



## **WESTCHESTER LIBRARY SYSTEM**

### **EMPLOYEE HANDBOOK**

**June 2014**

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## SECTION I: WELCOME TO WESTCHESTER LIBRARY SYSTEM

### INTRODUCTION

Welcome to Westchester Library System (WLS). WLS enjoys a fine reputation within the community and with its patrons. Each employee is an important member of this organization which is dedicated to serving the entire Westchester community. It is therefore imperative that WLS employs well-qualified and dedicated individuals committed to working as a team.

Employees are encouraged to ask any questions they may have regarding any policies or procedures outlined in this handbook. A staff member's immediate supervisor can provide clarification on the information outlined below.

### ABOUT THIS HANDBOOK

This handbook contains general information about employment at WLS. It is designed as a working guide for employees and supervisors, to provide staff with information on benefits, policies and practices. This version of the WLS Employee Handbook supersedes all previous versions of the handbook.

This handbook is not intended to be comprehensive or to address all the possible applications of, or exceptions to, the general policies, practices, or benefits described. Nothing in this handbook confers any rights or privileges upon any WLS employee. There are no promises or guarantees of any kind contained in this handbook, nor should it be regarded or construed by WLS employees as a contract between WLS and any of its employees. Please note that this handbook is subject to change, and policies may be modified or discontinued by the WLS Board of Trustees at any time.

### ABOUT WESTCHESTER LIBRARY SYSTEM

WLS is an independent, non-profit educational corporation chartered in 1958 by the New York State Board of Regents, under the New York State Education Law. It is a cooperative public library agency, having as its members the 38 public libraries in Westchester County and their branches. Each WLS member is an independent library, financed locally and governed by a Board of Trustees.

WLS is one of New York State's 23 public library systems. It is governed by a 15-member Board of Trustees, elected by the member libraries and their trustees at the WLS Annual Meeting. For purposes of board representation, the county is divided into 15 districts so that the trustees are representative of all areas in the County.

## GOALS AND ASPIRATIONS

WLS strives to provide recognition, opportunity and job satisfaction for staff. To this end, the organization:

- \* encourages respect for the individual dignity of each employee
- \* provides leadership in which employees may have faith and confidence
- \* promotes from within, where possible, based on demonstrated ability
- \* offers training opportunities for employees and encourages them to develop their capacities to the maximum potential
- \* provides and continually reviews a balanced program of employee benefits
- \* maintains open channels of communication and continually seeks ways of maintaining high morale through fair and equitable treatment of all employees
- \* ensures that WLS personnel policies are administered fairly and consistently.

## SECTION II: GENERAL EMPLOYMENT INFORMATION

### WORK SCHEDULES

#### Hours of Work

The standard workweek for WLS employees is a 5-day, 35-hour workweek. Hours may vary depending upon assignments. Some employees may be requested to work evenings and/or Saturdays, Sundays and holidays. Special schedule adjustments may be made at the convenience of the Department, as determined by the Department Head in consultation with the Executive Director.

#### Meal Breaks

Employees get a minimum of 30 minutes and a maximum of one hour for their meal break at a time convenient to WLS. Staggered lunch breaks may be necessary to meet WLS needs.

#### Breaks

Full time employees are allowed 2 paid 15-minute scheduled breaks during each 7-hour workday. One break should be taken in the morning and one in the afternoon, or one in the afternoon and one in the evening depending on the employee's work schedule.

Part time and hourly employees are provided one paid 15-minute scheduled break for every 3-1/2 hours worked during a given day.

Break time may not be used at the beginning or the end of a work day, may not be accumulated or attached to meal breaks and may not be used to make up lateness.

### ABSENCE AND LATE ARRIVAL NOTIFICATION

If an employee needs to take an unscheduled absence, s/he must call and inform his/her supervisor by 9:00 am or within (15) minutes of the time scheduled to begin work. Employees may leave a voicemail message if the supervisor is not available.

If an employee knows that s/he will be unavoidably late, the same call-in procedure as outlined above should be followed. Lateness of more than one hour will be charged to vacation or personal time. Lateness may be made up with the approval of the Department Head. Only non-exempt employees may be approved to "make up" time for their lateness. (Please see page 4, "Employee Classifications," for the definition of exempt and non-exempt employees.)

## DRESS CODE/APPEARANCE

WLS maintains a professional work environment. Although there is not a strict dress code for staff, employees are expected to observe personal hygiene habits and wear appropriate clothing that projects a positive image for WLS.

## PROMOTIONS AND TRANSFERS

WLS's policy is to promote from within, whenever possible, on the basis of demonstrated ability. All decisions regarding promotions and transfers are made in compliance with WLS's Equal Employment Opportunity policy.

## TRAINING AND DEVELOPMENT

WLS is committed to employee training and development. Funds are budgeted to support employee participation in conferences, workshops, and training. Emphasis is placed upon the employee receiving training within his/her department. In addition, general staff meetings and/or training sessions may be conducted. At the discretion of the supervisor and with the approval of the Executive Director, an employee may be requested to attend, or encouraged to attend, training outside his/her department.

Any employee wishing to apply for administrative leave to attend library related meetings, conferences and/or workshops other than those sponsored by WLS must submit a *Conference Attendance Request* form to his/her Department Head with a copy to the Executive Director. The Executive Director will approve or deny attendance at conferences and workshops and will determine the extent to which expenses will be paid and/or administrative leave approved when funds are not allocated.

Reimbursement for expenses or leave with pay will not be authorized without a copy of the request form approved and signed by the Executive Director. Request for reimbursement must be submitted within 30 days following the conference, workshop or other approved program.

## CERTIFICATION OF PROFESSIONAL LIBRARIANS

Before an appointment is granted as a librarian with WLS, a staff member must be certified by the New York State Education Department. Information about filing for certification may be obtained from the Operations Manager.

## EMPLOYEE CLASSIFICATIONS

WLS complies with the provisions of the Fair Labor Standards Act (FLSA) regarding the classification of employees. An employee is classified as exempt if determined to be an executive, administrator or professional, as defined by FLSA. All other employees are classified as non-exempt.

Based on the conditions of employment, appointments of WLS employees fall into the following categories:

- \* Full-time Regular Appointment
- \* Part-time Regular Appointment
- \* Hourly Appointment
- \* Grant/Contract Appointment
- \* Temporary Appointment
- \* Volunteer Appointment

#### Full-time Regular Appointment

Individuals employed by WLS to work a full workweek of 35 hours per week. Employees in this classification are eligible to participate in WLS's health benefits program, life insurance, tax-deferred annuity plan (403b), and leave programs, and are required to participate in the New York State Employees Retirement System or the New York State Voluntary Defined Contribution Plan.

#### Part-time Regular Appointment

Individuals employed by WLS to work at least 20 hours in a normal workweek. Employees in this classification are eligible to participate in WLS's health benefits program, life insurance, tax-deferred annuities (403b), leave programs on a prorated basis, with optional participation in the New York State Employees Retirement System.

#### Hourly Appointment

Individuals employed by WLS to work less than 20 hours in a normal workweek, on a schedule that may vary to meet the demands of WLS. Employees in this classification are only eligible to participate in tax-deferred annuities (403b), with optional participation in the New York State Employees Retirement System.

#### Grant/Contract Appointment

Individuals employed by WLS to work in positions funded through a grant or contract to perform a specific job. Employees in this classification may be eligible for various benefits according to the terms of the individual grant or contract. Employees hired for these positions may have their employment terminated if grant funding or contract is not renewed.

#### Temporary Appointment

Individuals employed by WLS to work for the duration of a specific project or assignment. Employees in this classification are not eligible to receive any benefits from WLS.

#### Volunteer Appointment

Individuals utilized by WLS in an unpaid capacity to help provide extended library service and/or to assist in the performance of specific routines, services, and programs. Employees in this classification are not eligible to receive any benefits from WLS. Appointees to volunteer positions do not perform duties to maintain the regular



operations at WLS. This classification also includes interns who are students in an accredited education program.

## REIMBURSEMENT FOR EXPENDITURES

### Expenses for Meetings, Workshops and Conferences

In general, reimbursable expenses include travel, tolls, lodging, meals, registration and other reasonable out-of-pocket expenses in connection with WLS functions and authorized professional meetings. Requests for advance payment for conference attendance must be submitted sufficiently in advance to allow for approval by the Executive Director.

### Personal Vehicle Use

When using a personal vehicle for work activity, the employee must have a valid driver's license, appropriate for the type of vehicle being driven, at the time of travel. Employees using a personal vehicle for WLS business should also verify that their insurance policy covers work-related use of their vehicle.

The employee will be reimbursed for mileage driven in a personal vehicle at the standard rate as determined by the Internal Revenue Service. Mileage reimbursement covers fuel, maintenance/repairs, and operating costs so these expenses are not reimbursed separately. In addition to the mileage allowance, tolls and necessary parking charges may be reimbursed.

The employee is expected to operate the vehicle in a safe manner and must abide by all traffic rules and regulations. WLS does not assume liability for damage to personal vehicles for any reason and does not assume liability for deductibles or any other insured loss to the vehicle. Expenses for repairs to personal vehicles are not reimbursable, nor are parking fines or fees for traffic violations.

Employees are expected to complete *Local Travel Reimbursement Request* forms on a quarterly basis to obtain reimbursement. Reimbursement of expenses must be submitted within 30 days following the end of the quarter.

## PERSONNEL RECORDS

All matters relating to individual employees are kept in the employee's personnel file. These records are maintained in a confidential manner and only duly authorized persons have access to them. Individual employees may have access to their personnel records upon written request, consistent with applicable law.

