenas or other mandates issued by state or federal authorities.

Additional Information/Resources:

State of Connecticut Electronic Monitoring Notice

http://www.das.state.ct.us/HR/Regs/State_Electonic_Monitoring_Notice_11.00.pdf

State of Connecticut Freedom of Information Access to Computerized Public Records

<http://www.ct.gov/doit/cwp/view.asp?a=1245&q=253992>

APPENDIX C

Connecticut State University Remote Access Policy

Purpose: The purpose of this policy is to establish common standards for the proper use of remote access to the Connecticut State University network and its resources.

Scope: The following guidelines apply to CSU employees as well as consultants and vendors contracted by CSU. Individuals who are employed/contracted by or enrolled at CSU's four universities should contact their respective information technology departments for specific information on remote access to the CSU university network.

For the purposes of this policy, computing and network resources include all software, hardware, internal and external networks, systems, databases, electronic mail, and any other files, data, equipment or facilities either owned or leased by the Connecticut State University System.

Overview: CSU System Wide Remote Access Services provide authorized users with secure, high speed access to our network through any CSU institution. The specific services and resources to which those users have access are based upon his or her specific business needs.

While remote access offers a great deal of flexibility as well as convenience, it also poses a number of challenges in terms of network resources and security. When an individual logs in via remote access, that computer becomes, in essence, an extension of the CSU network. Therefore it's critical that all standard CSU policies be followed and that all normal security precautions be taken when connecting externally. It should also be understood that authorized CSU users who access external sites through the CSU network must comply with all applicable state and federal laws.

User Guidelines: Remote access users are required to comply with all CSU policies and procedures. Additionally, they must understand and adhere to the following guidelines.

1. Authorized Methods of Remote Access

To ensure the security and integrity of the CSU network and its resources, all individuals granted remote access privileges are required to connect via one of our currently approved methodologies. As an authorized CSU remote access user, you have the option of using any of the following to connect to our network:

- Dial-up
- Dedicated connections (e.g. cable modem, xDSL, T1, etc.)

2. Minimum Hardware and Software Requirements

If you plan to connect to the CSU network from your home PC, you must ensure that your machine meets the minimum requirements for software needed to perform remote access functions.

3. Prohibited Activities

Authorized remote access users are prohibited from the following:

- Replicating or copying confidential data to non-CSU equipment (e.g. home PC's).
- Misusing CSU-owned equipment. (*CSU-issued remote access equipment must be handled in the same way as CSU equipment.. The user is subject to all policies and procedures that apply to data on their systems*).
- Connecting to the CSU network through a computer that does not comply with established standards and security measures (e.g. configuration requirements, anti-virus software, etc).
- Leaving a remote access connection open when not in active use. (**Note:** *Such sessions may be terminated without notification.*)
- Unauthorized tunneling.
- Logging on anonymously.

4. Responsibility for Installation/Configuration

- **CSU-owned Computers** - CSU-owned computers are configured in advance for remote access via standard dial-up methodology. If you are assigned a CSU-owned computer for external use, you will be instructed in how to dial in and connect to the resources you have been authorized to access. However, if you choose to achieve remote access using a dedicated connection (e.g. cable modem, DSL etc.), additional configuration will be required. If approved by management, this configuration may be performed by the appropriate CSU IT staff.
- **Non-CSU Computers** (e.g. home PC's) - If you intend to access the CSU network remotely from your home PC, you will be responsible for:
 - (a) Purchasing, installing and configuring all hardware necessary to achieve connectivity (*e.g. PC, modem, phone line, etc.*).
 - (b) While CSU will provide the required software, e.g. third party VPN and virus software, you will be responsible for installing and configuring that software.
 - (c) Creating the actual remote access connection. The Customer Support Center (CSC) will provide detailed documentation on these processes and basic assistance within normal business hours (M-F 8:00 – 4:30).

5. Obtaining Support

Information Technology Services is responsible for providing the technical infrastructure necessary for employees to obtain remote access to files, databases and other resources stored on the CSU computer network. The level of support to be provided depends upon whether or not you are using a CSU-owned machine.

- **CSU-owned Computers** - If you are assigned a CSU-owned computer, ITS will make arrangements for support in the same manner as would be provided for any CSU-owned computer during normal business hours (M-F 8:00 – 4:30). Outside of normal business hours, CSU users may leave voice mail or e-mail for the Customer Support Center (CSC).
- **Non-CSU Computers** - The actual configuration of a PC for remote access is a complex process and there are a number of potential points of failure ranging from basic hardware issues (e.g. phone line, modem, etc.) to problems at the network level. Therefore, support for configuration and maintenance of a remote connection on a home PC must be a shared responsibility. Information Technology Services agrees to assist in this process by providing:
 - a. **Detailed user documentation** on configuring a PC for remote access.
 - b. **Basic troubleshooting assistance** during normal business hours. If an individual encounters a connectivity issue that cannot be readily resolved and is not caused by network problems, he or she must seek technical assistance outside of CSU.

6. Reporting Technical Problems

If you encounter technical problems with remote access, you may contact the Customer Support Center (CSC) during **normal business hours** at 611 or by sending e-mail to the CSC.

7. Reporting Security Issues

Complaints regarding actual or suspected potential security breeches or abuse should be sent to the CSC so that the complaint can be properly investigated.

8. Requesting Remote Access Privileges

The procedure for requesting remote access privileges depends upon your specific affiliation with CSU:

- **CSU Personnel** – CSU employees may submit a request for remote access by contacting the Customer Support Center (CSC) to obtain the appropriate form.
- **Contract Employees/Consultants** - Consultants and other individuals contracted by CSU should contact their designated project managers to discuss their need for remote access.
- **Vendors** - Third party support vendors who require access to our network in order to perform contracted services must submit a written request for remote access to the project manager or other authorized party with whom they are working.

Note: CSU will provide information as to the hardware and software requirements for any service requested. However, third party support vendors must supply the necessary hardware and software needed to provide such service.

Additional Information/Resources:

State of Connecticut Acceptable Use Policy

<http://www.state.ct.us/cmac/policies/aup.htm>

State of Connecticut Software Management Policy

<http://www.osc.state.ct.us/manuals/Software/index.html>

(DOIT) Network Security Policy and Procedures for use by all State Agencies

http://www.doit.state.ct.us/policy/itpolicy/network_security.htm

ITEM

Human Resources Policies for Management and Confidential Professional Personnel of the Connecticut State University System (Version 2.0)

BACKGROUND

The last edition of the Human Resources Policies (*formerly called Personnel Policies*) was approved by the Board in July 1997. Over the years, some language in the policies has become outdated; and it was desirable to add new language in the areas of Ethics, Information Technology, Sabbatic Leave, and Dispute/Complaint Resolution.

The review process began in May 2003 and included discussion of suggestions for revision by the Council on Employee Relations and an in-depth review by the Council of Presidents. The results of this process have been included in the attached document.

ANALYSIS

The proposed revision to the Human Resources Policies document is the result of a lengthy and thorough review process. For the most part, the proposed changes are to provide clarification or conform to existing Board policy. These amendments do not make significant changes to benefits, but rather clarify and refine existing benefits.

CHANCELLOR'S RECOMMENDATION

Approval is recommended.