

 ROSWELL PARK CANCER INSTITUTE	Roswell Park Cancer Institute Policy and Procedure	Date Issued: 3/1/1998	Number: 122.1
Title: A+ Time	Revision: 9	Effective Date: 6/6/16	
Prepared by: Vice President, Corporate Ethics	Approved by: Michael B. Sexton, General Counsel	Page: 1 of 5	

A. GENERAL STATEMENT OF POLICY

It is the policy of Roswell Park Cancer Institute (RPCI) that time spent away from the Institute by RPCI and HRI employees to participate in academic, professional and RPCI/HRI-business related activities be documented, reviewed and approved in accordance with New York State regulations (19 NYCRR Part 931). This policy describes the procedures to be followed in connection with administrative leave (A+ time) requests and also provides guidance on the proper submission of RPCI-related travel expenses for reimbursement.

B. SCOPE

This Policy and procedure applies to all employees of RPCI and HRI.

C. ADMINISTRATION

This policy and procedure will be administered by the RPCI Ethics Officer on behalf of the President and CEO, the Medical Director, the Deputy Director, the Chief of Clinical Services and the Vice President of Finance.

D. POLICY / PROCEDURE

1. Definitions

- a. "Institute Employees or Personnel" shall mean all employees of RPCI and HRI.
- b. "A+ time or Administrative leave time (A+ time)" refers to approved time spent away from the work place by Institute Personnel to participate in A+ Activity and/or A+ Service.
- c. "A+ Activity" means an Institute Employee's attendance or A+ Service at a meeting, conference, seminar, convention, or professional program that is part of his or her official duties and benefits RPCI or HRI by advancing the Institute's educational, clinical or research mission and/or enhances the employee's professional, clinical or academic growth and thereby adds value to Institute operations.
- d. "A+ Service" means any action or service performed by an Institute Employee on A+ time that is part of his or her official duties and benefits RPCI or HRI, including but not limited to delivering a speech, writing or publishing an article, or making a presentation.

- e. "Outside Activity" shall mean any non-RPCI/HRI employment (including self-employment) or provision of personal services including consulting, non-RPCI teaching, clinical (e.g., moonlighting at another hospital), speaking (e.g., speaking on behalf of a pharmaceutical company), expert witness services, holding elected or appointed public office, and serving as a director or officer of a for profit or not for profit entity. Outside Activity includes services for which an Honorarium is to be paid to the RPCI/HRI employee but does not include services for which a Service Payment (as defined herein) is to be paid.
- f. "Honorarium" shall mean any payment, which may take the form of a fee or any other compensation, made to an employee of RPCI or HRI in consideration for a service performed that is not part of his or her official duties at RPCI or HRI. Such service includes, but is not limited to, delivering a speech, writing or publishing an article, or participating in any public or private conference, convention, meeting or similar event or other Outside Activity. Honorarium shall also include expenses incurred for travel, lodging and meals related to the Outside Activity performed. (See RPCI Policy 218.1 for additional information.)
- g. "Service Payment" shall mean any payment, fee or other compensation made by a non-RPCI or HRI organization or individual in consideration for an A+ Service provided by an Institute Employee. All approved Service Payments must be paid to Roswell Park Cancer Institute to be placed into a finance account specifically for this purpose.
- h. "Expense Payment" shall mean, for purposes of this policy, a payment or reimbursement for the cost of attendance, registration, travel, food, or lodging related to A+ Activity.
- i. "Interested Source" shall mean any person or entity who on his or her own behalf, or on behalf of an entity, satisfies any one of the following:
 - i. is regulated by, negotiates with, appears before, seeks to contract with or has contracts with, or does other business with: (i) the RPCI/HRI employee, in his or her official capacity; (ii) RPCI or HRI; or (iii) any other New York State Agency when RPCI or HRI is to receive the benefits of the contract; or
 - ii. is required to be listed on a statement of registration pursuant to §1-e(a)(1) of article 1-A of the Legislative Law and lobbies or attempts to influence actions, decisions, or policies of RPCI or HRI; or
 - iii. is the spouse or unemancipated child of any individual satisfying the requirements of section (2) above; or
 - iv. is involved in any action or proceeding, in which administrative and judicial remedies thereto have not been exhausted, and which is adverse to either: (i) the RPCI/HRI employee in his or her official capacity; or (ii) RPCI or HRI; or
 - v. has received or applied for funds from RPCI or HRI at any time during the previous 12 months up to and including the date of the proposed or actual receipt of the Service Payment or Expense Payment in question.
- j. "RPCI-Approved Activity" shall mean an activity approved by the RPCI Ethics Officer as an activity that would otherwise qualify for A+ time approval except that the employee has no A+ time to use.