Employees are responsible for notifying WLS of any change of address and/or telephone number, as well as any change that may affect payroll or benefits.

## SECTION III: COMPENSATION

### PAY POLICY

#### Pay Frequency/Paycheck

Salaries are paid bi-weekly for base salary due up to the pay date and paid every other Tuesday. Employees are paid through direct deposit. The pay period covers 2 weeks starting on Sunday and ending on the Saturday before the paychecks are distributed. If a holiday falls on a Tuesday, employees have access to funds on the preceding Monday. Employees are encouraged to review their paychecks carefully each time to see that no inappropriate deductions have been taken. If an employee has any questions or believes that an inappropriate deduction has been taken s/he should inform the Operations Manager immediately so that a correction can be made in the following paycheck.

#### Direct Deposit

Staff are required to have their salary electronically transmitted to their bank of choice. To activate direct deposit, an employee must provide to the Operations Manager a voided check and/or a deposit slip noting the amounts to be deposited (if there are multiple accounts). Due to banking requirements, several weeks may elapse before direct deposit is activated.

### STATUTORY DEDUCTIONS

#### Federal, State, City & FICA Taxes

Automatic deductions are made for Federal, State, and FICA (Social Security) withholding taxes for all employees. City taxes will also be deducted where applicable.

#### FICA for Life Insurance

In accordance with IRS regulations, Group Term Life Insurance above the IRS-defined threshold is taxable for both the employee and the employer. FICA deductions for term life insurance are taken from the first paycheck in December of each year.

#### Garnishment of Wages

When garnishment of an employee's salary is legally ordered, the Executive Director will notify the employee of the garnishment order. Deductions are made in accordance with the provisions of law and the rule or regulation of the issuing agency.

### Retirement

Employee contributions to the New York State Employees Retirement System are deducted as required by New York State law.

## VOLUNTARY DEDUCTIONS

WLS offers health insurance to all full-time staff. Employees who elect to be covered by WLS health insurance will have their share of the premiums deducted from their paychecks, as defined in the benefit schedule.

Employees may also request deductions for participation in an approved tax deferred annuity plan, credit union and/or catastrophic medical plan.

## OVERTIME PAY AND COMPENSATORY TIME

Any employee whose position is classified as non-exempt and whose normal work week is 35 hours is paid additional straight time for hours worked over 35 and up to 40 hours per week, and time and one-half for time worked in excess of 40 hours in a given week. Paid days such as holidays, paid vacations, paid sick and personal time, and paid bereavement or jury duty shall be considered as hours worked in calculating eligibility for overtime pay. When possible, advance notification of overtime assignments will be provided. Part-time employees are paid at their regular rates of pay for hours worked up to 40 hours in a given week.

Compensatory time for non-exempt employees may be offered in lieu of straight time pay for hours worked in excess of 35 hours but less than 40 hours in a work week. Employees will receive equivalent time off for these hours and must use these hours within 30 days. Accrued compensatory time will automatically expire in 30 days, on a revolving basis, if not used. Exiting employees will not be paid for unused compensatory time at time of separation. Compensatory time may not be used to compensate employees for hours worked beyond the 40 hour threshold, and as such, hours worked in excess of 40 hours will be paid at the rate of time and one-half within the same pay period.

All pre-approved work in excess of 35 hours per week must be directed in advance by the employee's supervisor and authorized in advance by the WLS Executive Director. Extra hours must be recorded in the online attendance program (currently *NOVAtime*).

Individuals who are classified as exempt employees are not eligible for compensatory time or overtime, but are responsible for completing the duties of their position regardless of the number of hours worked above the standard workweek.

## SECTION IV: BENEFITS

WLS reserves the right to amend, modify or terminate, in whole or part, any or all of the provisions of the benefit plans described herein. The complete terms of all WLS employee benefit plans are contained in official plan documents and brochures, which are frequently updated and maintained by the Operations Manager. The official plan documents and brochures will govern in case of any conflict with the terms of this handbook. The descriptions in this handbook are for general information only and describe benefits currently being offered by WLS. Detailed information regarding the terms of all benefits is available from the Operations Manager.

Employees are responsible for notifying WLS of any change in their status, such as address or telephone number changes, number of dependents, marital status, etc. which may affect their benefits.

### PAID HOLIDAYS

WLS observes the following holidays:

- (1) New Year's Day
- (2) Martin Luther King's Birthday
- (3) Lincoln's Birthday—FLOATING HOLIDAY
- (4) Presidents' Day
- (5) Memorial Day
- (6) Independence Day
- (7) Labor Day
- (8) Columbus Day
- (9) Election Day (November)—FLOATING HOLIDAY
- (10) Veterans Day
- (11) Thanksgiving Day
- (12) Christmas Day

WLS is closed on all of the holidays listed above, except for the Floating Holidays. All full time employees are granted time off with pay for holidays. If an hourly or part time employee's normal work day falls on a holiday, s/he is paid for the number of hours normally scheduled for that day. For holidays that fall on Saturday, the Friday immediately preceding will be considered as the holiday. For holidays that fall on Sunday, the subsequent Monday will be considered as the holiday.

Lincoln's Birthday and Election Day (November) are designated as Floating Holidays. The WLS Headquarters will be open these days; however, employees may substitute another day for each at any point in time during the course of the fiscal year with prior approval of their Department Head. If time for these 2 floating holidays is not taken within the fiscal year, no time will be compensated. Coverage for each department is the responsibility of the Department Head. WLS closes early on the work day immediately preceding the holiday observance of Christmas Day unless Christmas Day falls on a Sunday or Monday.

Time required for observance of religious holidays which are not legal holidays must be requested as personal leave or vacation.

If a holiday occurs during an employee's vacation, the holiday is not charged to vacation time.

If a holiday occurs while an employee is attending a convention which s/he has requested to attend, no compensatory time will be granted.

If a holiday occurs while an employee is attending a convention at the request of the Executive Director, compensatory time will be granted.

PAID VACATION

Vacation leave with pay is granted to full time and part time (scheduled to work at least 20 hours per week) regular employees. Hourly employees (scheduled to work less than 20 hours per week) are not granted vacation with pay.

New employees beginning work after January 1, will earn vacation leave on a pro-rated basis in the first year of employment.

A new employee is permitted to take vacation after 90 days of employment. Vacation time may not be taken before it is earned. Exceptions may be made only with the approval of the Executive Director.

Vacation allowance is granted on a calendar year as follows:

Full-time Exempt staff (as defined by FLSA)	(154 hours)
Full-time Non-exempt staff (as defined by FLSA))	
1 through 5 years of service ..... 15 days per year	(105 hours)
More than 5 years of service .... 22 days per year	(154 hours)

Part time regular employees (scheduled to work at least 20 hours per week) are granted vacation on a pro-rated basis.

Request for Vacation

Earned vacation leave may be taken at any time in the year, subject to the staffing needs of the department and after fulfillment of the waiting period for new employees. Earned vacation leave may be taken all at one time, or divided into several parts. No more than one year's earned vacation leave may be taken at one time, except by special permission of the Executive Director.

Employees who wish to schedule vacation time must submit a written request (hard copy or electronic) to the Department Head for approval. The Department Head will approve or deny

the request in writing. If approved, the Department Head will forward it to the Operations Manager.

No more than 10 days of vacation time may be carried over from one year to the next.

An employee who resigns or is terminated will be paid for up to 10 days of unused vacation time accumulated in the prior year, as well as for any pro-rated current year unused vacation time.

### PAID PERSONAL DAYS

Full time employees are granted 5 personal leave days (35 hours) each calendar year. Part time regular employees (scheduled to work at least 20 hours per week) are granted personal leave on a pro-rated basis. Hourly employees (scheduled to work less than 20 hours per week) are not granted personal leave.

Personal leave should be taken in half-day (3.5 hours) or full-day (7 hours) increments. Personal leave may not be carried over from one calendar year to the next.

Personal leave may be used for a variety of purposes such as religious observances or for transacting personal business which must be carried on during normal work hours. Personal leave may be used to cover absenteeism or lateness due to extreme weather conditions.

Personal leave may be taken the working day before or after a WLS holiday only at the discretion of the Department Head. The Department Head is responsible for seeing that the department is adequately staffed before permission can be granted.

Personal leave must be approved by the immediate supervisor at least 24 hours in advance except in emergencies.

No payment is made for unused personal days at any time during the employee's employment or at termination/resignation.

### PAID SICK LEAVE

Full time employees are granted 12 days (84 hours) of sick leave per calendar year. Sick leave is earned at the rate of 7 hours per month after the month has been worked. Part-time regular employees (scheduled to work at least 20 hours per week) are granted paid sick leave on a pro-rated basis. Hourly employees (scheduled to work less than 20 hours per week) are not granted sick leave with pay.

New employees, beginning work after January 1, will earn sick leave on a pro-rated basis in the first year of employment, and must have worked an entire month in order to earn sick leave for the first month of employment.

Sick leave may not be used until it has been earned. In emergency situations only, sick leave may be advanced with the approval of the Department Head and the Executive Director.

Sick leave is to be used for personal illness, for doctor's or dentist's appointments, and up to 10 days may also be used to provide care for a family member with a serious health condition. Employees using sick leave to provide care for a family member must notify the Operations Manager of such use in writing and, where possible, in advance. (The terms "Family Member" and "Serious Health Condition" refer to the definitions described under the Family and Medical Leave Act.)

A physician's certificate may be required for sick leave of 3 or more days or for sick leave that has been over-extended. In the case of a long illness, a doctor's certificate may be required periodically.

