

children's
institute



STRENGTHENING SOCIAL AND
EMOTIONAL HEALTH

POLICY MANUAL

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Table of Contents

Welcome to Children’s Institute, Inc. iii

A Letter from our Executive Director..... iv

Vision..... v

Mission..... v

Organization..... v

Equal Employment Opportunity v

Open Door Policy v

Employment Practices 1

Policy 200 – Work Week..... 2

Policy 203 – Employment Classifications 3

Policy 206 – Overtime 4

Policy 207 – Employment of People with Disabilities 5

Policy 209 – Meal Periods 6

Policy 212 – Attendance and Punctuality 7

Policy 215 – Severe Weather or Emergency Conditions..... 8

Policy 218 – Timekeeping 9

Policy 221 – Performance Evaluation..... 10

Policy 224 – Compensation 11

Policy 227 – Personnel File 12

Policy 230 – Corrective Discipline 13

Policy 235 – Separation from Employment..... 14

Benefits 15

Policy 300 – Holidays..... 16

Policy 303 – Vacation..... 17

Policy 306 – Sick Leave 18

Policy 309 – Family Leave 19

Policy 312 – New York State Short-Term Disability 20

Policy 315 – Workers’ Compensation 21

Policy 318 – Jury Duty 22

Policy 321 – Funeral Leave 23

Policy 324 – Military Leave 24

Policy 327 – Education and Training..... 25

| | |
|--|----|
| Policy 330 – Direct Deposit..... | 26 |
| Policy 335 – Tuition Benefits | 27 |
| General Policies | 28 |
| Policy 100 – Policy Manual Amendment | 29 |
| Policy 103 – Workplace Harassment..... | 30 |
| Policy 106 – Non-Fraternization..... | 35 |
| Policy 109 – Copyright..... | 36 |
| Policy 112 – Intellectual Property and the Assignment of Inventions..... | 37 |
| Policy 115 – Obscene Materials | 38 |
| Policy 118 – Solicitation and Distribution..... | 39 |
| Policy 121 – Personal Appearance | 40 |
| Policy 124 – Calls from the Media | 41 |
| Policy 127 – Confidentiality | 42 |
| Policy 130 – Data Set Use | 43 |
| Policy 133 – Internet and E-mail | 44 |
| Policy 136 – Professional Conduct..... | 46 |
| Policy 137 – Whistleblower..... | 47 |
| Policy 138 – Scientific Misconduct | 49 |
| Policy 139 – Organizational Performance | 51 |
| Policy 142 – Investment..... | 52 |
| Policy 145 – Institutional Review Board..... | 53 |
| Policy 148 – Conflict of Interest..... | 54 |
| Policy 148-A – Conflict of Interest Acknowledgement Form..... | 56 |
| Policy 148-B – Annual Disclosure Questionnaire | 57 |
| Policy 148-C – Board of Directors Committee Page..... | 59 |
| Policy 149 – Bilateral Confidential Disclosure | 60 |
| Policy 151 – Political Activities | 61 |
| Policy 154 – Clean Air / Smoking | 62 |
| Policy 157 – Drug-Free Workplace | 63 |
| Policy 160 – Travel Reimbursement..... | 64 |
| Policy 180 – Compensation of Board Members | 65 |
| Rules of Staff Conduct..... | 66 |
| Policy 400 – Rules of Staff Conduct | 67 |
| Policy 403 – Handbook Acknowledgement by Staff Member | 69 |
| Policy 406 – Handbook Acknowledgement by Board Member | 70 |

Welcome to Children's Institute, Inc.

This handbook has been prepared to guide you in better understanding the policies, procedures, and practices of Children's Institute. The ultimate objective of these policies is to foster a satisfying and rewarding experience for all, so that the mission of Children's Institute can be achieved. **This handbook does not represent an employment contract between Children's Institute, its employees or those who work on Children's Institute's grants, contracts or projects, all of whom are known as staff.** The material contained in this handbook applies to staff members, board members and others as specified. The guidelines described in it are for information purposes only and may be changed by Children's Institute at its sole discretion. Staff members of Children's Institute are engaged in an "at-will" relationship, meaning that either the staff member or Children's Institute is free to terminate the relationship at any time for any reason.

The Board, leadership team and staff recognize that services need to be effective and culturally competent and also recognize the importance of a supportive work environment where individuals do not feel threatened for being who they are.

Because we cannot be all-inclusive here, please feel free to speak with your supervisor or those on the leadership team, if you have any questions. We will do our best to see that our policies are kept current.

This policy handbook is a publication of the Board of Directors and may be modified or amended by the Board at any time and for any reason. When there is a change in policy, we will update the manual as soon as possible.

A Letter from our Executive Director

It is with pleasure that I welcome you to Children's Institute. I hope your involvement with Children's Institute will be one of which you will be extremely proud.

Our most important job is providing high quality services to the children, families, providers, and communities we serve. Children's Institute is known as a leader in facilitating children's well-being and local partnerships with community agencies, schools, foundations, and various departments of government. Children, their families, and the community come first.

To the community, staff and board members are Children's Institute. The extent to which Children's Institute is considered friendly, knowledgeable, efficient and reliable will be measured by how others see these qualities in you as an individual. The continued success and growth of our organization depends on your talents and how they promote excellent relations with those working with Children's Institute.

Children's Institute began in 1970 with a core program, Primary Project, in one school here in Rochester, New York; at present, this program serves over 40,000 children a year across the United States. As that one program matured, research and development began on other prevention and early intervention programs and resource materials. Now we have a diverse portfolio of programs, services, assessment tools and training and offerings that promote the social and emotional health of children and their families.

Current staff members include psychologists, an economist, a pediatrician, educators, social workers, business professionals, and experts in public policy. In addition, a creative and dedicated team of administrative and support staff focuses on organizational details, financial planning, communications, and data analysis and processing. This diversity of educational backgrounds allows us to provide new and innovative solutions for real-life challenges facing our children.

As you work with Children's Institute, you will find that staff members are ready to assist you, and you will receive guidance to acquaint you with your new duties and responsibilities. Please accept my wishes for success in your position.



A. Dirk Hightower, Ph.D.
Executive Director

Vision

To become a nationally recognized center of excellence for the social and emotional health of children, their families, and their communities.

Mission

To strengthen children's social and emotional health.

Organization

Children's Institute is a not-for-profit 501(c)(3) charitable organization serving communities worldwide with headquarters in Rochester, New York.

Equal Employment Opportunity

Children's Institute is committed to equal employment opportunity for all persons regardless of race, religion, color, national origin or citizenship, ancestry, gender, age, disability, sexual orientation, marital, military or veteran status, or any other status or characteristic protected by law. Children's Institute strives to make all decisions concerning hiring, staffing, promotion, training, compensation, discipline, and other terms and conditions of employment solely on the basis of qualifications, without regard to any staff member's race, religion, color, national origin, gender, age, disability, sexual orientation, marital, military or veteran status, or any other status or characteristic protected by law.

Open Door Policy

Staff members' suggestions to improve processes, products or relationships are welcome and encouraged. Sometimes issues or problems will arise. Problem solving that will successfully address such issues or problems is encouraged and supported. As a first step, discuss the issue with the person involved, or try to address the issue. However, if a problem or complaint persists, **consult** your immediate supervisor. Express your views in a fair and honest manner. Try to be specific when stating the problem and possible solutions. No one will be penalized for offering constructive criticism in a professional and respectful way.

If a discussion with your immediate supervisor and actions by him or her do not resolve the matter to your satisfaction, or if the problem is with your immediate supervisor, then you should next discuss it with the Executive Director.

Employment Practices

Policy 200 – Work Week

Standard office hours are Monday through Friday, from 8 a.m. to 5 p.m. However, our work week is flexible and work schedules are the responsibility of the immediate supervisor. The work week starts at 12:01 a.m. on Monday and ends at 11:59 p.m. on Sunday.

Policy 203 – Employment Classifications

As an employee of Children’s Institute, you are an “employee at will.” This means that either you or Children’s Institute may choose to terminate the employment relationship at any time, with or without cause, and with or without advance notice. We request that whenever possible, as a courtesy, you provide advance notice of your intention to terminate employment, so that we may plan accordingly. Hourly employees are expected to provide at least two (2) weeks’ notice before leaving. Salaried (exempt) employees are expected to provide four (4) weeks’ notice.

Any information outlined in this Manual or in any other Children’s Institute document, except a written employment contract executed by the parties thereto (in which case, how and when a termination or resignation may occur will be controlled by the terms of such employment contract), does not modify the employment at will policy and should not be interpreted to mean that termination will occur only for “just cause.” This Manual does not create an expressed or implied contract of employment for a definite and specific period of time between you and Children’s Institute, or otherwise create express or implied legally enforceable contractual obligations on the part of Children’s Institute concerning any terms, conditions, or privileges of employment. Except for an employment contract, any documents or statements, written or oral, prior, current, or future, that conflict with the employment at will policy, are void.

Salaried (exempt) employees are paid a set salary regardless of the number of hours worked and are not eligible for overtime pay.

Hourly (non-exempt) employees are paid on an hourly basis and are eligible for overtime pay in accordance with the “Overtime” policy.

