



# **SCCE & HCCA**

## **EMPLOYEE HANDBOOK**

**Effective July 2024**

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**EMPLOYEE HANDBOOK**

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## *WELCOME TO SCCE & HCCA*

We are pleased to welcome you to SCCE & HCCA.

This Handbook will answer most of your questions about SCCE & HCCA, its policies, procedures and your role. Your ability to draw on your experience and adapt to our growing and changing environment will allow you to make significant contributions to our organization and enhance your personal success and fulfillment.

We are excited that you have chosen to join us and look forward to your many contributions to the continued growth of SCCE & HCCA.

Thank you, and welcome.

Gerry Zack  
Chief Executive Officer

Throughout this handbook, reference is made to certain titles of positions at SCCE & HCCA. As of January 1, 2024, the following individuals hold these positions:

Chief Executive Officer (CEO)	Gerry Zack
Chief Operating Officer (COO)	April Kiel
Chief Engagement & Strategy Officer (CESO) & Compliance Officer	Adam Turteltaub
Chief Financial Officer (CFO)	John Gilje
Director of Human Resources	Sally Bannochie
Director of Information Technology	Scott Anderson

## Disclaimer

This Employee Handbook (“Handbook”) sets forth the general administrative policies of Society of Corporate Compliance and Ethics & Health Care Compliance Association. (Hereinafter “SCCE & HCCA”). It applies to all employees, unless stated otherwise. When there is a change in a policy or procedure, we will update the Handbook when feasible, but such changes are effective immediately.

The material covered in this Handbook represents a general statement of policy and is not exhaustive. Although we have attempted to cover matters of general applicability to employees, we know that it does not cover every situation that may arise from day-to-day.

SCCE & HCCA reserves the right to change, suspend, or eliminate any or all matters contained in this Handbook and all other policies, rules, and procedures at any time without prior notice. SCCE & HCCA retains the sole discretion to interpret the provisions of this Handbook and to depart from those provisions or any other Company policies, rules, or procedures if SCCE & HCCA determines that such action is appropriate. Should any provision in this Handbook be found to be unenforceable and invalid, such finding does not invalidate the entire Handbook, but only that particular provision.

It is the intent of SCCE & HCCA to comply with all applicable federal, state, and local laws. All previous handbooks, manuals, policies, rules, and procedures dealing with matters addressed in this Handbook, whether written or oral, are expressly revoked. You are responsible for reading and understanding this Handbook. If anything is unclear, please discuss the matter with your Manager, Director of Human Resources, or the CEO.

**No provision in this Handbook (including any such modification to the Handbook) is intended to create a contract of employment, binding agreement or promise, either expressed or implied, between you and SCCE & HCCA, and will not alter the employment at-will relationship between you and SCCE & HCCA. This Handbook is a general statement of policy, to be modified and applied by SCCE & HCCA at its discretion and without notice to employees. Also, all employee benefit plans offered by SCCE & HCCA are governed by the terms of their respective plan documents. No statements about benefits in this Handbook modify the terms of these plans.**

## EMPLOYMENT AT WILL

**Your employment with Society of Corporate Compliance and Ethics & Health Care Compliance Association is at will. This means your employment is for an indefinite period of time and it is subject to termination by you or Society of Corporate Compliance and Ethics & Health Care Compliance Association, with or without cause, with or without notice, and at any time. Nothing in this policy or any other policy of Society of Corporate Compliance and Ethics & Health Care Compliance Association shall be interpreted to be in conflict with or to eliminate or modify in any way, the at-will employment status of Society of Corporate Compliance and Ethics & Health Care Compliance Association employees.**

**The at-will employment status of an employee of Society of Corporate Compliance and Ethics & Health Care Compliance Association may be modified only in a written employment agreement with that employee which is signed by the CEO of the Company.**

# ***1. STANDARDS OF BUSINESS CONDUCT***

## **1.1 Equal Employment Opportunity**

SCCE & HCCA is an equal opportunity employer and believes in equal opportunity for all employees and applicants. Accordingly, all employment decisions are based on the principles of equal opportunity. These decisions include, but are not limited to, recruitment, selection, promotion, transfer, discipline, compensation, benefits, training, and other personnel actions involving persons in all job titles and shall occur without regard to race (including traits associated with race, such as hair texture and hair styles such as braids, locs and twists), color, religion, sex, sexual orientation, gender identity, age, national origin, disability, genetic information, military status, sexual orientation, gender identity, creed, marital status, status in regard to public assistance, membership or activity in a local commission, familial status, pregnancy, childbirth, or any other characteristic protected by law. SCCE & HCCA operates in several states throughout the U.S. State or local law may require additional protected characteristics; please check the Equal Employment Opportunity section in the state addendum that aligns with your work location. Our Company is committed to following any additional state or local requirements regarding this topic.

No individual will be denied or receive special employment opportunities based on membership status in any protected category. Every employee of SCCE & HCCA is expected to support this equal opportunity and nondiscrimination commitment by conducting him/herself in a manner consistent with the intent and spirit of this policy.

Any individual who believes he or she has experienced or observed behavior contrary to this policy is encouraged to report that information to his or her manager, the Director of Human Resources or the CEO. All such reports of action contrary to this policy will be taken seriously and investigated promptly. Individuals found to have violated SCCE & HCCA's Equal Employment Opportunity Policy will be subject to corrective action, up to and including termination of employment. No individual will be retaliated against for making a good faith report of behavior contrary to this policy.

Additionally, any manager or supervisor who observes behavior contrary to this policy must report the behavior to the Director of Human Resources or the CEO so that an investigation can be conducted and corrective action taken, if appropriate.

## **1.2 Disability Accommodation**

Our Company is committed to providing equal employment opportunities to all employees, including qualified individuals with disabilities. This may include providing reasonable accommodation, where appropriate. In general, it is your responsibility to notify the Director of Human Resources if you have a need for an accommodation. You are encouraged to make the request in writing and to include relevant information, such as a description of your requested accommodation, the reason you need an accommodation, and how the accommodation will help you perform the essential functions of your job. Upon receiving your oral or written accommodation request, Human Resources will engage in an interactive dialogue with you to determine the functional limitations of your disability and the type of accommodation you believe is necessary. However, the Company is not required to provide the specific accommodation you have requested and may provide an alternative, effective accommodation, to the

extent any reasonable accommodation can be made without imposing an undue hardship on SCCE & HCCA.

Any medical information obtained in connection with your reasonable accommodation request will be kept in a confidential employee file.

All requests for reasonable accommodations will be considered on a case-by-case basis, consistent with the business needs of SCCE & HCCA and in accordance with local, state and federal law. SCCE & HCCA strives to make determinations on reasonable accommodation requests expeditiously and will inform you once a determination has been made. All questions should be discussed with the Director of Human Resources.

SCCE & HCCA will not retaliate against employees or applicants for requesting an accommodation in good faith. The Company expressly prohibits any form of discipline, reprisal, intimidation, or retaliation against any individual for requesting an accommodation in good faith. If you believe you or someone else may have been subjected to conduct that violates this anti-retaliation policy, you should report it immediately to your manager, the Director of Human Resources, or the CEO.

### **1.3 Anti-Harassment Policy**

SCCE & HCCA is committed to providing a work environment in which all individuals are treated with respect and dignity. Each member of SCCE & HCCA has the right to work in a professional atmosphere that values diversity, promotes equal opportunities, and prohibits discriminatory practices, including sexual and other unlawful harassment. All managers are responsible for enforcing this policy and reporting complaints of misconduct or observed instances of misconduct to Human Resources. Failure to do so will be considered a failure to fulfill all of the responsibilities and duties of the position.

SCCE & HCCA will not tolerate sexual or other unlawful harassment, whether verbal, nonverbal, written, visual, physical, or retaliatory. Sexual and other unlawful harassment in the workplace, including on the basis of race, age, gender, national origin, disability, sexual orientation, and any other characteristic protected by law, is illegal and strictly prohibited. All complaints of sexual or other unlawful harassment brought to the attention of SCCE & HCCA will be promptly investigated in accordance with the surrounding circumstances. SCCE & HCCA will take appropriate corrective and/or disciplinary actions, up to and including termination, in all situations in which it has determined that this policy has been violated.

SCCE & HCCA is also committed to a workplace that is free from intimidation, threatening speech or behavior, stalking, violence, or threats of harm or violence, and those behaviors, whether engaged in by another employee or a non-employee third party, are also strictly prohibited and will result in immediate corrective and/or disciplinary action up to and including termination. Any employee who experiences any of this type of behavior, or who becomes aware of any violent or threatening behavior towards SCCE & HCCA or one of its employees, should immediately report it as outlined below.

This policy is not intended to restrict communications or actions protected or required by state or federal law.



## **What Is Sexual Harassment?**

Sexual harassment in the work environment, by employees or third parties, including clients, vendors, volunteers and salespersons, is prohibited and will not be tolerated by SCCE & HCCA. For the purposes of this policy, sexual harassment is defined as any harassment based on someone's sex, sexual orientation, or gender. It includes harassment that is not sexual in nature, such as unwelcome remarks about an individual's sex or gender, as well as any unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature, either by a person of the same sex or of the opposite sex, when any of the following is true:

1. Submission to such conduct is made either explicitly or implicitly a term or condition of the individual's employment; or
2. Submission to or rejection of such conduct is used as the basis for, or a factor in, decisions affecting that individual's employment; or
3. Such conduct has a purpose or effect of substantially interfering with an individual's work performance or creating an intimidating, hostile or offensive working environment.

## **Complaints Should Be Made Promptly**

If you believe that you have experienced sexual harassment in any form, you should report it as quickly as possible in the manner outlined below. This is necessary so that SCCE & HCCA can make an effective, timely response and take appropriate action to resolve your complaint or concern, and to help maintain a respectful working environment for all employees. SCCE & HCCA therefore strongly encourages you to make prompt complaints regarding sexual harassment.

## **Specific Examples of Inappropriate Conduct**

Sexual harassment can occur in many different forms and may not necessarily be sexual in nature. It can be physical, verbal, visual, retaliatory, or in a written form. It can also occur between persons of the same sex, or persons of the opposite sex. Examples of sexually harassing behavior may include, but are not limited to, the following actions, depending upon the circumstances:

- Unwanted sexual advances
- Demands for sexual favors in exchange for favorable treatment or continued employment
- Unwelcome sexual flirtation
- Direct or subtle pressure for sexual activity
- Coercion to date or unwelcome demands for dates
- Inappropriate verbal conduct, such as epithets, derogatory comments, obscenities, lewd language, slurs or sexual invitations, sexual jokes, propositions, suggestive, insulting, or obscene comments, gestures, or other verbal abuse of a sexual nature
- Leering, whistling, and sexually suggestive facial expressions
- Displaying derogatory or sexually suggestive posters, magazines, photographs, calendars, cartoons, drawings, or objects
- Writing unwelcome "love" letters, e-mails or notes to an individual
- Giving or showing obscene written material to an individual
- Making sexual gestures with hands or through body movements

- Physically blocking a person's normal movements, physically interfering with an individual's normal work conduct, or engaging in unwelcome physical closeness
- Giving of unwanted personal gifts
- Unwelcome touching of a person's clothing, hair or body such as kissing, touching, hugging, patting, pinching, caressing, or making other physical contact that is deliberate, unnecessary, and unwelcome
- Threats of harm to SCCE & HCCA or to any employee of SCCE & HCCA, stalking, intimidating behavior or remarks, violence or the threat of violence

This behavior is unacceptable in the workplace itself as well as in other work-related settings and business-related social events.

### **Prohibition of Other Unlawful Harassment**

SCCE & HCCA also prohibits unlawful harassment in the work environment on the basis of any characteristic protected by local, state, or federal anti-discrimination laws. Unlawful harassment (other than sexual harassment which is defined above) is defined as verbal, physical, visual, or retaliatory conduct that denigrates or shows hostility or aversion toward an individual because of any characteristic protected by law, including race, color, religion, gender, national origin, citizenship status, military status, age, sexual orientation, marital status, familial status, status relating to public assistance, pregnancy and disability, or such status of an individual's relatives, friends, or associates, and that:

1. Has the purpose or effect of creating an intimidating, hostile, or offensive work environment; or
2. Has the purpose or effect of unreasonably interfering with an individual's work performance; or
3. Otherwise adversely affects an individual's employment opportunities.

Unlawful harassment can also occur in many different forms. It can be physical, verbal, visual, retaliatory or in written form. Examples of unlawful harassing behavior may include, but are not limited to, the following:

- Epithets, slurs, or derogatory slang that relate to race, color, religion, gender, national origin, age, sexual orientation, or disability;
- Negative stereotyping that relates to race, color, religion, gender, national origin, age, sexual orientation, or disability;
- Threatening, intimidating, or hostile acts that relate to race, color, religion, gender, national origin, age, sexual orientation, or disability;
- Written or graphic material that denigrates or shows hostility or aversion toward an individual or group because of race, color, religion, gender, national origin, age, sexual orientation, or disability, including material that is placed on walls, bulletin boards, or elsewhere on SCCE & HCCA's premises, or circulated in the workplace.

### **To Whom Does This Policy Apply?**

This policy protects all individuals in the workplace and in any work-related setting outside the workplace, such as during business trips, business meetings, conferences, business related social events or Company sponsored events, and on social media. This policy also covers men as well as women, since both can be victims of unlawful sexual harassment. Additionally, it prohibits sexual harassment

between persons of the same sex, as well as between persons of the opposite sex. SCCE & HCCA will not tolerate, condone or allow sexual or other unlawful harassment, whether engaged in by fellow employees, interns, volunteers, applicants, managers, or by clients of SCCE & HCCA, vendors, salespersons, or other non-employees who conduct business with SCCE & HCCA. The very nature of harassment makes it difficult to detect unless the problem is reported. Employees experiencing or observing harassment, therefore, are expected to promptly report the conduct.

### **How to Report a Complaint (Internal Procedures – All Employees)**

Any employee who believes he or she has experienced or witnessed discrimination, sexual or other unlawful harassment, or retaliation in the workplace should immediately report the conduct to the employee's manager, orally or in writing. If an employee raises a concern with an individual whom he or she believes is violating this policy, the employee must also report the conduct to another member of management or the Director of Human Resources. If the manager is unavailable or it would be inappropriate to contact the manager under the circumstances, employees should immediately contact the Human Resources Department or any other member of management.

Any alleged or suspected incident of harassment reported to SCCE & HCCA will be investigated promptly, fairly, and completely in accordance with the surrounding circumstances. The investigation and actions taken to resolve complaints of harassment will be handled as confidentially as possible, given SCCE & HCCA's obligation to investigate and act upon reports of such harassment. Although absolute confidentiality cannot be guaranteed during the investigatory process, confidentiality appropriate and practical under the circumstances will be maintained, to the extent that it does not compromise the investigation and resolution of the complaint.

Individuals who are determined by SCCE & HCCA to have engaged in conduct constituting a violation of this anti-harassment policy, or in conduct which, if permitted to continue, is likely within the determination of SCCE & HCCA to constitute a violation of this policy, will be disciplined, up to and including termination. SCCE & HCCA will determine the level of discipline and sanctions appropriate to the circumstances, including but not limited to: verbal or written reprimand, training, referral to counseling, withholding of a promotion, reassignment, reduction in compensation, temporary suspension with or without pay, or termination. The Company may take action if it determines that the conduct was unacceptable or inappropriate, even if it does not rise to the level of being unlawful.

Should the Company determine that a temporary employee, consultant, vendor, or client is responsible for discriminating against, harassing, or retaliating against an employee, the Company will take necessary action to stop the discrimination, harassment or retaliation and/or to terminate the relationship with the person(s) responsible, if appropriate.

### **How to Report a Complaint (External Procedures – California Employees Only)**

If an employee is subjected to any conduct that he or she believes violates this anti-harassment policy, the employee may file a complaint of discrimination with the California Department of Fair Employment and Housing (DFEH) within one year of harassment. The DFEH serves as a neutral fact-finder and attempts to help the parties voluntarily resolve disputes. If the DFEH finds sufficient evidence to establish that discrimination occurred and settlement efforts fail, the DFEH may file a lawsuit on behalf of the complaining party.