Employees returning to work after a long illness or an over-extended sick leave are required to furnish a doctor's certificate indicating their ability to return to work with no restrictions.

Employees are permitted to accumulate up to 165 days (1155 hours) of sick leave.

Upon retirement, a number of days of unused sick leave are considered by the New York State Employees Retirement System (NYSERS) in computing retirement benefits. (Please note that credit for unused sick leave is in addition to the time required for retirement and cannot be used to meet the requirements established by NYSERS.)

Employees may carry over their unused sick days into the following year or can be paid annually one day of regular pay for every 3 full days of unused sick leave for the period of the prior December 1 to the current year November 30. Only one option can be chosen each year. This will only apply to sick leave accrued after December 1, 1994, and only for employees who are eligible for sick leave.

Exiting employees will not be paid for unused sick time at time of separation.

#### PAID BEREAVEMENT LEAVE

Full time employees are granted 5 consecutive working days for a death in the immediate family. "Immediate family" is defined as spouse, child, mother, father, step-mother, step-father, brother, mother/father-in-law, sister, or a member of the employee's household. Part-time and hourly employees are granted the hours they were scheduled to work on these days.

One day is granted for a death of a "Near Relative." "Near Relative" is defined as grandparents, grandchildren, aunt or uncle not living in the employee's household. Part-time and hourly employees are granted the hours they were scheduled to work on that day.

Personal leave may be used if additional time is desired, or for absences due to the death of a non-relative.

Special circumstances may be brought to the attention of the Executive Director.

A maximum of 4 working hours is granted to attend the wake or funeral of a co-worker or co-worker's immediate family, when it falls within the normal working day.

### HEALTH INSURANCE

WLS offers health insurance after satisfactory completion of the first 3 months of employment. Full-time and part-time (scheduled to work at least 20 hours per week) regular employees may participate in the plan. Grant-funded employees may participate in the plan provided that health insurance coverage is included in the terms of the grant/contract.

There is an employee contribution required for individual and family health coverage; however, WLS pays the remaining portion of the premium. The portion of the health insurance coverage paid by the employee is, with written authorization by the employee, deducted from the employee's bi-weekly paycheck.

### EYEGLOSS INSURANCE

WLS offers eyeglass insurance coverage for the individual employee only. Dependents are not covered by the Eyeglass Insurance Plan.

### DENTAL INSURANCE

WLS offers dental insurance coverage for the individual employee only. Dependents are not covered by the Dental Insurance Plan.

### LIFE INSURANCE

Full-time and part-time (scheduled to work at least 20 hours per week) regular employees are covered by term life insurance. For employees covered under this plan, the amount of life insurance will be equal to double their gross salary in the previous calendar year. Included in this policy is a provision for accidental death and dismemberment.

Employees who continue to work after age 65 are subject to reduced coverage.

Term Life Insurance coverage terminates upon an employee's retirement, resignation or termination.

### RETIREMENT PENSION

All new full-time employees are required to join the New York State Employees Retirement System (NYSERS) or the New York State Voluntary Defined Contribution Plan (NYSVDC). Membership in the retirement system is optional for part-time regular employees. Employees hired on or after January 1, 2010, who are not currently members of NYSERS are required to contribute a percentage of their gross salary to the retirement plan. Information regarding



vesting in the pension plan can be obtained directly from NYSERS (<http://www.osc.state.ny.us/retire/>).

### TAX DEFERRED ANNUITY (403b) PLAN

All employees may elect to participate in a Tax Deferred Annuity (403b) Plan through payroll deductions. Contributions to the plan are taken from pre-tax salary, and any interest and investment earnings accumulate on a tax-deferred basis until withdrawal or until paid as benefits. Several firms handle WLS's Program. WLS offers the choice of one or more of the plans offered by these firms. However, this benefit is accompanied by an important responsibility. Because the employee decides how to invest his or her funds, the employee is responsible for any financial gains or losses that result from that decision.

### CREDIT UNION

All employees as well as any member of the employee's family may join the Hudson River Teachers Federal Credit Union. Employees may request payroll deductions for deposits or repayments of loans. The credit union is a voluntary organization with its own rules and regulations governing its relationships with its members.

### PROFESSIONAL LEAVE (ATTENDANCE AT LIBRARY-RELATED MEETINGS, WORKSHOPS AND CONVENTIONS)

Administrative leave may be granted to an employee to attend library-related meetings, conventions and/or workshops. Such leave will be considered in light of WLS needs and work schedules, and is granted at the discretion of the immediate supervisor, Department Head, and Executive Director. (Please refer to the **TRAINING AND DEVELOPMENT** section for further information).

Before accepting a responsibility or an office which may require the use of work time, an employee must obtain the approval of the Executive Director.

Employees wishing to apply for administrative leave to attend library-related meetings, conferences and/or workshops must complete the *Conference Attendance Request* form (available from the Operations Manager) and submit it to his/her supervisor for approval. Once approved by the supervisor, the Request will be forwarded to the Executive Director for final review and approval. The Executive Director may request that employees attend meetings which s/he believes may be of value to the individual and/or WLS.

## SECTION V: LEAVES OF ABSENCE

### JURY DUTY

A leave of absence for jury duty will be granted to any employee who has been notified to serve on a jury. A staff member must notify his/her supervisor when the notice is received. During this leave, full-time employees will be paid their regular salary for a period up to 15 days within a 12-month period. This time may be taken as full or part days, as the jury service necessitates. Employees must indicate that their employer is paying them for this time when serving on jury duty.

An employee who reports for jury duty and is excused from serving before 12:00 (noon), must report to work for the afternoon, according to the work schedule of his/her department. However, the combination of jury duty and work hours shall not amount to more than a normal work day.

Upon completion of jury duty service, the employee must submit to his/her supervisor a signed Certificate of Jury Service indicating the number of days served.

### COURT APPEARANCE

Leave with pay may be granted to an employee who is subpoenaed for a court appearance on a WLS (or WLS member library) related matter.

### MILITARY DUTY

If an employee enters military service or is required to attend annual Reserve or National Guard duty, s/he will be entitled to unpaid time off and to reinstatement in accordance with applicable federal and state laws. The employee should provide the supervisor as much advance notice as possible so that necessary staffing arrangements can be made. Employees, at their discretion, may elect to take any fully earned vacation at this time.

### PERSONAL LEAVE (For circumstances not covered by the Family and Medical Leave policy)

Under certain circumstances, WLS may, at its discretion, grant a personal leave of absence without pay. A written request for a personal leave must be presented to the Executive Director at least 2 weeks prior to the requested start of the leave.

While on a personal leave of absence, a staff member will not be eligible to receive or accrue benefits. The staff member does have the option of continuing insurance coverage by paying the appropriate premium. Upon return to work, benefits are reinstated and will resume accruing as usual.

WLS cannot guarantee reemployment upon the expiration of a personal leave. While on personal leave of absence, the staff member is not permitted to accept work for another

employer. Failure to return to work because the leave must extend beyond the time period granted will be deemed a voluntary resignation of employment. The resignation will be considered effective as of the last day worked prior to commencing the leave.

## FAMILY AND MEDICAL LEAVE OF ABSENCE

### Eligibility

Employees who have been employed by WLS for at least one year and worked at least 1,250 hours during that year may be eligible for an unpaid leave of absence of up to 12 weeks during a rolling 12-month period for any of the following reasons:

- \* The birth of a child and in order to care for such child.
- \* The placement of a child with the employee for adoption or foster care.
- \* The care of a spouse, child, or parent of the employee if such person has a serious health condition.
- \* A serious health condition that makes the employee unable to perform the functions of his/her position (including conditions qualifying for workers compensation or short term disability benefits).
- \* A "qualifying exigency" (as determined by the U.S. Department of Labor regulations) arising out of the fact that a spouse, son, daughter or parent is on active duty (or has been notified of an impending call or order to active duty) in the Armed Forces in support of a contingency plan.

Although family and medical leave taken pursuant to this policy is unpaid, an employee may, depending upon the reason for the leave, be eligible for short-term disability payments and/or worker's compensation benefits consistent with state law. Individuals are not permitted to work for another employer while they are on FMLA leave. Staff members who have questions about WLS's family and medical leave of absence policy should contact the Operations Manager.

### Leave to Care for a Servicemember

A covered servicemember's spouse, son, daughter, parent, or next of kin is entitled to take up to 26 weeks of leave during a single 12-month period to care for a servicemember who has incurred an injury or illness in the line of duty while on active duty in the Armed Forces, provided that such injury or illness may render the servicemember medically unfit to perform duties of the servicemember's office, grade, rank or rating. Leave to care for a servicemember, when combined with other FMLA-qualifying leave, may not exceed 26 weeks in the single 12-month period.

### Notice To WLS

In any case in which the necessity for the leave is foreseeable, the employee should provide WLS with reasonable advance notice in order to allow proper time to plan for staffing replacements, generally at least 30 days. Medical certification, including a diagnosis and probable return date, is necessary prior to granting final approval for any leave related to the serious health condition of any employee, spouse, child or parent. Appropriate certification is also required for leave due to a "qualifying exigency" and to care for a servicemember. Please contact the Operations Manager concerning the required certification. Failure to provide such certification may result in the staff member being considered absent without authorization.

Request for family or medical leave must be submitted to the Operations Manager. In the case of an employee's own illness or disability, periodic updates will be required, generally on a monthly basis, regarding the status of the medical condition and plans to return to work.

