



# PERSONNEL POLICIES

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## **WELCOME!**

Community Teamwork, Inc. (“CTI” or the “Company”) welcomes you to its staff. CTI wishes you every success in your new career. CTI owes much of its success to the quality and good work of its employees, and hopes that the working environment of each employee will be stimulating, congenial, and rewarding. CTI’s employees are the foundation upon which its business will prosper.

### **Introductory Statement**

This Handbook is designed to provide CTI employees with a summary of CTI’s employment guidelines and benefits. This Handbook is a “living document.” Thus, the information contained within this Handbook can be changed at any time, without notice, as circumstances change or require.

Although we anticipate that your employment at CTI will be mutually rewarding and satisfactory, employment at the Company is “at-will.” At-will employment means that both CTI and its employees have the right to terminate the employment relationship and compensation with or without notice, at any time, and for any or no reason.

CTI provides the information in this Handbook for general guidance only. The Handbook is not intended to be a complete description of all of CTI’s policies and procedures.

No information set forth in this Handbook is intended or should be understood to create a binding contract between CTI and any one or all of its employees. Further, neither this Handbook, nor CTI practice, nor other oral or written policies or statements of CTI or its agents shall create an employment contract, guarantee of a definite term of employment, or otherwise modify in any way the agreement and understanding that employment with CTI is at-will. No representative of CTI, except its Executive Director, in a writing signed by her and the employee, has any authority to enter into an agreement which would modify the employment relationship. This Handbook is not intended to take the place of more detailed benefit plan documents. In the event that this Handbook conflicts with any plan document, the latter shall be deemed controlling.

## **Mission**

The Mission of Community Teamwork, Inc. is to assist low-income people to become self-sufficient, to alleviate the effects of poverty, and to assist low-income people to participate in the decisions that affect their lives.

CTI is a private, non-profit corporation established in 1965 for the specific purpose of striving for full economic and social potential of low-income and elderly people in the agency's service area.

As part of the federal Economic Opportunity Act of 1964, Community Teamwork, Inc. was created as a Community Action Agency (CAA) whose mission would be to help people help themselves out of poverty by providing advocacy, job training, pre-school education, nutrition programs and elderly volunteer activities. Later, services such as day care, fuel assistance and weatherization assistance were added, along with affordable housing and shelters for the homeless.

For all programs the service area includes the City of Lowell and the surrounding Towns of Billerica, Chelmsford, Dracut, Dunstable, Tewksbury, Tyngsboro, and Westford.

For some programs the service area extends to the entire Merrimack Valley, and some others, the northern and western suburbs of metropolitan Boston ranging from Peabody, Salem, and Beverly, to Wakefield, Waltham and Framingham.

CTI provides these services through grants and contracts with federal, state and local governments as well as private foundations and other entities.

## **About CTI**

CTI is governed by a twenty-four member Board of Directors. One-third of the Board of Directors must be representatives of the low-income population of the Community Action Program (CAP) geographical area (Lowell and the surrounding Towns). One-third must be representatives of the CAP area local governments. One-third are representatives of private sector organizations such as business, labor, religious and cultural groups, educational entities and social service agencies.

The Board of Directors sets agency policies and hires, supervises and evaluates the Executive Director. Policies concerning the selection and evaluation process of the Executive Director are attached to at Exhibit A. In the case of employment for Head Start and Early Head Start, all hiring and terminating must be approved by the Policy Council. In the case of personnel policies that are in accordance with 45 CFR 1301.31, including standards of conduct for program staff, consultants, and volunteers, the Head Start Policy Council must approve or disapprove.

Administration of the agency is the responsibility of the Executive Director.

The agency currently is organized along administrative and programmatic lines into:

Central Administration

Division of Child & Family Services

Division of Community Resources

Division of Housing & Homeless Services

Division of Property & Energy Services

Each Division has an Associate Executive Director and may be further subdivided into specific programs.

## **Equal Opportunity Employment Policy**

CTI is committed to a policy of equal employment opportunity for all qualified employees and applicants for employment without regard to race, ancestry, color, age, disability, national origin, place of birth, religion, sex, sexual orientation, military status, or any other characteristic protected by federal, state or local law.

### **Complaint Policy**

CTI strives to provide positive working conditions for its employees. Part of this effort is directed toward providing employees with an opportunity to raise any problem, concern, claim, complaint, suggestion, issue or question that they may have. You are encouraged to raise any concern, claim, complaint, suggestion, issue or question as soon as possible with your supervisor. If the issue is not resolved, or if you are not satisfied with your supervisor's response, you are encouraged to notify the Human Resources Department as soon as practicable.

### **Harassment Policy**

#### Harassment Prohibited

CTI is proud of its policy of maintaining a work environment that encourages respect for the dignity of each individual. CTI, therefore, endeavors to maintain a work environment free from unlawful harassment based on sex, sexual orientation, race, color, religious creed, national origin, military status, ancestry, age and disability, or any other characteristic protected by state or federal law ("Harassment"). CTI prohibits such harassment, whether at the office, in outside work assignments or at agency-sponsored social or non-social functions, events or programs. Should such harassment occur, CTI will take appropriate corrective action to prevent its continuation or recurrence. In addition, CTI will endeavor to prevent the harassment of its employees by persons who are not agency employees but who are on CTI's premises or who have a business or other relationship with CTI.

Harassment is unlawful, and any individual found to have engaged in harassment will be subject to disciplinary action, up to and including termination of employment.

#### Retaliation Prohibited

CTI will not permit retaliation of any kind against anyone who complains about harassment or participates in good faith in an investigation of a harassment complaint. Such retaliation is unlawful, and any individual found to have engaged in retaliation will be subject to disciplinary action, up to and including termination of employment.

## Definitions

“Harassment” includes communicating, sharing or displaying written or visual material or making verbal comments that are demeaning or derogatory to a person because of his or her sex, sexual orientation, race, color, religious creed, national origin, ancestry, age and disability, including material or comments intended as humor. The use of agency facilities to disseminate, duplicate or display such materials is prohibited.

“Sexual harassment” includes making unwelcome sexual advances, requesting sexual favors or engaging in verbal or physical conduct of a sexual nature which is made a term or condition of employment, or which is used as the basis for employment decisions. “Sexual harassment” also includes any type of sexually-oriented conduct, including conduct intended to be friendly or humorous, that is unwelcome and has the purpose or effect of unreasonably interfering with an employee’s work performance or creating a work environment that is intimidating, hostile, offensive or coercive to a reasonable person.

The following is a partial list of conduct that could be considered sexual harassment:

- Threats or insinuations, either explicitly or implicitly, that an individual’s refusal to submit to sexual advances or sexual conduct will adversely affect his or her employment, evaluation, wages, advancement, assigned duties, benefits or any other aspect of employment or career advancement;
- Favoring any applicant or employee because that person has performed or shown a willingness to perform sexual favors for a supervisor;
- Unwelcome sexual jokes, language, epithets, advances or propositions;;
- Written or oral abuse of a sexual nature or use of sexually degrading or sexually vulgar words to describe an individual;
- Display of sexually suggestive objects, pictures, posters or cartoons;
- Unwelcome comments about an individual’s body, sexual prowess or sexual deficiencies:
- Asking questions about sexual conduct;
- Unwelcome touching, leering, whistling, brushing against the body, or suggestive, insulting or obscene comments or gestures; and
- Assault or coerced sexual acts.



## **Responsibilities**

### **Responsibility of Managers and Supervisors**

Each manager and supervisor has a duty to maintain a workplace free of harassment, to assure that each individual under his or her supervision or control is aware of CTI's policy on harassment and the policy's Harassment Resolution Procedure, and to assure such individuals that they need not endure insulting, degrading or exploitative treatment based on sex, sexual orientation, race, color, religious creed, national origin, ancestry, age or disability. Any manager or supervisor who learns of or suspects violations of this policy must promptly bring the matter to the attention of the Affirmative Action Officer or the Executive Director.

### **Responsibility of Individual Employees**

The line between acceptable social conduct and harassment is not always clear. For that reason, CTI encourages individuals who believe they are being or may have been harassed to communicate clearly to the offending party that the conduct is offensive, intimidating or embarrassing, to explain how the offensive behavior affects the employee's work and to ask that the conduct stop. If the individual is uncomfortable with making such a direct approach to the offending party or has done so, but the perceived harassment has not stopped, then the individual may use the procedure described below to obtain a constructive resolution of the problem.

## **Procedures**

### **Harassment Resolution Procedure**

An employee who believes he or she may have been harassed in a manner prohibited by this policy is urged to utilize this procedure as soon as possible after a perceived act of harassment occurs because prompt reporting allows CTI to investigate while the facts are still fresh and to take prompt corrective action, when appropriate. CTI will handle the matter with as much confidentiality as possible under the circumstances and with due regard to the rights and wishes of all parties, recognizing that there are many circumstances where complete confidentiality is not possible. Upon receipt of a complaint, CTI will promptly undertake an investigation and, when appropriate, corrective action. The following procedures will generally be followed in the case of a complaint.

### **Filing of a Complaint**

An individual who believes that he or she has been the subject of harassment should bring his or her complaint to the attention of his or her immediate supervisor, the Affirmative Action Officer or the Executive Director.

### Manager's and Supervisor's Duty:

A manager or supervisor receiving a complaint must immediately notify the Affirmative Action Officer or the Executive Director, who will determine if an investigation is warranted and, if so, will designate one or more fact finders, who will be responsible for conducting a prompt investigation.

### Investigation:

The fact finder may ask the individual for a written statement indicating the identity of the alleged offending party and the date, location and nature of the alleged harassment. As soon as possible thereafter, the fact finder will meet individually with the alleged offending party to inform him or her of the contents of the complaint and provide him or her with an opportunity to respond. If there is a significant dispute of fact, the fact finder may give each party an opportunity to identify persons who can support or corroborate his or her version of the facts. The fact finder may also investigate the matter further by contacting those individuals and/or other individuals whom the fact finder believes may have additional information regarding the issues raised in the complaint.

### Resolution:

Based upon the information gathered in the investigation, the fact finder will determine whether CTI's policy was violated and, if appropriate, will recommend corrective action to Executive Director.