2. General Rules with Respect to A+ Time and A+ Activity

- a. Use of A+ time requires advance approval in accordance with this policy and approved A+ time will not be charged to personal leave balances. Leave time that has not been appropriately pre-approved in accordance with this policy will be charged against the employee's accruals.
- b. A+ time may be used only for activities that enhance the Institute's academic, research or clinical mission, advance its reputation or strengthen its administrative function. This includes

participation in academic, professional and/or RPCI/HRI-business-related activities that are a part of the employee's official duties and that benefits RPCI/HRI and/or enhances the employee's professional or academic growth and adds value to Institute operations.

- i. Examples of activities that may qualify as A+ Activity and for A+ time approval include the following:
 - a. Attendance at scientific and professional meetings or conferences;
 - b. Participation in study sections, site visits, grant reviews, etc. for granting agencies and other organizations;
 - c. Special academic/professional or administrative activities in which the staff member's participation is expected to benefit the Institute;
 - d. Off-site training;
 - e. Extended off-site work assignments involving continuous time away from Western New York.
 - ii. Examples of activities that are not A+ Activity and would not qualify for A+ time approval include the following:
 - a. Outside Activity.
 - b. Activities for which an Honorarium (as defined above and in RPCI Policy 218.1) is received.
 - c. That portion of time at an academic or professional conference that is spent on personal entertainment or recreational activities.
- c. Use of A+ time and the A+ Activity involved and any corresponding Expense Payment or Service Payment must be consistent with the provisions of New York State Public Officers Law section 74.
- d. Use of A+ time is not required for the following:
 - i. For travel by Institute Employees whose role as outlined in the Job Classification Standard for their position, includes required travel as an integral part of their position; (e.g. Community Liaison Nurse Practitioner).
 - ii. Institute-approved professional duties at local hospitals; or the University at Buffalo; or other types of professional duties in Erie County which require no more than a one day absence from the Institute.
 - iii. Activities performed at RPCI affiliates outside of the region are exempt from A+ time requirements.
- e. Annual limits on A+ activity
 - i. A+ leave is generally limited to 21 work dates in any fiscal year (April 1 -March 31).
 - ii. Requests for A+ time in excess of 21 days or for international travel or for greater than five consecutive workdays require written justification and the approval of the requestor's supervisor *and* approval notice will be forwarded to the Ethics Officer. (See Section 4 below).

3. Rules Regarding Expense Payments and Service Payments

- a. Expense Payments which are requested to be paid by RPCI or HRI shall be submitted and paid in accordance with RPCI Institute policy.
- b. The reimbursement of an Institute Employee's Expense Payments and/or Service Payments by a non-Institute organization or individual may be approved only when the following conditions are met:
 - i. The Expense Payment or Service Payment, if not made by the non-RPCI source, could be paid by the Institute in accordance with RPCI policy.

- ii. The amount may not exceed the Institute reimbursement rates unless approved by the VP of Finance. (See Appendix A)
 - iii. Reimbursement of expenses for food and lodging is provided only for the duration of the event for which travel was approved.
 - iv. Travel expense reimbursement is only allowed for the Institute Employee (not for travel companions).
 - v. The Expense Payment or Service Payment is not offered by or on behalf of an Interested Source, except as otherwise provided for under the terms of a clinical trial agreement or other services or purchase agreement between RPCI//HRI and the interested source.
 - vi. It is determined that there is no attempt to conceal the fact that an Interested Source is actually paying the Expense Payment or Service Payment.
- c. If an RPCI employee is required to file an annual financial disclosure statement to New York State pursuant to Section 73-a of the Public Officers Law, he/she must report Expense Payments from non-RPCI sources in excess of \$1000 (or Expense Payments the aggregate total of which exceeds \$1000 received from a single source) in the statement of financial disclosure for the applicable year.