If a court finds that discrimination has occurred, it can order remedies, including fines or damages for emotional distress from each employer or person found to have violated the law; hiring or reinstatement; back pay or promotion; or changes in the policies or practices of the involved employer.

Employees can also pursue the matter through a private lawsuit in civil court after a complaint has been filed with the DFEH and a right-to-sue notice has been issued. For more information, contact the DFEH toll free at (800) 884-1684 or visit <http://www.dfeh.ca.gov>.

Employees can also file a complaint with the federal Equal Employment Opportunity Commission (EEOC). For more information, contact the EEOC toll free at (800) 669-4000 or visit <http://www.eeoc.gov>.

Employees may not be retaliated against for opposing harassment or for filing a complaint with, or otherwise participating in, an investigation, proceeding, or hearing conducted by SCCE & HCCA, the DFEH or Fair Employment and Housing Council, or the EEOC.

### **False Harassment Claims**

SCCE & HCCA may also take disciplinary action up to and including termination against an employee who knowingly makes a false harassment claim or who lies about a complaint.

### **No Retaliation**

No employee will be subject to, and SCCE & HCCA prohibits, any form of discipline, reprisal, intimidation, or retaliation for good faith reporting of incidents of harassment of any kind, pursuing any harassment claim, or cooperating in related investigations.

## **1.4 Whistleblower Policy**

### **General**

SCCE & HCCA requires all employees to observe high standards of business and personal ethics in the conduct of their duties and responsibilities. Employees must practice honesty and integrity in fulfilling responsibilities and comply with all applicable laws and regulations.

A whistleblower as defined by this policy is an employee of SCCE & HCCA who reports an activity that he/she considers to be illegal, dishonest, harmful, discriminatory, or unethical. SCCE & HCCA wants to prevent victimization and other retaliatory behavior toward the employee. The whistleblower is not responsible for investigating the activity or for determining fault or corrective measures; appropriate management officials are charged with these responsibilities.

### **Reporting Responsibility**

It is the responsibility of all SCCE & HCCA employees to comply with all applicable laws and regulations and to report violations or suspected violations of law in accordance with this Whistleblower Policy. If an employee has knowledge of or a concern of illegal or dishonest fraudulent activity, the employee is to contact his/her immediate manager, or the Chief Compliance Officer. Although SCCE & HCCA encourage employees to identify themselves when making a report in order to facilitate the investigation of such report, employees may report violations or suspected violations on a confidential

and/or anonymous basis through the Employee Help Line by calling 1-844-981-1072. SCCE & HCCA will take reasonable steps to protect the employee's identity and will keep the employee's report confidential to the extent possible, consistent with the need to conduct an adequate investigation. Employees are encouraged to ask questions if they are unsure about how to proceed or whether conduct violates the law or SCCE & HCCA policies. The employee must exercise sound judgment to avoid baseless allegations. An employee who intentionally files a false report of wrongdoing will be subject to discipline up to and including termination.

Employees have rights under Minnesota Statute Sections 181.933 and 934 to disclosing information to certain entities outside of SCCE & HCCA, and to seek a written explanation of any termination decision. Further, Minn. Statute Section 181.935 provides the right to bring a civil suit to enforce these rights.

## **No Retaliation**

Retaliation against an employee who in good faith reports a suspected violation of laws and regulations is strictly prohibited. An employee who retaliates against someone who has reported a violation in good faith is subject to discipline up to and including termination of employment. This does not mean employees are free to make statements or disclosures knowing they are false or are in reckless disregard of the truth.

## **1.5 Employment of Related Persons and Fraternization**

For purposes of this policy, a "Related Person" includes any family member (a spouse, domestic partner, parent, grandparent, son or daughter, brother, sister, aunt, uncle, nephew or niece, including those similarly related through spouses or domestic partners (in-laws) and step-families) or any person who resides in the same household as an SCCE & HCCA employee, whether or not related by blood or by law.

1. An employee may not report to a Related Person (directly or indirectly).
2. An employee may not be part of the interviewing or hiring process for a Related Person.

A relationship between employees may also be improper if it results in a conflict of interest. A conflict of interest is created whenever a personal relationship negatively impacts an employee's job performance, ability to supervise others, or the work environment, or otherwise puts SCCE & HCCA at risk. While we recognize the right of employees to associate freely and to pursue personal relationships with those they encounter both inside and outside the work environment, employees must use good judgment to ensure that their romantic relationships, family relationships, and friendships do not lead to conflicts of interest. If you have any question as to whether your relationship with another employee might create a conflict of interest, consult with your Manager or Director of Human Resources.

Where a violation of this policy is created or is found to exist, appropriate remedial action will be taken, including possible reassignment or termination of employment.

## 1.6 Professional Conduct

### Expectations

Each employee is important to the success of SCCE & HCCA. We have some basic expectations of you as an employee. We expect employees to:

1. Be prompt and regular in attendance.
2. Treat co-workers with respect and courtesy.
3. Work safely.
4. Work efficiently.
5. Follow Company rules and procedures.
6. Follow the instructions of their Manager.
7. Abstain from horseplay and/or abusive language or behavior.

### Rules of Conduct

As an employee of SCCE & HCCA, you are also expected to conduct yourself as a “good citizen.” Prohibited conduct and behavior includes, but is not limited to, the following:

1. Theft or inappropriate removal or possession of SCCE & HCCA property.
2. Damage or destruction to the property of SCCE & HCCA or of other employees.
3. Using, selling, possessing, soliciting, passing of, or working under the influence of, a controlled substance (including cannabis) or alcohol during working hours.
4. Dishonesty, including falsifying Company records.
5. Falsification of timekeeping records or failure to accurately record hours worked, including recording time for another employee or having another employee record time for you.
6. Intimidation, violence, threatening violence in the workplace, or any act considered by SCCE & HCCA to be of a dangerous nature.
7. Verbal, visual, physical, sexual, racial, or other unlawful or unwelcome harassment by any employee, visitor, vendor, client, customer, or salesperson.
8. Possession or use of dangerous or unauthorized materials, such as explosives, firearms or other weapons in the workplace or anywhere on Company property.
9. Offensive, disrespectful or abusive treatment of employees, vendors, visitors, or clients, including in person, in writing, by e-mail, or by phone.
10. Disruptive behavior, including engaging in horseplay, scuffling or throwing things anywhere on Company property.
11. Unauthorized disclosure or use of business “secrets” or confidential information.

12. Insubordination, including failure to carry out the instructions of the Manager or abusive language or other disrespectful conduct.
13. Unsatisfactory job performance.
14. Excessive absenteeism or tardiness, including leaving the Company before your shift is over without notifying the Manager.
15. Failure to conform to Company rules, laws, and regulations pertaining to safety and health.
16. Failure to conform to SCCE & HCCA policies, procedures, and practices.
17. Failure to meet any expectation of SCCE & HCCA.

This list is not exhaustive. Violations of these rules, and unacceptable conduct, may result in disciplinary action, up to and including termination of employment. SCCE & HCCA reserves the right to apply greater or lesser discipline for any infraction, whether published or unpublished, depending upon the circumstances.

Nothing in these rules may be construed to create a contract of employment. All employees are employed on an “at-will” basis, and may be terminated with or without cause, notice, or prior discipline.

This policy is not intended to restrict communications or actions protected or required by state or federal law.

## **1.7 Communication and Information Technology**

The telephones, voicemail, Internet, e-mail, instant messaging, text messages and all other electronic communication modes and systems are important communication tools for SCCE & HCCA employees to use in day-to day- business activities.

### **Company Property**

SCCE & HCCA invests in technology that provides access to communications tools, phone systems, and Internet technologies. Intelligent, appropriate use of these technologies can provide SCCE & HCCA with easy access to timely information, new and unique marketing opportunities, and strategic or tactical competitive advantage. On the other hand, its misuse or abuse of access can waste time and resources, threaten SCCE & HCCA information and computing technology, or put SCCE & HCCA at legal risk.

SCCE & HCCA’s computers, Intranet and Internet networks, electronic mail, voice mail and phone/fax systems should be used only for conducting SCCE & HCCA business. All such systems and equipment, and all software, accompanying documentation, and related materials remain the property of the Company. Electronic or voice files or communications created, sent, or received through Company systems, or using Company equipment, are Company records and are the property of the Company.

Incidental and occasional personal use of these resources is permitted, but information and messages stored and transported by these systems will be treated the same as other business-related information and messages.

Employees should not have the expectation of privacy in their use of SCCE & HCCA-provided e-mail, voice mail, telephone systems, computers, digital network communications, or any other communication however created, sent, received, accessed, or stored. All information stored on any SCCE & HCCA electronic system remains the property of the Company. SCCE & HCCA reserves the right to monitor, access, review and disclose all information without prior notice to employees. By using the company's technology, all users consent to the Company's monitoring such use, and accessing, reviewing, recording and/or disclosing any and all information resulting from such use.

SCCE & HCCA's systems must not be used to create or transmit material that violates company policies or is derogatory, defamatory, obscene or offensive, such as slurs, epithets or anything that might be construed as harassment or disparagement based on race, color, national origin, sex, sexual orientation, age, physical or mental disability, medical condition, marital status, religious or political beliefs, or any other characteristic protected by law. Similarly, SCCE & HCCA's systems must not be used to solicit or proselytize others for commercial purposes, causes, outside organizations, chain messages or other non-job-related purposes.

## **1.8 Security**

All employees are expected to maintain a secure environment for SCCE & HCCA's IT infrastructure and delivery of electronic systems and information.

It only takes one security attack, or one employee misstep and the company's member data could be compromised. Because of this security risk, employees should follow the protocols below:

- Under no circumstances should credit card or other protected data be stored on any computing device or entered nor saved into any software other than software used for processing a credit card transaction. (Please see data classification policy for definitions of protected information.)
- Temporary-use laptops, such as those provided for conferences or breakout sessions, should be turned over to IT to be wiped and re-imaged after use.
- No company data, except presentations, should be stored on rented computers.
- Any spreadsheet or database containing member information or protected financial data should be labeled "Sensitive" in a clearly visible manner.
- Any documents containing credit card information or sensitive protected and confidential documents need to be locked in a file cabinet or office. Any unsecured documents should be immediately returned to the CFO.
- Transferring sensitive, protected, and confidential information to third parties is prohibited. If a valid work-related transfer is necessary, an IT-approved method of transferring confidential or private data is required. Email is not a secure method of transferring confidential data.
- Protected data such as member lists, names, credit card information, or financial data should not be saved on any storage devices such as DVD's, CD's, USB flash drives, memory cards or external hard drives.
- No modifications or changes are to be made to the hardware configuration of computer equipment.



- Protect the electronic systems and information from viruses and other harm by not downloading software from public websites and not installing unauthorized software of any type, including personally owned software.
- When leaving your PC unattended, the screen lock should be used.

The use of equipment and software provided by SCCE & HCCA for remotely accessing the Company's electronic systems is limited to authorized persons and for purposes relating to company business. The Company's I.T. Department will only provide support for equipment and software provided by SCCE & HCCA. The Company will bear no responsibility if the installation or use of any necessary software causes system lockups, crashes, or complete or partial data loss. In its sole discretion, SCCE & HCCA can terminate remote access for any employee at any time for any reason with or without notice.

## **Passwords**

Passwords are an important aspect of computer security. Every user is assigned a unique user account (user ID) and a password for access to SCCE & HCCA's systems. Shared or group user IDs are prohibited for user-level access. Users must create, manage and treat their passwords as sensitive and confidential information that should not be shared with other employees or with anyone outside the Company.

## **1.9 Electronic Communications**

The Electronic Communications policy, which includes Email, Internet and Instant Message use, is meant to protect the vital interests and intellectual property of SCCE & HCCA, and to provide an instantaneous, real-time online communications and collaboration environment in which professional integrity is upheld by all participants.

### **Scope of Policy**

The Policy applies to all who use SCCE & HCCA's Email, Internet, and Instant Messaging systems, hereby referred to as "Users," regardless of their employment status or categorization with SCCE & HCCA, be that classification full-time, part-time, temporary or contractual.

The Policy does not apply to participants on external third-party systems with which SCCE & HCCA's System is connected, but SCCE & HCCA Users are expected to conduct themselves in interactive communication with third parties in a manner directly correlated to and in compliance with the stipulations itemized in this Policy.

As a good business practice, employees should delete all unnecessary e-mails and instant messages. Employees should remember, however, that deleting messages does not necessarily destroy them, but merely marks them to be written over at a later date. SCCE & HCCA reserves the right to purge the message systems on a routine basis to ensure effective electronic business system operations.

Employees should be sensitive to the professionally communicated content of e-mails, instant messages and other communications distributed either internally or via the Internet. Anonymous e-mails and instant messaging communications are prohibited. Employees should use the same care in drafting messages as

they would for any other written communication. Nothing should be said in an e-mail or instant message that would be inappropriate, improper, or unsuitable to state in a written memo. SCCE & HCCA's Anti- Harassment and Professional Conduct Policies apply to -email, Internet usage and Instant Messaging communications.

Employees are prohibited from accessing another employee's e-mail or instant messages, documents, and/or programs, or sending messages from another employee's account.

Employees have a responsibility to use all electronic communication programs, systems and tools in an informed and responsible way, conforming to professional etiquette, good business practice, and common sense.

Examples of inappropriate use of electronic communications may include, but are not limited to, the following:

- For personal profit or gain.
- Viewing, listening to or downloading obscene or other offensive materials.
- Downloading viruses, illegal software, or "shareware" that serves no specific business need.
- Creation of unauthorized Web pages, bulletin boards or other Internet media.
- Breaking into protected Web pages, discussion forums, or networks.
- Anything that significantly affects the company's network performance or availability.
- Communication of any kind that may be offensive or is in violation of the law.

## **Prohibited Use**

- To communicate, whether intentionally, or inadvertently, personal data, later defined in this document.
- As the facilitator of conversations considered to be discriminatory, obscene, defamatory, excessively personal, or harassing, whether the conversations are intended to be serious or are of humorous inclination.
- To promote activities considered to be of a discriminatory nature.
- As the facilitator of meetings criticizing SCCE & HCCA initiatives, products, strategic and tactical plans, marketing initiatives or promotions.
- As the facilitator of meetings criticizing SCCE & HCCA employees, members, partners, suppliers and business-related contacts.
- To communicate URL's (Universal Resource Locators) to web sites, which publish material considered to be of a discriminatory, obscene, defamatory, overtly personal, or harassing nature, even when such material is presented with humorous intent.
- To transfer documents in violation of copyright laws and/or licensing agreements.
- To transfer intellectual property, whether in the form of a document, file, or through cut-and-paste mechanisms.
- To engage in communications regarding personal disputes or claims, or legal disputes or claims not related to the business of SCCE & HCCA.

- To communicate threats to fellow Users.
- To purposefully intimidate another individual through coercive constructs not directed at business purpose or outcome.
- Employees should not disclose their own, or the personal data of their SCCE & HCCA colleagues or any other individual. This data includes, but is not limited to:
  - Social Security Numbers;
  - Credit Card Account Numbers;
  - Driver's License Numbers;
  - Employment Information;
  - Payroll Identifiers;
  - SCCE & HCCA Network Resource Credentials;
  - Personal / Home Addresses;
  - Personal Home or Personal Cell Phone Numbers;
  - Non-SCCE & HCCA Email Addresses; or
  - Any other information that could be used for Identity Theft, or to compromise the personal or professional domiciles, reputations, mental and/or health conditions, credit standings, or career or financial standings of SCCE & HCCA employees.

### **Permitted Use**

Though not encouraged, SCCE & HCCA recognizes that personal use of the System will occur. As long as personal use is kept to a minimum, is necessary, and does not preoccupy the SCCE & HCCA User's business time, impede productivity, or create unnecessary distraction, personal use is permitted.