### Responsible Government Agencies:

Massachusetts Commission Against Discrimination  
One Ashburton Place  
Boston, MA 02108  
(617) 727-3990

U. S. Equal Employment Opportunity Commission  
One Congress Street, 10<sup>th</sup> Floor, Room 1001  
Boston, MA 02114  
(617) 565-3200 or (800)-669-4000

## **Nepotism Policy**

No person shall hold a position of employment over which a member of his/her immediate family exercises supervisory authority.

No person shall be employed while he/she or a member of his/her immediate family serves on the Board of Directors of Community Teamwork, Inc.

For the purposes of these requirements, an immediate family member shall be defined as follows: employee's parents, legal guardians, brothers, sisters, spouse, ex-spouse, children, grandparents, grandchildren, in-laws (brother, sister, father, son and daughter in law), and other household members.

## **Types of Employees**

For the purposes of salary administration and employee benefits, CTI classifies its employees as follows:

### Regular Full-Time Employees

Employees who work 35 to 40 hours per week on a regular basis, year round. Regular full-time employees are eligible for fringe benefits.

### Regular Part-Time Employees

**Type One:** Employees who work from 20 to 34 hours per week on a regular basis, year round. Type one employees are eligible for fringe benefits.

**Type Two:** Employees who work fewer than 20 hours per week on a regular basis, year round. Type two employees are not entitled to fringe benefits other than CTI's retirement plan.

### Seasonal Employees

Employees who are hired to work 20 or more hours per week for a program that operates during specific periods of the year. Seasonal employees are eligible for fringe benefits.

### Temporary Employees

Employees hired to work from a specified number of hours between 1 to 40 hours per week.

Temporary employees will normally have a predetermined employment termination date.

## Substitute Employees

Employees hired to work on an on-call basis. Substitute employees are not eligible for fringe benefits.

## **Pay Policy**

It is the policy of CTI to compensate employees in compliance with the Fair Labor Standards Act ("FLSA") and applicable state law. If you are classified as a nonexempt employee, you will receive overtime for all hours worked in excess of 40 hours per workweek, as required by law. Overtime may only be worked when approved in advance by the employee's supervisor or other member of management.

If you are classified as an exempt employee, you will be paid on a salary basis. This means your salary is a predetermined amount that does not vary based on the quantity or quality of work you perform in a given pay period. Certain deductions, if permitted by federal and state law, may be withheld from your salary. These include (but are not limited to) deductions for:

- social security;
- federal, state and local taxes;
- participation in CTI-sponsored benefit and retirement plans;
- absence from work for one or more full days for personal reasons, other than sickness or disability;
- absence from work for one or more full days because of sickness or disability (including work-related accidents), taken in compliance with CTI's sickness or disability policy; and
- full or partial days not worked during the initial or terminal week of employment.

However, deductions from exempt employees' salary may not be made for absences from work caused by CTI or by CTI's operating requirements (for example, if CTI closes its facilities on a scheduled work day), if you are ready, willing and able to work, nor for any other reasons prohibited by federal or state law.

If you have questions about payment of overtime, deductions from your salary, or any other issues regarding your rate of pay, you should contact the Human Resources Department. If you believe that CTI has improperly failed to pay you for overtime or that your salary has been subject to improper deductions, you should immediately report your concern to your immediate supervisor or to the Human Resources Department. If you feel uncomfortable complaining to your supervisor (or if you have not received a

prompt and fully acceptable reply), you should immediately contact the Human Resources Department. Every report will be fully investigated and if a violation is found, corrective action will be taken, including but not limited to full reimbursement of inappropriately withheld amounts.

It is against CTI policy to retaliate against any employee who makes a complaint in good faith pursuant to this policy. Any form of retaliation that occurs in violation of this policy may result in disciplinary action, up to and including discharge.

## **Compensation and Payroll Policy**

### **Compensation**

Pay changes may be implemented for a variety of reasons, but all are subject to agency and/or individual program budget limitations. Promotions and/or substantive increase of job responsibilities within the same position may, but will not always, result in an upward salary adjustment. Similarly, demotions and/or substantive decreases of job responsibilities may, but will not always, result in a downward salary adjustment.

### **Payroll**

CTI pays employees on a biweekly basis. Paychecks compensating the previous two weeks' work are issued on Thursdays. Direct deposit is available and encouraged.

Time cards must be completed by and signed by the employee and her/his supervisor. Late or inaccurate submission of time cards may result in delays in issuing paychecks.

## Vacation Policy

Employees are eligible for vacation accrual based on their employee type.

### Vacation Accrual

Vacation hours are accrued as they are earned each pay period. Full-time regular employees accrue vacation time according to the following schedule:

<u>Years of Service</u>	<u>Annual Vacation Weeks</u>
1-5	3 weeks (1.25 days/month)
6-15	4 weeks (1.67 days/month)
16-20	1 extra day per year (up to a maximum of 5 weeks)

Seasonal and Part-time regular employees accrue vacation hours in proportion to their regularly scheduled hours.

### Use and Approval of Vacation

Vacation time cannot be used until it is earned. New employees may not use vacation entitlement until completing six months of employment. Approval to use vacation time must be requested in advance from the supervisor. Vacations of more than one week should be requested at least two weeks in advance. CTI will endeavor to accommodate employees' requests for vacation, but program needs must be met. Maximum advance notice is necessary so that managers may plan coverage.

### Payment for Vacation

Vacation pay will be included in the regular paycheck for the pay period during which vacation is taken. Vacation pay cannot be advanced. Vacation will not be "bought back" by the agency from active employees. Untaken vacation accrual will be paid and included in a terminating employee's final pay.

### Vacation Carryover

The maximum vacation time an employee may carry over to the new fiscal year is the time an employee earns in the immediately preceding 12 months of employment. Carryover vacation time must be used prior to June 30<sup>th</sup> of any year, or such time will be forfeited.

## **Holiday Policy**

CTI observes eleven paid holidays each year. A holiday listing is developed by the Human Resources Department and given to every employee each year.

When the nature of the individual program service requires employees to work on any agency holiday, exempt employees will be allowed to schedule an alternative day off that must be taken within the next two full pay periods. Non-exempt employees who work on a holiday the agency is closed and which otherwise would be a regularly scheduled workday will receive regular pay for hours worked, plus holiday pay.

### Religious Holidays

An employee who will be absent from work for the purpose of observing a religious holiday shall notify his or her supervisor in advance and must use accrued vacation time to be paid.

## **Bereavement Leave Policy**

In the unfortunate instance of a death in the immediate family, CTI employees will be allowed up to three days off with pay.

Immediate family is defined as the employee's parents, legal guardians, brothers, sisters, spouse, ex-spouse, children, grandparents, grandchildren, in-laws (brother, sister, mother, father, son and daughter in law), and other household members.

## **Sick Leave Policy**

Sick leave is not to be used for reasons unrelated to sickness. Abuse of sick leave time will not be tolerated. The use of available sick time is not voluntary; i.e., if available, it must be used for covered absences.

When an employee is absent due to illness, his or her immediate supervisor must be notified within one hour of the start of his or her standard workday. Departments requiring different notice will make those requirements available in writing, and such requirements will be given to affected employees at time of hire or transfer.

Employees absent from work due for medical reasons may, in the employee's supervisor's sole discretion, be required to provide documentation regarding such medical reason as well as medical clearance permitting the employee to return to work.

## Accrual

Sick leave is accrued for regular full-time employees at the rate of 1.25 days per month (15 workdays per year). Regular part time employees will accrue sick time in proportion to regularly scheduled hours worked.

## Conversion of Sick Leave

Employees may convert up to three sick days into three personal days each year. Personal days may be used for any reason, in any manner, upon scheduling and approval of the supervisor. For the purposes of this section, the definition of "day" means the standard workday of the employee. Sick leave is not convertible into pay or vacation time.

No limit is put on accrual of sick leave.

Unused sick leave will not be paid to the employee upon termination of employment.

## **Personal Leave Policy**

CTI may grant an unpaid leave of absence to regular employees (full-time, seasonal or part-time) for personal reasons. However, it may not always be possible to reserve an employee's present position, especially if the leave of absence is of significant duration. CTI will endeavor to accommodate employees' requests for leaves of absence, but program integrity must be maintained.

Personal leaves are considered voluntary time off. Leave in excess of two weeks is to be requested in advance in writing through an employee's supervisor. An employee shall use all accrued vacation days, personal days and compensatory time for the duration of the leave.

Personal leaves of absence are not an appropriate use of sick leave. Accrual of sick time and vacation time stop during any approved unpaid personal leave of absence.

The employee must return to work from personal leave on the agreed upon date. If the employee fails to return on the agreed upon date, and fails to contact his or her supervisor, the leave will be canceled and employment will be terminated. The effective date of termination will be the last day worked.



## **FAMILY AND MEDICAL LEAVE POLICY**

### Reason for Leave

Community Teamwork, Inc. will grant a leave (“FMLA leave”) of up to 12 workweeks during any 12-month period (as defined below) to an eligible employee for:

The birth, adoption or foster care placement of a child and to care for such child;

The care of the employee’s spouse, child or parent who has a serious health condition;  
and

The employee’s own serious health condition that makes the employee unable to perform the functions of his or her position.

FML leave may also be taken for two types of Military Family Leave:

**Qualifying Exigency Leave:** Eligible employees with a spouse, son, daughter, or parent on active duty or call to active duty status in the National Guard or Reserves in support of a contingency operation may use their 12-week leave entitlement to address certain qualifying exigencies. Qualifying exigencies may include short-notice deployment, military events and related activities, arranging for alternative childcare and certain other other childcare and school activities, addressing certain financial and legal arrangements, attending certain counseling sessions, attending post-deployment activities, rest and recuperation, and other activities that the employee and the employer agree upon.

**Military Caregiver Leave (also known as Covered Servicemember Leave):** A special leave of up to 26 weeks during a “single 12-month period” for an eligible employee who is the spouse, child, parent, or next of kin of a Covered Servicemember to care for the Servicemember. “Covered Servicemember” means a member of the Armed Forces, including a member of the National Guard or Reserves, who is undergoing medical treatment, recuperation, or therapy, is otherwise in outpatient status, or is otherwise on the temporary disability retired list, for a serious injury or illness incurred in the line of duty on active duty. The “single 12-month period” for the purpose of this type of leave begins on the first day the eligible employee takes FMLA leave to care for a Covered Servicemember and ends 12 months after that date.