Full-time Employment – The standard workweek is 40 hours per week, however, employees are considered to be employed full-time if they normally and regularly work at least 35 hours per week, 52 weeks per year, excluding vacation and holidays. Temporary employees, however, are not considered full-time employees even if they satisfy the minimum hours standard for full-time employment. Full-time employees are eligible for all benefits offered.

Part-time Employment – Employees are considered to be employed part-time if they regularly work between 17.5 and 35 hours per week, 52 weeks per year, excluding vacation and holidays. Part-time employees are eligible for certain benefits, as discussed in this section.

Time as Reported (TAR) – Employees are considered to be “time/task as reported” employees if they work fewer than 17.5 hours per week, do not work a regular schedule, or are providing specific tasks such as interviews or classroom observations. TAR employees are eligible only for statutory benefits.

Temporary Employment – Employees are considered to be temporary employees if they are hired for a specified period of time. Temporary employees are eligible only for statutory benefits.

Any concerns about your employee classification should be addressed to your supervisor.

Policy 206 – Overtime

All hourly (non-exempt) employees will be paid overtime (1½ times your regular rate) for any hours worked over 40 hours in a work week. Prior approval for overtime work must be granted by the immediate supervisor.

Policy 207 – Employment of People with Disabilities

Children's Institute is committed to the goal of providing equal opportunity to all qualified individuals who have a disability.

In order to meet this objective, the organization has established the following:

- a. Children's Institute will recruit, hire and promote for all positions without regard to disabled veteran, Vietnam Era veteran, or other eligible veteran status, age, race, creed, color, national origin, sexual orientation, military status, sex, disability, genetic predisposition of carrier status, marital status or any other status protected by law.
- b. All employment and promotion decisions will be based solely upon the individual's qualifications for and ability to perform the essential functions of the position being filled, with or without reasonable accommodation.
- c. All other employment practices such as compensation, benefits, transfers, layoffs or terminations, selection for training, work assignments, social and recreational and other programs are administered without regard to the above, except where there is a verifiable occupational requirement.
- d. Children's Institute is committed to providing a reasonable accommodation to the known physical limitations of such individuals so they can perform the essential functions of a job, unless the accommodation would create undue hardship.

Policy 209 – Meal Periods

Meal breaks are unpaid and may be up to one hour in length, depending on the employee's work schedule, as determined by the employee's supervisor. All employees who work more than six (6) hours on a given day are entitled to a meal break of at least one-half hour.

Policy 212 – Attendance and Punctuality

Children’s Institute believes that a good record of attendance and punctuality is an essential component of good work performance. You are expected to be at your workstation, dressed appropriately and ready to work, by your scheduled start time. If, for any reason, you are unable to report for work on time, or unable to remain at work until the end of your shift or normal work day, you must notify your supervisor.

If a staff member is ill and unable to report to work at the scheduled time, he or she is to notify the supervisor as soon as professionally reasonable during regular work hours. If the supervisor is not available, the staff member should leave a message on the supervisor’s voice-mail.

Habitual absenteeism and/or tardiness will be a matter for disciplinary action.

Three consecutive days of unreported absence (no call/no show) will be considered a voluntary resignation.

Policy 215 – Severe Weather or Emergency Conditions

Children’s Institute will remain in operation and continue regular services and schedules during adverse weather conditions, transportation or utility problems, or similar interruptions. Staff members are expected to use their best judgment in determining whether or not to report to work as scheduled.

If staff members are unable to report to work at their scheduled times, each is to notify his or her supervisor as soon as possible. If the supervisor is not available, the staff member should leave a message on the supervisor’s voice-mail.

In the case of natural disasters or catastrophic events, employees should consult the Business Resumption Procedures.

Policy 218 – Timekeeping

All hourly employees and those salaried employees when requested to do so, must turn in a signed time sheet within 2 days after the end of every pay period, noting time worked, vacation, holiday and sick time. Time sheets must be signed by the immediate supervisor.

Honest and accurate time reporting is essential for Children’s Institute to compensate employees appropriately. Employees may not falsify their own or another’s time sheet. No one other than an employee’s immediate supervisor, or the Executive Director or his or her designee, may sign an employee’s time sheet.

Policy 221 – Performance Evaluation

The primary purpose of a performance evaluation is to provide communication between a staff member and his or her supervisor concerning all aspects of job and performance progress. Documented performance evaluation is a significant part of the employment record, which influences recommendations for salary increases, promotions, transfers, layoffs, and/or terminations. Each employee should receive a performance evaluation after completing the first six months of service and at least once per year thereafter. Because performance feedback should be an ongoing process, supervisors should give feedback and provide coaching or counseling throughout the year. Formal performance evaluations may be done more frequently than one per year, as necessary.

Policy 224 – Compensation

Our philosophy is to pay individuals in a fair and equitable manner for work performed. The various factors that affect pay levels include the labor market, internal equity, employee qualifications and performance, and the organization's financial constraints. These factors are reviewed periodically as the basis for establishing wage and salary guidelines.

Policy 227 – Personnel File

Children’s Institute maintains a personnel file for each employee. This file contains the application for employment, government forms, insurance forms, and other materials pertinent to each staff member’s employment. Privacy as a Children’s Institute employee will be protected in the collection, maintenance and use of information. Information will be used to satisfy legitimate business purposes or as required by law.

Keeping each file updated and accurate is very important. Each employee should report in writing to the Director of Finance and Administration any change in status. Staff members should be certain to report any change in name, address, telephone number, marital status and/or number of dependents.

A staff member may review his or her personnel file in the presence of a representative from Finance and Administration, or the Executive Director. The staff member should notify the Director of Finance and Administration of the desire to review his or her personnel file and request an appointment to do so.

Policy 230 – Corrective Discipline

When an employee's conduct interferes with the operation of Children's Institute or the employee's performance is below standards, the immediate supervisor will take corrective disciplinary action as warranted. Corrective discipline provides the opportunity for employees to be warned of the seriousness of unacceptable behavior or continued poor performance and the consequences if the misconduct or poor performance continues, although serious misconduct may result in suspension or discharge without prior discipline. There are no automatic measures of corrective action; the seriousness of the infraction, the circumstances, and the employee's prior conduct and work record will be considered. The employee will be given the reason for the action and an opportunity to present his or her side of the story.

Disciplinary actions may include verbal warning, written warning, disciplinary suspension, or discharge. Some types of misconduct may warrant immediate discharge without prior discipline. These types of misconduct include, but are not limited to, the unauthorized removal of property or resources, violation of Children's Institute policies concerning drug-free workplace or workplace harassment, fighting or willfully attempting to injure another person, falsification of records, willful breach of confidentiality, insubordination, abusive or threatening remarks, and on-the-job criminal activity. Employees are referred to the section on Rules of Employee Conduct for further information.

Policy 235 – Separation from Employment

If you wish to resign your employment with Children’s Institute, you must notify your supervisor in writing. Hourly employees are expected to provide at least two (2) weeks’ notice before leaving. Salaried (exempt) employees are expected to provide four (4) weeks’ notice. Employees who provide the requested notice will be paid for any accrued, unused vacation time, up to one year’s accrual. Employees may not use vacation or other leave time in lieu of notice.

If your employment is terminated by Children’s Institute, you will not be paid for any accrued, unused vacation time. An exception may be made by the Executive Director if employment is terminated as part of a layoff or reduction in force and is not prompted by the employee’s job performance or conduct.

Upon separation from employment, for whatever reason, you are required to return all Children’s Institute property, including, but not limited to, any computer, printer, personal digital assistant, cell phone, credit card, calling card, or pager.

Benefits

The following benefits will be provided to Children's Institute full-time employees and to part-time employees as specifically noted.

Policy 300 – Holidays

**New Year’s Day
Memorial Day
Independence Day
Labor Day**

**Thanksgiving Day
Friday after Thanksgiving Day
Christmas Day**

If any of the paid holidays specified above fall on a Saturday or Sunday, the preceding Friday or following Monday shall be observed, as designated by the Executive Director.

Full-time employees shall receive holiday pay at their regular rate of pay. Part-time employees shall receive holiday pay based on their regular rate of pay on a prorated basis.

Full and part-time employees who are not scheduled to work on a paid holiday shall be paid for the day (a day is equal to one-fifth of the employee’s regular work week).

If a scheduled holiday falls within an employee’s vacation period, the employee will receive the holiday pay and will not be required to use vacation time for that day.

Policy 303 – Vacation

Full- and part-time employees are eligible for paid vacation based on the length of their employment and the number of hours worked per pay period. Staff members will begin to earn vacation starting with the date of employment and continue to earn a portion of vacation each pay period. Staff members are eligible to take vacation, with the prior approval of the immediate supervisor, after having completed 6 months of service.

The number of vacation days for which staff members are eligible is available from the Director of Finance and Administration. A staff member may not take more vacation time than he or she has accrued without express prior approval from the supervisor.

Although vacation time is earned each pay period, the vacation year is the calendar year. Accrued vacation time should be taken during the same calendar year in which it is earned, whenever possible. At the beginning of the first full pay period each January, a maximum of one year's accrual may be carried forward, unless an exception is made by the Executive Director (or by the Board President for the Executive Director). During the year, vacation accruals will continue to be earned, but any unused time will be reduced to one year's accrual at the end of the calendar year.

Accrued, unused vacation, up to maximum of one year's accrual, will be paid upon resignation only if the employee has provided the amount of notice requested in the section on "Separation from Employment." No vacation accruals will be paid to an employee terminated by Children's Institute, except as noted in that section.