Managers are permitted to set the terms and conditions of personal use of the System by members of their respective departments, but such use should not violate the terms and stipulations of the Policy.

This policy is not intended to restrict communications or actions protected or required by state or federal law.

### **Maintaining the Integrity of SCCE & HCCA 's Intellectual Property**

Due to the immediacy of communications transpiring over Instant Messaging Systems, it is important that Users understand that Instant Messenger should never be used for the transmission of SCCE & HCCA Intellectual Property via cut-and-paste or other file transmission methods. Instant Messaging provides no way of securing Intellectual Property, and therefore should be completely avoided at all costs when engaging in electronic transfer of Intellectual Property. Transfer mechanisms, such as encrypted electronic mail and SFTP (secure file transfer protocol), are better suited to support these types of transactions.

Furthermore, Users should not make use of Instant Messenger to provide samples of SCCE & HCCA publications, testing methods, testing and/or certification data.

## Responsibilities for Implementing This Policy

All Users must ensure that they have management authorization to use the System. Users are expected to notify Human Resources and/or IT of any known violations of this Policy.

Managers and Department Heads are responsible for:

1. Ensuring that their employees within their respective organizations understand and follow this Policy.
2. Ensuring that access privileges are terminated when appropriate in cases of termination or changes of assignment.
3. Cooperating with and providing resources for investigations of System misuse.
4. Enforcing other company policies.

All SCCE & HCCA policies, including, but not limited to, policies concerning data privacy, data retention, software licensing, copyrights, confidentiality, harassment and compliance with employment laws, along with regional legislative stipulations, apply to the use of the System and Instant Messenger.

SCCE & HCCA managers must ensure that all employees reporting to them are aware of this policy and adhere to it.

By honoring the terms, conditions, regulations and recommendations communicated in this document, Users will ensure the integrity of SCCE & HCCA business operations, relationships and communications both internally and externally where such communications are administratively, technically and logistically possible. Violation of the terms of this policy will result in disciplinary actions to be determined by SCCE & HCCA Management and Human Resources, and may include, at the discretion of the same aforementioned parties, termination of employment with SCCE & HCCA.

## 1.10 Social Networking Policy

At SCCE & HCCA, we understand that social media can be a fun and rewarding way to share your life and opinions with family, friends and co-workers around the world. However, use of social media also presents certain risks and carries with it certain responsibilities. To assist you in making responsible decisions about your use of social media, we have established these guidelines for appropriate use of social media. This policy is not intended to restrict communications or actions protected or required by state or federal law, such as the National Labor Relations Act.

### Guidelines

In the rapidly expanding world of electronic communication, *social media* can mean many things. *Social media* includes all means of communicating or posting information or content of any sort on the Internet, including to your own or someone else's web log or blog, journal or diary, personal web site, social networking or affinity web site or a chat room, whether or not associated or affiliated with SCCE & HCCA, as well as any other form of electronic communication.

The same principles and guidelines found in SCCE & HCCA policies and three basic beliefs apply to your activities online. Ultimately, you are solely responsible for what you post online. Before creating online content, consider some of the risks and rewards that are involved. Keep in mind that any of your conduct that adversely affects your job performance, the performance of fellow associates or otherwise adversely affects members, customers, suppliers, or people who work on behalf of SCCE & HCCA's legitimate business interests may result in disciplinary action against you up to and including termination.

### **Know and Follow the Rules**

Carefully read these guidelines, SCCE & HCCA's Anti-Harassment Policy, Professional Conduct and Confidentiality Policy, and ensure your postings are consistent with these policies. Inappropriate postings, which may include discriminatory remarks, harassment, and threats of violence or similar inappropriate or unlawful conduct, will not be tolerated and may subject you to disciplinary action up to and including termination.

### **Be Respectful**

Always be fair and courteous to fellow coworkers, customers, members, suppliers or people who work on behalf of SCCE & HCCA. Also, keep in mind that you are more likely to resolve work-related complaints by speaking directly with your co-workers or by utilizing our Open Door Policy than by posting complaints to a social media outlet. Nevertheless, if you decide to post complaints or criticism, avoid using statements, photographs, video or audio that reasonably could be viewed as malicious, obscene, threatening or intimidating, that disparage customers, members, employees or suppliers, or that might constitute harassment or bullying. Examples of such conduct include offensive posts meant to intentionally harm someone's reputation or posts that could contribute to a hostile work environment on the basis of race, sex, disability, religion or any other status protected by law or company policy.

### **Be Honest and Accurate**

Make sure you are always honest and accurate when posting information or news, and if you make a mistake, correct it quickly. Be open about any previous posts you have altered. Remember that the Internet archives almost everything; therefore, even deleted postings can be searched. Never post any information or rumors that you know to be false about SCCE & HCCA, fellow co-workers, members, customers, suppliers, people working on behalf of the Company or competitors.

### **Post Only Appropriate and Respectful Content**

Maintain the confidentiality of SCCE & HCCA trade secrets and private or confidential information. Trade secrets may include information regarding the development of systems, processes, products, know-how and technology. Do not post internal reports, policies, procedures or other internal business-related confidential communications.

Respect financial disclosure laws. It is illegal to communicate or give a "tip" on inside information to others so that they may buy or sell stocks or securities.

Do not create a link from your blog, website or other social networking site to an SCCE & HCCA website without identifying yourself as an SCCE & HCCA employee.

Express only your personal opinions. Never represent yourself as a spokesperson for SCCE & HCCA. If SCCE & HCCA is a subject of the content you are creating, be clear and open about the fact that you are an employee and make it clear that your views do not represent those of SCCE & HCCA, fellow employees, members, customers, suppliers or people working on behalf of SCCE & HCCA. If you do publish a blog or post online related to the work you do or subjects associated with SCCE & HCCA, make it clear that you are not speaking on behalf of SCCE & HCCA. It is best to include a disclaimer such as “The postings on this site are my own and do not necessarily reflect the views of SCCE & HCCA.”

## **Using Social Media at Work**

Refrain from using social media while on work time or on equipment we provide, unless it is work-related as authorized by your manager or consistent with the Company Property Policy. Do not use SCCE & HCCA email addresses to register on social networks, blogs or other online tools utilized for personal use.

## **Retaliation is Prohibited**

SCCE & HCCA prohibits taking negative action against any employee for reporting a possible deviation from this policy or for cooperating in an investigation. Any associate who retaliates against another employee for reporting a possible deviation from this policy or for cooperating in an investigation will be subject to disciplinary action, up to and including termination.

## **More Information**

Online activity is not always as private as it appears and professional contacts may be able to access your information on sites such as Facebook, LinkedIn, YouTube, TikTok and X, formerly known as Twitter. Activity on these sites, even outside of the workplace, which discloses proprietary SCCE & HCCA information, or defames the associations, may be subject to discipline up to and including termination.

## **1.11 Software Policy**

SCCE & HCCA is licensed for use of computer software by many companies, each with different rules and regulations about copying and use of its software. Software may not be installed without proper licenses. All software must be used in accordance with the license agreement.

Employees who need to use software for work-related purposes other than standard applications already installed on the piece of hardware must discuss their needs with their manager. The manager should discuss these needs with the Director of I.T. prior to purchase and installation of software. Approval of these installations will be based upon the software's compatibility with and impact on the company's system.

Any software programs, including but not limited to custom designed databases, company or product logos, social networks and websites which are developed for use by the company, becomes the property of the company. Software programs may not be sold or distributed in any way without prior approval from the Director of I.T.

Software applications not required for official company business are strictly prohibited. Employees are not permitted to use or access non-work-related software on company-provided equipment. Software that meets this definition includes but is not limited to games, packaged software, data back-ups for personal information, etc.

Additionally, employees are not permitted to copy, save, upload, download or import personal photos, video, data or information to his/her company-provided equipment. The company's resources should not be used to store files that are personal in nature, and that consume disk space or bandwidth. At no time are you allowed to have pirated songs, video, or any other pirated data or software on company-provided equipment.

The company does not grant "grandfather" permission to any hardware, equipment or software that was used previous to this policy's inception.

Employees must ensure that company-issued software is secure and properly maintained by:

- Logging off the system each night rather than shutting down so the system can download needed updates.
- Locking Windows (windows-L) or MacOS (Command+Control+Q) when leaving desk area.
- Keeping passwords confidential and following company password guidelines.
- Purging computer files when appropriate.

Employees are responsible for minimizing the potential damage viruses may cause. The company provides a virus scan program, but employees must be aware of the potential of viruses from removable media, newly purchased software, email attachments, downloaded files or software, disks received from other agencies or people, and diagnostic disks brought in by technicians (including SCCE & HCCA personnel). Staff must immediately shut down their computers and notify their manager and IT in the event a virus is found.

## **Penalties and Reprimands**

According to the U.S. Copyright Act, illegal reproduction of software is subject to civil damages of as much as \$100,000 per title infringed, and criminal penalties, including fines of as much as \$250,000, per title infringed, and imprisonment of up to five years. An SCCE & HCCA user, who makes, acquires, or uses unauthorized copies of software will be disciplined as appropriate under the circumstances. Such discipline may include termination of employment. SCCE & HCCA does not condone the illegal duplication or use of software and will not tolerate it.

## **1.12 Confidentiality**

Protecting Company, member, and non-member information is critical to our success. Business information should not be discussed with anyone not employed by SCCE & HCCA, except as may be required in the normal course of business or by law.

Information designated as confidential is to be discussed with no one outside the organization, unless required by law, and only discussed within the organization on a "need to know" basis.

As the result of employment with SCCE & HCCA, an employee will acquire and have access to confidential information belonging to the Company, of a special and unique nature and value, relating to such matters as the Company's proprietary information, association members and accounts, non-member information, procedures, supply sources and resources, contracts, price lists, accounting and bookkeeping practices, financial information, data, records, reports, financial cost, sales and pricing data, expense information, prospect names and lists, existing and potential business opportunities, confidential reports, member or non-member lists, names, addresses, and contact information, as well as potential and actual litigation and other legal matters.

This responsibility is not intended to impede normal business communications and relationships, but is intended to alert employees to their obligation to use discretion to safeguard the business operations of the Company.

Not all employees may have access to certain confidential information. Those employees authorized to have access to confidential information are responsible for its security and for not disclosing it to employees who do not have authority to receive the information.

An employee's inappropriate disclosure of confidential or proprietary information may result in discipline up to and including termination, and appropriate legal action. In addition, as a condition of employment, employees agree not to divulge or disclose to anyone, except in the responsible exercise of his/her job, any such confidential information, whether or not it has been designated specifically as "confidential."

This policy is not intended to restrict communications or actions protected or required by state or federal law.

### **1.13 Conflict of Interest Policy**

We make decisions on behalf of SCCE & HCCA every day, and part of our responsibility as company employees is to make those decisions in the company's best interests, independent of any outside influences. As company employees, we must be able to perform our duties and exercise our judgment on behalf of the company without being impacted by conflicts of interest, or the appearance of conflicts of interest.

In the area of conflicts of interest, even more than in most other areas of our business, the appearance of a problem can often create as much harm as the actual existence of a problem. This is because the appearance of a conflict can raise doubts or create suspicions among co-workers, members, customers, suppliers, stakeholders and others that can be damaging in themselves. If you are in doubt about whether a conflict exists, you should always err on the side of full disclosure. The company will then assist you in determining whether a conflict actually exists and in deciding on an appropriate solution to eliminate or control for the conflict.

A conflict of interest is just what the name implies—it occurs when you have a personal or outside (non-company) interest that conflicts with the best interests of the company, or, in other words, when your personal interests conflict with a company interest. Your personal interest could be a financial interest in another company or in a transaction, a personal relationship with someone, or any interest or relationship that could inappropriately affect your judgment or decision-making when you are performing responsibilities for the company. Any such interest, obligation or relationship, including



those of your immediate family, must be disclosed to your manager and the Director of Human Resources.

Judgment or decision-making could be inappropriately influenced when an outside interest introduces personal or non-business issues into what should be a business decision.

If an outside interest is substantial enough to impact your judgment or impartiality or in any way interfere with your duty to act in the best interest of the company, you have a conflict.

Even if you are certain that your judgment will not in any way be affected by an outside interest, if others might reasonably think the interest is substantial, the appearance of a conflict may exist.

As employees, we owe a duty to the company to advance its legitimate interests when the opportunity to do so arises—and not to advance our own interests at the expense of the company. In order to maintain the highest degree of integrity in the conduct of the company's business, you must ethically handle any activities, interests and associations where your personal interests could conflict, or reasonably appear to conflict, with the interests of the company.

Employees may not take for themselves opportunities that are discovered through the use of corporate property, information or position, nor may you use corporate property, information or position for personal gain. These are Corporate Opportunities, and they belong to the company. In addition, you may not engage in any activity in competition with the company or in any activity that could advance, or that reasonably could be expected to advance, the interests of a competitor.

You must make prompt and full disclosure to your manager and senior management or the Director of Human Resources of any situation that may involve a Conflict of Interest, including the pursuit of a Corporate Opportunity. You may not enter into a transaction or engage in an activity giving rise to a Conflict of Interest or a Corporate Opportunity without the prior written approval of the CEO. Executive officers and members of the Board must make disclosure to and obtain the prior written approval of the Audit Committee of the Board before entering into any such transaction or engaging in any such activity.

## **Disclosure of Conflicts of Interest**

You should not act in a manner that is not in the best interests of the company or that could adversely affect the confidence of our customers, suppliers or employees in the integrity of the company or its procedures. All Conflict of Interest situations must be disclosed immediately in writing to your manager and senior management or to the Director of Human Resources.

Should a situation arise, employees should apply the overall philosophy of the Conflict of Interest Policy and review the circumstances with their manager if there are questions. SCCE & HCCA reserves discretion in the interpretation, application, and enforcement of this policy.

Although we cannot list every conceivable conflict, the following are some examples that illustrate actual or apparent conflicts of interest that must be disclosed. The list is not intended to be exclusive or comprehensive.

1. Any circumstance that creates an actual or apparent conflict.

2. An arrangement or circumstance, including family or other personal relationships, which may dissuade you from acting in the best interest of the company.
3. Outside employment or other activities with a competitor.
4. Simultaneous employment, owning a Substantial interest, or serving as a director of a competitor of the company. You may not market products or services in competition with SCCE & HCCA's current or potential business activities, or otherwise engage in competition with the company.
5. Involvement in business activities which compete with SCCE & HCCA or have a business relationship with SCCE & HCCA. If any employee is proposing to become involved in any matter which may pose a conflict of interest or appear to be a conflict of interest, it should first be duly disclosed to the CEO for prior written approval.
6. Selling goods or services to SCCE & HCCA directly or indirectly or otherwise acting as a service provider or vendor to SCCE & HCCA without the prior written approval of the CEO.
7. Earning personal profit from SCCE & HCCA property, information or business opportunities due to decision-making authority or position in the company.
8. Purchasing goods or services directly or indirectly for SCCE & HCCA from a member of your family without the prior written approval of the CEO.
9. Soliciting or accepting bribes, in cash or in kind, from persons or companies attempting to acquire business from SCCE & HCCA, or from customers, vendors, governmental bodies, or other individuals or entities doing business with SCCE & HCCA.
10. Entertaining individuals or groups who are in a position to award contracts or affect the award of contracts, business or other benefit to SCCE & HCCA with bribes, gifts or cash payments. Payments that violate United States or foreign law, including bribes or kickbacks to employees of any of those entities, are strictly prohibited.
11. Using trade secrets, patents, or proprietary materials of third parties without the appropriate license agreements or consents, including use of packaged computer software, unless proper license agreements have been obtained.

The use of good judgment based on high ethical principles will guide employees with respect to lines of acceptable conduct. Compliance in this area is the responsibility of every employee. Employees should discuss any situations that arise which do not meet this policy with their manager or the Director of Human Resources. Failure to meet or comply with this policy will lead to corrective action, up to and including termination of employment.