### Reinstatement

Employees returning from family or medical leave of absence within the time constraints specified above will be restored to the position of employment held by the employee when the leave commenced or to an equivalent position. An individual who fails to return upon the conclusion of the approved leave or any extension granted will be considered to have voluntarily resigned. Employees returning from leave due to their own serious health condition must provide appropriate medical documentation prior to returning, certifying their ability to resume the essential functions of their job. Employees should provide as much advance notice as possible prior to a planned return to work.

### Health Insurance and Other Benefits

WLS will continue to provide health benefits under the existing group health plan for employees out on family or medical leave for up to 12 weeks, or up to 26 weeks in the case of leave to care for a servicemember, on the same basis as prior to the leave. Employees will continue to be responsible for their portion of the premium payment. Employees who fail to return after a leave will be required to reimburse WLS for the entire cost of health insurance premiums.

### Extensions

Except in extenuating circumstances, extensions of leave may be granted for a period of up to 6 months, upon submission of appropriate documentation to the Operations Manager. (This 6-month period includes the initial 12 weeks.) However, extensions are only available beyond 12 weeks in the case of an employee's own disability, not for other family-related leaves. Additionally, if a leave is granted beyond 12 weeks, reinstatement is not guaranteed, and the employee will be responsible for the entire cost of continuing insurance coverage beyond 12 weeks.

### Part-Time Employees And Employees With Less Than One Year Of Service

Employees with less than one year of service and part-time employees working less than 1,250 hours a year may also apply for a leave of absence of generally up to 8 weeks for their own disability but are not eligible for other types of family-related leave. However, if granted,

insurance continuation will be the sole responsibility of the employee and reinstatement will depend on the staffing needs of WLS at the time reinstatement is sought.

Disability forms and claims for New York State disability benefits are available from and should be filled out and returned to the Operations Manager. Any questions with respect to WLS's family and medical leave of absence policy should also be directed to the Operations Manager.

## **SECTION VI: JOB PERFORMANCE**

### **PERFORMANCE EVALUATION**

Performance evaluations of all employees are generally completed annually. Additional evaluations may be performed at any time if either the supervisor or the employee has reason to believe that the previous evaluation is no longer applicable.

All performance evaluations must be signed by the employee as an indication that s/he has read it. Signature of the employee does not necessarily imply agreement with the evaluation.

All performance evaluations become part of the employee's personnel file.

### **PROGRESSIVE DISCIPLINE**

To maintain an orderly, safe, and efficient work environment, WLS on occasion may have to respond to and correct inappropriate employee behavior or conduct. In many instances disciplinary action will be progressive, beginning with an oral warning, followed by a written warning, culminating with termination of employment. These steps may not be followed in each instance. At the discretion of the Executive Director, the progressive discipline process may be bypassed and immediate actions may be taken.

## **SECTION VII: PROBLEM-SOLVING PROCEDURES**

To ensure fair and equitable treatment of all complaints or employee concerns, a problem-solving procedure has been established, which employees are encouraged to use. If a staff member has a concern that s/he would like to have addressed, then as a first step, s/he should speak with his/her supervisor for further clarification.

Step 1. The employee shall take the matter up with his or her immediate supervisor or Department Head (if different) in an attempt to agree on a satisfactory resolution.

Step 2. In the event a satisfactory resolution is not reached in Step 1 or if for some reason the employee does not wish to discuss the problem with the Department Head, the Executive Director will review and investigate the matter and attempt to find a mutually agreeable solution to the problem.

Step 3. In the event the employee feels that the remedies from steps 1 and 2 have overlooked the nature of a serious problem, s/he may address the matter to the President of the WLS Board of Trustees. The employee should provide a synopsis of the problem as well as evaluation and/or proposed resolutions by supervisors along with any documentation. The burden of questioning the Executive Director's decision is on the employee. The President will bring the issue before the WLS Board.

Information gathered during each step of this procedure will be treated discreetly and confidentially by all parties involved.

## SECTION VIII: SAFETY AND SECURITY

### EMERGENCY CLOSINGS

Paid leave will be granted if WLS is officially closed for the following reasons:

- \* Extreme inclement weather
- \* An extended breakdown of heating or air conditioning equipment
- \* Other adverse situations which affect working conditions.

Although employees are expected to make an effort to get to work during inclement weather, there will be no obligation to travel placed on anyone who deems it dangerous or unsafe to do so. An employee who calls in an absence on an inclement day will be required to use his/her personal or other leave for the entire scheduled work day, regardless of whether or not WLS closes anytime after opening.

Employees who elect to leave early in bad weather will also be required to use personal or other leave for any scheduled hours not worked.

If an employee has already scheduled time off for a day when WLS closes because of bad weather, the employee will be charged for that time.

Part time and hourly employees are paid only for the time scheduled to work on the emergency closing day.

In the event of inclement weather or other emergencies, WLS maintains a telephone number which staff should call to find out whether or not the WLS offices will be open on that day.

### SECURITY

Staff are expected to be security-conscious about safety and property. Incidents of lost or suspected stolen property caused by theft, misappropriation, malicious destruction or other criminal act should be immediately reported to a supervisor.

### ACCIDENT REPORTING PROCEDURES

WLS strives to provide a safe and healthful working environment, free from occupational hazards. When a work-related injury or illness occurs, it is the employee's responsibility to inform his/her supervisor immediately.

Employees who are disabled due to a work-related illness or injury are eligible to receive disability benefits under the Workers' Compensation policy. The amount of the benefit is dependent upon the disabled employee's compensation rate and guidelines established by the State of New York.



## WORKERS' COMPENSATION

Should a staff member suffer a work-related injury, disease or illness, s/he will receive benefits under WLS's Workers' Compensation policy. To ensure the staff member's physical well-being and the correct processing of these claims, the appropriate supervisor should be notified immediately about any injury occurring during and as a result of employment, no matter how slight. When seeking medical attention, it is important that the staff member indicate the injury was due to a work-related accident.

## SECTION IX: SEPARATION PROCESS

### RESIGNATIONS

A written letter of resignation, addressed to the Department Head, is required of all employees intending to resign. The Department Head is responsible for forwarding the letter of resignation to the Executive Director. Letters of resignation are filed in the employee's personnel file.

To ensure a smooth transition, WLS asks that as much notice as possible be provided, preferably no less than 2 weeks. For positions at the managerial level and higher, 4 weeks notice is desirable.

### RETIREMENT

Notification of retirement should be made in the same manner as a resignation (see above).

For employees contemplating retirement, the New York State Employees Retirement System requires notice prior to the intended retirement date. Information concerning State requirements for making application for retirement benefits may be obtained from the Operations Manager or online from the New York State Employees Retirement System (<http://www.osc.state.ny.us/retire/>).

For post-retirement health insurance coverage, WLS has set the 12/31/2008 health insurance premium as a benchmark. An employee who has worked a minimum of 10 years for WLS, and who is within 5 years of the date on which s/he is entitled to receive a retirement allowance, is eligible for post-retirement health insurance through WLS and will be responsible for payment of any amount above the 2008 health care premium. In accordance with the rules and regulations of the Department of Civil Service, the employee must pay the full premium, with no break in coverage, from the time of separation until reaching age eligible for receipt of the pension.

WLS will reimburse retirees for Medicare premiums, provided they are eligible for post-retirement health insurance through WLS.

### TERMINATION

Violations of WLS policies, rules and regulations, or poor job performance may result in discharge from employment. Termination for misconduct will result in forfeiture of termination benefits except those required by law. Final paychecks for resigning or terminated employees will be made available on the next regular payday or sooner, consistent with applicable law.

## LAST WORK DAY

Employees are responsible for ensuring that all paper and electronic files are accessible to WLS prior to the last day of employment. All information created by the employee for WLS is the property of WLS and cannot be shared with any parties outside the organization.

Employees are expected to return any WLS issued property by their last work day.

**SECTION X: WLS POLICIES**

The full text of the following policies can be found in Appendix A:

EQUAL EMPLOYMENT OPPORTUNITY

ANTI-HARASSMENT

WORKPLACE VIOLENCE

ELECTRONIC DATA AND TELECOMMUNICATIONS

EXEMPT AND NON-EXEMPT EMPLOYEE PAY

PROGRESSIVE DISCIPLINE

CODE OF ETHICS AND CONFLICT OF INTEREST

RECORDS RETENTION

WHISTLE-BLOWER PROTECTION

INTERNET USE

PRIVACY

INVESTMENT OF FUNDS

**XI. ACKNOWLEDGEMENT OF RECEIPT OF EMPLOYEE HANDBOOK**

The Employee Handbook is an important document intended to help you become acquainted with WLS.

Please sign below to indicate your receipt and acknowledgment of this Employee Handbook.

I have received and read a copy of WLS’s Employee Handbook. I understand that the policies and rules described in it are subject to change at the sole discretion of WLS.

I further understand that my service is terminable at will, either by myself or WLS, regardless of the length of my service.

I understand that no contract of employment has been expressed or implied, and that no circumstances arising out of my service will alter my “at will” status.

My signature below indicates that I have read and understand the above statements and that I have received a copy of the WLS Employee Handbook.

Employee’s Printed Name:

\_\_\_\_\_

Employee’s Signature:

\_\_\_\_\_

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



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## **SECTION XII: APPENDIX A**

### **POLICY # 1**

**Subject:** Equal Employment Opportunity

**Application:** Employees, customers, consultants, contractors, vendors and visitors

Westchester Library System (WLS) is committed to providing equal opportunity for all persons regardless of race, color, national origin, citizenship, religion, creed, age, sex, sexual orientation, gender identity or expression, marital status, disability, veteran status, or any other trait or characteristic protected by law.

Equal opportunity extends to all aspects of the employment relationship, including hiring, transfers, promotions, training, terminations, working conditions, compensation, benefits, and other terms and conditions of employment. Improper interference with the ability of WLS employees to perform their expected job duties will not be tolerated.