Policy 306 – Sick Leave

Full- and part-time employees are eligible for paid sick leave based on the length of their employment and the number of hours worked per pay period. The number of days of sick leave for which an employee is eligible is available from the Director of Finance and Administration.

Sick leave is granted for the illness, injury, or other medical condition of the employee that prevents the employee from coming to work. With advance approval from the supervisor, an employee may use sick pay to make up for time lost from work for visits to the doctor or dentist. Sick leave may not be used to stay home with ill family members. (See the following section on “Family Leave.”)

If an employee is ill and wishes to use paid sick leave, he or she must notify the supervisor as soon as professionally reasonable. Failure to do so will result in an unexcused absence. In cases of emergencies requiring immediate medical treatment, the employee must notify the supervisor as soon as possible. For absences of one week or more, the employee may be asked to provide a doctor’s certificate releasing him or her to return to work.

Policy 309 – Family Leave

Children’s Institute is not large enough to be covered under the Family and Medical Leave Act. Children's Institute nonetheless recognizes, however, that employees have family responsibilities for which, from time to time, they may require leave from their work responsibilities. Children’s Institute is strongly committed to making leave available on an individualized basis to assist employees in meeting those responsibilities. It is also recognized, however, that it is difficult to complete the Institute’s work if employees are absent. Accordingly, the legitimate concerns for the health and well-being of employees and their families must be balanced carefully with operational requirements.

Employees who wish to take family leave must submit a written request to their supervisor. If the need for leave can be anticipated, employees should submit a request at least 10 business days in advance. The following guidelines will be used to evaluate requests for leave in connection with family responsibilities.

Medically necessary absences due to pregnancy, childbirth or related medical condition will be treated like absences due to any other illness, injury or medical disability. Employees disabled due to pregnancy are eligible for New York State short-term disability benefits. (See following section.)

Leave may be granted, on a discretionary basis, for either parent to care for a newborn or newly-adopted child. This leave is in addition to any medically necessary leave due to pregnancy and childbirth. In reviewing requests for child care leave, the same criteria will be used to consider requests from parents of either gender.

Children’s Institute also may grant “compassionate” leave, on a discretionary basis, in particular circumstances. “Compassionate” leave may be granted for an employee to care for a seriously ill member of the employee’s immediate family or for a seriously ill person for whom the employee is the primary caretaker. Factors that may be considered in reviewing such a request include the nature of the illness; whether the condition requires participation of a family member or caretaker to provide care; and whether others are available to provide such care. “Compassionate” leave also may be granted to allow the employee, in extraordinary circumstances, to provide special guidance, care or supervision to a member of the employee’s immediate family or other person for whom the employee is the primary caretaker. For purposes of “compassionate” leave requests, “member of the employee’s immediate family” includes spouse, partner, child, parent, grandparent, or parent-in-law. Such “compassionate” leave also may be granted to permit the employee time to mourn the death of an immediate family member (as defined under “Funeral Leave”) or of a person for whom the employee is the primary caretaker.

Each family leave request will be reviewed and evaluated on its own circumstances, taking into account the employee’s needs and the operational needs of Children’s Institute. Employees who are granted family leave may use accrued vacation time to continue their pay. Any leave not covered by vacation is unpaid. While on family leave, employees do not accrue any additional vacation or sick time.

Policy 312 – New York State Short-Term Disability

Employees who become disabled as a result of any accidental bodily injury or any sickness not arising out of and in the course of employment, including pregnancy-related disability, will be eligible to receive benefits under the New York Disability Benefits Law (“DBL”), providing documentation by a physician is received by Children’s Institute. Under the DBL, employees pay 60 cents a week toward the cost of this coverage; Children’s Institute pays the remaining cost. Benefits are paid beginning on the eighth calendar day of disability and continue for up to twenty-six (26) weeks. Under the DBL, benefits are paid in the amount of 50% of your weekly wage, up to a maximum of \$170 per week. If an employee is disabled for more than seven (7) calendar days, he or she should contact the Director of Finance and Administration, who will send him or her the appropriate forms.

Paid sick leave may be used to cover the initial seven days of disability, and also may be used simultaneously with the disability leave to supplement the benefits provided by law. At such time that all accrued sick leave has been used, then unused vacation may be used. In either case, however, the combined total pay received cannot exceed the regular rate of pay. An employee will not be paid for any holiday that occurs while he or she is on disability, even if he or she is using sick or vacation time. An employee will not earn any accrued benefits during the disability leave.

Policy 315 – Workers’ Compensation

Safety is a priority at Children’s Institute. We strive to provide a clean, hazard-free, and safe environment in accordance with the Occupational Safety and Health Act of 1970 and NY/OSHA. As an employee, you are expected to take part in maintaining this environment. You should observe all posted safety rules, adhere to all safety instructions provided by your supervisor, and use safety equipment when required. It is your responsibility to learn the location of all safety and emergency equipment, emergency exits, as well as the safety and/or emergency phone numbers.

Employees who become disabled as a result of any accidental bodily injury or illness arising out of and in the course of employment are eligible for benefits under the New York Workers’ Compensation Law. Workers’ Compensation covers the cost of medical care and treatment and replaces certain wages lost if an employee is unable to work due to an on-the-job injury or illness. The cost of this coverage is paid for entirely by Children’s Institute. Under the Workers’ Compensation Law, benefits are not paid for the first seven calendar days of work-related disability; however, if an employee is disabled from working for more than fourteen calendar days, benefits will be paid from the initial date of disability.

If an employee is injured on the job, he or she must report the accident immediately to his or her supervisor. An accident report form must be completed within twenty-four (24) hours of the accident.

An employee may use paid sick or vacation leave for the first seven calendar days of disability. If he or she is awarded Workers’ Compensation benefits covering that period, the sick/vacation days will be reinstated. In no case may his or her combined compensation (wages, sick leave and/or Workers’ Compensation benefits) exceed his or her regular rate of pay. An employee will not be paid for any holiday that occurs while he or she is on Workers’ Compensation, even if he or she is using sick or vacation time. An employee will not earn any accrued benefits during the Workers' Compensation leave.

Policy 318 – Jury Duty

An employee who is summoned for jury duty must make arrangements with his or her immediate supervisor in advance of the absence and must provide a copy of the jury summons. The employee will be paid full pay by Children’s Institute for the duration of service.

If the jury service does not occupy the full day, the employee is expected to report to work for the balance of his or her scheduled work time.

Policy 321 – Funeral Leave

With supervisor approval, an employee may be granted up to five (5) working days with pay due to a death in the immediate family. The absence must be reported to the immediate supervisor on the first day of absence. Immediate family shall include: parent or guardian, brother or sister, son or daughter, including in-laws in each case; spouse, partner, grandparents, grandchildren, ward, or any other individual who was a permanent resident of the employee's household at the time of death.

Policy 324 – Military Leave

Full- or part-time employees who are called for active duty in the U.S. military service will be placed on military leave of absence and treated in accordance with federal and state laws governing re-hire and reinstatement in benefit plans. Employees may extend health insurance benefits at their own expense during the period of military leave. A copy of the orders must be submitted to the Director of Finance and Administration before the leave.

As required by law, Children’s Institute also will grant a temporary military leave of absence in the event a full- or part-time employee is called to duty as a member of the military reserves or during a regular or limited reserve service period. A copy of the reserve orders must be submitted to the Director of Finance and Administration before the leave.

Policy 327 – Education and Training

Children’s Institute encourages employees to attend workshops and seminars of a job-related nature. Paid time off to attend such workshops may be granted upon the written approval of your immediate supervisor.

Policy 330 – Direct Deposit

An employee's paycheck may be automatically transferred to any type of account through arrangements with the payroll service. Direct deposit takes at least two weeks to process. Employees may request direct deposit by contacting the Director of Finance and Administration.

Policy 335 – Tuition Benefits

The Tuition Reimbursement Program of Children’s Institute is designed to encourage personal development of individual staff members in career fields related to Children’s Institute.

Courses must 1) be taken at an institution in the Rochester area (unless an exception is made by the Executive Director), 2) award credit beyond the high school level, and 3) issue a grade or certificate of completion.

To receive tuition reimbursement, the employee must receive approval from his or her supervisor and the Executive Director before registering for each course, and the employee must receive a grade of C or higher for undergraduate courses or B or higher for graduate courses.

Only staff members who have worked at Children’s Institute for at least three years full-time or five years part-time qualify for the program. Those receiving reimbursement agree to continue employment at Children’s Institute for a minimum of one (1) year following completion of the course or courses, if taken simultaneously. If the employee resigns voluntarily before one (1) year, the tuition reimbursement grant is to be paid back in full to Children’s Institute. If a staff member’s employment is terminated for cause, the tuition reimbursement grant is to be paid back in full to Children’s Institute.

General Policies

Policy 100 – Policy Manual Amendment

Acknowledging that from time to time it may be necessary or desirable to add to, delete, or amend the policies of Children’s Institute, this policy allows the Board of Directors to make such changes.