The maximum amount of leave for any FMLA-qualifying reason that may be taken in any 12-month period is 26 weeks, provided that no more than 12 weeks of leave may be taken for any FMLA-qualifying reason other than Military Caregiver Leave.

### Eligible Employee

To be eligible, an employee must have been employed by the CTI for at least 12 months, have worked at least 1,250 hours during the 12-month period immediately preceding the first day of leave, and work at a location where at least 50 employees are employed at the location or within 75 miles of the location. If an employee does not satisfy these eligibility requirements, or if an employee has exhausted his or her FMLA leave allotment, the employee may be eligible instead for a non-FMLA leave. The granting of a non-FMLA leave is generally within the discretion of CTI and will be based on a variety of factors, such as other legal obligations, the needs of CTI, and any appropriate individual factors. Please contact Human Resources for additional information if necessary.

### Twelve-Month Period

For all FMLA leave other than Military Caregiver Leave, an eligible employee may take up to 12 weeks of leave in any rolling 12-month period measured backward from the date an employee uses any such FMLA leave. This means that, at any point in time, the amount of leave available for such FMLA leave is 12 weeks less the amount of leave used during the preceding 12 months. For the purpose of the Military Caregiver leave, a “single 12-month period” is used, which is measured differently; as noted above; the “single 12-month period” for the purpose of this type of leave begins on the first day the eligible employee takes FMLA leave to care for a Covered Servicemember and end 12 months after that date.

### Military Caregiver Leave Limits.

This leave is to be applied on a per-covered-servicemember, per-injury basis such that an eligible employee may only take one 26 week period of leave for the same servicemember with the same injury; however, an eligible employee may be entitled to take more than one period of 26 weeks of leave if the leave is to care for different servicemembers or to care for the same servicemember with a subsequent serious injury or illness, except that no more than 26 workweeks of leave may be taken within any single 12-month period.

### Special Limitations on Leaves

If CTI employs both spouses and both spouses request leaves for the birth, adoption or foster care placement of a child, for the care of that child, or to care for a parent with a serious health condition, then the aggregate, combined leave for both employees shall be limited to 12 weeks during any rolling 12-month period. FMLA leave for the birth, adoption or foster care placement of a child or for the care of that child must be completed within 12 months of the child’s birth, adoption or foster care placement. If CTI employs both spouses and one or both spouses take Military Caregiver Leave, they are limited to a combined total of up to 26 weeks of leave during the single 12-month period depending upon the type and length of leave taken.

### Intermittent or Reduced Schedule Leaves

Upon receipt of medical certification of the medical need for leave on an intermittent or reduced schedule basis, CTI will grant such leave for purposes of the employee's own serious health condition or to care for a parent, child or spouse with a serious health condition, or for Military Caregiver Leave. Leave may also be taken on an intermittent or reduced schedule basis when necessary for Qualified Exigency Leave. If intermittent or reduced schedule leave is needed for planned medical treatment for the employee, a family member, or a covered servicemember, including during a period of recovery from one's own serious health condition, a serious health condition of a spouse, parent, son or daughter, or a serious injury or illness of a covered servicemember, CTI may require the employee to transfer temporarily, during the period that the intermittent or reduced leave schedule is required, to an available alternative position for which the employee is qualified and which better accommodates recurring periods of leave than does the employee's regular position. The employee will receive his or her same salary while working in the alternate position.

#### Notice and Scheduling of Leave.

For all FML leaves other than Qualifying Exigency Leave, if the need for leave is foreseeable, the employee must provide notice and request the leave at least 30 days in advance of the date on which he or she intends to begin a leave of absence. When the need for Qualifying Exigency Leave is foreseeable, the employee shall provide such notice as soon as practicable. If the employee is unable to foresee the need for any FML leave 30 days in advance, then the employee must give CTI notice as soon as practicable and must comply with CTI's call-in procedures. In giving notice, the employee must provide sufficient information for the employer to determine if the leave may qualify for FMLA protection and the anticipated timing and duration of the leave. Sufficient information may include, for example, that the employee is unable to perform job functions, the family member is unable to perform daily activities, the need for hospitalization or continuing treatment by a health care provider, or circumstances supporting the need for military leave. Employees must also inform CTI if the requested leave is for a reason for which FML leave was previously taken or certified.

#### CTI Responsibilities.

After an employee has requested FML leave, CTI will inform the employee whether they are eligible under the FMLA, and if not, let the employee know the reason for ineligibility. This notice to the employee will specify additional information required from the employee as well as the employee's rights and responsibilities. CTI will inform the employee if leave will be designated as FML leave and the amount of leave counted against the employee's leave entitlement (where the amount of leave to be taken is known). CTI will notify the employee if the requested leave is not designated as FML leave.

#### Scheduling of Planned Medical Treatment.

If the leave is requested for purposes of planned medical treatment for the employee or his or her spouse, parent or child, the employee must make a reasonable effort to schedule the treatment so as not to disrupt unduly CTI's operations. When planning medical treatment, the employee must consult with CTI and make a reasonable effort to schedule the treatment so as not to disrupt unduly the employer's operations. Employees are expected to consult with CTI prior to the scheduling of treatment in order to work out a treatment schedule that best suits the needs of both the employer and the employee.

#### Definition of Serious Health Condition.

A serious health condition is an illness, injury, impairment, or physical or mental condition that involves (1) an overnight stay in a medical care facility; or (2) continuing treatment by a health care provider. A serious health condition that involves continuing treatment by a health care provider includes one or more of the following: (a) a period of incapacity of more than three full consecutive days, and any subsequent treatment or period of incapacity that also involves treatment two or more times by a health care provider or treatment by a health care provider on one occasion plus a regimen of continuing treatment; (b) pregnancy or prenatal care; (c) a period of incapacity or treatment for a chronic serious health condition; (d) a period of incapacity which is permanent or long-term such as for Alzheimer's or a severe stroke; (e) a period of absence to receive multiple treatments by a health care provider.

#### Certification of Serious Health Condition.

CTI may condition its approval of a leave for purposes of personal or family illness or to care for a Servicemember on the employee's submission of a satisfactory medical certification from the employee's, family member's, or Servicemember's health care provider. CTI will provide the employee with the certification form for this purpose, and it is the employee's responsibility to ensure that the health care provider submits a fully completed form to CTI within 15 days. CTI may, in its discretion and at its expense, require the employee to obtain second or third medical opinions from independent health care providers. CTI may also require certification for Qualifying Exigency Leave. The employee must provide a complete and sufficient certification to CTI; if the employee does not, CTI will give the employee seven calendar days to cure any such deficiency. CTI may also require an employee on leave to submit periodic recertifications throughout the leave, but generally will not do so more often than every 30 days unless there is a change in circumstances or other circumstances warranting an earlier recertification. Failure to provide an appropriate certification or recertification, upon request, may result in the denial of leave.

#### Periodic Status Reports

CTI may require an employee on leave to report periodically on the employee's status and intent to return to work.

### Reinstatement from Leave and Fitness-for-Duty Certification

An employee who has complied with his or her obligations under this policy will be reinstated to the position he or she held prior to leave or to an equivalent position, unless business conditions resulted in the elimination of the employee's former position during the leave or the employee would not otherwise have continued to be employed had he or she continued in active employment. CTI, however, may refuse to restore those employees considered to be "key," for purposes of the Family and Medical Leave Act, to their previous positions under certain circumstances. An employee who has taken a leave in excess of five (5) days due to personal illness must submit a medical certification from his or her health care provider verifying that the employee is able to return to work and perform his or her regular job duties. Reinstatement may be delayed until a satisfactory medical certification has been provided. If the employee does not provide either a fitness-for-duty certification or a new medical certification for a serious health condition at the time FML leave for the employee's own serious health condition is concluded, the employee's employment may be terminated.

### Compensation During FML Leave

An employee who uses FML leave for his or her own serious health condition must use up his or her accrued, unused sick days and any available short-term and long-term disability benefits at the beginning of the leave (during any time the employee is not receiving disability benefits). In addition, an employee on FML for any reason (other than the birth or adoption of a child, in which case an employee is not required to (but may) apply accrued but unused sick days and vacation towards the FML leave) must use up all earned and unused vacation during his or her leave (during any time the employee is not receiving disability benefits). The remaining portion of the FML leave will be unpaid. Employees must satisfy the procedural requirements of CTI's sick and vacation policies in order to receive paid leave.

### Benefits During FML Leave

During an FML leave, the employee will remain covered under CTI's health insurance plan on the same conditions as coverage would have been provided had the employee not been on leave. Upon requesting a leave, an employee will be advised of the procedures for making his or her health care premium contributions during the leave period. If the employee fails to return to active employment for at least 30 calendar days after an unpaid FML leave, CTI may exercise its right to recover its share of health insurance premiums from the employee, unless the employee cannot return to work because of a serious health condition or other circumstances beyond the employee's control.

### Benefits Upon Reinstatement from Leave

An employee who returns from leave will retain the same benefit status he or she held prior to going on leave. Use of FML will not result in the loss of any employment benefits that accrued prior to the start of an employee's FML leave (unless such accrued benefits, such as paid leave, were used during FML leave). The employee, however, will not accrue any additional benefits during unpaid FML leave.

### The Family and Medical Leave Act.

The FMLA makes it unlawful for any employer to interfere with, restrain, or deny the exercise of any right provided under FMLA; or to discharge or discriminate against any person for opposing any practice made unlawful by FMLA or for involvement in any proceeding under or relating to the FMLA. An employee may file a complaint with the U.S. Department of Labor or may bring a private lawsuit against an employer. FMLA does not affect any federal or state law prohibiting discrimination, or supersede any state or local law or collective bargaining agreement which provides greater family or medical leave rights. If you have any questions about your exercise of FMLA rights, please contact a member of Human Resources.

### Other Terms and Conditions

The policies and guidelines stated in this Family and Medical Leave Policy shall be subject to such other terms and conditions as are provided in the Family and Medical Leave Act of 1993 and applicable Massachusetts leave laws.

## **Maternity Leave Policy**

CTI provides maternity leave for eligible employees in accordance with state law. Regular full-time female employees who have been employed for at least three months are eligible for eight weeks of unpaid maternity leave for the purpose of giving birth, adopting a child under the age of 18, or adopting a child under the age of 23, if the child is mentally or physically disabled. During this unpaid leave, qualifying employees are permitted to use any accrued vacation, personal, or sick time concurrently with all or part of her maternity leave. Employees must provide at least two weeks' notice of the intended departure date for leave, and notice of the intention to return to work.