**EMPLOYEE HANDBOOK**

**CONFIDENTIAL** FOR SOCIETY OF CORPORATE COMPLIANCE AND ETHICS &  
HEALTH CARE COMPLIANCE ASSOCIATION EMPLOYEES ONLY

## Receiving and Giving Gifts and Other Favors

The Company recognizes the responsibility to maintain good business relations. The purpose of this policy is to recognize the Company's responsibility to maintain relations with its members in the association, vendors and others with whom the Company may come in contact and to prevent gift-bearing businesses from interfering with and/or influencing employees. SCCA & HCCA makes every effort to ensure accepted gifts are in the best interests of the organization and the donor.

The successful business operation and reputation of SCCE & HCCA is built on the principles of fair dealings and ethical conduct of our employees. Our reputation for integrity and excellence requires all employees, directors, officers, and managers to comply with all applicable laws and to conduct business with integrity, honesty, and impartiality. Therefore, employees must not receive gifts, special payments, or favors greater than nominal value from any organization providing goods or services to the Company.

The policy is not intended to eliminate participation in business-related functions and activities that occur in conjunction with seminars, exhibits, meetings, and presentations, which incorporate lunches, dinners, and entertainment. These can be, under the proper circumstances, in the best interests of the Company; however, such contacts should be infrequent. Under no circumstances should invitations be solicited, and if such social contacts are at the invitation of a corporate employee, the cost should not be borne by the supplier or customer.

Employees may not accept gifts, gratuities, or favors of more than a nominal amount (*i.e.*, greater than \$50.00 in value). Accepting gifts and money of substantial value would not be an acceptable business practice. The employee should return the gift to the donor with an explanation of our policy. If return is not possible, the gift should be turned over to a charitable organization. The employee should inform the Director of Human Resources of such action, and if possible, the donor should be advised.

Examples of acceptable gifts may include:

- Calendars, pens or other small marketing collateral,
- Business-related meals, and/or
- Holiday gifts such as nuts, candy, or fruit.

Other items may be permissible with prior approval from the employee's manager.

An employee who is uncertain if a gift or if participation in a function or activity is a violation of This policy should discuss the matter with their manager. Employees must refrain from taking part in, or exerting influence in, any transaction in which their own interests may conflict with the best interests of SCCE & HCCA. Violations of this may result in appropriate corrective action.

## Preventing Bribery and Corruption

SCCE & HCCA expects everyone covered by this code to work honestly and with integrity. Individuals should not offer bribes, accept bribes, or let others bribe employees. Individuals are expected to take the necessary steps to prevent bribery by others who conduct business on our behalf.

## **1.14 Drug and Alcohol Policy**

### **Substance Abuse**

It is the policy of SCCE & HCCA to maintain a workplace that is free from the effects of illegal drugs, cannabis, and the misuse of alcohol and prescription drugs. SCCE & HCCA will not tolerate or condone misuse or substance abuse during work hours or at company-sponsored events.

SCCE & HCCA employees who engage in the sale of, possess, transfer or offer to buy or sell illegal drugs or controlled substances or cannabis, use or are under the influence of drugs or alcohol during working hours or at company-sponsored events, or abuse prescribed drugs during working hours or at company-sponsored events, will be subject to disciplinary action, up to and including termination of employment.

Under no circumstances is an employee of SCCE & HCCA to report to work, drive a vehicle while on company business or operate company equipment while under the influence of drugs or alcohol. SCCE & HCCA maintains a zero tolerance policy for any form of impairment that could compromise an employee's ability to perform their job duties effectively and safely. This includes impairment caused by marijuana, regardless of whether it was legally consumed.

SCCE & HCCA operates in some states which permit patients to register for approved usage and possession of medical marijuana to help manage symptoms of various medical conditions whose use is in compliance with applicable laws may request reasonable accommodations if they face restrictions that affect their ability to perform essential job functions. The Company also operates in some states that permit recreational use of marijuana or cannabis. Use of, or impairment by marijuana on company premises or during the hours of employment is prohibited. Likewise, possession on company property remains prohibited.

Managers should report any action by an employee who demonstrates an unusual behavior pattern or impairment to the Director of Human Resources..

### **Company-Sponsored Social Events**

When authorized by the Company, alcoholic beverages may be served at Company-sponsored social events. Only those individuals legally permitted to consume alcoholic beverages may be served at such functions and when work duties and responsibilities have ended for the day. However, no employee is obligated to consume alcohol at such events. At Company functions, no employee should feel pressured to consume alcoholic beverages. If an employee chooses to drink alcohol during Company events, employees are responsible for using a safe means of transportation if alcohol is consumed in these circumstances. All employees are expected to consume responsibly and maintain a high standard of professional and personal conduct at any Company event.

## **1.15 Media Policy**

SCCE & HCCA is an established and highly respected organization within the compliance and ethics profession. On occasion, members of the media will contact SCCE & HCCA seeking comment on issues of significance to the compliance and ethics community, including our members. Media inquiry subjects can vary widely, and reporters or other news media might contact SCCE & HCCA for a number of reasons, for example:

- To obtain information about the operations of SCCE & HCCA.
- To obtain information about a specific company or organization or a specific member.
- To obtain information or comment on proposed laws or regulations affecting the compliance industry.
- To get information or comment about an action or event that could impact the compliance industry.
- To get information or comment on situations or events involving companies that are under investigation, or situations involving individual SCCE & HCCA members.

**Employees should refer all media calls or inquiries to the CEO or the CESO who are SCCE & HCCA's designated media contacts.** Please do not state to members of the media that you are not allowed to talk to them or have to get permission to do so. Instead, tell the reporter or media representative: "SCCE & HCCA policy is to refer all media inquiries to our CEO and CESO."

In taking calls or responding to written inquiries from the media, the same courtesy and professionalism with which we treat our members should be displayed. It is important to act promptly when approached by the media to ensure appropriate follow up can be made within the reporter's deadline. The way these calls are handled can have an impact on how SCCE & HCCA is treated by the media, and therefore it is important to respond in a timely, courteous and professional manner.

## ***2. YOUR PAY AND HOURS***

### **2.1 Classifications of Employment**

Federal and state laws establish the rules which govern minimum wage, overtime and record-keeping for hours worked. All employees are classified as either exempt or nonexempt, as defined by the Fair Labor Standards Act (FLSA) and by applicable state law. Based upon job duties, responsibilities and wages, employees may be exempt from the minimum wage and overtime provisions of the law. Employees whose job duties and responsibilities do not meet the requirements for exemption are considered nonexempt.

These classifications do not guarantee employment for any specified period of time. Accordingly, the right to terminate the employment-at-will relationship at any time is retained by both the employee and SCCE & HCCA.

The following employment classifications have been established for overtime purposes. Benefits eligibility may differ from this information.

**Nonexempt:** Employees who are paid on an hourly basis and whose positions are not exempt from minimum wage, overtime, and timekeeping provisions of the FLSA and applicable state law. Nonexempt employees are eligible to receive overtime pay at the rate of time and a half (i.e., one and one half times their regular hourly rate of pay) or as otherwise required by applicable state or local wage

and hour laws for any hours worked in excess of forty (40) hours in one (1) work week, unless applicable local or state law provides otherwise. Employees are not authorized to work overtime without first obtaining approval from their manager. Violations of this policy may result in disciplinary action, up to and including termination of employment. Nevertheless, regardless of authorization, any overtime worked must be reported and will be paid.

Exempt: Employees who are paid on a salaried basis and whose positions are exempt from the minimum wage, overtime, and certain timekeeping provisions of the FLSA and applicable state law. Exempt employees are paid a pre-determined amount of pay regardless of the number of hours they work each week. Exempt employees are not eligible to receive overtime pay.

The weekly salary of Exempt employees will be reduced in accordance with federal and state law in the following situations: (a) when the employee does not have sufficient vacation or sick time to cover an absence of one or more full days; (b) for leaves taken pursuant to the Family and Medical Leave Act or other leaves; and (c) the initial or terminal week of employment.

In addition to the categories listed above, each employee belongs to one other employment category:

Full-time: An employee who averages at least 40 or more hours per week on a regular and consistent basis is eligible to participate in all benefit programs, subject to the terms, conditions and limitations of each benefit program.

Part-time: An employee who works a minimum of 30 hours per week on a consistent basis may be eligible for certain benefit programs, whose amounts may be pro-rated depending on hours worked, subject to the terms, conditions and limitations of each benefit program.

Temporary/Intern: An employee hired to supplement the workforce for a limited time only, either part-time or full-time such as summer help or casual labor. These employees may be eligible for certain benefit programs, whose amounts may be pro-rated depending on hours worked, subject to the terms, conditions, and limitations of each benefit program provided by the Company.

## **2.2 Payday & Workweek**

Paydays occur on a bi-weekly basis unless otherwise required by state law. For payroll purposes, the pay period begins on Monday and ends two weeks later on Sunday. Direct deposit of paychecks is available to all employees. Employees must provide advance authorization to SCCE & HCCA to deposit funds into their account.

### **Flexible Work Hours**

The working schedule at SCCE & HCCA is flexible within certain parameters. Absent advance approval from your Manager or the CEO, all full-time employees are expected to work a minimum of 40 hours a week. Employees must obtain advance approval from their Manager to modify their work schedules. SCCE & HCCA reserves the right to refuse an employee's request to modify his or her work schedule based upon department business needs.

## 2.3 Time Reporting

Non-Exempt/Hourly employees are responsible for accurately recording time worked. Federal and state laws require SCCE & HCCA to keep an accurate record of time worked in order to calculate employee pay and benefits. Time worked is all the time actually spent on the job performing assigned duties. Working “off the clock” is absolutely prohibited.

Non-Exempt employees should accurately record the time they begin and end their work. Overtime work must always be approved before it is performed.

Altering, falsifying, tampering with time records, or recording time on another employee’s time record, may result in disciplinary action, up to and including termination of employment.

It is the employees’ responsibility to sign their time records to certify the accuracy of all time recorded. The Manager will review the time record before submitting it for payroll processing. In addition, if corrections or modifications are made to the time record, both the employee and the Manager must verify the accuracy of the changes to the time record.

## 2.4 Overtime

From time to time, it may be necessary for you to perform overtime work in order to complete a job on time. All foreseeable overtime must be approved in advance by your manager. When it is necessary to work overtime, you are expected to cooperate as a condition of your employment.

If you are a “non-exempt” employee and you perform overtime work, you will be paid one and one-half (1.5) times your regular hourly wage for any time over 40 hours per week that you work, or you will be paid overtime per your state regulations. Bonuses will be included in calculating the applicable overtime rate as required by law. If, during that week, you were away from the job because of a job-related injury, funeral leave, jury duty, or PTO, those hours not worked will not be counted as hours worked for the purpose of computing eligibility for overtime pay.

## 2.5 Make Up Time

For payroll purposes, make-up time (i.e. working extra time for time out of the office due to an absence) has to occur in the same workweek in which the absence took place. This is necessary in order to avoid having the time deducted from paid time off, and to ensure all employees are compensated for time worked in each workweek. The time cannot be made-up in the previous or subsequent workweek within the same two-week pay period. Additionally, the scheduled make-up time must not cause the employee’s total scheduled work time to exceed 10 hours in any workday or 40 hours in the relevant workweek.

If there is vacation time taken in a week with hours paid over 40, vacation time taken will be reduced by the number of hours not to exceed 40. Vacation time is not paid out for any hours over 40 in a week. Instead, vacation time taken will be reduced by the number of hours worked over 40 in the week.

As a reminder, each employee must notify the respective manager (or designated individual) of any absence and must properly document the absence on the time sheet. Time made-up must also be properly documented and approved on the time sheet.

Requests to make up time are not automatically approved and is not intended to be a regular occurrence. Approval of make-up time will be based on the business needs of the respective area or office. If there is not appropriate work for the employee, the request may be denied. In addition, make-up time is not to be construed as an alternative to warrant tardiness or absence.

Make-up time will be limited to no more than one-half of a day (maximum of four hours) in a workweek and must occur during usual business hours.

## **2.6 Flexible Time Off**

It is the policy of SCCE & HCCA to permit exempt employees who are required to work on a Saturday or Sunday for travel (e.g. to attend a conference or meeting) and are required to work in excess of 40 hours per week to receive flexible time off according to the policy below. Eligibility for flexible time off may apply for infrequent business needs in which management asks you to work on a special project or specific job duties, or when deadlines have to be met and worked on over a weekend.

### **Granting Flexible Time Off**

Flexible time off is granted to exempt positions. There is no legal requirement or obligation of SCCE & HCCA to grant flexible time off to exempt employees. Flexible time will be granted to eligible employees who are required to work on a Saturday or Sunday for travel to attend a conference or meeting qualify for flexible time off. Partial days worked on Saturday or Sunday qualify for a partial day off. An employee who works eight or more hours on Saturday or Sunday qualifies for a full day off. Travel time may be included as part of the hours worked during these times.

### **Procedures**

The manager who approves the timesheet is authorized to grant flexible time off to exempt employees only. The manager's approval will constitute the granting of the employee's flexible time off.

### **Using Flexible Time Off**

Flexible time off must be earned before it is used. An employee who has accrued flexible time off and requests use of the time must be permitted to use the time off within a "reasonable period" after making the request. Managers may deny the request if the use of flexible time will "unduly disrupt" the department's operations. Managers can require an employee to take flexible time off to manage the accrual limitation.

All flexible time off earned by exempt employees in any workweek should be taken during the two-week period following the end of the workweek in which the flexible time was earned. Flexible time is subject to an accrual limitation of 24 hours. Once the employee has reached the maximum accrual, the employee will not become eligible to accrue any additional flexible time off until the employee's flexible time off balance falls below the maximum accrual. The maximum amount of flexible time off that may be carried over annually is 24 hours.

Flexible time off may not be used in lieu of PTO for purposes of satisfying the five (5) day elimination period to qualify for short term disability. Accrued flexible time off may not be used to supplement short



term disability payments. All accrued and unused flexible time off will be forfeited upon termination of employment and will not be cashed out, unless applicable state law requires otherwise.

## **2.7 Lunch and Break Periods**

Employees who work more than five hours a day are entitled to an unpaid meal break. The lunch period is a minimum of 30 minutes in length, and up to one hour. During this time, employees are completely relieved from duty and will not be compensated for that time. Employees must take this lunch break no later than the end of their fifth hour of work. If an employee is scheduled to work more than 10 hours in one day, the employee is entitled to a second unpaid meal break of at least 30 minutes but no more than one hour. In this case, the employee should take this second meal break no later than the end of his or her tenth hour of work.

Employees may take a 15-minute paid rest break for each four hours worked, up to one-half hour break each day. These periods are considered paid time and non-exempt employees do not have to record these on time records. Employees are not allowed to combine the two breaks into one break, to use breaks or lunch periods to make up missed time, to vary their regular workday hours (i.e., to skip breaks or lunch periods and leave early), to add the breaks to their lunch period, or to carry them over from one day to the next. Employees should take their first rest period as close as possible to the middle of their work period, if practicable.

## **2.8 Nursing Mothers**

SCCE & HCCA will provide reasonable break time for employees to express breast milk each time the employee needs to express milk. When possible, this break time will run concurrently with other break times already provided to employees.

SCCE & HCCA also provides a private space, other than a restroom, for nursing mothers to express their milk. The room will be clearly marked and have a lock or a sign on the door to indicate when the room is in use. Contact Human Resources regarding site-specific designated locations. SCCE & HCCA provides a refrigerator to store breastmilk. Employees are responsible for labeling their milk with their name and the date it was expressed. SCCE & HCCA will not discriminate or retaliate against any employee who requests accommodations or otherwise takes advantage of this Nursing Mothers policy.

### **Additional Provisions (California Employees Only)**

If an employee requires lactation accommodations in addition to what is provided above, the employee is entitled to request such accommodations and should do so using the reasonable accommodations policy described in this handbook. SCCE & HCCA will respond to the employee's request in a timely manner. Employees may report any violation of California's lactation accommodation laws by filing a complaint with the California Labor Commissioner.