Process:

1. Requested policy language will be brought to the Executive Committee of the Board of Directors for initial review, discussion and recommendation to the full Board of Directors.
2. Once the language is recommended by the Executive Committee, the requested policy language change will be distributed to all regular members of the Board of Directors for action over at least two meetings of the full Board of Directors.
 - a. At the initial meeting, or first reading, there will be review and discussion, and amendments to the requested policy language may be proposed.
 - b. At the second or subsequent meetings, or second or subsequent readings, appropriate action may be taken by the Board including: additional review and discussion, presentation and approval of amendments to the requested policy language, and voting on the policy language.
 - c. Approval of policy language requires a majority of those present. Proxy or electronic votes by those not present will not be permitted unless the board member can communicate with the board and participates fully in any discussion, such as by phone, teleconferencing, etc.
3. Once policy language is approved by the full board as prescribed above, the new policy will take effect immediately, unless otherwise specified by the board as part of the policy language approved.

Policy 103 – Workplace Harassment

Children’s Institute is committed to maintaining a work environment that respects the dignity of individuals and is free of discrimination and harassment based on a person’s race, religion, color, national origin or citizenship, ancestry, gender, age, disability, sexual orientation, marital, military or veteran status, or other legally-protected status, consistent with applicable laws. Any such harassment is prohibited by this policy whether or not it also violates the equal employment opportunity laws. This policy applies to all staff members, volunteers, or visitors to Children’s Institute. Harassment (as defined below) is strictly prohibited, whether directed at a staff member, volunteer, vendor, customer or any other person.

Harassment is prohibited, whether in the office, in work assignments outside the office, or at events sponsored by Children’s Institute. In addition, Children’s Institute will seek to prevent the harassment of its staff by persons who are not Children’s Institute staff members, but who are on Children’s Institute premises or who are doing business with or for Children’s Institute.

Harassment will not be tolerated. Should any harassment occur Children’s Institute will take prompt action to prevent it from continuing or recurring. Any individual found to have engaged in harassment will be disciplined, up to and including termination of employment or other affiliation with Children’s Institute. A Harassment Complaint Resolution Procedure is included with this policy.

Children’s Institute will not permit retaliation of any kind against any staff member who, in good faith, complains about harassment, provides information about harassment, or participates in any manner in an investigation of a harassment complaint. Such retaliation is unlawful and will not be tolerated. Any individual found to have engaged in retaliation in violation of this policy will be subject to disciplinary action, up to and including termination of employment or other affiliation. The use of Children’s Institute facilities, property, or equipment (including e-mail and voice-mail) to send, distribute, duplicate, store, or display harassing materials is prohibited.

In enacting this policy, it is not Children’s Institute’s intent to discourage social interaction in the workplace. To the contrary, the workplace should be a friendly and welcoming environment. The intent of this policy is for staff members, volunteers and guests to be conscious of what they say and do in the workplace. At all times, staff members, volunteers and guests are expected to treat each other with respect and dignity.

Definitions

“**Harassment**” is a form of discrimination based on a staff member’s gender, race, color, age, marital status, religion, sexual orientation, national origin or citizenship, ancestry, disability, military or veteran status, or other status protected by law. Conduct that constitutes harassment includes communicating, sharing, or displaying written or visual material, making verbal comments or non-verbal gestures, or engaging in any other conduct which is demeaning or derogatory to a person because of his or her membership in one of the categories listed above.

“Harassment” can consist either of a single incident of serious misconduct or a number of incidents, each of which alone might not be enough to constitute “harassment,” but which together form a pattern of inappropriate conduct. “Harassment” can include material, comments, gestures, or conduct intended to be friendly or humorous.

The following are examples of the types of behavior that may be considered to be harassment. These are examples only, and are not intended to be all-inclusive.

- Making unwelcome comments about a person’s clothing, body, or personal life;
- Using offensive nicknames, epithets, or terms of affection;
- Making offensive jokes or displaying offensive literature;
- Suggesting that an individual’s race, color, sex, age, marital status, religion, sexual orientation, national origin or citizenship, ancestry, disability, veteran status, or any other protected status affects his or her job, chance of promotion, performance evaluations, or working conditions;
- Engaging in unwanted physical contact or assault;
- Making threats to another person in words, gestures, or pictures; and
- Other conduct, even if acceptable to some staff members, which creates a working environment that may be considered by others to be offensive or hostile.

“Sexual Harassment” is a form of sex discrimination. Sexual harassment does not refer to casual conversation or compliments of a socially acceptable nature. It refers to behavior of a sexual nature which is unwelcome and which:

1. explicitly or implicitly makes submission to unwelcome sexual advances or other conduct of a sexual nature (verbal, physical, or visual) a term or condition of employment or the basis of an employment decision (such as getting or keeping a job; getting a promotion, a raise, or some other job benefit; or avoiding an adverse job consequence, such as being fired or demoted); or
2. has the purpose or effect of unreasonably interfering with a staff member’s work performance or creating a work environment that a reasonable person would find intimidating, hostile, offensive, or coercive.

Either men or women can engage in “sexual harassment” and either men or women can be the targets of “sexual harassment.” “Sexual Harassment” also includes any type of sexually-oriented conduct that meets the above definition, even if the conduct was intended to be friendly or humorous.

The following is a partial list of behaviors which could be considered sexual harassment and which are prohibited by this policy:

- Threats or insinuations, either explicit or implicit, that an individual’s submission to or rejection of sexual advances or other sexual conduct will affect his or her employment, evaluation, wages, advancement, assigned duties, benefits, or any other aspect of employment or career advancement;

- Favoring any applicant or staff member because that person has performed or shown a willingness to perform sexual favors for a supervisor or manager;
- Unwelcome, profane, or offensive sexual jokes, language, epithets, advances, or propositions, whether in person, by memorandum, e-mail, or voice-mail messages;
- Use of abusive language of a sexual nature or use of sexually degrading or sexually vulgar words to describe or address an individual;
- Display of sexually suggestive objects, pictures, computer images, drawings, posters, or cartoons;
- Graphic, degrading, or unwelcome comments about an individual's body or appearance;
- Asking questions about sexual conduct or relationships;
- Sexually-oriented "kidding," "teasing," or "joking;"
- Unwelcome touching, leering, whistling, pinching, staring, brushing against the body, impeding or blocking movements, or making suggestive, insulting, or obscene comments or gestures;
- Making unwelcome or repeated requests for dates or other social engagements; and
- Assault or coerced sexual acts.

Responsibility of Directors and Supervisors

It is the responsibility of each director and supervisor to assure that each individual under his or her supervision or control is aware of Children's Institute's policy on harassment and the Harassment Resolution Procedure established to implement this policy. Any director or supervisor who directly observes conduct which could be considered to be harassment has an obligation to ensure that the conduct stops immediately. The director or supervisor must promptly report the conduct to the Executive Director or the Director of Finance and Administration for follow-up. Any director or supervisor who receives a staff member's complaint of harassment or a complaint of retaliation or who otherwise learns of or suspects a violation of this policy must report the matter immediately to the Executive Director or the Director of Finance and Administration. *The director or supervisor should not attempt to investigate the complaint himself or herself.*

Every director and supervisor is responsible for ensuring a harassment-free workplace. This responsibility to prevent and eliminate harassment and/or retaliation is an important part of supervisory and managerial performance expectations.

Responsibility of Individual Staff Members

The line between acceptable social conduct and harassment is not always clear. Moreover, what may be friendly or humorous to one person may be offensive or degrading to another. For that

reason, Children's Institute encourages individuals who feel they are being or may have been harassed to communicate politely, clearly, and firmly to the offending party that the conduct he or she is engaging in is unwelcome, offensive, intimidating, or embarrassing, and to ask that the conduct stop.

If an individual staff member is uncomfortable directly approaching the offending party, or if the individual has done so, but the conduct continues, the individual should use the Harassment Complaint Resolution Procedure described below to address and resolve the problem.

Children's Institute considers workplace harassment in any form to be a very serious matter and expects the staff to take this matter seriously as well. Accordingly, any individual who knowingly and intentionally makes a false accusation of harassment against another individual for the purpose of harming, embarrassing, or retaliating against that individual will be subject to disciplinary action.

Harassment Complaint Resolution Procedure

A staff member who believes he or she has been harassed is urged to report the offending conduct as soon as possible. Prompt reporting allows Children's Institute to investigate while the facts are still fresh and to take prompt corrective action, when appropriate. Children's Institute will handle the matter with as much confidentiality as possible under the circumstances and with due regard to the rights and wishes of all parties, consistent with Children's Institute's obligation to conduct a thorough investigation.

An individual who believes he or she has been harassed may report the situation at any time directly to any of the following: his or her immediate supervisor, any other supervisor or director, the Director of Finance and Administration, or the Executive Director. If the complaint is against the Executive Director, the situation may be reported to the Board President. A prompt and thorough investigation will be conducted in response to all complaints.

Investigation Procedures

Investigation: The investigator may ask the individual making the complaint to provide details such as the identity of the alleged offending party, the date(s), location(s) and nature of the alleged harassment, and the name(s) of any witness(es). As soon as possible thereafter, the investigator may meet individually with the alleged offending party to inform him or her of the contents of the complaint and provide him or her with an opportunity to respond. If there is a significant dispute of fact, the investigator may give each party an opportunity to identify persons who can support or corroborate his or her version of the facts. The investigator also may investigate the matter further by contacting those other individuals whom the investigator feels may have additional information regarding the issues raised in the complaint. The matter will be handled with as much confidentiality as possible under the circumstances and with due regard to the rights and wishes of all parties, consistent with Children's Institute's obligation to conduct a thorough investigation.