Leave under this policy runs concurrently with leave taken under CTI's Family and Medical Leave Policy to the fullest extent permitted by law.

## **Small Necessities Leave Policy**

The agency will provide eligible employees with a total of up to 24 hours of leave during any twelve-month period to allow them to participate in certain family obligations. In order to be eligible, an employee must have worked for the agency for at least twelve months and worked 1,250 hours or more in the preceding twelve months.

An eligible employee may take small necessity leave in order to participate in school activities directly related to the educational advancement of his or her child, take his or her child to medical or dental appointments or take an elderly relative to routine medical or dental appointments or other professional services related to the elder's care.

Small necessity leave is in addition to FMLA leave.

Small necessity leave is unpaid unless the employee uses available personal or accrued vacation time for non-medical-related necessities, or available sick time for medical-related necessities. The employee should provide as much notice as possible.

## **Jury/Witness Duty Leave Policy**

Employees will be granted any required leave to serve as a member of a jury. This leave will be granted with pay for a period up to 3 days.

Starting with the fourth day of jury duty service, employees will receive current pay minus any amount paid by the court for jury service.

Employees must call his or her supervisor daily to keep him or her informed of the required absence.

Any employee who is subpoenaed as a witness will receive his or her regular pay, minus paid witness fees, for the time required to comply with the subpoena.

## **Military Leave Policy**

### **Military Leave of Absence**

Employer/employee rights and obligations relating to military service are governed by the federal law known as the Uniformed Services Employment and Reemployment Rights Act of 1994 (USERRA) and state law where applicable. This policy provides general guidance concerning leave of absence for military service; however, it is not intended as a comprehensive statement of all aspects of Military Leave. For more detailed information concerning Military Leave, please see Human Resources and/or consult the Department of Labor's website on USERRA at [www.dol.gov/asp/programs/guide/userra.htm](http://www.dol.gov/asp/programs/guide/userra.htm).

#### General Provisions

CTI will grant a leave of absence for military duty in accordance with USERRA and any applicable state law for all employees of CTI. If you require Military Leave, you should give notice of the date you will begin your Military Leave as far in advance as is reasonable under the circumstances. Notice should be given to your supervisor or Human Resources. At your option, you may begin your Military Leave a short time in advance of your actual deployment date if you require time to arrange your personal affairs and/or to travel to your deployment destination. You are entitled to a total of five years time off for military service, except where a longer period of time is required by law. Time off is measured cumulatively based on the actual time spent performing service in the uniformed services; time before or after the actual service period is not included in the cumulative calculation.

#### Reservist Annual Training

If an employee is a member of any active military reserve unit, the employee may take Military Leave to attend annual training and other service-related requirements. If an employee has been continuously and actively employed by CTI for 18 consecutive months as of the date the Military Leave commences and has worked at least 25 hours per week on average during the 12 months immediately prior to the leave, CTI will supplement the employee's military pay for up to 12 weeks so that the employee receives an amount equal to his/her regular weekly salary (based upon a 40 hour workweek). The employee should submit official documentation of his/her military pay. Military Leave for reservist training is not deducted from an employee's accrued vacation pay. All of the employee's regular benefits will continue while on Military Leave for Reservist Training. Employees returning from leave who are still qualified to perform the duties of his or her position shall be restored to his or her previous or a similar position with the same status, pay, and seniority.

#### Pay and Benefits For All Other Military Leaves

If an employee has been continuously and actively employed by CTI for 18 consecutive months as of the date the Military Leave commences and has worked at least 25 hours per week on average during the 12 months immediately prior to the leave, Thereafter,



Military Leave is unpaid. An employee may use any earned, accrued vacation time while on Military Leave consistent with CTI's vacation policy.

If an employee is enrolled in any of CTI's medical or dental insurance programs, these benefits will be continued for 31 days beginning on the date of the employee's Military Leave commences. If an employee's Military Leave lasts beyond 31 days, the employee will be eligible for continuation coverage under USERRA and COBRA (please see Human Resources for more details). Reemployed service members will receive all seniority based benefits, such as vacation accrual based upon seniority, 401(k) vesting and matching, and CTI annual deferred match that they would have attained with reasonable certainty had they remained continuously employed. Employees on Military Leave will accrue vacation time, and receive other benefits, in accordance with the terms of the "Conditions Applicable to Leaves of Absence" section of the Manual below." As with all other leaves of absence, employees on are not entitled to non-seniority based benefits (e.g. holiday pay, bonuses) while on Military Leave. Employees will be responsible for their standard payroll deductions for the period of time that their benefits continue.

#### Reinstatement

All employees on Military leave are eligible for reinstatement subject to the terms of USERRA and applicable state law. If your period of service was less than 31 days, you should report to work on the next regularly scheduled work day upon your return home. If your period of service was 30 to 180 days, you should submit an application for reemployment within 14 days of the conclusion of your service. If your period of service was more than 180 days, you should submit an application for reemployment within 90 days of the conclusion of your service. You will either be reinstated to the same (or equivalent) position that you held prior to your leave or to the position that you would have been promoted to but for your Military Leave, as applicable to your circumstances. Additional training will be provided as necessary to assist you with reemployment. Each situation will be addressed on a case by case basis in accordance with USERRA and state law. If the circumstances at the Company have so changed during your Military Leave as to make reemployment impossible or unreasonable (such as a layoff or restructuring that eliminated your position), you will not be eligible for reinstatement. For more information concerning reinstatement, please see Human Resources.

## **Benefits**

### General

Descriptions of CTI's benefit plans are maintained in Human Resources. The plans are determinative of the precise benefits, terms, conditions, exclusions and restrictions that apply to the plans. They supercede all other documents including these policies.

### Group Medical & Dental Insurance

CTI offers a medical plan and dental plan to eligible employees. CTI pays a portion of the cost. Current employee contribution costs are available in Human Resources.

### Life Insurance

CTI pays 100% of the cost of group term life insurance for eligible employees. Coverage is up to twice the employee's annual salary rounded off to the next highest thousand dollars.

### Retirement Plan

CTI administers a retirement plan in which the agency contributes a percentage (currently 8%) of eligible employees' salaries.

Employees may also contribute on a pre-tax basis to the plan through a 401(k) provision.

Eligible employees must complete three years of employment before becoming 100% vested in the employer's contribution. Further details may be obtained from the Human Resources Office.

### Cafeteria Plan Medical and Dependent Care Flexible Spending Accounts.

CTI has adopted a limited Cafeteria Plan under which eligible employees who so elect may have the employee-paid portion of certain benefits such as group medical and dental insurance and optional disability insurance deducted from their gross wages prior to the calculation of F.I.C.A., Federal and State taxes. This helps employees maximize their after-tax take-home pay.

CTI also has adopted a Medical and Dental Flexible Spending Account as part of the Cafeteria Plan which allow employees to deduct certain medical and child care expenses. Further information is available in the Human Resources Office.

### Child Care Search

Childcare consultation and referral is designed to assist parents in selecting the most appropriate care for their family. Skilled professionals discuss childcare options with parents and provide referrals to licensed day care providers, before and after school programs, and summer camps. Child Care Search is a program of CTI and is available as a benefit to CTI employees.

### Consolidated Omnibus Budget Reconciliation Act (COBRA) Benefits

Employees who leave the agency, their spouses and their dependents may have the option of remaining in the group medical/dental plans. This coverage extension can be for 18-36 months depending on the circumstances. Details are available in Human Resources.

### Employee Assistance Program

CTI has contracted with an independent professional counseling service to help employees and their immediate families improve and maintain their physical and mental well-being. This service is totally confidential, voluntary and free of charge. Contact Human Resources for more information.

### Tuition Assistance

CTI provides encouragement and financial support to eligible CTI employees to pursue/complete higher education requirements for job advancement. Our Tuition Reimbursement Policy provides for reimbursement, with certain restrictions, to eligible employees up to the current costs for undergraduate and graduate level courses charged by UMASS Lowell.

Complete details and application procedures are available by contacting Human Resources.

### Reinstatement Rights Following Leave of Absence

If you have been granted a leave of absence, you will be reinstated to your former job or a similar job, provided you return to work at the end of the leave, unless, consistent with applicable law, CTI cannot reinstate you as a consequence of business or operational reasons. If reinstatement is not possible, CTI may consider you for rehire into available positions for which you apply and for which CTI considers you to be qualified.

### Your Benefits During a Leave of Absence

During paid leaves and unpaid leaves of no more than 12 weeks, you may continue to participate at group rates in CTI's group insurance plans in accordance with the same

terms and conditions as are applicable to active employees. At the commencement of a leave, CTI will provide you with a letter explaining the steps you must take if you wish to continue your group insurance coverage during your leave.

You may elect to use any sick leave, personal days, vacation hours, and/or short-term disability benefits accrued as of the commencement of your leave to provide some compensation during your unpaid leave, provided that you are eligible for such benefits.

Your time spent on unpaid leave of absence will not be counted for purposes of determining length of service for vacation pay or for purposes of determining eligibility for Parental or Family Leave. Although you will accrue sick leave and vacation time benefits during paid leaves of absence, you will not accrue such benefits during unpaid leaves of absence.

You will not be eligible for holiday pay during any leave of absence.

Nothing stated in this section either obligates CTI to continue an employee's employment for any period of time or in any way alters the fact that Foundation employees are "employees-at-will," and that either the employee or CTI may terminate the employment relationship at any time, with or without notice or cause.

## **Driving Records**

The purpose of this policy is to determine the suitability of employees driving records whose positions with CTI require them to drive CTI-owned vehicles.

All new hires for positions requiring the driving of agency vehicles must provide a copy of their driving record for the past three years, or authorize CTI to obtain a copy of their driving record for the last three years from the Massachusetts Registry of Motor Vehicles.

Existing employees whose jobs require the driving of agency vehicles must authorize CTI to obtain a copy of their driving record from the Massachusetts Registry of Motor Vehicles on an annual basis.

The HR Director and the appropriate Associate Executive Director will review any record check that reveals a potential problem and will make a determination that is in the best interest of CTI. Such determination may result in the removal of the employee from driving duties or from employment.

## **Reference Check Policy**

### Reference Checks

CTI references and recommendations are limited to confirming the dates of an employee's service to CTI and are generally handled by the Human Resources office.