## **2.9 Wage Disclosure**

While not obligated, employees may voluntarily disclose the amount of their wages or discuss another employee's wages which have been disclosed to them voluntarily. SCCE & HCCA will not take adverse employment action against an employee because he or she makes such a disclosure, in such discussion, or asserts any rights under this policy. Employees who believe they were retaliated against

for doing so should inform the Director of Human Resources immediately. If the employee believes SCCE & HCCA has violated this policy, the employee may file a complaint with the Minnesota Department of Labor and Industry and/or bring a civil action against the company.

### **3. TIME OFF / LEAVE OF ABSENCE**

#### **3.1 Bone Marrow Donation Leave**

SCCE & HCCA will provide all eligible employees, regardless of length of service, with a paid leave of absence of up to 40 hours to undergo a medical procedure to donate bone marrow. “Eligible employee” is an employee in Minnesota who works an average of 20 or more hours per week.

Employees must submit a written request for Bone Marrow Donation Leave, including a doctor’s statement verifying the purpose and length of the leave, to Human Resources.

#### **3.2 Parental Leave of Absence**

SCCE & HCCA understands that balancing business and family obligations can be difficult and is committed to providing employees with flexibility in order to allow employees to meet family obligations and the demands of our business more fully and effectively.

##### **Parental Leave of Absence Defined**

SCCE & HCCA will provide up to 12 weeks of unpaid leave to eligible employees for:

- The birth or adoption of a child; or
- prenatal care, or incapacity due to pregnancy, childbirth, or related health conditions (for female employees only).

Eligible employees may take the first type of leave within 12 months of the birth/after the child leaves the hospital.

##### **Parental Leave and Use of Paid Time Off (“PTO”)**

Employees may use their accrued PTO during the 12 weeks of unpaid parental leave. If employees elect to do so, their PTO will run concurrently with the unpaid parental leave. Employees may elect to retain up to 40 hours of PTO before taking remaining weeks off on an unpaid basis. Employees may also maintain their medical and dental insurance coverage under SCCE & HCCA’s plans during leave. The Company will continue to pay its portion of health insurance premiums and the employee must continue to pay his or her share of the premiums. Failure of the employee to pay his or her share of the health insurance premiums may result in loss of coverage.

Requests for taking PTO immediately following a Parental Leave must be approved by the employee’s manager and Human Resources.

If an eligible employee becomes disabled on account of pregnancy, childbirth, or related medical condition, or the employee's own serious medical condition, the Company's Short-Term Disability Leave program will pay a percentage of monthly salary subject to the terms and conditions and limits of the policy then in existence. This leave may be taken, as needed, for all disabilities related to each pregnancy.

Parental Leave runs concurrently with leave granted under the federal Family and Medical Leave Act (FMLA), short-term disability leave, and long-term disability leave, if applicable. If short-term and/or long-term disability benefits are not available, employees may continue the balance of their Parental Leave on an unpaid basis.

### **Scheduling Parental Leave**

Employees must provide advance notice of the start of leave and anticipated date of return. If the leave is going to last for more than one month, employees must notify Human Resources at least two weeks prior to returning from such a leave.

Whenever possible, an employee should make a reasonable effort to give notice and if possible schedule the leave so as not to unduly disrupt the Company's operations. Employees are expected to consult with their manager prior to scheduling leave in order to work out a schedule that best suits the needs of both the employee and the Company.

### **Re-employment Following Parental Leave**

Upon conclusion of parental leave, employees will be placed in the position held when the leave commenced or in a position of equivalent seniority, duties, hours and pay. However, if during such leave, SCCE & HCCA experiences a layoff and the employee would have lost his/her position had the employee not been on leave, the employee will not be reinstated.

### **Continuation of Benefits During Parental Leave**

While on Parental Leave, the employee will be responsible for continuing health coverage and other applicable benefits at his/her own expense for the duration of the unpaid leave. The employee may also elect to pre-pay his/her premium amounts from pay periods prior to the commencement of a planned Parental Leave.

The employee's portion of any premium payments will continue to be withheld from the employee's paycheck for any leave covered by PTO or short-term disability, just as before the Parental Leave.

## **3.3 Family and Medical Leave (FMLA)**

### **Statement of Policy**

It is the policy of the Company to comply with the requirements of the federal Family and Medical Leave Act (FMLA), Minnesota Military Leave for Family Members, and Minnesota Parental Leave Act (MPLA). Generally, an eligible employee will be granted up to 12 weeks of FMLA leave during a 12-month period on a rolling-backward basis. The leave may be paid, unpaid or a combination of paid and unpaid, depending on the reason for the leave and the benefits for which the employee may be eligible.

## **Eligibility**

To be eligible for leave under this policy, an employee must have been employed by the Company for at least 12 months. In addition, in the 12 months immediately preceding the commencement of the leave, the employee must have worked at least 1,250 hours to qualify under federal law.

To be eligible for MPLA, an employee must have worked at least 12 months and an average of at least half time per week in the 12 months preceding the leave.

All employees are eligible for Minnesota Military Leave for Family Members if they have an immediate family member who is in the U.S. Armed Forces.

## **Amount of Leave Available**

As stated above, an eligible employee is generally eligible for up to 12 weeks of protected leave within a 12-month period, measured backward from the date an employee uses any leave under this policy.

Minnesota Military Leave for Family Members allows eligible employees to take an unpaid leave of up to 10 days if their parent, child, grandparent, sibling, or spouse is injured or killed while engaged in active military service.

## **Types of Leave Covered**

### **A. Birth or Placement for Adoption or Foster Care**

FMLA leave will be available to eligible male and female employees for the birth of a child or for placement of a child with the employee for purposes of adoption or foster care. Such leave must generally be completed within 12 months of the birth or placement.

### **B. Serious Health Condition of Employee**

An eligible employee who experiences a serious health condition as defined by federal law may take medical leave under this policy. A serious health condition will generally occur when the employee:

- Receives inpatient care in a hospital, hospice or nursing home;
- Suffers a period of incapacity of more than three consecutive full calendar days accompanied by continuing outpatient treatment/care by a health-care provider;
- Is pregnant, including severe morning sickness;
- Has a history of a chronic condition which may cause episodes of incapacity; or
- Has a permanent or long-term condition which requires continuing treatment by a health care provider.

Medical leave may be taken all at once or, when medically necessary, in smaller increments. The need for leave must be documented by the employee's treating health-care provider through the medical certification process.

An employee may be paid for all or part of a medical leave to the extent s/he is eligible for benefits, such as short-term disability.

A fitness-for-duty statement will be required in order for an employee to return from a medical leave. Failure to provide the statement will result in a delay in the return to work.

### **C. Serious Health Condition of Immediate Family Member**

An eligible employee may take FMLA leave under this policy in order to care for a son, daughter, spouse or parent with a serious health condition (see above section for general definition). This leave may be taken all at once or, when medically necessary, in smaller increments. It will be necessary for the family member's treating health-care provider to document the need for leave through the medical certification process.

### **D. Qualifying Exigency for Military Family Leave**

An eligible employee may take FMLA leave under this policy while the employee's spouse, son, daughter, or parent (the "military member") is on covered active duty or is called to active duty status for any qualifying exigency under federal law. This leave may be taken all at once or, in smaller increments. It will be necessary to submit a complete and sufficient certification for FMLA leave due to a qualifying exigency. Qualifying exigency leave may be taken by family members of regular armed service members, as well as family members of Reserve and National Guard members, provided the service member is deployed to a foreign country.

### **E. Military Caregiver Leave**

An eligible employee may take up to an additional 14 weeks (not to exceed 26 weeks total) of FMLA leave in a single 12-month period under this policy to care for a current member of the Armed Forces, including a member of the National Guard or Reserves, who has a serious injury or illness incurred in the line of duty (or one that existed before the beginning of the member's active duty and was aggravated by active duty) for which he or she is undergoing medical treatment, recuperation, or therapy; is otherwise in outpatient status; or is otherwise on the temporary disability retired list. A covered servicemember may also be a veteran who is undergoing medical treatment, recuperation, or therapy, for a serious injury or illness and who was a member of the Armed Forces (including a member of the National Guard or Reserves) at any time during the period of 5 years preceding the date on which the veteran undergoes that medical treatment, recuperation, or therapy.

For Military Caregiver Leave, SCCE & HCCA will measure the 12-month period as a rolling 12-month period measured forward. FMLA leave taken for other FMLA circumstances will be deducted from the total of 26 weeks in a single 12-month period.

This entitlement will be applied on a per-covered-servicemember, per-injury basis. The covered servicemember must be the eligible employee's spouse, son, daughter, or parent, or next of kin. It will be necessary for the covered servicemember's treating health-care provider, as defined by law, to document the need for leave through the medical certification process.

### **F. Minnesota Military Leave for Family Members**

If you are an immediate family member of military personnel injured or killed while engaged in active service, you will be provided unpaid leave of up to 10 days. Immediate family members include parents, children, grandparents, siblings, or spouse.

You may request unpaid leave to attend the send-off or homecoming ceremony for an immediate family member who is mobilized to active military service in support of a war or other national emergency,

unless the leave would unduly disrupt the operations of the Company. SCCE & HCCA may need to limit the amount of leave to the actual time necessary to attend the ceremony. This leave may not exceed a maximum of one day's duration in a calendar year. Immediate family members for this type of military ceremony leave request are parents, legal guardians, children, grandparents, siblings, spouse, fiancé/fiancée, or grandchildren.

### **Worker's Compensation Absences**

When an employee is absent due to a work-related illness or injury which meets the definition of a serious health condition, the absence will be counted against the employee's allotment of FMLA leave under federal law. In other words, the employee is using federal FMLA leave concurrently with the worker's compensation absence.

### **Early Return from Leave**

An employee who wishes to return to work earlier than originally anticipated should provide at least two days' notice of such request. A fitness-for-duty certification may be required.

## **3.4 Military Leave of Absence**

Employees who are members of the Armed Forces of the United States, including reserve components, the National Guard (when called for federal service), or the United States Public Health Service are eligible up to five (5) cumulative years of military leave when called to active duty or authorized training.

### **Use of Paid Time Off ("PTO") During Military Leave of Absence**

Employees may elect to use accrued PTO to be paid during a military leave of absence. If an employee does not elect to use PTO, or if the employee's PTO is exhausted, the military leave will be unpaid. Employees will not accrue additional PTO during a period of unpaid military leave.

### **Advance Notice of Military Leave of Absence**

Employees must provide their manager or Human Resources with advance notice (written or verbal) of the need for a military leave of absence. In most cases, it will be reasonable for an employee to give at least 30 days' advance notice of the need for military leave. Advance notice is not required, however, if military necessity precludes advance notice or if it is otherwise impossible or unreasonable for the employee to provide advance notice.

### **Continuation of Health Benefits During Military Leave of Absence**

An employee may elect to continue existing health coverage for up to 24 months during a military leave of absence. For periods of military leave of up to 12 weeks, the employee and SCCE & HCCA shall be responsible for continuing to pay their respective portions of the premium. For periods of leave of more than 12 weeks, and up to 24 months from when the employee's absence begins, an employee electing to continue health coverage will be required to pay the full premium, including both the employee's share and SCCE & HCCA's share.

## **Application for Reemployment Following Military Leave of Absence**

An employee returning from a military leave of absence is eligible for reemployment, provided that he or she meets the following conditions:

- He or she gave SCCE & HCCA advance notice of the need for military leave.
- He or she returns to work or applies for reemployment in a timely manner, as defined below, after the completion of military service. (1) For periods of military leave of less than 31 days, the employee must report back to work no later than the beginning of the first full business day that is at least eight hours after the employee returns home from military service. (2) For military leaves of 31 to 181 days, the employee must submit an application for reemployment (written or verbal) to Human Resources no later than 14 days after the completion of military service. (3) For military leaves of more than 180 days, the employee must submit an application for reemployment (written or verbal) to Human Resources no later than 90 days after the completion of military service.

If the employee is hospitalized for, or convalescing from, an illness or injury incurred in, or aggravated during, the performance of military service, he or she must report to or submit an application for reemployment at the end of the period necessary to recover from the illness or injury. This period may not exceed two (2) years from the date of the completion of service.

- He or she was not separated from military service with a disqualifying discharge or under other than honorable conditions.

For periods of service of more than 30 days, SCCE & HCCA may request documentation proving eligibility for reemployment. The employee will be reemployed pending receipt of that documentation. If, however, the documentation does not establish eligibility for reemployment, the employee's reemployment may be rescinded.

## **Reemployment Following Military Leave of Absence**

An employee returning from a military leave of absence will be reemployed as follows:

- For periods of military service of less than 91 days, the employee will be reemployed in the position that he or she would, with reasonable certainty, have attained if not absent for military service, with the same status, pay, and other rights and benefits determined by length of service, provided that the employee is qualified to perform the duties of that position. SCCE & HCCA will make reasonable efforts to help an employee returning from a military leave become qualified to perform the duties of the position. If, after reasonable efforts, the employee is not qualified to perform those duties, he or she will be reemployed in the position in which he or she was employed on the date that the military leave of absence began.
- For periods of military service of more than 90 days, the employee will be reemployed in either the position that he or she would, with reasonable certainty, have attained if not absent for military service *or* in an equivalent position with the same status, pay, and other rights and benefits

determined by length of service, provided that the employee is qualified to perform the duties of the position. SCCE & HCCA will make reasonable efforts to help an employee returning from military leave become qualified to perform the duties of the position. If, after reasonable efforts, the employee is not qualified to perform those duties, he or she will be reemployed in the position in which he or she was employed on the date that the military leave of absence began, or in a position of like status and pay.

### **3.5 Civil Air Patrol Leave**

Eligible employees will be allowed an unpaid leave of absence to serve as a member of the Civil Air Patrol upon request and under the authority of the state or any of its political subdivisions, unless the leave would disrupt the operations of the Company.

Where applicable, any leave time for which an employee may be eligible under this policy and any similar leave mandated by applicable law, or other leave provided by the Company, shall run concurrently.

Eligible employees are those who work for the Company an average of twenty (20) or more hours per week.

### **3.6 Unpaid Personal Leave**

The Company may grant an Unpaid Personal Leave of Absence for special, unique, or extraordinary reasons that may not apply to the other types of Leaves of Absence. A request for an Unpaid Personal Leave of Absence will be considered after all PTO has been exhausted.

#### **Approval for Unpaid Personal Leave of Absence**

A request for an Unpaid Personal Leave of Absence must be submitted in writing using a Time Off Request form, as far in advance as possible, to Human Resources. Personal leave may be granted for a period of up to 30 calendar days. Employees may request an extension of their personal leave but must do so prior to the expiration of the original leave period.

The decision to approve or disapprove an Unpaid Personal Leave of Absence will be based upon the circumstances, the length of time requested, the employee's job performance, the reasons for the leave, the effect the employee's absence will have on the workload in the Company, and the expectation that the employee will return to work when the leave expires. Unused PTO time off must be used before an Unpaid Personal Leave of Absence will be granted. Approval of a request for a personal leave of absence is within the sole discretion of SCCE & HCCA. Any particular personal leave approved will not be considered a precedent or an entitlement for leave in another situation.

#### **Continuing Benefit Plan Coverage**

Unemployment insurance benefits cannot be collected while on an Unpaid Personal Leave of Absence. SCCE & HCCA will continue to provide health insurance benefits for the initial period of the approved leave of absence; however, the employee is responsible for paying his/her portion of the premiums. If the leave is extended, the Company may elect to end benefits, subject to the terms and conditions of the benefit plans, and extend COBRA benefits.



PTO accruals will be suspended during the leave and will resume upon return to active employment. Upon return from a personal leave, SCCE & HCCA will make every reasonable effort to return the employee to the same position if available or to a similar available position for which the employee is qualified. SCCE & HCCA cannot guarantee reinstatement in all situations.

If an employee fails to report to work promptly at the expiration of the approved personal leave period, the employee will be considered to have voluntarily resigned.

### **Performance Appraisal and Salary Action**

The normal performance appraisal date of an employee on an Unpaid Personal Leave of Absence will be extended by the length of the leave. Any planned salary increase for an employee returning from an Unpaid Personal Leave of Absence will be deferred by the length of the leave.