4. **Procedure for Submission and Approval of Requests for Administrative Leave Time, Expense Payments and Service Payments.**

- a. Submission of request.
 - i. All requests for A+ time are to be [submitted electronically](#) providing a minimum of two weeks' notice. Failure to submit the request with the minimum notice may result in denial of the request.
 - ii. Applicants are to complete each section of the form and then forward it for approval. The following information must be included:
 - a. The name of the Institute Employee
 - b. A detailed description of the A+ Activity and/or A+ Service for which A+ time is being requested.
 - c. The amount of any Expense Payments to be made including an itemization of costs for the attendance, registration, travel, lodging, meals and the amount of Service Payment, if any.
 - d. The identity of any non-RPCI/HRI organization or individual that may be making Expense Payments or Service Payments and the nature of their business.
 - e. A list of any applicable time away (even when it falls on a weekend) for which RPCI will be reimbursing covered expenses.
 - f. Compelling justification must be provided if an employee is exceeding the maximum 21 days per year.
- b. Approval of requests for administrative leave time
 - i. Each Department Head, Chair or Principal Investigator is responsible for approval of A+ time requests for his/her staff; Requests by Chairs must be approved by the President and CEO.
 - ii. Requests for A+ time in excess of 21 days in any fiscal year or for international travel or for greater than 5 consecutive workdays require the approval of the Department Head or Chair and forwarded to the Ethics Officer for monitoring.
 - iii. Service and Expense Payments from non-RPCI sources must also be approved by the Ethics Officer on behalf of the President and CEO in accordance with 19 NYCRR 931.5
 - iv. Factors to be considered in granting approval or denial of requests:
 - a. Purpose of proposed absence;
 - b. Expected benefit to the individual and the Institute;

- c. Impact of the absence on departmental work assignments and plans for coverage of duties;
- d. Amount of expenses for the requested activity and the source of funding (i.e., third-party, the Institute, the employee).
- e. Reason for failure to submit the request with the minimum required notice.
- v. If the request by a Faculty member for A+ time in excess of 21 days is denied, but the activity is an RPCI Approved Activity, the Faculty member seeking approval may use RPCI resources to prepare for the activity, may represent RPCI at the activity and otherwise comply with the provisions of this policy with respect to reimbursement of expenses and compensation, but may not use A+ time. In this circumstance, the Faculty member may elect to use personal time accruals to attend/participate in the RPCI-Approved Activity.

c. Notice of Approval or Denial

- i. Applicants will be notified of approval or denial by e-mail and will be provided with a copy of the approved form which will indicate that the form has been approved in accordance with the provisions of 19 NYCRR 931.4. Copies of forms shall be retained by RPCI for a minimum of 3 years. These may be subject to Audit by the NYS JCOPE (Joint Commission of Public Ethics)

d. Monitoring of A+ time

- i. On a quarterly basis, the Ethics Officer shall report on the requests, approvals and denials made under the provisions of this policy to the Board Compliance Committee.
- ii. Noncompliance with this policy and procedure may result in the loss of A+ time and/or disciplinary action.

E. DISTRIBUTION

This Policy and Procedure will be distributed to all Managers via the RPCI internal web page and to holders of backup hard copies of the manual. Managers are responsible for communicating policy content to pertinent staff.

Appendix A: Reimbursable Expenses

- Lodging - Actual expenses are not to exceed the current GSA government rate. (See <http://www.gsa.gov/portal/category/21287>)
 - Written justification and receipts must be submitted for rates above the GSA allowances.
- Meal Allowance - Actual expenses may not exceed the approved GSA rate.
 - Full meal allowance will be paid if traveler is in travel status between 7:00 a.m. and 7:00 p.m. Partial travel allowance will be paid as per Federal Rates for travel between 7:00 p.m. and 7:00 a.m. (see <http://www.gsa.gov/portal/category/21287>).
- Mileage Allowance - Mileage allowance will be paid at the current Federal IRS rate.
 - Mileage allowance plus tolls will be paid to the driver or owner of the vehicle.
 - Mileage allowance plus tolls cannot exceed what the cost of the trip would have been (for all travelers) using regular coach airfare.
 - Proof of mileage (e.g. Mapquest or Yahoo map printout) must be submitted.
 - Receipts for tolls are required for e-z pass and other electronic toll systems. Electronic records should be retained by the traveler and made available if needed.
- Parking - Parking in standard day-rate lots will be reimbursed (receipt required).
- Taxicabs/Limo Service - Luxury limo service – not reimbursed.
 - Taxi service – reimbursed (receipts required).
- Miscellaneous Reimbursable Expenses - Business-related charges for telephone calls, internet service and faxes. A written explanation of the charge should be provided.
 - Registration fees - with proof of attendance.
 - Essential business-related entertainment expense (i.e., meal for potential recruit) (receipts required).
 - Incidental expenses such as tips to bellman, ports, hotel maids, etc. are included in the Lodging and Meals Allowance, and should not exceed customary amounts.
- Car Rentals (receipts required). These costs will be paid if the traveler provides written justification of the following:
 - No other public transportation was reasonably available or
 - Cost of public transportation would have exceeded rental care costs or
 - Car rental permitted if it results in savings of other expenses (i.e., less expensive lodging).