CTI letterhead stationery may not be used for personal references.

## **CORI Policy**

All employees will be required to complete the appropriate CORI Request Form prior to or upon beginning employment.

Any offer of employment, or continuation of employment if the individual has already started working, is contingent on the agency receiving a satisfactory CORI report. All CORI reports are sent to Human Resources and reviewed by CORI-cleared personnel.

## **Employee Evaluations**

Supervisors shall endeavor to evaluate each employee annually (on employee's anniversary date in current position, or at any other time the situation warrants. Supervisors will also endeavor to discuss an employee's evaluation with the employee. Annual evaluations are performed to assist employees in correcting any deficiencies in job performance, review his or her job description, focus on goals for the coming year, and provide a basis for future advancement.

When a supervisor discusses an employee's evaluation with an employee, the employee will be required to sign the evaluation form to indicate that he or she had the opportunity to review the evaluation with his or her supervisor and has had an opportunity to add written comments to the evaluation.

## **Dress Code Policy**

It is the policy of CTI that each employee's dress, grooming, and personal hygiene should be appropriate to the work situation.

Employees are expected at all times to present a professional, businesslike image to the public. Acceptable personal appearance, like proper maintenance of work areas, is an ongoing requirement of employment with CTI. Radical departures from conventional dress or personal grooming and hygiene standards are not permitted.

Office workers and any employees who have regular contact with the public must comply with the following personal appearance standards:

Employees are expected to dress in a manner that is normally acceptable in similar business establishments. Employees should not wear suggestive attire, jeans, athletic clothing, shorts, "flip flops", T-shirts, novelty buttons, baseball hats, and similar items of casual attire that do not present a businesslike appearance.

Hair should be clean, combed, and neatly trimmed or arranged. Shaggy, unkempt hair is not permissible regardless of length.

Sideburns, moustaches, and beards should be neatly trimmed.

Employees who do not have regular contact with the public should follow basic requirements of safety and comfort, but should still be as neat and businesslike as working conditions permit.

Certain employees may be required to meet special dress standards, such as wearing uniforms, depending on the nature of the job. Individual Associate Executive Directors will establish standards within their own Divisions for employees other than office employees who have regular contact with the public.

At its discretion, CTI may allow employees to dress in a more casual fashion than is normally required. On these occasions, employees are still expected to present a neat appearance and are not permitted to wear ripped or disheveled clothing, athletic wear, or similarly inappropriate clothing.

Any employee who does not meet the standards of this policy will be required to take corrective action, which may include leaving the premises and returning to the worksite in appropriate attire.

## **Employee Conduct Policy**

CTI expects its employees to maintain a high standard of personal conduct. Employees are expected to follow generally accepted standards of business behavior; and to comply strictly with all laws, rules and regulations applicable to their activities. Promptness, courtesy, appearance, respect for others, a safe working climate, loyalty and discretion are valued at CTI. CTI encourages employees to increase their skills and capabilities.

Types of behavior and conduct that CTI considers inappropriate and which could lead to disciplinary action, up to and including termination from employment, include, but are not limited to:

- Violating any CTI policy including nondiscrimination, harassment or drug free workplace policy;
- Soliciting or accepting gratuities from vendors or clients;
- Falsifying records of the agency, its employees, or clients;
- Excessive absenteeism or tardiness;

- Engaging in any felonious activity;
- Threatening, intimidating, coercing or interfering with fellow employees or clients;
- Making false, vicious or malicious statements about any employee, client, or agency program;
- Unauthorized release of any confidential client information;
- Misusing, damaging or theft of any property owned by the agency, another employee, or client;
- Reporting to work under the influence of alcohol or controlled substance or the unlawful possession of controlled substances;
- Insubordination; and
- Immoral conduct or indecency.

## **Discipline Policy**

CTI expects employees to perform their assigned duties at or above satisfactory levels; to render prompt, courteous, and efficient service; and to conduct themselves according to established policies and procedures.

Violations of the policies set forth in this manual may require disciplinary action, up to and including termination of employment. CTI is not bound to follow any policy, procedure, or process in connection with discipline, employment termination, or otherwise.

## **Drug-Free Workforce and Workplace Policy**

CTI is a recipient of contracts and grants from the United States Government and, as such, is subject to the provisions of the Drug-Free Workplace Act of 1988. This Drug-Free Workplace and Workforce Policy applies to all CTI employees who perform work funded by such federal contracts and grants and is effective immediately. CTI requires that all employees receive a copy of this Policy. Employees are hereby notified that, as a condition of employment, employees must comply with this Policy and must notify CTI of any criminal drug statute conviction for a violation occurring in the workplace no later than five days following such conviction.

### The Dangers of Drug Abuse in the Workplace

CTI has a serious concern for the health and welfare of each of its employees. Illegal drug use is dangerous. The use of drugs or alcohol, which impairs employee effectiveness, efficiency, or ability to be present regularly at work, is a matter that is of extreme importance to CTI.

The dangers of illegal drugs have been well documented. Drugs, including alcohol, create absenteeism, unfinished assignments, tardiness, poor or erratic performance, mood swings, errors in judgment, violent behavior and lack of motivation. Employee use of illegal drugs, on or off duty, can impair their ability to perform tasks that are critical to proper contract performance and can also result in the potential for accidents on duty and for failures that can pose a serious threat to health and safety. The use of illegal drugs, on or off duty, by employees in certain positions can result in less than the complete reliability, stability, and good judgment that are consistent with access to sensitive information. Use of illegal drugs also creates the possibility of coercion, influence, and irresponsible action under pressure that may pose a serious risk to health and safety.

Pursuant to its obligations under the Drug-Free Workplace Act, CTI has issues the following work rules, which are applicable to all employees, including employees who work directly on federal grants or contracts.

1. Alcohol: Reporting to work or otherwise representing CTI while under the influence of alcohol or illegal drugs is prohibited. Alcohol may be consumed in moderation only at programs and other events at which the service and use of alcohol has been approved in advance by the Executive Director of CTI.

2. Illegal Drugs: Employees are prohibited from being under the influence of, manufacturing, distributing, dispensing, possessing or using illegal drugs or controlled substances at any time on or about CTI premises, while driving on CTI business, or while representing CTI in any manner.



3. Convictions: Employees must notify the Executive Director of CTI of any criminal drug statute conviction for a violation occurring in the workplace no later than five (5) days following such conviction. A conviction includes a finding of guilt, a plea or nolo contendere, or imposition of a sentence by any judicial body. Within thirty days of notification, CTI will impose an appropriate sanction against the employee, up to and including termination, or will require the employee to participate satisfactorily in a drug abuse or rehabilitation program approved for such purposes by a federal, state or local health, law enforcement, or other appropriate agency. Failure to notify CTI of a drug offense conviction shall be grounds for immediate termination.

An infraction of these policies is grounds for immediate disciplinary action, up to and including termination of employment.

### Rehabilitation and Counseling

CTI, with the assistance of our Employee Assistance Program (EAP), outside drug counseling and/or rehabilitation facilities, shall make available to CTI employees a drug awareness program and medical counseling services. These programs will inform employees of the danger of drug abuse and provide assistance to employees who experience difficulties with substance abuse or dependency.

An employee who feels that he or she may have a drug or alcohol problem is encouraged to seek the advice and help of his/her immediate supervisor, the Executive Director of CTI, the employee's personal physician, or any hospital, clinic, or mental health agency with special expertise in this field. An employee who seeks medical help should consult the Executive Director of CTI for further details regarding the availability of health care insurance for drug and/or alcohol rehabilitation.

Supervisors who have reason to believe that an employee is involved with drug or alcohol abuse shall refer the employee immediately to the attention of the Executive Director of CTI, who will advise the employee of rehabilitation and counseling programs available to the employee. Confidentiality will be preserved to the extent feasible and consistent with this policy.

### Definitions

1. "Under the influence" means observably affected by a drug or alcohol or the combination of a drug and alcohol. The symptoms of influence may include, but are not limited to, misbehavior, obvious impairment of physical and mental ability, slurred speech, difficulty in maintaining balance, and/or impaired judgment.
2. "Controlled Substance" means a controlled substance included in schedules I and II as defined by Section 802(6) of Title 21 of the United States Code, the possession of which is unlawful under Chapter 13 of that

Title. The Human Resources Department maintains a list of controlled substance.

3. "Legal drug" included prescribed drugs and over-the-counter drugs which have been legally obtained and are being used for the purpose for which they were prescribed or manufactured.
4. "Illegal drug" means any controlled substance which (a) is not legally obtainable or (b) which is legally obtainable, but has not been legally obtained. The term includes marijuana and prescription drugs not legally obtained and prescribed drugs not being used for prescribed purposes.
5. "Company premises" includes, but is not limited to, CTI's building, field site locations, exterior grounds, parking lots, and personal and company vehicles while on Company business.
6. "Employee" means any employee of CTI who is directly engaged in work under a covered federal grant or contract, both direct charge and indirect charge employees, including but not limited to part-time, full-time and temporary employees and consultants on CTI's payroll, but excluding independent contractors, employees of subcontractors or grant sub-recipients and volunteers.

## Substance Abuse Policy

CTI has a serious concern for the health and welfare of each of its employees. The use of drugs or alcohol, which impairs employee effectiveness, efficiency, or ability to be present regularly at work, is a matter which is of extreme importance to CTI. Consistent with the foregoing, CTI has issued the following work rules:

Reporting to work or otherwise representing CTI while under the influence of alcohol or illegal drugs will not be tolerated. Alcohol may be consumed in moderation only at programs and other events at which the service and use of alcohol has been approved in advance by the President of CTI.] Employees are prohibited from being under the influence of, manufacturing, distributing, dispensing, possessing or using illegal drugs at any time on or about Company premises, while driving on Company business, or while representing CTI in any manner. An infraction of these policies is grounds for immediate disciplinary action, up to and including termination of employment.

An employee who feels that he or she may have a drug or alcohol problem is encouraged to seek the advice and help of his or her immediate supervisor, the Associate Executive Director, Human Resources Director, the employee's personal physician, or any hospital, clinic, or mental health agency with special expertise in this field. An employee who seeks medical help may consult the Director of Human Resources for further details regarding the availability of health care insurance for drug and/or alcohol rehabilitation.