In the event that the complaint is against the executive director, the Board President will appoint an investigative team and lead the investigation.

Resolution: Based upon the information gathered in the investigation, the investigator, in conjunction with the Executive Director and/or legal counsel, will determine whether this policy has been violated and, if appropriate, will recommend corrective or disciplinary action. Disciplinary action may include termination of employment/other affiliation or lesser discipline, depending on the circumstances. The complaining individual will be notified when the investigation is completed and will be encouraged through follow-up contacts to report any further incidents.

A complaint or report that this policy has been violated is a serious matter. Just as Children's Institute will work to protect all staff members from harassment, it does not condone intentionally false reporting. Appropriate disciplinary action will be taken against staff members who are found to have knowingly and deliberately made intentionally false complaints or reports for the purpose of harming, embarrassing, or retaliating against another individual. Staff members who make good faith complaints that simply cannot be substantiated through investigation are fully protected under this policy and will not be disciplined or retaliated against in any way.

Policy 106 – Non-Fraternization

As a corollary to our workplace harassment policy, Children’s Institute has adopted this non-fraternization policy. Children’s Institute is aware that romantic relationships between supervisors and subordinates can create the appearance of unfairness or conflict of interest, which can dampen morale and hinder working relationships. The purpose of this policy is to promote a work environment at Children’s Institute that is free from favoritism, bias, or conflict of interest and in which employment decisions are not made because of personal relationships. Accordingly, it is the policy of Children’s Institute that no one will be hired into or be allowed to work in a department in which they directly supervise, or are directly supervised by, someone to whom they are related by blood or marriage or with whom they are in a domestic partnership or with whom they are romantically involved. Directors and supervisors are prohibited from engaging in a romantic relationship with any staff member who reports directly to them.

If such a relationship develops, the director or supervisor must disclose the relationship immediately to the Executive Director. The Executive Director may take steps to avoid the appearance of unfairness or conflict of interest, including reassigning one or both staff members or restructuring the work. If it is not possible to resolve the conflict through transfer, reassignment, or restructuring, Children’s Institute may need to terminate the employment/affiliation of one or both staff members.

If a director or supervisor has developed a romantic relationship with a staff member in violation of this policy and does not immediately disclose the relationship to the Executive Director, the employment of the director or supervisor may be terminated.

Children’s Institute will not attempt to define the term “romantically involved” as used in this policy. Instead, the definition will be left open to common usage. Children’s Institute reserves the right to interpret and apply this policy in its discretion in the best interests of Children’s Institute.

Policy 109 – Copyright

Users are personally responsible for observing the copyright laws in their daily practice and their use of the Internet. Users may face serious civil and/or criminal penalties for any violation of the copyrights of others. When required, users must obtain the consent of the copyright owner before they copy, download, transmit, retransmit, or alter copyrighted material, other than as permitted by the principle of fair use as defined in the copyright law. Questions concerning compliance with copyright requirements should be directed to the Executive Director.

Policy 112 – Intellectual Property and the Assignment of Inventions

All works of authorship, trade secrets, inventions, products, improvements, discoveries, designs, trademarks, materials (written or otherwise), ideas, and suggestions made by a staff member, whether or not patentable and whether or not they are made, conceived, or reduced to practice during working hours or using Children’s Institute information, equipment, supplies, facilities, processes, specifications, or data (collectively, “Inventions”), and all patents or copyrights obtained by a staff member individually or jointly with any other person or persons during the entire period of employment, which are related to Children’s Institute’s present or planned scope of business, services, or products, are and shall be the sole property of Children’s Institute, which shall retain exclusive control over their use.

Data that originate in the course of any sponsored research or training program shall be owned by Children’s Institute. Data shall include, but not be limited to, reports, documents, works of authorship, pamphlets, advertisements, books, magazines, manuals, surveys, studies, computer programs, films, tapes, and/or sound reproductions. Ownership includes all right, title and interest, including the right to copyright, patent, register and the ability to transfer these rights.

By entering into employment with Children’s Institute, staff members assign to Children’s Institute, as of the time of creation, any and all right, title or interest they may have in any Inventions and in any related patents or copyrights and agree to take further actions as necessary, including the execution and delivery of appropriate documents, to permit Children’s Institute to secure and enjoy the full benefits and advantages of such Inventions and any related patents or copyrights. Staff members agree that any Invention or related patent or copyright shall be presumed to be the sole property of Children’s Institute if made, conceived, or reduced to practice by a Children’s Institute employee or with the aid of a Children’s Institute staff member within six months after termination of employment or other affiliation.

Policy 115 – Obscene Materials

Use of Children’s Institute facilities or equipment to make, transmit, copy, store, display, or receive obscene or pornographic materials by any means is strictly prohibited. A violation of this prohibition will result in disciplinary action against the violator. In appropriate cases, law enforcement officials will be notified of violations of this policy.

Policy 118 – Solicitation and Distribution

Children’s Institute has adopted this “no solicitation/no distribution” policy to protect staff members from needless annoyance or embarrassment, to enforce our security measures, and to prevent disruption of Children’s Institute operations. The following rules are in effect:

Staff members may not distribute written materials that are not associated with Children’s Institute business purposes in work areas at any time. Staff members may not solicit for any purpose while either the staff member doing the soliciting or the staff member being solicited is on working time. “Working time” is that time when staff members are expected to be engaged in work and does not include break periods, meal periods, or time before or after work.

Children’s Institute bulletin boards, facilities, resources, copiers, telephone, Internet, e-mail and other equipment are for Children’s Institute business purposes only. Staff members may not use these resources to engage in the promotion or sale of any commercial or non-commercial products or services unless otherwise approved by area director or by the executive director. This prohibition includes, but is not limited to commercial or personal advertising, mass mailings for other than Children’s Institute purposes, any political purpose, and other activities that detract from the mission of Children’s Institute.

Violation of this policy may result in denial of access to facilities, resources, copiers, telephone, Internet, e-mail or other equipment and/or other disciplinary action.

Policy 121 – Personal Appearance

As an employee of Children’s Institute, you must maintain a clean, neat appearance when reasonably possible. Your attire should be consistent with the type of work you are performing and with safety considerations.

Management, fundraising personnel, and those employees who come in contact with the public, are expected to dress in accepted business tradition that reflects the image Children’s Institute seeks to project. Good personal grooming and hygiene are also essential and should contribute to a professional appearance.

If you have further questions about your expected attire, please discuss these questions with your immediate supervisor.

Policy 124 – Calls from the Media

All media inquiries are to be directed to the Communications Director. Where media statements are required immediately and the Communications Director is unavailable, the executive director or an authorized delegate may also respond. Authorized delegate includes any area director. As a rule, staff members should not respond to media inquiries themselves or initiate any contact with the media.

REVISION APPROVED, BOARD OF DIRECTORS, APRIL 24, 2008
REVISION APPROVED, BOARD OF DIRECTORS, JUNE 16, 2011

Policy 127 – Confidentiality

Children’s Institute staff members, volunteers and others may learn sensitive things about Children’s Institute. At minimum, assume that any and all personal information about staff members, volunteers and guests, research and evaluation subjects, and clients is confidential. Non-public information concerning Children’s Institute’s finances, data sets, grants, donors, and strategies, and its personnel information, also are considered to be confidential. As a condition of employment, you must and hereby do agree that all such information is the exclusive property of the organization. Every staff member and volunteer of Children’s Institute has a professional and ethical responsibility to consider this information as privileged and to ensure that such information and other information designated as confidential is not improperly or accidentally disclosed. Except as required in the performance of duties for Children’s Institute, staff members and volunteers may not use or disclose any confidential information. Divulging confidential information will result in disciplinary action up to and including dismissal. Signing a separate confidentiality agreement further clarifying this policy at the Organization’s request is also a condition of your continued employment with Children’s Institute.

Upon termination of employment/affiliation, and during employment/affiliation upon request, staff members and volunteers must return to Children’s Institute all copies of documents, notes, computer disks, and other materials, in whatever form, that contain confidential information.

Policy 130 – Data Set Use

Data sets and information may be used only for Children’s Institute business. All staff members and volunteers must honor and abide by any and all restrictions on the dissemination and use of data that are set forth within contracts or other agreements, including those governed by enhanced federal regulations, concerning research projects and the data generated. Publishing or otherwise divulging any restricted data or information will result in disciplinary action up to and including termination of employment.

Policy 133 – Internet and E-mail

Uses Authorized by Children’s Institute

Staff members, consultants and volunteers will be authorized to use Children’s Institute Internet facilities and e-mail connections for research, professional development, training, and communications related to Children’s Institute, its mission, goals and projects.

Occasional personal use will be permitted, provided there is no cost associated with the use, the use is minimal in time, the use adheres to these procedures, and the use does not interfere with authorized work.

Unauthorized and Illegal Uses

Any use, whether on-site or off-site, of Children’s Institute Internet facilities and connections that is not authorized by or conducted strictly in compliance with Children’s Institute procedures and user agreements is prohibited. Use of the Internet to commit a crime is prohibited. Use of the Internet or e-mail in violation of Children’s Institute’s workplace harassment or solicitation/distribution policies is prohibited. Any use of data encryption techniques is prohibited unless approved by an area director or the Executive Director. Making illegal copies of licensed software and using software that would provide unauthorized access to Children’s Institute’s computers or that would disrupt our equipment in any way is prohibited. In addition, users are advised of the following unauthorized and illegal uses:

Viruses or Sabotage

Users are prohibited from knowingly transmitting any system virus through the Internet or engaging in any activity intended to disrupt or damage hardware or software. Staff members may not download software from the Internet unless approved by the Executive Director or the Area Director. This rule is to help prevent computer viruses from being transmitted through the system and to ensure that all software has been verified to function properly in Children’s Institute’s computing environment.