WLS complies with federal and state equal employment opportunity laws and strives to keep the workplace free from all forms of harassment, including sexual harassment. WLS considers harassment in all forms to be a serious offense. (See Anti-Harassment Policy #2.)

Employees who have been subject to prohibited discrimination and/or harassment or who have concerns should immediately report the incident to their supervisor and/or the Executive Director or any member of management. Individuals are not obligated to speak with their immediate supervisor before bringing the matter to the attention of the Executive Director or any other member of management.

Complaints will be investigated promptly by management and will be handled in a confidential manner. Confidentiality will be observed to the extent consistent with adequate investigation procedures and appropriate corrective action. If the matter is not investigated after reporting the incident, the employee may bring the matter to the attention of the President of the WLS Board of Trustees. Anyone who reports violations of this policy and /or cooperates with WLS's investigation of such violations will be protected against retaliation.

Violations of this policy are not tolerated. Individuals who engage in acts of discrimination and/or harassment are subject to immediate disciplinary action which may include termination of employment.

## **POLICY # 2**

**Subject:** Anti-Harassment

**Application:** Employees, trustees, customers, consultants, contractors, vendors and visitors

Westchester Library System (WLS) is committed to providing a work environment that is free from all forms of discrimination and conduct that can be considered harassing, coercive or disruptive, including sexual harassment. WLS expects that all relationships among persons in the workplace will be business-like and free of bias, prejudice and harassment.

WLS expressly prohibits any form of employee harassment. Each individual has the right to work in a professional atmosphere that promotes equal employment opportunities and prohibits discriminatory practices, including harassment and sexual harassment. Conduct prohibited by these policies is unacceptable in the workplace and in any work-related setting outside the workplace, such as during business trips, business meetings and business-related social events.

Sexual harassment is a form of gender discrimination and is defined as unwelcome sexual advances, requests for sexual favors and other verbal or physical conduct of a sexual nature when, for example, submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment; submission to or rejection of such conduct by an individual is used as a basis for employment decisions affecting such individual; such conduct is so severe and pervasive that it has the purpose or effect of unreasonably interfering with an individual's work performance; or such conduct creates an intimidating, hostile, or offensive working environment.

Sexual harassment may include a range of behaviors that may involve individuals of the same or different gender.

Harassment on the basis of other protected characteristics is also prohibited. Harassment is verbal or physical conduct that denigrates or shows hostility or aversion towards an individual because of his/her race, color, national origin, citizenship, religion, creed, age, sex, sexual orientation, marital status, disability, veteran status, or any other trait or characteristic protected by law and that such conduct is so severe and pervasive that it has the purpose or effect of unreasonably interfering with an individual's work performance; or such conduct creates an intimidating, hostile, or offensive working environment.

Individuals who believe they have experienced conduct that they deem is contrary to WLS's policy or who have concerns about such matters should file their complaints with their immediate supervisor or speak with the Executive Director. Individuals are not obligated to file their complaints with their immediate supervisor before bringing the matter to the attention of the Executive Director or any other member of management.



Allegations of harassment will be investigated promptly and discreetly by management. To the extent possible, your confidentiality and that of any witnesses and the alleged harasser will be protected against unnecessary disclosure. WLS prohibits retaliation or attempted retaliation against any individual who reports harassment or participates in an investigation of such a report. Retaliation against an individual is a violation of this policy and will be subject to disciplinary action.

Any supervisor who becomes aware of possible unlawful harassment must immediately advise the Executive Director so it can be investigated in a timely and confidential manner. Individuals who engage in acts of discrimination and/or harassment are subject to immediate disciplinary action which may include termination of employment.

### **POLICY # 3**

**Subject:** Workplace Violence

**Application:** Employees, trustees, customers, consultants, contractors, vendors and visitors

Westchester Library System (WLS) is committed to providing a work environment that is free from violence or threats of violence. WLS also is intent on preventing any threatened or actual destruction of company and personal property. Compliance with this policy requires that all individuals on WLS premises, conducting business with or on behalf of WLS, act in a professional, non-violent and non-threatening manner.

Workplace violence includes behavior that constitutes assault, battery, or the destruction or attempted destruction of company or personal property while on WLS premises or while engaged in WLS business. This definition expressly includes domestic violence when such behavior extends to the workplace. WLS also prohibits employees from possessing firearms or other dangerous weapons on the premises whether or not the person is licensed or permitted to carry a weapon.

Prohibited threats are those that a reasonable person would perceive as real threats of violence against a person or WLS property and that has the effect of unreasonably interfering with the work of WLS or any of its employees.

All employees and others covered under this policy are responsible for establishing and maintaining a work environment which promotes professionalism and is free of threats and violence. This responsibility includes being alert to situations in which workplace violence is occurring or may potentially occur. Threats, acts of violence or behavior that raises a safety or security threat should be reported to a supervisor or to the Executive Director.

WLS will initiate appropriate action based on the circumstances, including notifying law enforcement. WLS will take all reasonable steps to address the safety concerns of those who have reported or believe they may have been subject to workplace violence, or are otherwise concerned about their safety or security.

Any employee determined to have violated this policy will be subject to disciplinary action, up to and including termination of employment, at the discretion of the WLS Executive Director.

Individuals who have questions or concerns about the policy should speak with their supervisor for further clarification.

## **POLICY # 4**

**Subject:** Electronic Data and Telecommunication

**Application:** Employees, consultants, contractors, temporaries, vendors, visitors

Westchester Library System's (WLS) electronic communication systems, such as computers, accessing the internet, voicemail, email, and telephone systems are made available to all employees to carry out legitimate business of WLS. All communication and information transmitted by, received from or stored in these systems are the property of WLS and all communications are subject to review. Therefore users of WLS's electronic communications systems, with the exception of library patrons, have no expectation of personal privacy. The privacy of library patrons will not be violated by WLS unless it receives a valid legal or regulatory request and even then WLS will to the extent possible notify the patron and legally resist to the extent appropriate.

WLS may access its electronic communications systems and obtain the communications of employees within the systems, including Internet usage. Except in circumstances when the Executive Director believes that prior notice will result in a loss of data, WLS will provide notice to any employee prior to accessing records of his or her electronic communications if the reason for obtaining such access is to determine if the employee has violated WLS policy or law. WLS may obtain such access without notice in order to maintain the system or in the case of an emergency or to comply with a valid legal and regulatory order for information; or to ensure that WLS's operations continue appropriately during an employee's absence.

Only software and hardware approved by, purchased and installed by WLS are permitted. Further, unauthorized duplication of copyrighted computer software or any violation of federal copyright laws is strictly prohibited.

WLS's policy prohibiting harassment applies to the use of its electronic communications systems.

Since electronic communication systems are for business use only, these systems may not be used to solicit for religious or political causes, outside organizations or other personal matters unrelated to WLS's business.

No one may access, or attempt to obtain access, to another individual's electronic communications without appropriate authorization.

Personal telephone calls, both incoming and outgoing, are permitted as is use of the email system for personal emails if placed in a separate email folder marked personal. Such usages may not interfere with the employee's work or with availability of WLS systems and must be kept to a minimum and as short as possible. Users of telephone equipment should be aware that calls are logged. Emails are also logged and saved.

Any employee found to have violated this policy will be subject to disciplinary action, including immediate termination of employment and based upon severity of violation with possible criminal charges.

If there is any uncertainty regarding the electronic communications and telecommunications policy, employees should speak with the head of Information Technology or the Executive Director for further clarification.

## **POLICY # 5**

**Subject:** Exempt and Non-Exempt Employee Pay

**Application:** Employees

### **1. Background**

It is Westchester Library System's (WLS) policy and practice to appropriately compensate employees and to do so in compliance with applicable state and federal laws. To ensure that proper payment for all time worked and that no improper deductions are made, each employee must record correctly all work time and review your paychecks promptly to identify and to report any errors.

### **2. Policies Applicable to All Employees**

All employees will record their time and submit a completed timesheet to their supervisor via the NOVAtime Attendance Program.

It is a violation of WLS policy for any employee or manager to instruct another employee to incorrectly or falsely report hours worked. This kind of violation should be reported to the Executive Director.

In addition to deduction to pay that are mandated by federal and state laws and regulations, there may be reductions to an employee's accrued vacation, personal or other forms of paid time off for full or partial day absences for personal reasons, sickness or disability. Employees with questions about deductions on a paycheck should contact the Chief Financial Officer and/or Personnel Clerk. Each claim will be investigated and if the deduction was improper, WLS will reimburse the employee.

### **3. Non-Exempt Employees**

Non-exempt employees must maintain a record of the total hours worked each day. Each non-exempt employee must submit his/her own timesheet to verify that the reported hours worked are complete and accurate. The timesheet must reflect all regular and overtime hours worked, any absences, late arrivals, early departures and meal breaks. At the end of each pay period, each non-exempt employee must submit a completed timesheet to his/her supervisor for verification and approval.

A non-exempt employee should not work hours which are not authorized by his/her supervisor. Non-exempt employees should not start work early, finish work late, work during a meal break or perform other overtime work unless authorized to do so and the time is recorded on the timesheet. Non-exempt employees are not to "make up time" unless it is approved in advance by his/her supervisor. "Making up time" means working more hours on one day to cover hours not completed on a pervious day.

#### **4. Exempt Salaried Employees**

Exempt salaried employees receive a salary which is intended to compensate for all work hours. This salary is established at the time of hire or when the employee is classified as an exempt employee. While it may be subject to review and modification from time to time, such as during salary review times, this salary will be a predetermined amount which generally will not be subject to deductions for variations in the hours worked. However, there is no requirement to pay exempt employees for any work week in which they perform no work at all for WLS.