**CTI may test its employees for drugs and/or alcohol when CTI has a reasonable suspicion that an employee is under the influence of illegal drugs and/or alcohol.** For purposes of this policy, "under the influence" is a management determination, based on the judgment and/or observation, that an employee's demonstrated behavior or condition is affected by substance abuse and is a threat to the individual or collective safety or productivity. The determination is made by management. This judgment generally should be substantiated by information, such as:

Direct observation of drug use and/or the behavior and manifestation of being under the influence of a drug or alcohol;

Reasonable suspicion that an employee's conduct or behavior while at work, absenteeism, tardiness, or deterioration in work performance may be related to drug or alcohol use; or

Knowledge or evidence that an employee is involved in the use, possession, sale, solicitation, or transfer of drugs or alcohol while working or while on the employer's premises or operating the employee's vehicles, machinery or equipment.

A refusal to submit to drug and/or alcohol testing will be treated as a positive test result.

## Definitions

“Under the influence” means observably affected by a drug or alcohol or the combination of a drug and alcohol. The symptoms of influence may include, but are not limited to, misbehavior, obvious impairment of physical or mental ability, slurred speech, difficulty in maintaining balance, and/or impaired judgment.

“Illegal drug” means any Controlled Substance which (a) is not legally obtainable or (b) which is legally obtainable, but has not been legally obtained. The term includes marijuana and prescription drugs not legally obtained and prescribed drugs not being used for prescribed purposes.

“Controlled Substance” means a controlled substance included in schedules I and II as defined by Section 802(6) of Title 21 of the United States Code, the possession of which is unlawful under Chapter 13 of that Title. These substances include, but are not limited to, marijuana, cocaine, LSD, PCP, heroin, other opiates, amphetamines, and barbiturates. The Human Resources Office maintains a list of controlled substances.

“Company premises” includes, but is not limited to, CTI’s building, exterior grounds, parking lots, and personal and Company vehicles while on Company business.

## **Workday Policies**

### Standard Workday

CTI depends on reliable employees. Frequent or prolonged absences, chronic lateness, and long lunch breaks cannot be tolerated. Except for breaks described below, employees are expected to report to work on time and remain at work until the end of the workday.

The regular workweek for all full-time employees is forty hours, Monday through Friday, with employees regularly scheduled to work eight hours per day. The normal work hours are set for each CTI location, depending on program/business needs.

Full-time employees receive a one-hour paid lunch. The lunch schedule is set by division or department depending on program needs.

Employees are entitled to a fifteen-minute break during the day.

Breaks cannot be used to lengthen the lunch hour, nor can breaks and lunch hours be "banked" to be used at the beginning or end of the day or to justify chronic tardiness.

Daily and weekly work schedules may be changed from time to time due to program necessity. These changes will be announced as far in advance as practicable.

## Flexitime

Flexitime is defined as an approved work schedule that deviates from the standard schedule. Employees may request from their Division Associate Executive Director permission to work hours other than the standard hours.

The flexitime schedule must include an eight-hour workday and will be considered a change to the employee's schedule.

Flexitime may not be requested for a daily or weekly time frame.

Division AED's are authorized to approve or deny flexitime requests. In any case, deviations from the standard workday are permissible only when program needs will not be compromised.

## Emergency and Unexpected Closing

The agency may close early or be closed entirely on certain days other than paid holidays due to inclement weather or other emergency situations. On such occasions employees may not be required to use accrued vacation or sick time.

When the agency is open for business all employees are expected to come to work and all departments are expected to be staffed.

In the case of inclement weather, an employee must use accrued vacation, personal or available compensatory time if he or she is unable to come to work when the agency is open for business.

CTI's procedures regarding agency closure due to inclement weather are distributed annually with the list of authorized holidays for the upcoming calendar year.

## **Whistleblower Policy**

A whistleblower, as defined by this policy, is an employee of CTI who reports to an individual specified by this policy an activity that he/she considers to be in violation of federal, state or local laws such as billing for services not performed or for goods not delivered, and other fraudulent financial reporting ("Prohibited Activities"). A whistleblower is not responsible for investigating the activity he/she reports or for determining fault or corrective measures – appropriate management officials are charged with these responsibilities.

If an employee has knowledge of or a concern that a Prohibited Activity is occurring or has occurred, the employee should contact his/her immediate supervisor or the Human Resources Director. The employee must exercise sound judgment to avoid baseless allegations. An employee who intentionally files a false report of Prohibited Activities will be subject to discipline up to and including termination.

Insofar as possible, the identity of a whistleblower will be maintained. However, in certain circumstances, the identity of a whistleblower may have to be disclosed to conduct a thorough investigation, to comply with the law, or to provide accused individuals their legal rights of defense.

CTI will not retaliate against a whistleblower who makes a good faith complaint regarding Prohibited Activity. This includes, but is not limited to, protection from retaliation in the form of an adverse employment action such as termination, compensation decreases, poor work assignments, and/or threats of physical harm. Any whistleblower who believes he/she is being retaliated against must contact the Human Resources Director immediately. The right of a whistleblower for protection against retaliation does not include immunity for any personal wrongdoing that is alleged and investigated.

Employees with any questions regarding this policy should contact the Director of Human Resources.

## **Code of Conduct Policy**

CTI is committed to maintaining the highest level of integrity and the highest standards of ethical conduct in all of its activities and dealings. It is important for CTI directors, officers, and employees to be aware that both real and apparent conflicts of interest or dualities of interest sometimes occur in the course of conducting the affairs of the organization and that the appearance of conflict can be troublesome even though there is in fact no legal conflict of interest.

Conflicts occur because the many persons associated with CTI should be expected to have, and do in fact generally have multiple interests and affiliations and various positions of responsibility within the community. In these situations, a person will sometimes owe identical duties of loyalty to two or more organizations. Conflicts are undesirable because they potentially place the interests of others ahead of the agency's obligations to the public interest. Conflicts are also undesirable because they often reflect adversely upon the person involved and upon the institutions with which they are affiliated, regardless of the actual facts or motivations of the parties. However, the long-range best interests of the agency do not require the termination of all association with persons who may have real or apparent conflicts that are harmless to all individuals or entities involved.

The purpose of the Code of Conduct is to provide guidance to CTI's directors, officers, and employees so that CTI can maintain the highest level of integrity and the highest standards of ethical conduct. Each director, officer and employee of CTI is urged to review carefully this Code of Conduct and make every effort to adhere to it. Certain

provisions of this Code of Conduct, as indicated, apply only to directors, officers, and management employees.

### Gifts to Directors, Officers, and Employees

The acceptance by any director, officer or employee of money, services or any other thing of value offered by a representative, person or entity which (1) does business with CTI (or any person or entity which potentially could do business with CTI) or (2) has applied for a grant or potentially could apply for an upcoming grant from CTI is prohibited. The offer of any such benefit must be reported immediately to the Chair. Notwithstanding the foregoing, it is understood that an officer or employee of CTI may receive unsolicited gifts of modest value from persons doing business with CTI, such as Christmas gifts of modest value. It is also expressly understood that this policy does not preclude business meals or nominal entertainment on an infrequent basis.

### Confidentiality of Information

CTI's directors, officers, and employees owe a duty of loyalty to CTI. The duty of loyalty requires each director, officer and employee of CTI to respect the confidentiality of information gained in the course of board activities or employment. No director, officer or employee shall use information received in the course of serving CTI if the personal use of such information would be detrimental in any way to CTI.

### Conflicts of Interest

#### Directors

Any possible conflict of interest of any director (or member of the director's immediate family) shall be fully disclosed to the other directors and made a matter of record. When any such possible conflict of interest becomes relevant to any matter requiring Board of Directors or committee action, it shall be called to the attention of the board or committee and, if any question is raised as to whether a conflict of interest exists, the potentially interested person shall leave the meeting while the matter is discussed and voted upon. The remaining members shall decide if a conflict of interest exists. If the remaining members determine that a conflict of interest exists, or if no such vote is taken because a conflict of interest clearly exists, the director shall not vote on the matter in which he or she (or a member of his or her immediate family) has a possible conflict of interest, shall not use personal influence to affect the vote and shall leave the room during the final discussion and vote on the matter. However, any director who is excluded from voting because of such possible conflict of interest may answer any pertinent questions of other directors or committee members when the director's knowledge of the matter may assist the board or committee in making its determination. Any vote approving a transaction that involves a possible conflict of interest should include a determination by the disinterested directors that the transaction is in the best interest of CTI and is fair in all respects to CAA. The minutes of the meeting shall reflect that a disclosure was made and the nature of the disclosure, that the interested

director abstained from voting and left the room for the final discussion and vote, and that the interested director abstained from the action taken to determine whether a conflict of interest existed, if any.

### Committee Members

The provisions of this policy applying to directors also shall apply to any person who is not a director but who is at any time serving as a member of any committee.

### Officers and Management Employees

Each officer and management employee has a duty to make full disclosure to the Board of Directors of any possible conflict of interest (or that of a member of his or her immediately family) regarding any matter as to which the officer or employee provides recommendations or advice to the Board of Directors.

### Types of Conflicts of Interest

A particularly important type of possible conflict of interest arises when a director, officer or management employee holds a direct or indirect financial interest in (or will receive a benefit from) a business firm furnishing services, materials, or supplies to CTI or that is seeking grant funds from CTI. A direct financial interest is the receipt of remuneration of any sort. An indirect financial interest exists if a party transacting business with CTI is an entity:

- (1) in which CTI's director, officer or management employee (or a member of his or her immediate family) has a material financial interest;
- (2) with which CTI's director, officer or management employee (or a member of his or her immediate family) has a substantial business relationship; or
- (3) of which CTI's director, officer or employee (or a member of his or her immediate family) is an officer, director, director, general partner or employee.

It is understood that a director, officer or employee may be a direct or indirect party to a transaction with CTI which might create or provide the appearance of a conflict of interest, as above defined, if all the above disclosure and other requirements are met and if the transaction is fair to CTI.

### Use of CTI's Services, Property or Facilities for Personal Purposes.

No director, officer, or employee shall make use of CTI's services, property or facilities for any purpose that is not related to CTI's purposes.



## Political Activities

No director, officer or employee of CTI in the name of CTI or under the color of the official capacity or authority of CTI shall:

- (1) participate or become actively involved in any political campaign or in any other type of political activity, or
- (2) provide financial support for, or make contributions to or for the benefit of any political candidate, political party, or political action committee or provide financial support for or make contributions in support of any other political objective.