Fraud

All messages must have the staff member’s name attached. No messages may be transmitted under an assumed name, and users may not attempt to obscure the origin of any message.

Internet and E-Mail Etiquette and VPN

Users of Children’s Institute’s internet and e-mail systems are expected to treat others with respect. This means:

Use polite and respectful language to communicate on the Internet as would be appropriate in face-to-face communications. Remember that the written word does not necessarily communicate tone of voice or humor, so take care in what you write. Messages also may be construed to have the endorsement of Children's Institute or to represent its official opinion. Accordingly, staff members may not use Children's Institute Internet or e-mail systems to communicate political or religious views.

Accessing, disseminating or receiving information that is illegal, defamatory, abusive, racially offensive, obscene, pornographic or in violation of the workplace harassment policy will be deemed a violation of these rules and will result in disciplinary action against the violator, up to and including termination of employment. If you receive such material, you should notify your supervisor immediately. In addition, law enforcement officials will be notified of violations of these rules in appropriate cases.

Keep in mind that e-mail provides a written record of what you say, and that it can be forwarded or shared without your knowledge. Remember also that e-mail can be retrieved from your computer even after it is deleted. For these reasons, do not write anything you would not be comfortable having published in the newspaper.

Respect your own privacy and the privacy of others by not revealing your or anyone else's personal address, telephone number or password without authorization.

Treat the communications, information, and databases to which you may gain access through the Internet as private property. Sending or posting the organization's confidential information, whether anonymously or otherwise, by e-mail, text, instant message or posting to any web site, blog or social media site is prohibited unless given prior permission by your supervisor.

Monitoring

Any message or file created or sent using any Children's Institute computer or other electronic device is the property of Children's Institute. You should have no expectation of privacy or confidentiality in any message or file that is created, stored, or sent using the computers or other communication equipment belonging to Children's Institute, and Children's Institute reserves the unilateral right to review, monitor, access, audit, intercept, copy, print, read, disclose, modify, retrieve, and delete any work you do on a Children's Institute computer, including e-mail. Inappropriate and/or personal use, other than minor occasional personal use consistent with this policy, is prohibited and may result in loss of access privileges and/or disciplinary action.

By using the e-mail and Internet access provided, each staff member agrees that he or she is aware of these procedures and that e-mail and Internet records may be read or monitored by authorized individuals.

Policy 136 – Professional Conduct

Whenever engaged in work-related matters, whether on or off the premises, Children’s Institute staff members and board members are the face of the Institute. Accordingly, staff members and board members are expected to conduct themselves in a professional manner at all times when in contact with co-workers, clients, volunteers and/or the general public, whether on Children’s Institute premises or in a less formal or social setting.

Policy 137 – Whistleblower

General

Children’s Institute Inc.’s (CI) Code of Ethics (“Code”) requires directors, officers, employees, staff members and volunteers to observe high standards of business and personal ethics in the conduct of their duties and responsibilities. All representatives of CI must practice honesty and integrity in fulfilling their responsibilities and comply with all applicable laws and regulations.

Reporting Responsibility

It is the responsibility of all directors, officers, employees, staff members and volunteers to comply with the corporation policies and the Code and to report violations or suspected violations in accordance with this Whistleblower Policy.

No Retaliation

No director, officer, employee, staff member or volunteer who in good faith reports a violation of the Code shall suffer harassment, retaliation or adverse employment consequence. Any staff member who retaliates against someone who has reported a violation in good faith is subject to discipline up to and including termination of employment. This Whistleblower Policy is intended to encourage and enable employees and others to raise serious concerns within the organization prior to seeking resolution outside the organization.

Reporting Violations

CI has an open door policy and encourages staff members to share their questions, concerns, suggestions or complaints with someone who can address them properly. In most cases, a staff member’s supervisor is in the best position to address an area of concern. However, if a staff member is not comfortable speaking with the supervisor or is not satisfied with the supervisor’s response, the staff member is encouraged to speak to the Executive Director or any area director whom he or she feels comfortable approaching. Supervisors and directors are required to report suspected violations of the Code of Ethics to CI’s Compliance Officer, who has specific and exclusive responsibility to investigate all reported violations. For suspected fraud, or when not satisfied, or when uncomfortable with following the organization’s open door policy, individuals should contact the organization’s Compliance Officer directly.

Compliance Officer

Children’s Institute Inc.’s Compliance Officer is the chair of the Finance & Audit Committee or, if it involves the chair of the Finance & Audit Committee, the president of the board of directors. Children’s Institute, Inc.’s Compliance Officer is responsible for investigating and resolving reported complaints and allegations concerning violations of the Code and, at his or her discretion, shall advise the Executive Director and the Finance & Audit Committee. The

Compliance Officer has direct access to the Finance & Audit Committee of the Board of Directors and is required to report to this committee at least annually on compliance activity.

Accounting and Auditing Matters

The Finance & Audit Committee of the Board of Directors shall address all reported concerns or complaints regarding corporate accounting practices, internal controls or auditing. The Compliance Officer shall immediately notify all members of the Finance & Audit Committee of any such complaints and work with the Committee until the matter is resolved.

Acting in Good Faith

Anyone filing a complaint concerning a violation or suspected violation of the Code must be acting in good faith and have reasonable grounds for believing the information disclosed indicates a violation of the Code. Making allegations that prove not to be substantiated and which prove to have been made maliciously or falsely will be viewed as a serious disciplinary offense and appropriate disciplinary action will be taken.

Confidentiality

Violations or suspected violations may be submitted on a confidential basis by the complainant or may be submitted anonymously. Reports of violations or suspected violations will be kept confidential to the extent possible, consistent with the need to conduct an adequate investigation.

Handling of Reported Violations

The Compliance Officer will notify the sender and acknowledge receipt of the reported violation or suspected violation within five business days. All reports will be promptly investigated and appropriate corrective action will be taken, if warranted.

Policy 138 – Scientific Misconduct

Purpose

Children’s Institute faculty, staff and interns are expected to conduct research in accordance to the highest ethical standards. The Institute has the following procedure to investigate any allegations of scientific misconduct.

Scope

As defined in this document, scientific misconduct does not include fiscal improprieties, issues concerning human subject protection, criminal matters or other matters not defined in the definition section.

Definitions

- Scientific misconduct includes fabrication of results, falsification of results, and plagiarism as commonly defined in institutions of higher education in the United States. It does not include authorship disputes, honest errors, or differences of opinion regarding the interpretation or presentation of scientific findings.
- Fabrication is making up data or results and recording or reporting them.
- Falsification is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.
- Plagiarism is the appropriation of another person's ideas, processes, results, or words without giving due credit to that person.

Process

- Allegations are made to the Director of Research and/or the Executive Director. If the Director of Research has a conflict of interest or is involved in the alleged violation, the Executive Director will appoint another area director to assist him in the investigation of the allegation. Before making an allegation, please review the definition section of this document.
- An allegation must be made in writing including a detailed description of the alleged misconduct. Evidence that the perpetrators willingly and knowingly committed a violation, rather than simply an error, must be provided. Any supporting documentation must be attached.
- Children’s Institute shall make every effort to protect the privacy and reputation of the person making the allegation and the person about whom the allegation is made. Retaliation against the individual making the allegation will not be permitted.

Investigation

- Within 5 working days of receiving the documented report, the Executive Director will appoint a committee of three persons, including an area director, to investigate the allegation and report back to the Executive Director.
- The individual accused will be given a copy of the allegation and allowed to prepare a written defense. The individual accused is required to cooperate with the investigators.

Resolution

- The committee will generate a findings report.
- The Executive Director will determine if a violation has or has not occurred based on the findings report and written defense.
- A finding of misconduct should identify clear, major departures from accepted practice, evidence that the investigator committed these departures willingly and knowingly, and must be proven by the preponderance of evidence.
- The finding of misconduct should also assess the degree to which the research was compromised, and whether the behavior was isolated or part of a larger pattern.

Reporting

- If a violation has occurred, the Executive Director will report the Committee's findings to the Executive Committee and the Funder, and will refer the case to the leadership team for appropriate personnel decisions, up to and including dismissal.

Policy 139 – Organizational Performance

The Executive Committee of the Board of Directors will assess the organization's performance and effectiveness at least once every two years. It will determine any future actions required to achieve Children's Institute's mission.

To that end, the Strategic Planning Committee will submit to the Executive Committee a written report that outlines the results of the aforementioned performance and effectiveness assessment and recommendations for future actions.

Policy 142 – Investment

This statement outlines the general framework to be used by the Finance Committee in managing the Board Funds.

Asset Allocation Parameters

The Finance Committee will select investment managers and/or mutual funds that will in aggregate generally maintain the total investments at market within the following asset mix ranges:

| | <u>Minimum</u> | <u>Maximum</u> |
|----------------------|----------------|----------------|
| Equities | 45% | 65% |
| Fixed Income | 30% | 55% |
| Cash / Money Markets | 0% | 25% |

Investment Managers / Mutual Funds – Selection and Reviews

The Finance Committee will retain investment advisors or select mutual funds that in aggregate keep the overall investment portfolio within the asset mix ranges listed above.