## **POLICY # 6**

**Subject:** Progressive Discipline

**Application:** Employees

To maintain an orderly, safe, and efficient work environment, Westchester Library System (WLS) on occasion may have to respond to and correct inappropriate employee behavior or conduct. Depending on the level of deficient performance, misconduct or violation of WLS policy, the application levels of progressive discipline may apply.

The purpose of discipline is to be corrective. Progressive discipline is based on the premise that employees will change and correct behavior once the importance of misconduct has been emphasized and the employee has been given an opportunity to improve performance.

Generally, the Progressive Discipline process involves several steps. Each step in the process more strongly encourages the employee to modify his/her behavior by offering varying levels of discipline. WLS has the right to respond to and remedy inappropriate employee behavior or conduct and accordingly certain offenses will result in immediate termination. Each instance of a policy violation will not always result in the same order of the steps outlined in this policy.

An oral warning is a formal or informal discussion with the employee regarding performance deficiencies, misconduct or violation of WLS policy. A written warning should outline the deficient performance, misconduct or violation of WLS policy, the relevant facts, the expected improvements, a time line of expected results, and consequences for not correcting the undesired behavior. All written warnings will be placed in the employee's personnel file.

In many instances disciplinary action begins with an oral warning, then it is followed by a written warning, and may culminate with termination of employment. In a case of a serious offense, WLS may find it appropriate to terminate the employment of the offender immediately.

**POLICY #7****Subject:** Code of Ethics and Conflict of Interest Policy**Application:** WLS Trustees and Employees

The Westchester Library System (WLS) recognizes that sound, ethical standards of conduct serve to increase the effectiveness of the WLS's Board of Trustees, staff and volunteers. Actions based on an ethical code of conduct promote public confidence and the attainment of WLS's goals. The Board also recognizes its obligation, under the provisions of New York General Municipal Law, to adopt a code of ethics setting forth the standards of conduct required of WLS trustees and employees.

The WLS Board of Trustees is committed to avoiding situations in which the existence of conflicting interests of any trustee or employee may affect the integrity of the management or operation of the System. The Board affirms its commitment to adhere to applicable provisions of law regarding material conflicts of interest:

1. **Gifts:** No trustee or employee shall directly or indirectly solicit, accept or receive any money or gift having a value of \$75 or more, whether in the form of cash, check, loan, credit, services, travel, entertainment, hospitality, or promise, or any other form. Under no circumstances should a trustee or employee accept any money or gift for which it could reasonably be inferred that the money or gift was intended to influence him or her in the performance of his or her official duties or was intended as a reward for any specific official action on his or her part. However, the Board encourages the writing of letters or notes expressing gratitude or appreciation to staff members.
2. **Confidential Information:** No trustee or employee shall disclose confidential information acquired by him or her in the course of his or her official duties or use such information to further his or her personal interest. In addition, he or she shall not disclose information regarding any matters discussed in an executive session of the Board of Trustees.
3. **Representation Before the Board:** A trustee or employee shall not receive or enter into any agreement, express or implied, for compensation for services to be rendered in relation to any matter before the WLS Board of Trustees.
4. **Representation Before the Board for a Contingent Fee:** A trustee or employee shall not receive or enter into any agreement, express or implied, for compensation for services to be rendered in relation to any matter before the WLS Board, whereby the compensation is to be dependent or contingent upon any action by the Board with respect to such matter.
5. **Disclosure of Interest in Matters before the Board:** Any trustee or employee of WLS, whether paid or unpaid, who participates in the discussion or gives official opinion to the Board on any matter before the Board shall publicly disclose on the official record the nature and extent of any direct or indirect financial or other private interest he or



- she has in such matter. The term “interest” means a pecuniary or material benefit accruing to a trustee or employee.
6. Disclosure of Interests in Contracts: To the extent known, any trustee or employee of WLS who has, or will have, or subsequently acquires an interest in any contract with WLS shall publicly disclose the nature and extent of such interest in writing to the WLS Executive Director as soon as he or she has knowledge of such actual or prospective interest.
  7. Investments in Conflict with Official Duties: No trustee or employee of WLS shall invest or hold any investment directly or indirectly in any financial, business, commercial or private transaction that creates a conflict with his or her official duties.
  8. Certain Real Property Interests Prohibited: No trustee or employee of WLS who has an interest in any property, either individually or as a trustee or employee of a corporation or partnership, shall participate in the acquisition or plan for acquisition of said property or any property adjacent to said property by WLS. The term “participate” shall include the promotion of the site as well as the negotiation of the terms of the acquisition.
  9. Prohibited Conflicts of Interest: No WLS trustee or employee shall have an interest in any contract between WLS and a corporation or partnership of which he or she is a director or employee, if that WLS trustee or employee has the power to negotiate, prepare, authorize or approve the contract or authorize or approve payment thereunder, audit bills or claims under contract, or appoint a trustee or employee who has any of the powers or duties set forth above. No chief fiscal officer, treasurer or his or her deputy or employee shall have an interest in a bank or trust company designated as a depository paying agent, registration or for investment of WLS funds of which he or she is a director or employee. The provisions of this section will not be construed to preclude the payment of lawful compensation and necessary expenses of any WLS trustee or employee in one or more positions of public employment, the holding of which is not prohibited by law.
  10. Nepotism Prohibited: No person employed by WLS shall hire, supervise, evaluate, promote, review or discipline any other employee who is a member of his/her family. In the event that marriage, promotion, or reorganization results in a situation not in compliance with this policy, reassignment or transfer will be effected in accordance with the applicable provisions of any collective bargaining agreement.
  11. Private Employment: No trustee or employee of WLS shall engage in, solicit, negotiate for or promise to accept private employment or render services to private interests when such employment or service creates a conflict with or impairs the proper discharge of his or her official duties.
  12. Use of Library Property: No WLS trustee or employee shall use or permit the use of property, owned or leased to WLS, for anything other than official purposes or for activities not otherwise officially approved by WLS.

13. Duty to Disqualify: It is incumbent upon any WLS trustee or employee, whether paid or unpaid, to disqualify or recuse him or herself immediately whenever the appearance of a conflict of interest exists.
14. Duty to Report Conflicts of Interest: In the event that any WLS trustee or employee knows of or perceives a direct or indirect conflict of interest, he or she shall report it to the WLS Board of Trustees.
15. Duty to Report Violations of this Policy: Any library trustee or employee or any member of the public noting or suspecting a violation of this policy is encouraged to report the matter, either in confidence or in public, to the WLS Board of Trustees.

*Distribution of the Westchester Library System Trustee and Employee Code of Ethics and Conflict of Interest Policy*

The WLS Board of Trustees shall provide a copy of the Code of Ethics and Conflict of Interest Policy to be distributed to every trustee and employee of WLS. Each trustee and employee elected or appointed thereafter shall be furnished a copy before entering upon the duties of his or her office or employment. In addition, the Board shall ensure that a copy of Article 18 of the General Municipal Law shall be posted in a place conspicuous to WLS trustees and employees, including the WLS website.

*Penalties*

A WLS Trustee or employee who shall knowingly and intentionally violate any of the provisions of this Code of Ethics and Conflict of Interest Policy may be subject to disciplinary action up to and including the imposition of fines, suspension, and dismissal in the manner provided by applicable law.

## **POLICY #8**

**Subject:** Records Retention & Disposition

**Application:** Library System Employees

Westchester Library System (WLS) business records are important assets. Records include essentially all administrative, legal and financial documents created and retained by employees and trustees as part of their regular duties and activities, whether paper or electronic. A record may be a memorandum, an email, or a contract, or something not as obvious, such as a computerized desk calendar, a voice mail, an appointment book or an instant message.

State law requires WLS to maintain certain types of records, usually for a specified period of time and to make them available to the public in accord with the NYS Freedom of Information Law, as well as in the course of legal discovery. Failure to retain such records for those minimum periods could subject WLS and its employees to penalties and fines, cause the loss of rights, obstruct justice, spoil potential evidence in a lawsuit, place WLS in contempt of court, or seriously disadvantage WLS in litigation.

WLS will use the State's requirements as guidelines for retention and destruction of records, as exemplified in the appendix at the end of this policy. No documents will be destroyed if there is pending or threatened litigation.

WLS expects all employees to fully comply with any published records retention or destruction policies and schedules. This Policy applies to all WLS records, or copies or excerpts or summaries of such records, whether retained on site, off-site, in a personal computer or other device, or otherwise in employees' business or personal files. This Policy applies specifically and without limitation to e-mail, voicemail and to instant messages. It also applies to WLS-related documents created by employees personally and not during active employment hours.

To ensure compliance with this Policy, the Executive Director will designate the Records Management Officer, who will be delegated the overall supervision and responsibility for this Policy. He/She will: coordinate education and training of employees to ensure compliance with this Policy; periodically provide updates to employees based on changes in State records retention and disposition requirements; and will ensure the proper storage of records and their orderly destruction. In addition, the Executive Director will also designate WLS's Records Access Officer and ensure that the system is in compliance with the NYS Freedom of Information Law.

There are three kinds of records: Temporary, Final and Permanent.

### **Temporary Records**

Temporary records include business documents that are intended to be superseded by Final Records or Permanent Records, or which are intended to be used only for a limited period of time, including, but not limited to written memoranda and dictation to be typed in the future, reminders, to-do lists, reports, drafts, and interoffice correspondence regarding a client or business transaction.