### **3.7 School Conference and Activities Leave**

The company will grant up to sixteen (16) hours of unpaid time in any twelve (12) month period for eligible employees to attend school conferences or school-related activities related to the employee's child or foster child, provided the conferences or school-related activities cannot be scheduled during non-work hours. If an employee's child receives child care services or attends a prekindergarten regular or special education program, the employee may use the leave time provided under this policy to attend a conference or activity related to the employee's child, or to observe and monitor the services or program, provided that the conference, activity, or observation cannot be scheduled during non-work hours.

Employees are eligible for this leave if they work, on average, a weekly number of hours equal to one-half the hours required for a full-time equivalent position. Employees taking leave pursuant to this policy must provide as much advance notice as possible to their manager and the Human Resources Department and must make a reasonable effort to schedule the leave so as not to unduly disrupt the Company's operations.

School Activities Leave is generally unpaid. An employee may use, but is not required to use, accrued but unused PTO or other applicable paid time off time for periods of School Activities Leave. Use of such paid time off does not extend the length of any leave; it only allows the employee to receive pay during periods of School Activities Leave that would otherwise be without pay.

## ***4. EMPLOYEE BENEFIT PROGRAMS***

SCCE & HCCA recognizes the value of benefits to employees and their families. The company offers a comprehensive and competitive benefits program to all employees working 30 hours or more per week. Some benefit programs require contributions from employees, while most are fully paid by SCCE & HCCA. The employee handbook highlights and summarizes certain aspects of the Company's benefit plans. For more information regarding the benefit programs, please refer to the company Summary Plan Description (SPD) or contact Human Resources. To the extent the information provided here conflicts with the SPD, the SPD will control. The Company reserves the right to amend, modify or terminate any of its employee benefit plans or retirement plans at any time.

4.1 Holidays

SCCE & HCCA provides ten paid holidays each calendar year where the office will be closed on the following days:

New Year’s Day	January 1st
Martin Luther King Day	3 <sup>rd</sup> Monday in January
Memorial Day	Last Monday in May
Juneteenth	June 19th
Independence Day	July 4th
Labor Day	1 <sup>st</sup> Monday in September
Thanksgiving Day	4 <sup>th</sup> Thursday in November
Day after Thanksgiving	Day after Thanksgiving
Christmas Eve Day	December 24th
Christmas Day	December 25 <sup>th</sup>

If a holiday falls on a Saturday, the holiday will be observed on the preceding Friday. If a holiday falls on a Sunday, the holiday will be observed on the following Monday.

Holiday Flexible Time Off (Holiday FTO)

SCCE & HCCA understands that not all employees recognize and observe the same holidays as indicated above. In order to provide each employee with some flexibility to observe other days of personal significance, SCCE & HCCA allows each employee the opportunity to swap out up to a maximum of 2 SCCE & HCCA holidays per calendar year for 2 different days preferred by the employee.

Employees must submit a request and receive approval from their manager at least a week in advance, prior to working on an SCCE & HCCA observed holiday. Upon receiving their manager’s approval and working a full day on the holiday, employees will receive a full day accrual of Holiday FTO. Full-time employees working a minimum of 40 hours per week will receive 8 hours of holiday FTO. Employees working less than 40 hours a week will receive a prorated balance of hours based upon the number of hours worked per week. No Holiday FTO will be accrued for working a partial holiday. In addition, Holiday FTO must be used in equivalent full day increments.

Full-time employees who work a minimum of 40 hours per week may not carry an unused, accrual balance of more than 16 hours of Holiday FTO. Once the employee has reached the maximum accrual, the employee will not become eligible to accrue any additional Holiday FTO until the employee’s Holiday FTO balance falls below the maximum accrual. Likewise, employees working less than 40 hours a week may not carry an unused prorated accrual balance exceeding their maximum limit.

Holiday FTO may not be used in lieu of PTO for purposes of satisfying the five (5) day elimination period to qualify for short-term disability. Holiday FTO accrued may not be used to supplement short term disability payments. All accumulated and unused Holiday FTO will be forfeited upon termination of employment and will not be cashed out, unless applicable state law requires otherwise.

4.2 Paid Time Off (PTO)

SCCE & HCCA believes that employees need periodic paid time away from work and believes that balance between work and nonwork activities is essential to maintain quality performance and a positive work atmosphere. For this reason, the Company has designed a paid time off (PTO) plan that promotes a flexible approach to time off.

Employees are accountable and responsible for managing their own PTO hours to allow adequate reserves if there is a need to cover vacation, illness or injury, appointments, emergencies or other needs that require time off from work.

For illnesses or injuries that last longer than one week, Short-Term Disability may be available for eligible employees and in accordance with the terms and conditions of the Short-Term Disability Plan. Accrued PTO may be used to supplement Short-Term Disability payments, not to exceed the employee’s salary. PTO does not accrue during this period or during unpaid approved leaves of absence.

The employee’s immediate manager must approve all PTO. An employee should request and receive approval for PTO as far in advance as possible.

Accrual of Paid Time Off (PTO)

Accrual of Paid Time Off (PTO)

The amount of PTO an employee accrues on a biweekly basis is calculated by taking the number of hours worked (up to a maximum of 40 hours/week) and multiplying by the employee’s applicable length of service accrual rate. Length of service is based on employee’s hire date.

Full-Time Biweekly Accrual Rates Table:

<u>Years of Employment</u>	<u>Hourly Accrual Rate</u>	<u>Full-Time Annualized Accrual</u>	<u>Maximum Accrual Balance Carryforward</u>
< 2 Years	4.616	120	180
< 5 Years	6.154	160	240
< 10 Years	6.924	180	270
< 15 Years	7.693	200	300
15 + Years	9.231	240	360

Once an employee’s available accrued PTO balance reaches the maximum accrual balance allowed to be carried forward at any time, the employee will no longer accrue any additional PTO hours.

Temporary employees, contracted employees, and interns are not eligible to accrue PTO. Eligibility to accrue PTO each biweekly pay period is contingent on the employee working or utilizing applicable paid time off benefits.

To the extent permitted by law, PTO is not accrued during a leave of absence (regardless of whether such leave is paid or unpaid), short- or long-term disability leave, time off due to workers’ compensation, or any other type of leave.

### Approval of PTO

Employee requests to take PTO must be approved by employee's manager. Reasonable effort will be made to approve PTO requested. However, managers may deny requests due to scheduling conflicts, department deadlines, as well as other business conditions.

### Use of PTO

Employees may only use PTO that has already been accrued. With advance approval from the employee's manager and Human Resources, negative accrual balances or borrowing from future PTO accruals is allowed for newly hired employees within the first 90 days of employment.

PTO used by the employee will be paid at the employee's regular rate of pay in effect on the day of the absence. PTO hours do not count as hours worked for purposes of the overtime calculation for Non-Exempt/Hourly employees.

### Termination

Upon termination of employment, employees will be paid for all accrued but unused PTO hours at the employee's current pay rate. PTO may not be used to extend the termination date. The last day worked will be employee's termination date.

Employees' accrual of PTO is based on hours paid up to a full-time equivalent of 40 hours per week, depending on length of service. Length of service is defined by the employee's hire date. PTO accrual is calculated based on a twelve-month period.

## Minnesota<sup>1</sup> Earned Sick and Safe Time

Any employee who performs work for SCCE & HCCA for at least 80 hours in a year in Minnesota but does not qualify for PTO is entitled to Statutory Sick and Safe Leave ("SSSL"). Such employees accrue one hour of SSSL for every 30 hours worked up to a maximum of 48 hours. Exempt employees will be assumed to work 40 hours in a week unless they are notified of a different number of hours and accrual rate. Employees may carry over accrued but unused SSSL into the following year. The total amount of accrued but unused SSSL shall not exceed 80 hours. Any accrued but unused SSSL will not be paid out at termination of employment for any reason.

An employee may use SSSL for (1) the employee or a Family Member's mental or physical illness, injury or other health condition, need for medical diagnosis, care, or treatment of a mental or physical illness, injury, or health condition, or need for preventative health care of the employee or Family Member (as defined in the PTO policy); (2) the need to seek medical attention related to physical or psychological injury or disability, obtain services from a victim services organization, obtain psychological or other counseling, seek relocation or take steps to secure an existing home, or seek legal advice or take legal action, including preparing for or participating in any civil or criminal legal proceedings, arising from the domestic abuse, sexual assault, or stalking of an employee or Family Member; (3) closure of the Company's place of business due to weather or other public emergency or an

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<sup>1</sup> California employees may earn up to five days (or the hourly equivalent) of paid sick days per year. Maryland employees may earn up to 40 hours of paid sick days per year. The remaining terms of the Minnesota Earned Sick and Safe Time policy applies unless state law is more generous.

employee's need to care for a Family Member whose school or place of care has been closed due to weather or other public emergency, (4) communicable disease issues. SSSL can be used in one-hour increments; (5) the need to make arrangements for or attend funeral services or a memorial, or address financial or legal matters that arise after the death of a family member, or any other reason permitted by Minn. Stat. 181.9446.

SSSL may be used in increments no smaller than 15 minutes.

If the need to use SSSL is foreseeable, seven days' advance notice is required. If the need is unforeseeable, the employee must notify the employee's supervisor preferably before, but no later than, the start time of the workday.

When an employee uses SSSL for more than three consecutive days, the employee must provide documentation of the need for the absence. If the SSSL is used for an employee's or Family Member's medical or communicable disease issues, a signed statement by a health care professional indicating the need is required, unless the employee or Family Member was not seen by a health care professional or a health care professional does not provide the documentation in a reasonable time. In such a case, the employee must provide a written statement signed by the employee explaining the absence.

If the SSSL is needed for reasons relating to the domestic abuse, sexual assault or stalking of the employee or a Family Member, the employee must provide a court record or documentation signed by a volunteer or employee of a victims services organization, an attorney, a police officer, or an antiviolence counselor.

If the SSSL is needed for reasons relating to the closure of a school or place of care, the employee must provide a written statement signed by the employee explaining the absence.

Retaliation against employees who request or use SSSL is prohibited. Employees have the right to file a complaint or bring a civil action if SSSL is denied or the Company retaliates against the employee for requesting or using SSSL.

### **4.3 Workers' Compensation**

It is the goal of SCCE & HCCA to provide a safe and healthy work environment and to prevent employee workplace injuries. Workers' compensation insurance is coverage paid for by SCCE & HCCA that provides a portion of lost wages and related medical and rehabilitation expenses to employees who sustain an injury on the job.

SCCE & HCCA is required by law to keep detailed records of all occupational injuries and illnesses. Therefore, it is mandatory that all employees report occupational injuries/illnesses to their Manager and Human Resources immediately when they occur. The manager will need to complete an injury report and return the form to Human Resources. This is required, regardless of the specific location of the incident, and regardless of when the incident occurred. Workers' compensation benefits will run concurrently with FMLA leave if applicable, where permitted by state and federal law.

Neither SCCE & HCCA nor the Company's workers' compensation insurance carrier will be liable for the payment of workers compensation benefits for injuries that occur during an employee's voluntary participation in any off-duty recreational, social or athletic activity, even if the activity is sponsored by SCCE & HCCA.

#### **4.4 Bereavement Leave**

In the event of a death in the immediate family, employees should notify their manager as soon as possible. Full-time employees will be given up to three days of leave with pay. Part-time employees will be given a prorated amount of bereavement leave based upon hours regularly scheduled to work. "Immediate family" is defined as the employee's mother, father, brother, sister, spouse, child, sibling, mother-in-law, father-in-law, son-in-law, daughter-in-law, grandparents, grandchildren, stepparents, stepchildren, and domestic partner.

Employees may, with their manager's approval, use any available paid or unpaid time off if additional time is needed.

In the event of the death of a relative not included in the above definition of immediate family member, an employee may be granted one day of leave with pay, unless there are business or staffing requirements.

#### **4.5 Jury Duty/Witness Leave**

SCCE & HCCA will grant employees time off from work when summoned for prospective jury service, to serve on a jury, or when subpoenaed or summoned by a prosecutor to be a witness in court. When a full-time employee is called for jury duty, the Company will pay the difference between jury pay and normal salary or hourly wages for up to 10 days, upon proof of payment by the court. In the event that jury duty exceeds 10 days, some other arrangement may be made with the employee on an individual basis pursuant to applicable law.

If an employee has been subpoenaed or otherwise requested to testify as a witness by SCCE & HCCA, he/she will receive paid time off for the entire period of witness duty.

Employees will be granted unpaid time off to appear in court as a witness when requested by a party other than SCCE & HCCA. Eligible employees may use available Paid Time Off (PTO) for the period of this absence.

The employee must provide a copy of the summons, subpoena, or prosecutor's request to the employee's Manager or Human Resources in order to be eligible for time off under this Policy. Employees are required to report to work whenever they are excused from jury service or they are not otherwise required to report for jury duty.

#### **4.6 Voting Time**

Minnesota law requires that employees be allowed paid time off to vote, without the loss of pay for the purpose of voting in a regularly scheduled election, provided they notify their manager of their intentions to vote and the need for leave prior to the day of the election and furnish proof to their manager that they voted in the election.

## **4.7 Election Judge Leave**

An employee who is selected to serve as an election judge will be granted paid leave in order to perform the duties of the position to which they have been appointed. Pay for such leave will be reduced by any compensation the employee receives from the appointing authority during the time the employee was absent.

An employee must provide his or her manager with at least 20 days' advance written notice of their need for leave under this policy. Requests must be accompanied by a certification from the appointing authority stating the hourly compensation to be paid to the employee for service as an election judge along with the hours during which the employee will serve.

## **4.8 Party Officer or Delegate Leave**

Employees may be eligible to take a reasonable amount of leave to attend any meeting of the state central committee or executive committee of a major political party if the employee is a member of the committee. Such leave may also be taken to attend any convention of major political party delegates, including meetings of official convention committees, if the employee is a delegate or alternate delegate to that convention.

To the extent possible, employees must provide 10 days' advance written notice of their need for leave under this policy. Requests must be submitted to the employee's manager.

Employees must be prepared to provide SCCE & HCCA with certification to verify the employee's eligibility for the leave requested.

The leave is unpaid; however, employees may opt to use accrued paid time off for this purpose.

## **4.9 Crime Victims Leave**

An employee may be entitled to leave if the employee, or his or her spouse or immediate family member, is a victim of a violent crime. Such leave may be taken to attend legal and court proceedings related to the crime.

Except in cases of imminent danger to the health or safety of the employee or his or her family member, or unless impracticable, an employee requesting crime victims leave must inform his or her manager at least 48 hours prior to the need for leave.

Employees must be prepared to provide SCCE & HCCA with certification to verify the employee's eligibility for the leave requested, such as a police report, a court order, or evidence that the employee appeared in court, or documentation of treatment from a medical professional.

Crime victims leave is unpaid; however, employees may use accrued paid time off for this purpose.

#### **4.10 Domestic Abuse Leave**

An employee may be entitled to a reasonable amount of leave if the employee, or a family member or member of the employee's household, is a victim of domestic abuse. This leave may be used for domestic violence or sexual assault matters pursuant to the Minnesota Domestic Abuse Act.

Except in cases of imminent danger to the health or safety of the employee or his or her family member, or unless impractical, an employee requesting domestic abuse leave must inform his or her manager at least 48 hours prior to the need for leave.

Employees must be prepared to provide SCCE & HCCA with certification to verify the employee's eligibility for the leave requested, such as copies of restraining orders, police reports, or orders to appear in court.

Domestic abuse leave is unpaid; however, employees may use accrued paid time off for this purpose.

#### **4.11 Medical and Dental Insurance**

SCCE & HCCA's health insurance plan provides employees and their dependents access to medical and dental insurance benefits. Employees working a minimum of 30 hours per week are eligible to participate in the plans on their first day of employment, subject to all of the terms and conditions of the agreement between SCCE & HCCA and the insurance carrier. SCCE & HCCA reserves the right to amend, modify or terminate any of its employee benefit plans or retirement plans at any time.