The Committee will provide each manager with an Investment Policy Statement that is specific to their assignment. The policy statement will include investment restrictions, mutually agreed Benchmark Indices to evaluate manager performance, the expected reporting requirements and frequency and approved use of derivative securities.

The Committee will monitor adherence to the investment policy guidelines and manager investment performance. The Committee will generally evaluate managers over three- to five-year performance cycles. However, the Committee may make changes over shorter time periods, taking into consideration such things as manager staff turnover, significant underperformance relative to benchmarks and violation of the investment policy statement provided to the manager.

POLICY APPROVED, BOARD OF DIRECTORS, APRIL 28, 2005
REVISION APPROVED, BOARD OF DIRECTORS, APRIL 24, 2008
REVISION APPROVED, BOARD OF DIRECTORS, JUNE 16, 2011

Policy 145 – Institutional Review Board

Children’s Institute is committed to following procedures that assure the protection of all human subjects involved in research projects. Federalwide Assurances have been submitted. In order to accomplish this, any research project involving human subjects requires approval by the Institutional Review Board (“IRB”). Prior to submission to the IRB, all IRB requests must be reviewed and approved by the Director of Research and Evaluation or by the Executive Director.

All original documents submitted for IRB approval, and the IRB’s responses, will be maintained by Children’s Institute Human Subjects Administrator.

Policy 148 – Conflict of Interest

Conflict of Interest Policy for The Board of Directors, committee members, staff members and employees

Introduction

The intent of this policy and these guidelines is to provide a clear understanding of the conflict of interest policy of Children's Institute and the responsibilities of the members of the Board of Directors, committee members, as well as staff members and employees, to recognize and disclose potential conflicts of interest and to provide for appropriate action if such conflicts arise.

Applicability

These guidelines apply to all members of the Board of Directors, committee members, staff members who are supported by Children's Institute resources, and paid employees of Children's Institute.

Applicable Law

Directors of a not-for-profit corporation are required by law to be loyal to the corporation. Their fiduciary relationship includes the responsibility to administer its affairs honestly and economically, and to exercise their best care, skill and judgment for the sole benefit of the corporation.

In the strictest sense, the law requires a Director to declare a conflict of interest if one exists, and abstain from voting on issues where there is a conflict of interest. Members of committees may or may not be directors. However, the spirit of the law covering conflict of interest and this policy apply to everyone in a close working relationship with Children's Institute.

Staff members and employees of Children's Institute owe a duty of loyalty, and as a policy matter, must also avoid a conflict of interest with Children's Institute.

Policy

General

It is expected that all those associated with Children's Institute shall exercise strict rules of honesty and fair dealing between themselves and Children's Institute. They shall not use their positions or knowledge gained therefrom so that any conflict might arise between the interest of Children's Institute and that of the individual.

Conflicts of Interest

It is the policy of Children's Institute that all conflicts of interest, including potential interests, shall be disclosed, and that directors and committee members shall refrain from voting upon or participating in any board or committee action involving the entity with which there may be a

conflict. Such declaration will be recorded in the official minutes of the committee or board meeting. In order to avoid the impression of any conflict of interest, members of the board, as well as the committees of Children's Institute, should periodically and at least annually, review their vocational and avocational activities to determine and disclose any potential conflicts of interest. When in doubt, the rule is to disclose.

It is difficult to anticipate all circumstances where conflicts of interest may develop. By way of example, individual board or committee members are considered to have a conflict of interest when asked to vote on an agreement with an organization with which they have a formal affiliation, where they are asked to vote on an issue in which an existing or potential financial material interest exists, or where the promise of a favor from other sources might be perceived to influence their decisions in a specific area.

Business Relationships

It is Children's Institute's policy to endeavor to establish business relationships consistent with the goals, objectives, and needs of the organization. This does not prohibit Children's Institute from doing business with anyone, including organizations or entities associated with members of its Board or committees. However, no special consideration will be given to those individuals. Any contract or transaction between Children's Institute and one or more of its directors, or between Children's Institute and any other corporation, firm, association, or entity in which one or more of its directors have a substantial financial interest shall be entered into only after the material facts are fully disclosed to the Board and the transaction is approved by a majority of disinterested directors, in accordance with Section 715 of the Not-for-Profit Corporation Law.

Staff members and Employees

Staff members and employees shall avoid any conflicts of interest with Children's Institute. No staff member or employee shall have any interest in any entity which does business with Children's Institute without the prior written approval of the Executive Director and President, after full disclosure. No staff member or employee shall hold any position with any not-for-profit organization that may have been or may become a partner of the organization, or which may be reasonably considered to compete for funding, without full disclosure and prior approval by the Executive Director and President.

Acknowledgment and Disclosure

Each individual, whether board member, committee member, staff member or employee, associated with Children's Institute shall annually file an acknowledgment in the form attached with the Executive Director that he or she has received and read this statement.

In addition, on the acknowledgment form, all such individuals shall disclose current positions or relationships in which they are involved, which may pose a potential conflict of interest, and shall further disclose any subsequently established relationship that may be perceived to be a potential conflict of interest. If the potential for conflict is uncertain, disclosure is required.

Policy 148-A – Conflict of Interest Acknowledgement Form

**Children’s Institute, Inc.
Conflict of Interest Policy and Guidelines
Acknowledgment Form**

Name (please print): _____

Relationship to Children’s Institute: _____

I acknowledge that I have received and read the Children's Institute Conflict of Interest Policy and Guidelines dated _____.

I hereby disclose that I currently have the following relationships that may be a potential conflict of interest:

Nonprofit Organization Interests (e.g., board service, significant supporter, or employment of family member in the following organizations)

Business Interests (e.g., board membership, ownership, or employment in firm that may have or seek business from Children’s Institute; business partnerships with Children’s Institute donors)

Other Significant Involvements (e.g., membership on foundation boards, bank trust departments, or bank advisory committees; active political or advocacy role; elected or appointed office)

Use other side for extra space. Members of standing committees should also initial the appropriate paragraph(s) on the Board of Directors Committee Page (see page 4).

Policy 148-B – Annual Disclosure Questionnaire

Children’s Institute, Inc.
Conflict of Interest Policy and Guidelines
Annual Disclosure Questionnaire

Please complete the questionnaire below, indicating any potential conflicts of interest. If you answer "yes" to any of the questions, please provide a written description of the details of the specific action, policy or transaction in the space allowed. Attach additional sheets as needed.

Financial Interests – A conflict may exist where an interested party, directly or indirectly benefits or profits as a result of a decision, policy or transaction made by Children’s Institute.

During the past 12 months:

1. Has Children’s Institute proposed to contract or contracted to purchase or lease goods, services, or property from you or from any of your relatives or associates? Yes
 No

 2. Has Children’s Institute offered employment to you (not applicable to existing staff) or to any of your relatives or associates? Yes
 No

 3. Have you, or any of your relatives or associates, been provided with a gift, gratuity or favor of a substantial nature from a person or entity that does business or seeks to do business with Children’s Institute? Yes
 No

 4. Have you or any of your relatives or associates been gratuitously provided use of the facilities, property, or services of Children’s Institute? Yes
 No

 5. Have you, a relative or an associate in a position to benefit financially from an action, policy or transaction made by Children’s Institute? Yes
 No
-

Other Interests – A conflict may also exist where an interested party obtains a non-financial benefit or-advantage that he/she would not have obtained absent his/her relationship with Children’s Institute, or where his/her duty or responsibility owed to Children’s Institute conflicts with a duty or responsibility owed to some other organization.

Please indicate if at any time during the past twelve months (for each yes response, please describe in the space provided or on a separate page as needed):

1. Did you obtain preferential treatment, promotion, recognition or a non-salaried appointment as a consequence of your association with Children’s Institute for yourself or for any of your relatives or associates? Yes
 No

2. Did you make use of confidential information obtained from Children’s Institute for your own benefit or for the benefit of a relative, associate, or other organization? Yes
 No

3. Did you take advantage of an opportunity or enable a relative, associate or other organization to take advantage of an opportunity that you had reason to believe would be of interest to Children’s Institute? Yes
 No

4. Have you, a relative or an associate in a position to benefit in a nonfinancial way from an action, policy or transaction made by Children’s Institute? Yes
 No

Signature Date

Please Print Name

Policy 148-C – Board of Directors Committee Page

Children’s Institute, Inc. Conflict of Interest Policy and Guidelines

Board of Directors Committee Page *(to be completed by Board Members only)*

Please initial all that apply:

- _____ **FINANCE/AUDIT COMMITTEE**
I do not receive any compensation of any kind from Children's Institute. I have disclosed all potential conflicts of interest with vendors, audit firms or others with current or potential financial relationships with Children’s Institute. I have also disclosed all potential conflicts of interest with companies providing employee benefits, payroll services and other business services that may influence Children’s Institute’s budget process or business operations. I will refrain from any votes or participation in any committee actions affecting these other interests.
- _____ **DEVELOPMENT COMMITTEE**
I have disclosed all potential conflicts of interest with other current fundraising efforts in the community. I will refrain from any votes or participation in any committee actions affecting these other interests.
- _____ **STRATEGIC PLANNING COMMITTEE**
I have disclosed all potential conflicts of interest with Board trainers and other consulting services that may be called upon to assist Children’s Institute from time to time. I will refrain from any votes or participation in any committee actions affecting these other interests.
- _____ **NOMINATING COMMITTEE**
I will disclose during the nominating process any potential conflicts of interest with Board candidates affecting my business or family affairs. In addition, I have disclosed all potential conflicts of interest with Board trainers and other consulting services that may be called upon to assist Children’s Institute from time to time. I will refrain from any votes or participation in any committee actions affecting these other interests.
- _____ **EXECUTIVE COMMITTEE**
I do not receive any compensation of any kind from Children's Institute. To the best of my ability, I have disclosed all potential conflicts of interest. I will refrain from any votes or participation in any committee actions affecting these other interests.