Notwithstanding the foregoing, CTI recognizes that each of its directors, officers, and employees has the right as a citizen to become involved in his or her individual capacity in the political process in Massachusetts and on a national and local basis. Any such participation or involvement by any person in a political campaign or other type of political activity or any contribution to or any other financial support of a political candidate or any other type of political contribution or support shall only be carried on or provided in an individual capacity.

## Compliance with Code of Conduct

Each director, officer, and employee of CTI shall receive a copy of the Code of Conduct. Each such person shall be required to complete the disclosure statement and also shall certify that he or she has read the Code and agrees to comply with all standards and requirements set forth herein.

## **Personal Property**

CTI is not responsible for the loss or damage to employees' personal property. It is the employee's responsibility to ensure that all personal computers, cell phones, and other personal property are kept in a safe place. If an employee's personal property is lost, damaged or stolen at work, replacement or repair is solely the employee's responsibility. CTI's insurance does not cover employee personal property. Employees are advised to leave any valuables at home.

## **Workplace Rules**

### No Smoking

CTI is committed to providing a smoke-free environment for all its employees, clients, and volunteers.

Smoking is prohibited in all CTI facilities and vehicles.

Employees who smoke must also ensure that smoking does not interfere with the performance of their duties.

### Reimbursements for Work-Related Expenses

Employees who spend their own money for work-related items such as travel, supplies, equipment, or services may be reimbursed.

The appropriate supervisor must approve all such reimbursements.

Proper receipts must be provided.

Current reimbursement policy and procedures are available in the Fiscal Office at Dutton Street.

### Reporting Work-Related Accidents

Any employee who is injured while working for CTI must file a report with the Human Resources indicating the date, time, type, location, and nature of the injury on the day the accident occurs. The form to be used is available at each work location.

If the injury has resulted in the loss of 5 or more workdays, additional information must be filed with the Massachusetts Department of Industrial Accidents.

### Use of Agency Provided Equipment

CTI's application systems, cell phones, pagers, computer and telephone networks, electronic mail facilities and electronic and manual data are the sole property of CTI and may not be used for an employee's personal business. CTI's computer systems, electronic data and written documents often are created by and/or entrusted to its employees. Employees are expected to secure and protect confidential information regarding the agency, its clients, employees and others.

CTI reserves the right to access electronic and paper files (including electronic mail and voicemail) and monitor computer and telephone usage when necessary.

CTI's policies regarding the use of email, voicemail and the internet may be found on the CTI Intranet.

### Channels of Communication

The appropriate channel for normal communication is through the employee's supervisor. Most requests for information and/or problem resolution can and should be handled at this level.

Occasionally, a situation may require the involvement of program managers, Division Associate Executive Directors, Deputy Executive Director or the Executive Director.

Management uses the same structure to disseminate information deemed important to employees.

This system maintains a clear communications chain and is used for all contacts where an employee does not need to go over the head of any supervisor.

In the event of an emergency (such as injury), the fastest channel of communication should be used.

CTI's management uses various methods to communicate with employees, including a number of publications, email, intranet, bulletin boards and site visits.

The Human Resources office is also available to employees who have questions, need advice or lodge complaints.

### Personnel Files

All agency employee personnel files are held in strictest confidence.

Every employee has the right of access to her/his personnel file and may view the file by making arrangements with the Human Resources Director.

No information will be disclosed from an employee's personnel file without the consent of the employee, unless required by law.

### Confidentiality

Any information about the agency, its services and its employees should be considered confidential and should be discussed only in connection with the agency's business purposes. All documents, files and working papers are the property of the agency.

Under no circumstances is information concerning the agency, its services and its employees to be revealed to third parties, except as management directs, as is required by law, or as is authorized by such employee.

All employees are expected to protect the confidentiality of personal information by complying with the agency's Written Information Security Plan (WISP) (Appendix C).

The WISP, protects personal information of residents of the Commonwealth of Massachusetts, and complies with obligations under 201 CMR 17.00. The WISP (a) Ensures the security and confidentiality of personal information; (b) Protects against any anticipated threats or hazards to the security or integrity of such information (c) Protects against unauthorized access to or use of such information in a manner that creates a substantial risk of identity theft or fraud.

## **Computer, Telephone and Other Work-Related Information Policy**

CTI's applications systems, computer and telephone networks, electronic mail facilities, and electronic and manual data are the sole property of CTI and may not be used for an employee's personal business. CTI's computer systems, electronic data, and written documents often are created by and/or entrusted to its employees. Employees are expected to secure and protect confidential information regarding CTI, its customers, employees and others.

**CTI reserves the right to access electronic and paper files (including electronic mail and voicemail) and monitor computer and telephone usage when necessary to:**

- ensure that its computer and other communication resources are being used in a cost-effective manner strictly for business purposes;
- carry out its business activities without disruption;
- protect the integrity, confidentiality and security of its computer networks and data;
- investigate suspicion of wrongdoing; and
- accomplish other appropriate objectives at CTI's discretion.

Each employee's computer access password generally is known only to the employee and the systems administrator and should be kept confidential. An employee's computer logon id/password combination may not be used by other employees to access those functions and data files restricted to that employee. Access rights, however, may be extended to the employee's immediate supervisor or others when necessary to meet business needs.

Because computers are vital to our business, computer virus contamination must be diligently avoided. Computer viruses are most often found in free software which is obtained outside CTI. A virus can alter data, destroy programs, and even erase the entire contents of a computer's hard drive. Consequently, for computer security reasons, only CTI-authorized software may be used on CTI equipment. Any question about what constitutes authorized software should be directed to the systems administrator.

### Internet Guidelines

CTI has provided employees access to the Internet for the benefit of CTI and its customers. Every employee has a responsibility to maintain and enhance CTI's public image and to use the Internet in a productive manner. To ensure that all employees are responsible, productive Internet users and are protecting CTI's public image, the following policies, although not intended to be exhaustive, have been established.

Employees accessing the Internet during work time and from Company computers may be viewed as representing CTI. All communications, therefore, should be for business-related reasons and not for personal business. Databases may be accessed for information as needed.

The Internet should not be used for personal business. Solicitation of non-Company business or any use of the Internet for personal gain is strictly prohibited. Use of the Internet must not disrupt the operation of CTI network, the networks of other users, or interfere with your productivity at work.

Each employee is responsible for the content of all text, audio or images that he or she places or sends on the Internet. Fraudulent, profane, harassing or obscene messages that violate CTI's harassment policy are prohibited. All messages communicated on the Internet should have your name attached. No messages will be transmitted under an assumed name.

Failure to comply with these policies and guidelines may result in discipline, up to and including termination of employment.

## **APPENDIX A**

### **Executive Director Selection and Evaluation Process**

In the event the board of Directors must select a new Executive Director for the agency, the following process will be followed:

1. Board of Directors officers interview two or more executive search firms, selecting one.
2. Board updates Position Description/qualifications.
3. Board establishes compensation range/elements.
4. Board of Directors appoints a Search Committee made up of seven members and two alternates, representing all board members.
5. Search firm conducts surveys/solicits input from executive and non-executive staff of CTI.
6. Search firm develops marketing plan and advertises the position with input from Search Committee.
7. Search firm performs initial screening, interviews potential candidates and conducts reference/background checks.
8. Search Committee interviews initial offering of screened candidates.
9. Search Committee recommends candidates to full board.
10. Full board interviews final candidates.
11. Job offer to selected candidate by executive committee.

The board, search committee and executive committee conduct all steps, except step 10 above, confidentially.

Board interviews with final candidates are conducted publicly.

## **Annual Evaluation of the Executive Director**

The Executive Director is evaluated after six months and annually thereafter.

The Board of Directors and Executive Director mutually agree upon the goals and objectives for the year. The Board evaluates the Executive Director based on progress toward completion of the stated goals and objectives.

The Executive Director complies with the same standards put forth in this manual as other agency staff.

## **Executive Director Selection, Evaluation, Discipline and Termination Process**

CTI's Board of Directors is free to discipline the Executive Director at any time and for any reason, and is also free to terminate the employment of its Executive Director on an "at-will" basis, for any or no reason, and with or without notice, so long as the termination decision is not discriminatory or against public policy.

## **APPENDIX B**

### **Equal Opportunity Is The Law**

It is against the law for this recipient of Federal financial assistance to discriminate on the following bases: against any individual in the United States, on the basis of race, color, religion, sex, national origin, age, disability, political affiliation or belief; and against any beneficiary of programs financially assisted under Title 1 of the Workforce Investment Act of 1998 (WIA), on the basis of the beneficiary's citizenship/status as a lawfully admitted immigrant authorized to work in the United States, or his or her participation in any WIA Title 1 – financially assisted program or activity.

The recipient must not discriminate in any of the following areas: deciding who will be admitted, or have access, to any WIA Title 1 – financially assisted program or activity; providing opportunities in, or treating any person with regard to, such a program or activity; or making employment decisions in the administration of, or in connection with, such a program or activity.

### **What To Do If You Believe You Have Experienced Discrimination**

If you think that you have been subjected to discrimination under a WIA Title 1- financially assisted program or activity, you may file a complaint within 180 days from the date of the alleged violation with either the recipient's Equal Opportunity Officer (the person whom the recipient has designated for this purpose is Charlene Urbanek, Community Teamwork, Inc.'s Affirmative Action Officer, 167 Dutton St, 2<sup>nd</sup> Floor, Lowell, MA., 978 459-0551 x256); or the Director, Civil Rights Center (CRC), U.S. Department of Labor, 200 Constitution Avenue NW, Room N-4123, Washington, DC 20210.

If you file your complaint with the recipient, you must wait either until the recipient issues a written Notice of Final Action, or until 90 days have passed (whichever is sooner), before filing with the Civil Rights Center (see address above).

If the recipient does not give you a written Notice of Final Action within 90 days of the day on which you filed your complaint, you do not have to wait for the recipient to issue that Notice before filing a complaint with CRC. However, you must file your CRC complaint within 30 days of the 90-day deadline (in other words, within 120 days after the day on which you filed your complaint with the recipient).

If the recipient does give you a written Notice of Final Action on your complaint, but you are dissatisfied with the decision or resolution, you may file a complaint with CRC. You must file your CRC complaint within 30 days of the date on which you received the Notice of Final Action.