#### **4.12 Health Savings Account**

Employees who are enrolled in SCCE & HCCA's health insurance plan are automatically eligible to participate in the Company's Health Savings Account (HSA). SCCE & HCCA offers payroll deduction for employees who want to make pre-tax contributions into their HSA account to help pay for medical, dental and vision expenses. SCCE & HCCA reserves the right to amend, modify or terminate any of its employee benefit plans or retirement plans at any time.

#### **4.13 Life Insurance**

SCCE & HCCA provides life insurance for employees working a minimum of 30 hours per week at no cost to the employee. The benefit is equal to the employee's annualized base rate, with a cap of \$50,000. Additional supplemental and dependent life insurance coverage may also be purchased. Details of the basic life and voluntary life insurance plan including benefit amounts are described in the Summary Plan Description. SCCE & HCCA reserves the right to amend, modify or terminate any of its employee benefit plans or retirement plans at any time.



#### **4.14 Short-Term Disability**

The short-term disability (STD) benefit provided by SCCE & HCCA is an employer-funded plan providing income supplement for employees unable to work due to illness, pregnancy or injury. All full-time employees working a minimum of 30 hours per week are eligible to participate in the plan. Details of the STD benefit plan including benefit amounts, provisions, limitations, restrictions and exclusions are described in the Summary Plan Description. SCCE & HCCA reserves the right to amend, modify or terminate any of its employee benefit plans or retirement plans at any time.

#### **4.15 Long-Term Disability**

The long-term disability benefits plan is company paid and is available to help eligible employees cope with an illness or injury that results in a long-term absence from employment. LTD is designed to ensure continuing coverage after short-term disability has been exhausted to supplement income for employees who are disabled and unable to work. LTD benefits are offset with amounts received under Social Security or workers compensation for the same time period. Details of the LTD benefit plan including benefit amounts, limitations and restrictions are described in the Summary Plan Description. SCCE & HCCA reserves the right to amend, modify or terminate any of its employee benefit plans or retirement plans at any time.

#### **4.16 401(k) Savings Plan**

Employees are eligible to participate in SCCE & HCCA's 401(k) plan as an active participant the first day of employment. Details of the plan are described in the Summary Plan Description. SCCE & HCCA reserves the right to amend, modify or terminate any of its employee benefit plans or retirement plans at any time.

#### **4.17 Flexible Spending Account**

SCCE & HCCA offers a Flexible Spending Account (FSA) program that allows employees to have pre-tax dollars deducted from their paychecks to pay for eligible out-of-pocket expenses. The pre-tax contributions made to the plan can be used to pay for health care and dependent care expenses during the plan year. The Company reserves the right to amend, modify or terminate any of its employee benefit plans or retirement plans at any time.

#### **4.18 Employee Assistance Program**

SCCE & HCCA offers an employee assistance program (EAP) to employees and their immediate family to help manage difficult life experiences that the employee may be facing. At no cost to the employee, the EAP is a confidential service that may be utilized to provide access to a variety of valuable resources to assist employees in coping with personal, professional, and financial issues; stress; and managing daily life challenges.

## **5. HOW WE WORK**

### **5.1 Work Hours**

The regular business hours are 8:00 a.m. to 5:00 p.m., Monday through Friday, though specific hours may vary from department to department. A regular workweek at SCCE & HCCA consists of 40 hours worked Monday through Friday. In some situations, flexible scheduling may be arranged based on the needs of the employee and the needs of the business.

### **5.2 Attendance & Punctuality**

Your timely attendance at work is crucial to making the business run smoothly. Employee absenteeism, including tardiness and leaving work early, creates significant problems for co-workers, clients, and SCCE & HCCA. SCCE & HCCA considers attendance to be an integral factor of your overall performance.

SCCE & HCCA follows a policy of granting reasonable requests for time off when advance notice is given. However, excessive unscheduled and unexcused absences, including tardiness or leaving work early, may lead to disciplinary action, up to and including termination of employment. It is your responsibility to monitor and minimize your own absences and punctuality occurrences. Employees who are absent from work due to illness for more than three consecutive days, must present to Human Resources immediately upon return to work a written statement signed by the employee's attending healthcare provider verifying the medical reason for the absence. Employees may be required to provide a statement from their healthcare provider confirming they are fit to return to work and resume their regular work schedule and duties.

#### **Attendance Policy**

1. Absences, including tardiness and leaving work early, are elements that will be considered in your performance review. Your manager will monitor excessive absences or lateness and take the appropriate remedial steps.
2. If you do not have advance approval for an absence or tardy, you must contact your manager before the start of the workday. Your notification should include a specific reason for the absence and an indication of when you expect to report for work. Note that reporting your absence or tardiness, as required by this policy, does *not* mean that your absence or tardiness is appropriate or excused.
3. Failure to give notice required by this policy, unless impossible, shall result in disciplinary action up to and including termination.
4. If you are absent for three consecutive days without notifying SCCE & HCCA, SCCE & HCCA assumes that you have voluntarily resigned from your position with the Company, and your termination date will be the last day worked.
5. Employees may elect to retain up to 40 hours of PTO before taking unpaid time.

## **SCCE & HCCA Reserves the Following Rights:**

1. To revise, supplement or rescind this policy, or any portion of this policy, as it deems appropriate.
2. To approve or refuse to approve the advance request of an employee for permission for time off.
3. To investigate absences and/or request a physician's statement.
4. To determine whether an absence is necessary or justifiable.
5. To discipline employees who violate this policy.

## **5.3 Employee Data**

### **Changes in Employee Data**

We maintain personal information on employees necessary for payroll purposes, administration of benefit plans, and other legitimate business needs.

It is the responsibility of each employee to promptly notify SCCE & HCCA of any changes in name, mailing address, telephone number, number and names of dependents, individuals to be contacted in the event of emergencies or changes in next of kin and/or beneficiaries. Notification of these changes should be given to Human Resources and updated in ADP within 30 days of the change.

## **5.4 Right to Review Personnel Record**

SCCE & HCCA maintains a personnel record on each employee, which may include: application for employment; wage or salary history; notices of commendation, warning, discipline, or termination; authorization for payroll deduction or withholding of pay; fringe benefit information; leave of absence records; job titles; dates of promotions, transfers and other changes; attendance records; performance evaluations; and retirement record, to the extent that these are maintained by the Company.

To the extent that the Company maintains a personnel record concerning an employee, the employee has the right to make a request in writing to review the personnel record once every six months while employed with the Company. If the personnel record is located in Minnesota, the Company must comply with the request no later than seven (7) working days after the request is received. If the personnel file is located outside of Minnesota, the Company must comply with the request to review it no later than fourteen (14) working days after the request is received, unless applicable state law requires a different response deadline.

For current employees, the Company must make the personnel record (or an accurate copy) available for review at the employee's place of employment or at another reasonable nearby location during normal hours of operation. However, the Company does not have to make an employee's personnel record available during the employee's working hours. The Company may require that the review occur in the presence of one of the Company's representatives. After the review concludes, and if an employee so requests in writing, the Company will provide the employee with a copy of the personnel record.

With respect to employees who are separated from employment, upon the employee's written request, the Company will provide the employee with a copy of the personnel record as long as SCCE & HCCA maintains the record.

The Company is not required to provide an employee with an opportunity to review his/her personnel record if the employee has reviewed it during the previous six months; except that, upon separation from employment, an employee may review his or her personnel record once each year after separation for as long as the Company maintains the personnel record. These guidelines regarding the frequency of review will apply absent any applicable state law to the contrary.

If an employee disputes specific information in his or her personnel file, the employee and the Company may agree to remove or revise the disputed information. If an agreement is not reached, the employee may submit a written statement no more than five pages long specifically identifying the disputed information and explaining the employee's position. The position statement will be included in the employee's file along with the disputed information for as long as the record is maintained.

The Company will not retaliate against an employee for asserting any of the rights or remedies listed within this section of the Employee Handbook.

## **5.5 Dress, Personal Appearance, and Grooming**

Dress, grooming, and personal cleanliness standards can impact the morale of all employees and affect the business image which SCCE & HCCA presents to members and visitors. During business hours and at any time when representing SCCE & HCCA away from the office, you are expected to present a clean and neat appearance, and to dress according to the requirements of your position and appropriate for a business setting. "Business casual" dress is acceptable any day, depending on client meetings and the like. Inappropriate attire should never be worn.

Please consult your manager or the Director of Human Resources if you have a question as to what is appropriate under this policy.

## **5.6 Emergency & Severe Weather Closing Procedures**

SCCE & HCCA management may decide to announce a company closing in emergency situations or in situations where severe weather conditions pose an extreme hazard to employees traveling to and/or from work.

In a situation where the news media has announced severe weather conditions but SCCE & HCCA has not announced that it will be closing, an employee may request approval from his/her Manager to leave work early to go home. Any hours taken off for this reason will be PTO or SSSL hours.

On rare occasions, unusual conditions cause interruption of the normal work schedule. The following is a guide for non-exempt staff.

If in the event of a snowstorm, failure of utilities, etc., the CEO, CFO, COO or other person in authority determines that the work day is to be discontinued, all employees who are at work and leave for the

balance of the day will be paid for the full scheduled work day. Under less severe conditions, employees may be given the option to stay or go home.

In the event an emergency situation exists at the start of the workday or continues from a previous day, employees who do not report for work will not be paid. Eligible employees, however, may use accrued vacation to avoid a pay reduction in these situations.

Part-time and temporary employees will generally not be paid for time lost due to inclement weather.

Exempt employees will be paid in accordance with the FLSA and are expected to make productive business use of their time away from work during inclement weather conditions.

### **Severe Weather During Work Hours**

During severe weather, the local community tornado siren will sound. At that time, ALL EMPLOYEES AND VISITORS should report TO THE DESIGNATED SEVERE WEATHER SHELTER.

### **Safety Shelter Locations**

The severe weather shelter is located in the basement of the building. The Manager or designated backup will ensure that employees and visitors seek shelter during severe weather and will also communicate when it is safe to return to work.

## **5.7 Good Housekeeping**

Good work habits and a neat place to work are essential for company safety and efficiency. You are expected to help keep SCCE & HCCA neat and organized at all times.

A lunchroom is available for your use. Although SCCE & HCCA provides general custodial care, you are expected to clean up after eating in this room. Each employee is responsible for keeping the lunchroom clean.

## **5.8 Personal Communication Devices**

The purpose of this policy is to promote a safe and productive work environment at SCCE & HCCA and to increase employee safety.

The use of personal communication devices can interfere with an employee's productivity and performance, and cause disruption and/or distraction for employees and co-workers. In addition, use of personal communication devices can create potentially unsafe working conditions.

Making, receiving, and/or returning calls on personally owned communication devices during work hours, or in work areas, should be restricted to breaks and lunch periods whenever possible.

Employees should be considerate of their co-workers, SCCE & HCCA members, and visitors and ensure that their personal cell phones do not ring in a manner that will distract or otherwise interfere with the ability to perform work productively. Cell phones should preferably be turned off or set to silent or

vibrate mode during work hours, meetings, conferences, and in other locations where incoming calls may disrupt normal workflow.

## **5.9 Cell Phone and Mobile Device Policy**

SCCE & HCCA reimburses for individual cellular phones to Company representatives who are required to be in close contact with the Company..

Employees eligible for reimbursement as approved by the Chief Operating Officer are those who have justifiable business use for mobile access that typically have job duties with the following requirements; available 24/7, 7 days a week, business travel a minimum of 6 times per year, or other reasons deemed appropriate by the Chief Operating Officer.

Reimbursement for mobile devices will be paid in the form of taxable income through bi-weekly payroll to cover fees associated with the cellular service and data plan. SCCE & HCCA assumes no responsibility for device replacement costs, contract termination fees, accessories, or maintenance expenses related to their device. Eligible employees may receive reimbursement for only one device. Management reserves the right to review, retain, or release personal and company-related data on mobile devices to government agencies or third parties during an investigation or litigation. Furthermore, no employee shall knowingly disable any network software or system identified as a monitoring tool.

While cell phones are a necessary convenience of the business world, we require that our employees follow the guidelines listed below for their own and others' safety.

The use of a personal cell phone while at work may present a hazard or distraction to the user and/or co-employees and may disrupt business operations. Employees using cell phones at work must make reasonable efforts to avoid distracting other employees or disrupting the Company's business operations.

Company policies pertaining to harassment, discrimination, retaliation, trade secrets, confidential information and ethics apply to the use of personal devices for work-related activities.

The safety and well-being of our employees is of critical importance to the organization. We have a responsibility to protect ourselves and others when we are conducting business on the road. Employees that are required to drive on company business at any time will be expected to adhere to all federal, state or local laws and regulations and company policy regarding the use of electronic communication devices while driving.

When operating a vehicle in the performance of company business, employees shall not operate a handheld cellphone or electronic communication device, to include texting, unless the vehicle is parked. This applies to company-owned communication devices and personally owned communication devices. Employees that need to initiate and/or receive a call or text message should locate a lawfully safe location to stop the vehicle prior to engaging the communication device. Usage of communication devices not in accordance with this policy should only be done in emergency situations as provided by law.

See Mobile Device Policy for eligibility, reimbursement, security, content management, terms and conditions. Privileges may be revoked or rescinded at any time deemed necessary. Failure to adhere

to the mobile device policy may result in disciplinary action. Human Resources should be contacted with any questions regarding this policy.

## **5.10 Disciplinary Action**

The purpose of this policy is to state SCCE & HCCA's position on administering equitable and consistent discipline for unsatisfactory conduct in the workplace that allows the employee an opportunity to correct undesirable behavior and performance issues and prevent reoccurrence.

Disciplinary action may include:

- verbal warning
- written warning
- suspension with or without pay
- termination of employment

Progressive discipline may not be followed in all situations. Depending upon the nature of the violation and the circumstances including, but not limited to, the employee's work record and past conduct, one or more steps of the progressive discipline process may be repeated or skipped. While it is impossible to list every type of behavior that may be deemed a serious offense, the Professional Code of Conduct includes examples of problems that may result in immediate suspension or termination of employment.

## **5.11 Safety**

Safety is a very important at SCCE & HCCA. Every employee must practice safety awareness by thinking defensively, anticipating unsafe situations, and reporting unsafe conditions immediately. SCCE & HCCA management and your coworkers depend on you to use safe practices and good judgment in every phase of your work. Good housekeeping is an important part of maintaining a safe workplace.

Each employee is expected to obey safety rules and to exercise caution in all work activities. You must immediately report any unsafe condition to your manager, the COO, or Human Resources. Employees who violate safety standards, who cause hazardous or dangerous situations, who fail to report, or, where appropriate, who fail to remedy such situations may be subject to disciplinary action, up to and including termination.

You should familiarize yourself with the location of fire extinguishers, first aid kits, the defibrillator, and emergency exits in the Company. Full and active support by each employee is essential to the achievement of safe practices at SCCE & HCCA.

## **5.12 Smoke-Free Workplace**

SCCE & HCCA is committed to providing a safe and healthy workplace and to promoting the health and well-being of its employees. As such, smoking or vaping is only permitted in designated areas. This includes cigarettes, cigars, pipes, smokeless/chewing tobacco, e-cigarettes, e-pipes, e-hookahs and e-cigars, vaping, or any other electronic nicotine delivery systems or electronic smoking devices.

### **5.13 Visitors in the Workplace**

SCCE & HCCA is committed to providing for the security of employees, of company property and confidential information, and of employees' personal possessions. For this reason, visitor access is limited and only authorized visitors are allowed in the workplace.

All visitors to SCCE & HCCA must be accompanied by a company employee at all times while on company premises. Visitors include parents, relatives and/or friends of employees, applicants, service personnel, independent contractors, vendors, volunteers or other individuals not employed by the Company.

All visitors are required to check in at SCCE & HCCA's reception area and wait until they are accompanied by a company employee. Employees are responsible for the conduct and safety of their visitors.