Signature

Date

Please Print Name

POLICY APPROVED, BOARD OF DIRECTORS, APRIL 24, 2008

Policy 149 – Bilateral Confidential Disclosure

It is Children’s Institute’s policy to endeavor to establish business relationships consistent with the goals, objectives, and needs of the organization. As such, there may be circumstances which will require the sharing of confidential information between Children’s Institute and a third party. The intent of the bilateral confidential disclosure policy and guidelines is to provide a clear definition and identification of confidential information, the parameters in which such information may be used, the responsibilities of the disclosing and receiving parties and the process for the exchange of said information between the two parties.

Staff will find a copy of the Confidential Disclosure Agreement (CDA) in the Outlook Public Folder titled CI Forms.

Policy 151 – Political Activities

Staff members are free to express their personal views on political issues, to participate in political campaigns, and to run for and hold public office. However, in order that Children's Institute's not-for-profit status not be compromised, they are expected to do so as individual citizens and to emphasize that the activity is not supported by or representative of the policies of Children's Institute. If a staff member perceives a political activity as causing a conflict of interest, he or she must talk with his or her supervisor. Political activity is personal business, and as such must be conducted on a staff member's own time, away from Children's Institute. Children's Institute's property, resources and equipment may not be used in support of any political activity.

Policy 154 – Clean Air / Smoking

Children’s Institute provides its staff, volunteers, clients and the general public with a healthy and safe environment through its Clean Air Policy.

Staff members and visitors are not permitted to smoke on Children’s Institute premises at any time.

Policy 157 – Drug-Free Workplace

Children’s Institute is committed to maintaining a safe and healthy work environment, free from the influence of alcohol and drugs. In making this commitment, we do not intend to regulate private conduct away from the job. At the same time, staff members must recognize that conduct off the job can have an effect on the job, and that off-duty activity cannot be permitted to undermine safe work practices or the attainment of the highest standards of quality in our work, products and services.

Staff members are prohibited from reporting to work, performing assigned duties, operating a vehicle for Children’s Institute purposes, or engaging in Children’s Institute business, whether on or off the premises, while under the influence of alcohol or illegal drugs.

The possession of drugs or of opened, unsealed alcoholic beverages (including storage in a desk or other repository), or the use, manufacture, purchase or sale of alcohol, illegal drugs or drug paraphernalia on Children’s Institute premises or while conducting Children’s Institute business (including operating a vehicle) is strictly prohibited.

Prescription drugs may be brought onto Children’s Institute property and used by the person to whom they are prescribed. Such drugs must be used only in the legally prescribed manner, combination and quantity.

Supervisors or managers who suspect that a staff member is in violation of this policy must report this information immediately to the Executive Director. Staff members who are aware of such actions are strongly encouraged to notify their supervisor.

Children’s Institute may take disciplinary action against a staff member who violates this policy, up to and including termination of employment, termination of contract or grant, or removal as a volunteer. In addition, Children’s Institute may contact appropriate law enforcement officials concerning violations of this policy.

Policy 160 – Travel Reimbursement

It is Children’s Institute policy to pay reasonable and necessary travel and conference expenses incurred as a result of official Children’s Institute business, subject to proper documentation. Children’s Institute will reimburse a staff member for reasonable and necessary expenses incurred on travel that has been approved in advance by the staff member’s supervisor.

All staff members who use their own vehicle for travel while on Children’s Institute business will be reimbursed for their mileage based on the current Internal Revenue Service reimbursement rate.

All staff members who operate their vehicle for travel while on Children’s Institute business must possess a current and appropriate valid driver license and liability insurance, and are responsible for the safe operation of their vehicle in compliance with all applicable traffic laws and regulations, including those pertaining to the use of cellular telephones and other electronic devices.

A staff member must notify management immediately if, while driving on Children’s Institute business, he or she is in an accident, receives a ticket, is charged with driving while intoxicated or while under the influence of alcohol or drugs. A staff member must notify management immediately if his or her license is suspended or revoked.

In case of an accident while on Children’s Institute business, the staff member’s automobile insurance will be primary and Children’s Institute’s insurance will be secondary.

Policy 180 – Compensation of Board Members

Not more than one or 10% (whichever is greater) directly or indirectly compensated person(s) shall serve as voting member(s) of the Board of Directors. Compensated members shall not serve as the Board’s president or treasurer.

- **Directly compensated** voting members of the Board are those who receive payments (cash and/or in-kind) from Children’s Institute (e.g., paid staff members, paid consultants, etc.).
- **Indirectly compensated** voting members of the Board are those who are direct family members (e.g., spouse, parent, sibling, child) of any of the directly compensated individuals noted above.
- Voting members of the Board who receive **honoraria from Children’s Institute** are considered to be directly compensated.
- Voting members of the Board who receive only **reimbursements for expenses** incurred are not considered to be compensated.
- Voting members of the Board who are **paid staff members of affiliated organizations** are considered to be directly compensated if, and only if, financial and governance relationships between Children’s Institute and the affiliated organization are such that generally accepted accounting principles (GAAP) required the organizations to have combined audited financial statements.

Rules of Staff Conduct

Policy 400 – Rules of Staff Conduct

Children’s Institute strives to provide a positive, productive and ethical environment. In turn, Children’s Institute expects all staff members to demonstrate their acceptance of the overall purpose of the agency and its ethical standards and vision.

The policies and rules listed in this handbook are designed for the protection of Children’s Institute and its staff, and for the safe and efficient operation of the organization. Continued status as a staff member depends upon compliance with all work rules, policies and regulations of Children’s Institute in the performance of duties.

The following are examples of some, but not all, situations in which a violation of policy may result in disciplinary action, up to and including dismissal:

1. Repeated absenteeism or tardiness.
2. Consecutive days of unreported absence.
3. Abuse of sick leave privileges.
4. Refusal or failure to do job assignments.
5. Smoking on any Children’s Institute premises.
6. Violation of Children’s Institute’s drug-free workplace policy.
7. Assault upon a fellow staff member, supervisor or visitor, or using vulgar, indecent or abusive language to same.
8. Threatening, harassing, intimidating, coercing or interfering with staff members, supervisors or visitors at any time.
9. Possession of any firearms, explosives or weapons of any kind on company property at any time, including parking areas, except by duly authorized law enforcement personnel who have express written permission to carry a firearm.
10. Theft, misuse or unauthorized possession of property that belongs to Children’s Institute, another employee, or a visitor.
11. Falsifying, destroying, or altering Children’s Institute records or reports, including employment applications or employment forms, Children’s Institute documents, time records, or personnel records.
12. Damage to or destruction of the property of Children’s Institute or of any employee or visitor.
13. Violation of Children’s Institute’s solicitation and distribution policy.
14. Violation of Children’s Institute’s conflict of interest policy.
15. Disregard of safety rules or common safety practices.
16. Unauthorized disclosure of confidential records, data or reports.

17. Non-compliance with an established policy.
18. Gambling on Children's Institute property or during working time or using Children's Institute equipment.
19. Insubordination, rude behavior, or disrespectful conduct.
20. Unsatisfactory performance or conduct.
21. Time card misrepresentations.
22. Dishonesty.
23. Criminal activity.

Policy 403 – Handbook Acknowledgement by Staff Member

I, _____, acknowledge that I have received the CHILDREN’S INSTITUTE POLICY MANUAL and I agree to abide by the policies and procedures stated within. I understand that the rules, regulations, procedures and benefits are not promissory or contractual in nature and are subject to change by Children’s Institute, Inc.

Further, I understand that my employment or other status as a staff member can be terminated at any time and for any reason, either by me or by Children’s Institute, and that my staff position is not for any stated period of time, unless otherwise stated in a written contract signed by the Executive Director or the President of the Board of Directors of Children’s Institute.

(Signature)

(Date)

Policy 406 – Handbook Acknowledgement by Board Member

I, _____, acknowledge that I have received the CHILDREN’S INSTITUTE POLICY MANUAL and I agree to abide by the policies and procedures stated within. I understand that the rules, regulations, procedures and benefits are not promissory or contractual in nature and are subject to change by Children’s Institute, Inc.

Further, by signing this Acknowledgment, I hereby affirm that I have read the policy on Conflicts of Interest contained in the CHILDREN’S INSTITUTE POLICY MANUAL and that I do not have a conflict of interest. I understand that I must immediately disclose to the President of the Board of Directors of Children’s Institute any actual or potential conflict of interest that may develop during my service on the Board of Directors and that, in the event of an actual conflict, I must either resolve the conflict promptly or resign my Board position.

(Signature)

(Date)