Temporary records will be destroyed or, if in electronic format, permanently deleted when a project or matter is closed. However, before temporary records are destroyed or deleted, there should be retained a copy of the final record pertaining to the project or matter. Upon destruction or deletion, the final records should be marked “Final” and stored appropriately.

### **Final Records**

Final records include business documents which are not superseded by modification or addition, including but not limited to records given (or sent via electronic form) to any third party not employed by WLS, or to any government agency. These include final memoranda and reports, correspondence, handwritten telephone memoranda not further transcribed, minutes, specifications, journal entries, etc. All accounting records shall be deemed Final Records.

### **Permanent Records**

Permanent records include all business documents that define WLS’s scope of work. These include but are not limited to contracts, proposals, financial statements, tax returns, payroll registers, and formal minutes of meetings. Except as provided in the attached Document Retention Schedule, all permanent documents are to be retained indefinitely.

### **E-mail Policies**

All electronic communication systems as well as all communications and stored information transmitted, received, or contained on WLS’s information systems are the property of WLS. Employees using this equipment for personal purposes do so at their own risk. Such usage is discouraged.

E-mails relating to audit work papers and financial controls should be retained for at least 7 years.

Any messages exchanged between WLS and third parties (such as consultants and auditors) should be archived, regardless of their content. Instant messages and voice mail have the same status as e-mails and should be treated identically.

### **Storage**

Active records and records that need to be easily accessible may be sent to a secure off-site storage facility and, as necessary for operations, stored in WLS’s office.

### **Destruction/Deletion**

Records should be destroyed by shredding or some other means that will render them unreadable. If there are any questions on a record that you do not know how to destroy, ask the advice from the Records Management Officer.

## APPENDIX

## DOCUMENT RETENTION &amp; DISPOSITION SCHEDULE

Category of Records	Description of Records	Manner of Record Keeping	Retention Period	Disposition
<b>General</b>	Correspondence	Compile and store current correspondence in appropriate subject files or in accordance with general corporate filing guidelines.	<b>Three Years.</b>	Archive only correspondence important to business activities. Useless documents should be recycled or shredded.
<b>Financial</b>	Accounts payable, ledgers and schedules	Compile and file records on an annual basis.	<b>Seven Years.</b> Store with financial records.	Archive with financial records and shred at the end of period.
	Accounts receivable, ledgers and schedules	Compile and file records on an annual basis.	<b>Seven Years.</b> Store with financial records.	Archive with financial records and shred at the end of period.
	Annual information returns (IRS Forms 990)	Federal law <sup>1</sup> requires that copies of the three most recent years' returns be kept in the organization headquarters and be made available for public inspection.	<b>Permanent.</b> Store with financial records.	Not applicable.
	Audit reports	Compile and file records on an annual basis.	<b>Permanent.</b> Store with financial records.	Not applicable.
	Banking statements and reconciliations	Compile and file records on an annual basis.	<b>Three Years.</b> Store with financial records.	Shred at the end of the retention period.
	Budget	Compile and file records on an annual basis.	<b>Seven Years.</b> Store with financial records.	Shred at the end of the retention period.
	Cash books	Compile and file records on an annual basis.	<b>Seven Years.</b> Store with financial records.	Shred at the end of the retention period.
	Chart of accounts	Compile and file records on an annual basis.	<b>Seven Years.</b> Store with financial records.	Shred at the end of the retention period.

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<sup>1</sup> This requirement is found in Section 6104(d) of the Internal Revenue Code of 1986, as amended.

Category of Records	Description of Records	Manner of Record Keeping	Retention Period	Disposition
	Cancelled checks	For important payments, i.e., taxes, purchases of property, special contracts, etc., checks should be filed with the papers pertaining to the underlying transaction. Otherwise, compile and file records on an annual basis.	<b>Seven Years.</b> Store with financial records.	Shred at the end of the retention period.
	Depreciation schedules	Compile and file records on an annual basis.	<b>Seven Years.</b> Store with financial records.	Shred at the end of the retention period.
	Duplicate deposit slips	Compile and file records on an annual basis.	<b>Seven Years.</b> Store with financial records.	Shred at the end of the retention period.
	Expense analyses and distribution schedules	Compile and file records on an annual basis.	<b>Seven Years.</b> Store with financial records.	Shred at the end of the retention period.
	Financial statements (year-end, other optional)	Compile and file records on an annual basis.	<b>Permanent.</b> Store with financial records.	Not applicable.
	General/private ledgers, year-end trial balances	Compile and file records on an annual basis.	<b>Seven Years.</b> Store with financial records.	Shred at the end of the retention period.
	Journal entries	Compile and file records on an annual basis.	<b>Seven Years.</b> Store with financial records.	Shred at the end of the retention period.
	Notes receivable, ledgers and schedules	Compile and file records on an annual basis.	<b>Permanent.</b> Store with financial records.	Not applicable.
	Payroll records and summaries	Compile and file records on an annual basis.	<b>Permanent.</b> Store with financial records.	Shred at the end of the retention period.
	Petty cash vouchers	Compile and file records on an annual basis.	<b>Seven Years.</b> Store with financial records.	Shred at the end of the retention period.
	Property records including costs, depreciation reserves, year-end trial balances, depreciation schedules, blueprints, plans, insurance policy, and leases	Compile and file records on an annual basis.	<b>Permanent.</b> Store with financial records.	Not applicable.
	Purchase orders	Compile and file records on an annual basis.	<b>Three Years.</b> Store with financial records.	Shred at the end of the retention period.

Category of Records	Description of Records	Manner of Record Keeping	Retention Period	Disposition
	Requisitions	Compile and file records on an annual basis.	<b>Three Years.</b> Store with financial records.	Shred at the end of the retention period.
	Tax returns, worksheets and revenue agents' reports	Compile and file records on an annual basis.	<b>Permanent.</b> Store with financial records.	Not applicable.
	Time cards	Compile and file records on an annual basis.	<b>Seven Years.</b> Store with financial records.	Shred at the end of the retention period.
	Vouchers (invoices) for payments to vendors, employees, etc. (includes allowances and reimbursements of employees, officers and consultants for travel and entertainment expenses)	Compile and file records on an annual basis.	<b>Seven Years.</b> Store with financial records.	Shred at the end of the retention period.
	Withholding tax statements	Compile and file records on an annual basis.	<b>Seven Years.</b> Store with financial records.	Shred at the end of the retention period.
<b>Governance</b>	Board of Directors minutes, notes and reports from all years	Compile and file records on an annual basis.	<b>Permanent.</b> Store with other corporate records.	Not applicable.
	Governing documents including articles of incorporation, bylaws, amendments, membership and other related documents	File documents with other corporate records.	<b>Permanent.</b> Store with other corporate records.	Not applicable.
<b>Grants</b>	Proposals, original contract agreements, supporting data, accounting documents, financials, subrecipient policy reports, time cards, invoices for payments to subawardees, subaward agreements, procurement documents, A-133 audits and related correspondence	Compile and file records on an annual basis.	<b>Seven Years.</b> Store with other grant records.	Archive with grant records for three years at the end of the retention period following the filing of the closing report and acceptance by the funding agency.

<b>Category of Records</b>	<b>Description of Records</b>	<b>Manner of Record Keeping</b>	<b>Retention Period</b>	<b>Disposition</b>
<b>Human Resources</b>	Employment applications	Compile and file records on an annual basis.	<b>Length of Employment.</b> Store with other human resources records.	Shred at the end of the retention period.
	Personnel files (current)	Compile and file records on an annual basis.	<b>Length of Employment.</b> Store with other human resources records.	Shred at the end of the retention period.
	Personnel files (from date of termination)	Compile and file records on an annual basis.	<b>Seven Years.</b> Store with other human resources records.	Shred at the end of the retention period.
	Retirement and pension records	Compile and file records on an annual basis.	<b>Permanent.</b> Store with other human resources records.	Not applicable.
	Records of pension paid to employees or beneficiaries (after final payment)	Compile and file records on an annual basis.	<b>Seven Years.</b> Store with other human resources records.	Shred at the end of the retention period.
	Insurance policies (expired)	Compile and file records on an annual basis.	<b>Three Years.</b> Store with other human resources records.	Shred at the end of the retention period.
	Insurance records, current accident reports, claims	Compile and file records on an annual basis.	<b>Permanent.</b> Store with other human resources records.	Not applicable.
	Garnishments	Compile and file records on an annual basis.	<b>Seven Years.</b> Store with other human resources records.	Shred at the end of the retention period.
<b>Whistleblower</b>	Records relating to employee complaints or concerns pursuant to WLS's Whistleblower Policy	Compile and file records on an annual basis.	<b>Seven Years;</b> notwithstanding any shorter period provided above for the particular category of document. Store with other whistleblower records.	Unless otherwise provided above for the particular category of document, shred at the end of the retention period.



**POLICY #9****Subject:** Whistle-Blower Protection**Application:** Trustees, Employees and Volunteers***Introduction***

Westchester Library System (WLS) requires its trustees, officers, employees, volunteers and representatives to observe high standards of business and personnel ethics in the conduct of their duties and responsibilities. Trustees, officers, employees, volunteers and representatives of WLS must practice honesty and integrity in fulfilling their responsibilities and comply with all applicable laws, regulations and policies.

Each member of the WLS community has the responsibility to report actions that violate laws, regulations, and/or Code of Ethics. In keeping with WLS's commitment to fostering a community of integrity and staff support, employees are expected to report concerns they may have relating to such violations.

Matters which should be reported under this policy include suspected fraud, theft, embezzlement, accounting or auditing irregularities, bribery, kickbacks, misuse of WLS's assets, harassment or suspected regulatory compliance violations.