*Appendix B to CTI Employee Handbook  
May 20, 2009*



## **APPENDIX C**

### **COMPREHENSIVE WRITTEN INFORMATION SECURITY PROGRAM**

#### **I. OBJECTIVE:**

The objective of Community Teamwork Inc. (CTI), in the development and implementation of this comprehensive written information security program (“WISP”), is to create effective administrative, technical and physical safeguards for the protection of personal information of residents of the Commonwealth of Massachusetts, and to comply with obligations under 201 CMR 17.00. The WISP sets forth CTI procedure for evaluating electronic and physical methods of accessing, collecting, storing, using, transmitting, and protecting personal information of residents of the Commonwealth of Massachusetts.

For purposes of this WISP, “personal information” means a Massachusetts resident's first name and last name or first initial and last name in combination with any one or more of the following data elements that relate to such resident: (a) Social Security number; (b) driver's license number or state-issued identification card number; or (c) financial account number, or credit or debit card number, with or without any required security code, access code, personal identification number or password, that would permit access to a resident's financial account; provided, however, that “personal information” shall not include information that is lawfully obtained from publicly available information, or from federal, state or local government records lawfully made available to the general public.

#### **II. PURPOSE:**

The purpose of the WISP is to: (a) Ensure the security and confidentiality of personal information; (b) Protect against any anticipated threats or hazards to the security or integrity of such information (c) Protect against unauthorized access to or use of such information in a manner that creates a substantial risk of identity theft or fraud.

#### **III. SCOPE:**

In formulating and implementing the WISP, (1) identify reasonably foreseeable internal and external risks to the security, confidentiality, and/or integrity of any electronic, paper or other records containing personal information; (2) assess the likelihood and potential damage of these threats, taking into consideration the sensitivity of the personal information; (3) evaluate the sufficiency of existing policies, procedures, customer information systems, and other safeguards in place to control risks; (4) design and implement a WISP that puts safeguards in place to minimize those risks, consistent with the requirements of 201 CMR 17.00; and (5) regularly monitor the effectiveness of those safeguards:

#### **IV. DATA SECURITY COORDINATOR:**

We have designated Mike Kendrick, Ed Cameron, Maria Solarez and Karen Frederick to implement, supervise and maintain the WISP. That designated employee (the "Data Security Coordinator") will be responsible for:

- a. Initial implementation of the WISP;
- b. Training employees;
- c. Regular testing of the WISP's safeguards;
- d. Evaluating the ability of each of our third party service providers to implement and maintain appropriate security measures for the personal information to which we have permitted them access, consistent with 201 CMR 17.00; and requiring such third party service providers by contract to implement and maintain appropriate security measures.
- e. Reviewing the scope of the security measures in the WISP at least annually, or whenever there is a material change in our business practices that may implicate the security or integrity of records containing personal information.
- f. Ensuring that adequate training on the elements of the WISP is conducted and/or made available for all managers, employees and independent contractors, including temporary and contract employees, who have access to personal information. All attendees at such training sessions are required to certify their attendance at the training, and their familiarity with the requirements for ensuring the protection of personal information.

#### **V. INTERNAL RISKS:**

To combat internal risks to the security, confidentiality, and/or integrity of any electronic, paper or other records containing personal information, and evaluating and improving, where necessary, the effectiveness of the current safeguards for limiting such risks, the following measures are mandatory and are effective immediately. To the extent that any of these measures require a phase-in period, such phase-in must be completed on or before March 1, 2010

##### **Internal Threats:**

- A copy of the WISP must be distributed to each employee who shall, upon receipt of the WISP, acknowledge in writing that s/he has received a copy of the WISP. Reference to the WISP will be added to CTI's Personnel Policies.
- All management personnel shall attend a training session on the WISP and shall ensure that employees in their departments with access to "Personal Information" receive training on the WISP.

- Subject to approval by the Board of Directors, the Personnel Policies shall be amended to require compliance with the WISP, and to prohibit any nonconforming use of Personal Information during or after employment; with mandatory disciplinary action to be taken for violation of security provisions of the WISP (The nature of the disciplinary measures may depend on a number of factors, including the nature of the violation and the nature of the personal information affected by the violations).
- The amount of personal information collected should be limited to that amount reasonably necessary to accomplish our legitimate charitable purposes or enable us to comply with other state or federal regulations or contract provisions.
- Electronic access to user identification after multiple unsuccessful attempts to gain access must be blocked.
- All security measures shall be reviewed at least annually, or whenever there is a material change in our business practices that may reasonably implicate the security or integrity of records containing personal information. The Data Security Coordinator shall be responsible for this review and shall fully apprise management of the results of that review and any recommendations for improved security arising out of that review.
- Terminated employees must return all records containing personal information, in any form, that may at the time of such termination be in the former employee's possession (including all such information stored in laptops or other portable devices or media, and in files, records, work papers, etc.)
- A terminated employee's physical and electronic access to personal information must be immediately blocked. Such terminated employee shall be required to surrender all keys, IDs or access codes or badges, business cards, and the like, that permit access to our premises or information. Moreover, such terminated employee's remote electronic access to personal information must be disabled; his/her voicemail access, e-mail access, internet access, and passwords must be invalidated.
- Current employee's user ID's and passwords must be changed periodically.
- Access to personal information shall be restricted to active users and active user accounts only.
- Employees are encouraged to report any suspicious or unauthorized use of client or employee personal information.
- Whenever there is an incident that requires notification under M.G.L. c. 93H, § 3, there shall be an immediate mandatory post-incident review of events and actions taken, if any, with a view to determining whether any changes in our security practices are required to improve the security of personal information for which we are responsible.
- Employees are prohibited from keeping open files containing personal information on their desks, or if in electronic form, on their screen, when they are not at their desks.
- At the end of the work day, all files and other records containing personal information must be secured in a manner that is consistent with the WISP's rules for protecting the security of personal information.

- Each department shall develop rules (bearing in mind the needs of that department) that ensure that reasonable restrictions upon physical access to records containing personal information are in place, including a written procedure that sets forth the manner in which physical access to such records in that department is to be restricted; and each department must store such records and data in locked facilities, secure storage areas or locked containers.
- Access to electronically stored personal information shall be electronically limited to those employees having a unique log-in ID; and re log-in shall be required when a computer has been inactive for more than five (5) minutes.
- Visitors' access must be restricted to one entry point for each building in which personal information is stored. Visitors shall not be permitted to visit unescorted any area within our premises that contains personal information.
- Paper or electronic records (including records stored on hard drives or other electronic media) containing personal information shall be disposed of only in a manner that complies with M.G.L. c. 93I.

## **VI. EXTERNAL RISKS**

To combat external risks to the security, confidentiality, and and/or integrity of any electronic, paper, or other records containing personal information, and evaluating and improving, where necessary, the effectiveness of the current safeguards for limiting such risks, the following measures must be completed on or before March 1, 2010:

- There must be reasonably up-to-date firewall protection and operating system security patches, reasonably designed to maintain the integrity of the personal information, installed on all systems processing personal information
- There must be reasonably up-to-date versions of system security agent software which must include malware protection and reasonably up-to-date patches and virus definition, installed on all systems processing personal information.
- To the extent technically feasible, all personal information stored on laptops or other portable devices must be encrypted, as must all records and files transmitted across public networks or wirelessly, to the extent technically feasible. Encryption here means the transformation of data into a form in which meaning cannot be assigned without the use of a confidential process or key, unless further defined by regulation by the Office of Consumer Affairs and Business Regulation.
- All computer systems must be monitored for unauthorized use of or access to personal information.
- There must be secure user authentication protocols in place, including: (1) protocols for control of User IDs and other identifiers; (2) a reasonably secure method of assigning and selecting passwords; and (3) control of data security passwords to ensure that such passwords are kept in a secure location.

## VII. REPORTING

A Breach of security is defined under 201 CMR 10.02 as “the unauthorized acquisition or unauthorized use of unencrypted data or, encrypted electronic data and the confidential process or key that is capable of compromising the security, confidentiality, or integrity of personal information, maintained by a person or agency that creates a substantial risk of identity theft or fraud against a resident of the commonwealth. A good faith but unauthorized acquisition of personal information by a person or agency, or employee or agent thereof, for the lawful purposes of such person or agency, is not a breach of security unless the personal information is used in an unauthorized manner or subject to further unauthorized disclosure.”

- In the event of a breach of security, the employee who discovers the breach must report the incident immediately to the direct supervisor and the Data Security Coordinator.
- CTI management will report a breach of security to the relevant parties as described in M.G.L. c. 93H.

*Appendix C to CTI Employee Handbook  
March 1, 2010*

## EMPLOYEE ACKNOWLEDGEMENT OF RECEIPT

**THIS FORM MUST BE COMPLETED TO BE RETAINED IN PERSONNEL FILE**

### PURPOSE AND LEGAL EFFECT OF THIS EMPLOYEE HANDBOOK

CTI owes much of its success to the quality and good work of its employees and hopes that the working environment of each employee will be stimulating, congenial and rewarding. The purpose of this Handbook is to provide CTI employees with a partial summary of CTI's general employment guidelines and employee benefits which help make such as work environment possible. This Handbook is a "living document," and the information contained within it can be changed as circumstances demand. As such, CTI can and will terminate and/or change any of the information contained in the Handbook with or without notice at any time.

As CTI provides the information contained in this Handbook for general guidance only, employees should not expect CTI to adhere to it in every instance. Accordingly, nothing stated in this Handbook is intended or should be understood to create a binding contract between CTI and any one or all of its employees.

Employment with CTI is "at-will." At-will employment means that either the employee or CTI may terminate an employee's employment and compensation with or without notice at any time and for any or no reason or cause.

Neither the Handbook, CTI practice, nor other oral or written policies or statements of CTI or its agents shall create an employment contract, guarantee a definite term of employment, or otherwise modify in any way the agreement and understanding that employment with CTI is at-will. No representative of CTI, except its President, in a writing signed by him and the employee, has any authority to enter into any agreement contrary to the foregoing. The Handbook is not intended to take the place of more detailed benefit plan documents, and in the event of conflict with those plan documents, the latter shall be deemed controlling.

**I acknowledge receipt of this Handbook and acknowledge that I have read and understood the foregoing information concerning the "Purpose and Legal Effect of This Employee Handbook.**

EMPLOYEE'S NAME (printed):

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EMPLOYEE'S SIGNATURE:

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DATE: \_\_\_\_\_