If an unauthorized individual is observed on SCCE & HCCA's premises, you should immediately notify a manager and/or Human Resources.

### **5.14 Political/Campaign Activities**

SCCE & HCCA encourages employees to exercise their constitutional right to vote and participate in the political process. However, political and campaign activities can be disruptive and are not allowed during work hours. In the interests of maintaining a productive and tension-free work environment, SCCE & HCCA has adopted the following policy restricting political and campaign-related activities.

#### **Prohibited Employee Activities**

Employees are not permitted to participate in any political activity that interferes with or disrupts the workplace in any manner. It is against this Company's policy for any employee to:

- Use work time or Company property or resources to accomplish goals that are politically motivated.
- Solicit or encourage monetary contributions or other support for a political party, campaign, candidate, or political belief during work hours.
- Use Company facilities such as break or eating areas, conference rooms, or offices, for any political or campaign activity.
- Utilize the Company's property, or Company-issued property, including, but not limited to telephones (both cellular and desk phones), computers, facsimile machines, email systems, interoffice mail or voicemail, photocopiers, postage, paper, envelopes, or other office supplies, for any political or campaign activity.
- Use the Company's name or affiliation in connection with any political or campaign activity, at any time, without the Company's express written approval.

Employees may be subject to disciplinary action, up to and including termination, for violating this policy.



## **Employees Running for Public Office**

Employees who decide to run for public office are expected to keep politics separate from employment and should not allow political involvement to interfere with work performance. SCCE & HCCA strictly prohibits employees seeking public office from using the Company's name in association with any political or campaign activity without the Company's express written permission.

Employees wishing to run for public office should notify their manager and Human Resources in writing of their intentions, specifying the position and venue in which they are seeking election. Employees running for office are expected to maintain all regular work duties during the campaign and upon election.

Employees elected to a full-time office are encouraged to either resign or request a leave of absence without pay. The Company does not guarantee that employees will be reinstated to their prior position or any other position upon return from a leave of absence for political service. Employees elected to public office must disclose to an officer of the Company the existence of any potential or actual conflict of interest affecting the employee's duties or loyalty to the Company and shall cooperate to the extent practicable to resolve such conflicts to the Company's satisfaction.

## **6. LEAVING SCCE & HCCA**

### **6.1 Continuation of Benefits (COBRA) / Health Insurance Portability (HIPAA)**

If you terminate your employment with SCCE & HCCA, you and/or your qualified dependents enrolled in the group health plan at the time of your separation from employment may be eligible to continue your health and life insurance coverage for a limited period of time, at your own expense, as provided by the federal Consolidated Omnibus Budget Reconciliation Act (COBRA) or applicable state insurance law. In addition, under the Health Insurance Portability and Accountability Act (HIPAA), you will receive a certificate of creditable coverage which you can use to prevent the imposition of a pre-existing condition exclusion under your new employer's group health plan, under certain conditions.

### **6.2 Employment Reference Checks & Verifications**

Requests received for employment references (both verbal and written) should be directed to Human Resources, who will provide a company response confirming dates of employment and position held.

Likewise, all employment verifications and reference checks should be forwarded to the Director of Human Resources. All requests will require the current or former employee's signature authorizing the release of information. Generally, the information released will include dates of employment, position held.

## 6.3 Return of Company Property

All Company property must be returned upon separation from employment. If you do not turn in Company property at that time, SCCE & HCCA may take further action to recoup any replacement costs and/or seek the return of Company property through appropriate legal action.

## 6.4 Termination Notice

If you plan to resign from your employment with SCCE & HCCA, please submit to your Manager a written notice of resignation at least two weeks in advance, including the last day to be worked.

## 7. *SCCE & HCCA Conferences and Employee Travel Policy*

When incurring business travel expenses, SCCE & HCCA expects that employees will exercise discretion and good business judgement with respect to those expenses.

Unless otherwise specified by formal arrangement, SCCE & HCCA will reimburse travel expenses (air or car) for SCCE & HCCA staff members attending an SCCE & HCCA conference or pre-approved activity.

### Airfare

Air fares up to \$1,000 for domestic and up to \$2,000 for international booked at least 14 days (domestic) or 28 days (international) in advance will be eligible for reimbursement, providing the ticket is in the lowest economy class that allows for advance seat selection. Travelers are expected to search multiple airlines to find the best deal that does not result in unreasonable routing. Sites like Expedia are useful for comparing fares and routing across multiple airlines. Any flights exceeding these amounts must be approved by a manager before making the reservation.

The following criteria will be utilized to determine reasonable airfare:

- The flight's departure or arrival time is within two hours before the desired departure or arrival time;
- One stop or connecting flights must be booked if savings of \$250 for domestic and \$500 for international can be achieved, provided the layover time is not excessive (generally two hours for domestic and four hours for international).

Baggage Fees: 1st baggage fee will be reimbursed

Rebooking Fees: Determined on a case by case basis depending on the individual circumstances

Premium classes seating (ex. first class, business class, economy plus, etc.) are not reimbursable even if the premium class ticket is cheaper than an economy or coach priced ticket. Early-bird check-in fees are reimbursable up to \$50 roundtrip.

For domestic trips involving at least one flight of 4 hours or more, a maximum of \$200 (above the base economy price described above) may be reimbursed for upgraded seating (e.g. economy plus, first class, etc). The \$200 applies to the total roundtrip fare for such upgrades, not per flight, and is in addition to the actual base economy fare (not to the \$1,000 maximum base fare described above).

For international trips involving at least one flight of 8 hours or more, a maximum of \$600 (above the base economy price described above) may be reimbursed for upgraded seating (e.g. economy plus, first class, etc). The \$600 applies to the total roundtrip fare for such upgrades, not per flight, and is in addition to the actual based economy fare (not to the \$2,000 maximum base fare described above).

In applying the preceding upgrade rules, documentation must be provided that shows the original base cost of the airfare prior to any upgrade fees, and then the total cost with the upgraded fees.

### **Driving/Rental cars**

Individuals driving to meetings or pre-approved activities are eligible for reimbursement at the recommended IRS reimbursement rate in effect at the time of the travel. Mileage to be submitted for reimbursement should be the total roundtrip mileage from home to the site and back, minus the roundtrip mileage you would ordinarily incur driving to and from the office in which you normally work.

Rental cars are not permitted without approval from the employee's manager. In the event a rental car is utilized, SCCE & HCCA personnel must accept the rental car agencies' insurance coverage. To receive approval employee will need to submit the total cost of renting the car vs other transportation options. (car, gas, insurance, tolls, etc)

The safety of employees and others is a primary consideration when driving. Employees are not to engage in texting while driving. Employees must comply with state and local laws regarding the use of cell phones while driving.

### **Airport Shuttle, Taxi and Transportation Services**

SCCE & HCCA employees will be reimbursed for the cost of transportation to and from airports (including applicable tips) and all other public transportation costs incurred during the course of business. Employees should choose the mode of transportation that is the most efficient and cost-effective for their particular situation. It is generally not appropriate to use luxury car services or valet services for employee business travel or for transportation to and from the airport.

### **Lodging**

SCCE & HCCA negotiates room blocks for many SCCE & HCCA conferences. If an employee wishes to pay his/her own hotel bill and be reimbursed, rather than having it charged to the room block, they must notify the conference planner, otherwise charges will be billed to the master. SCCE & HCCA will only pay for lodging expenses directly related to the SCCE & HCCA event.

Non-covered incidental expenses, including gym fees, in-room movies, mini-bar charges, alcohol charges, laundry, etc. unless previously approved, should be reimbursed to SCCE & HCCA within 30 days of an SCCE & HCCA event. However, SCCE & HCCA encourages a healthy lifestyle for our employees. Accordingly, for stays in excess of two nights, separate fitness center charges will be reimbursed on an "every other night" basis (e.g. 1 fitness center charge for a 3 night stay, 2 for a 4 night stay, etc).

Lodging is generally limited to one night for each day of the conference (typically the night before each day of the conference program). However, based on the location and agenda of a conference, as well as

availability of flights, additional nights may be warranted. When more than one night per conference day is expected, this should be approved in advance by the conference planner or the employee's manager.

For non SCCE & HCCA conferences employees are responsible for making their own room reservations. Employees are to book into the conference room block whenever possible and choose a reasonably priced hotel option if more than one option is available.

### **Food & Beverage**

At SCCE & HCCA conferences breakfast and lunch are usually provided, along with two beverage breaks. Employees are expected to eat the meals and/or beverages provided. **Any additional charges for meals or beverages already provided by SCCE & HCCA will not be reimbursed.**

At non SCCE & HCCA conferences, expenses will be reimbursed only for meals not provided in conjunction with the meeting or activity.

Spending limit for meals is as follows:

Breakfast: up to \$30

Lunch: up to \$30

Dinner: up to \$60

These spending limits include up to a 20% tip, all taxes and service charges (if applicable). Only **one** reasonable priced alcoholic beverage may be included with your dinner meal as long as the spending limit is not exceeded. Employees are to provide detailed receipts for all meal expenses. Detailed receipts for room service should be provided to the conference planner no later than three working days after you return to the office if billed to master account.

Spending limits cannot be combined; and any exception to these limits must be approved by a manager prior to the event.

Beverage and snack purchases made between meals are not reimbursable with the exception of water.

### **Other Travel Charges**

Employees are also eligible for reimbursement of the following travel-related costs incurred in connection with their employment with SCCE & HCCA:

- Vaccinations required by government agencies as a condition of entering a country
- Visas required to enter a country

### **Miscellaneous Expenses**

Other expenses related to SCCE & HCCA activities (tips, printing, meeting materials, etc. with the exception of hotel phone charges) incurred during approved activities are reimbursable with submission of detailed receipts.

### **Extended stay**

In the event one desires to extend their stay or add additional stopovers at either the frontend or backend of the trip for personal purposes, employee must receive prior approval (including allocation of cost) from their manager before any reservation is made. Employee is responsible for reimbursing SCCE & HCCA for any additional cost relating to the extended stay.

### **Travel with family/friends**

If bringing family/friends to a conference destination, employee must receive manager's approval. In the event employee incurs business related reimbursable expenses while accompanied by family/friends, employee should ask for a separate receipt (i.e. employee's meal is on their own bill). Any expense or increase in the amount of an expense due strictly to being with family/friends or traveling to see family/friends is not reimbursable.

### **Receipts**

Receipts are required for all expenditures billed directly to the Company. Receipts should include vendor's name, date, and the detailed expense (s), including tips (if applicable). SCCE & HCCA understands that there will be rare and infrequent occasions when it is not feasible to obtain a receipt or an employee loses/misplaces a receipt. Such expenditures will be reimbursable as long as the expense is documented and considered reasonable based on the particular circumstance.

### **Personal Expenses**

All personal charges on hotel bills or the Association credit card must be paid back by SCCE & HCCA employees. It is the responsibility of SCCE & HCCA employees to notify and reimburse the Accounting Department of such charges prior to their being paid by the Association.

### **Reimbursement Process**

Complete an SCCE & HCCA reimbursement form and submit it with detailed receipts for all incurred expenses or other documentation of expense to the SCCE & HCCA accounting department within 30 days of incurring the expenses (s). Reimbursement will be paid within 15 days.

Management reserves the right to deny or reduce the amount reimbursed for any expenditure outside this policy or deemed unreasonable.

### **Visa/Passports**

The cost of visa's and passports for international travel related to SCCE & HCCA business is reimbursable.

### **Travel Time**

The hours paid for nonexempt employees regardless if traveling during the work week or on the weekend, begin with number of minutes prior to departure recommended by the National Airport of the city you are flying to. For flights home the time ends when the employee is departing the airport. When traveling to event destination, the time ends when the employee has arrived at the event destination and is not scheduled to work.

Exempt employees who travel during the weekend are entitled to earn comp time based on travel time. (Up to the maximum of 8 hours) The time begins with the number of minutes prior to departure

recommended by the National Airport for your departure city. The time ends 30 minutes after the flight reaches its destination.

All accumulated but unused “comp time” will be forfeited upon Exempt employee’s termination of employment with SCCE & HCCA.

### **Alcohol Consumption**

Employees may not consume alcoholic beverages at SCCE & HCCA conferences during working hours and or while exhibiting on behalf of SCCE & HCCA.

### **Appearance, Behavior and Personal Time Guidelines**

As an SCCE & HCCA employee and representative of the organization, you are expected to maintain a high standard of professional personal conduct at all times during a company event. Your behavior, appearance, attitude, and general conduct are constantly observed by attendees, Board Members, and fellow staff.

While at an SCCE & HCCA event, dress in a professional manner (dress pants – black or khaki). Please refer to SCCE & HCCA policy regarding tattoos, piercing, offensive jewelry etc. During non-working hours, dress in a manner comfortable to you, but please keep in mind that you are representing SCCE & HCCA.

Failure to follow these guidelines while representing SCCE & HCCA at events or any behavior deemed as unprofessional or inappropriate may be grounds for termination.

I understand it is my responsibility to read and abide by the *SCCE & HCCA Conferences and Employee Travel Policy* Guidelines.

## Employee Acknowledgement - Electronic Handbooks

I acknowledge that I have received a copy of SCCE & HCCA's Employee Handbook. I understand that the contents of this handbook are for general information and guidance and it does not constitute a contract. I understand that it replaces and supersedes any previous policies, manual or communications, whether written or oral. I further understand that all contents in this Employee Handbook are subject to change at any time, without notice, in accordance with applicable laws. I understand that I must refer to the on-line version of the handbook for the most current and up-to-date version of all topics.

I have entered into my employment relationship with SCCE & HCCA voluntarily and acknowledge that there is no specified length of employment. Employees have the right to terminate the employment relationship with SCCE & HCCA at any time, with or without notice, for any reason. The Company has the same right to terminate the employment relationship at any time, with or without notice, for any reason not prohibited by law. The Company retains sole discretion to add, delete, or change anything contained in this handbook except the portion addressing employment at-will.

This handbook may not be altered or amended without the written authorization of the CEO. The Company reserves the right to change or cancel any policy or procedure at any time, without notice, as allowed by law. Any statement for any term or condition of employment which conflicts with any information contained in this handbook must be in writing and authorized by the CEO.

I understand it is my responsibility to read and understand the contents of this Employee Handbook.

Topics included in this handbook include:

- Standards of Conduct – (for example: Workplace Expectations, Equal Employment Opportunity, Harassment & Professional Conduct, Conflict of Interest or, Anti-Bribery etc.). These policies cover the Company's expectations regarding non-discrimination, respect, positivity and civility in the workplace.
- Compensation – (for example: Employment Classifications, Hours of Work, Meal and Other Break Periods, Overtime, Paydays, etc.). These policies cover the Company's expectations regarding how pay is determined and paid out, how positions are classified, work hours, and breaks.
- Benefits – (for example: General Information & Eligibility, COBRA, Employee Assistance Program, Insurance Plans, Holidays, etc.). These policies cover mandated benefits, benefits coverage, eligibility, and fringe benefits.
- Attendance & Time Away From Work – (for example: Attendance Expectations, Leaves of Absence, Time Off Benefits, Sick Leave, Paid Time Off, etc.). These policies cover the Company's expectations regarding punctuality, notification, eligibility and reporting time away from work.
- Time at Work – (for example: Communication, Confidentiality, Solicitation, Expense and Travel Reimbursement, etc.). These policies cover the Company's expectations regarding ethical guidelines, solicitation and distribution, and discussions at work.

If I do not understand any provision of the handbook, I will contact my immediate manager or the Director of Human Resources for clarification.

I will print and sign this form indicating that I have accessed the handbook on the Company’s intranet site, read and understand the handbook, agree to comply with the handbook’s provisions, and also understand that I can receive a printed copy of the handbook at any time.

Employee Signature \_\_\_\_\_

Print Name \_\_\_\_\_ Date \_\_\_\_\_

**Note: All employees are required to acknowledge receipt of the Employee Handbook by signing and dating this acknowledgement. This acknowledgement will be placed in the employee’s personnel file.**