The WLS Executive Director shall be responsible for the administration of this policy and shall provide a copy of this policy to all trustees, officers and employees, and to all volunteers who provide substantial services to WLS.

***Reporting Infractions***

A trustee, officer, employee, volunteer or representative who makes a report is protected from any intimidation, discrimination, harassment, victimization or other retaliation, and, in the case of employees, adverse employment consequence that results from making the report. Managers must ensure that the procedures are available and known to all employees and that all employees have easy access to the mechanism for making a report.

All reports made under this policy, and investigations relating thereto, shall be kept confidential to the extent possible, consistent with the need to conduct an adequate investigation. Disclosure of such reports to individuals not involved in the investigation will be viewed as a serious disciplinary offense.

An employee who suspects wrongdoing by a colleague should first reach out to his/her supervisor to address the matter directly. If the matter cannot be resolved at this level, or if for some reason the employee is uncomfortable with bringing the matter to his/her supervisor's attention, the employee should contact the WLS Executive Director or, if necessary, the Chairperson of the WLS Board of Trustees' Audit Committee. Trustees or

other volunteers may report suspected wrongdoing directly to the Chairperson of the WLS Board of Trustees' Audit Committee.

### ***Investigation***

Ordinarily, the Executive Director or the Chair of the Audit Committee will direct the Controller to conduct a preliminary investigation. During the preliminary investigation, the Controller will discuss the complaint with the manager responsible for the department named in the complaint. If the preliminary investigation shows no justification for a complaint, the complaint will be closed and the complainant will be notified of this decision.

If the preliminary investigation reveals potential wrongdoing, the Executive Director will pass on the complaint to the Audit Committee of the Board of Trustees, if the situation warrants. They, in turn, will decide how the investigation is to be carried out, in consultation with the Executive Director. The staff person making the complaint will receive general information on the progress of the investigation and its outcome, unless doing so would jeopardize the investigation. The Executive Director and/or Chairperson of the WLS Board Audit Committee will present the results of all investigations and settlement of all complaints to the Board of Trustees in a timely fashion.

## **POLICY #10**

**Subject:** Internet Use

**Application:** Employees, customers, consultants, contractors, vendors and visitors

Westchester Library System (WLS) and its member public libraries endeavor to develop services that meet the cultural, informational, educational, and recreational needs of Westchester County's diverse, multicultural community by providing access to Internet resources including social media and blogging sites that offer many valuable local, national and international sources of information. Information and resources on the Internet enhance those already held in the library and often go beyond what is locally available. Users are encouraged to take advantage of the Internet and to exercise good judgment and discretion in their use of it.

WLS supports the right to privacy and confidentiality of Library users in accordance with the ALA's Library Bill of Rights; the Freedom to Read Statement; the Freedom to View; Access to Electronic Information Services and Networks; and with the policies, goals and objectives of this public library system. WLS does not monitor and has no control over the information accessed through the Internet, and therefore, cannot warrant the information available through its Internet connection to be accurate, authoritative, factual, timely or useful. In addition, because the content of the Internet is not managed or governed by any entity, users may encounter materials they consider offensive.

The board and employees of WLS assume no responsibility for damages of any type arising from the use of Internet workstations.

Use of the Internet for any illegal activity is prohibited. Such illegal activities may result in loss of system privileges and criminal prosecution. Use of the WLS Internet gateway/connection is intended for private, non-commercial activities, and does not permit unauthorized sales and marketing of products or services.

As with other library materials, the restriction of a child's access to the Internet is the responsibility of the parent/legal guardian.

## **POLICY #11**

**Subject:** Privacy

**Application:** Employees, customers, consultants, contractors, vendors and visitors

The Westchester Library System (WLS) and its member libraries are committed to protecting the privacy of our staff, donors, customers and other external contacts. The WLS privacy policy defines our commitment not to collect any personal information about our users when you visit our websites or register for a program or a library card unless you choose to provide such information. Any information you choose to provide will only be used to more effectively provide and better target library services throughout the County.

This confidentiality extends to information sought or received, materials consulted, borrowed, acquired; and includes database search records, circulation records, interlibrary loan records, and other personally identifiable uses of library materials, facilities or services.

WLS places account information on the secure portion of its computer system. For this reason, patrons are asked to input their barcode number and PIN each time they want to access their account information on the website.

### **Cookies**

Users accessing the WLS or member library websites will need to enable cookies<sup>2</sup> in order to access a number of resources available through WLS. WLS's servers use cookies solely to verify that a person is an authorized user in order to allow access to licensed library resources and to customize Web pages to that user's specification. Cookies sent by WLS servers will disappear soon after the user's computer browser is closed.

### **Emails and Web Forms**

Identifying information that you provide by e-mails or web forms will be used only for such purposes as are described at the point of collection (for example on a web form), such as to send information or provide library services to you, update your membership record or to better target library services to meet constituent demands.

WLS or a member library may contact a patron to clarify a comment or question, or to learn about your level of customer satisfaction with library services. To do so requires contact information provided by the patron. WLS will not use patron/customer emails for commercial purposes nor will it provide such information to external organizations.

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<sup>1</sup> A cookie is very small text file placed on your hard drive by a Web Page server. It is essentially your identification card, and cannot be executed as code or deliver viruses. It is uniquely associated with the computer on which it is placed.

### **Information Collected and Stored Automatically**

WLS does not collect information which identifies you personally. However, when a patron visits a WLS website to browse through the web site, read pages, or download information, certain information will be automatically gathered and stored about the visit to these pages:

1. The Internet domain (for example, "xcompany.com" if a private Internet access account, or "aschool.edu" if connected from a university) and IP address (an IP address is a number that is automatically assigned to a computer whenever it is connected to the Internet) from which access to the WLS web site is gained;
2. The type of browser and operating system used to access the WLS website;
3. The date and time of access to the website;
4. The pages visited and for how long; and
5. The address of the website from which the initial visit to [www.westchesterlibraries.org](http://www.westchesterlibraries.org) was launched, if any.

WLS uses this information to help make its site more useful to visitors and to learn about the number of visitors to the site and the types of technology used. The data that is collected is not connected to a patron's personal information or identity.

### **Links to Other Sites**

WLS's Website contains links to other sites. WLS and our member libraries are not responsible for the privacy practices of other sites, which may be different from the privacy practices described in this policy. It is the patron's responsibility to become familiar with privacy practices of websites external to WLS, including linked sites.

### **Customer Circulation Records**

WLS member libraries do not use a paper process to collect and track customer circulation records. It is done electronically. Each Library maintains information provided by our customers from the registration form they complete when they register for a library card. When an item is checked out, that item is then tied to that customer's record in the WLS system. At the moment that library material is returned to the library, the link between the customer and the material is broken – the WLS system does not retain information on what materials were taken out by whom, the moment the item is returned assuming there are no existing fines or lost/overdue items on record.

### **Privacy & Confidentiality of Library Records**

Library records that are deemed confidential are covered by New York State Law signed on June 13, 1988 (I CPLR 4509). These records are related to the circulation of library materials that contain names or other personally identifying details regarding the users of public, free association, school, college and university libraries and library systems, of this state, including

but not limited to records related to the circulation of library materials, computer database searches, interlibrary loan transactions, reference queries, requests, or the use of audio-visual materials, films or records. These records shall be confidential and shall not be disclosed except that such records may be disclosed upon the request or consent of the user or pursuant to subpoena, court order or where otherwise required by statute.

### **Revisions**

WLS and our member libraries reserve the right to change or modify this privacy statement at any time. If WLS revises this privacy statement, changes will be posted on the WLS homepage.

## **POLICY#12**

**Subject:** Investment of Funds

**Application:** Trustees and Employees

Westchester Library System (WLS) is committed to investing its funds in a way that will maximize the security of principal, satisfy cash flow requirements, and use approved investments to provide the highest possible return. All investments shall conform with all applicable laws and regulations applicable to library systems in New York State.

### **Investment Objectives**

The investment objectives of the Board of Trustees of WLS are, in priority order: (1) to conform to all applicable federal, state and other legal and regulatory requirements; (2) to preserve capital; (3) to provide sufficient liquidity to enable WLS to meet all anticipated operating requirements; and (4) to generate the highest possible rate of return consistent with the first three objectives.

### **Authorized Investments; Security**

All WLS funds (including privately raised moneys, but excluding trust funds that may be invested as provided in the Estates, Powers and Trusts Law) shall be invested in accounts or securities permitted under Sections 10 and 11 of Article 2 of the General Municipal Law, as from time to time amended and in effect, or any successor or similar laws. All deposits in commercial banks or trust companies in excess of the amount insured from time to time under the Federal Deposit Insurance Act shall be secured as provided in said Section 10.

### **Designation of Depositories**

The Board of Trustees shall designate one or more banks or trust companies authorized to do business in the State of New York for the deposit of WLS funds, and the maximum amounts that may be deposited in each such financial institution, at the January meeting of the Board of Trustees. Such designation and amounts may be changed at any time by resolution of the Board of Trustees.

### **Delegation of Authority**

The Board of Trustees hereby delegates management responsibility for investment of WLS funds to the Treasurer and the Chief Financial Officer, who shall jointly (1) invest WLS funds in accordance with the investment objectives and subject to the limitations described in this policy; and (2) establish procedures consistent with this policy. No person may engage in any investment transaction on behalf of WLS except as provided in this policy and the procedures established hereunder.

### **Reporting**

The Treasurer shall provide the Board of Trustees with investment reports at regular board meetings, specifying the types of investments, principal balances, rates of return and maturities.