



**National Council for Behavioral Health Employee Handbook
November 2015**

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Welcome to National Council for Behavioral Health (“National Council”)! We are eager to share with you our vision, mission and principles as well as our advocacy issues and educational resources. All are designed to meet our member organizations’ needs in the ever-changing behavioral healthcare industry.

National Council has been advocating on behalf of community-based behavioral healthcare organizations since 1970. As a nonprofit trade association, we work collaboratively with our members, advocacy organizations and others to ensure our members’ needs are heard in the White House, Congress and federal agencies.

In addition to being vigorous advocates on behalf of our members, we are committed to empowering our member organizations through continuing education and training opportunities that include our annual training conference, publications, and online training curriculum.

Whether you have just joined our staff or have been at National Council for awhile, we are confident that you will find our organization a dynamic and rewarding place in which to work, and we look forward to a productive and successful association. We consider our employees to be a most valued resource. This Employee Handbook has been written to serve as the guide for the employer/employee relationship.

There are several things to keep in mind about this Employee Handbook. First, it contains only general information and guidelines. It is not intended to be comprehensive or to address all the possible applications of, or exceptions to, the general policies and procedures described. For that reason, if you have any questions concerning eligibility for a particular benefit or the applicability of a policy or practice to you, you should address your specific questions to your supervisor or the Human Resources department. Neither this Employee Handbook nor any other National Council document confers any contractual right, either expressed or implied, to remain in National Council's employ. Nor does it guarantee any fixed terms and conditions of your employment.

The procedures, practices, policies and benefits described here may be modified or discontinued from time to time. We will try to communicate with you of any changes as they occur; communication may come in different forms.

Some subjects described in this Employee Handbook are covered in detail in official policy documents. Refer to these documents for specific information because the Handbook only briefly summarizes those guidelines and benefits. Please note that the terms of the written insurance policies are controlling and override any statements made in this or other documents.

Again, welcome aboard and I extend to you my personal best wishes for your success at National Council!

Sincerely,

Linda Rosenberg,

President & CEO, National Council for Behavioral Health

Acknowledgement and Receipt of Employee Handbook

I acknowledge that I have received a copy of National Council's Employee Handbook, effective November 2015. I understand that it is my responsibility to carefully read the Employee Handbook.

I further acknowledge and understand that:

- this Employee Handbook is a general guide to some of National Council's policies, procedures and benefits, and does **NOT** constitute a contract or agreement of any kind;
- this Employee Handbook does **NOT** guarantee my employment for any period of time or any benefit;
- National Council can alter, eliminate or otherwise change any policy, information, procedure or benefit described in this Employee Handbook (except the "at will" employment policy) at any time without prior notice;
- **my employment with National Council is "at will", and can be terminated by me at any time for any reason or no reason, or by National Council at any time for any reason not protected by law or no reason; this may not be changed unless in a written agreement signed by the President & CEO of National Council;**
- this Employee Handbook is the property of National Council;
- this Employee Handbook is to be returned to National Council when employment with National Council ceases;
- this Employee Handbook replaces (supersedes) any and all prior National Council employee handbooks, manuals or guides, and any information contained in any such prior handbook, manual or guide is no longer in effect.

Date

Employee Signature

Employee Name (Please Print)

DIVERSITY AND EQUAL EMPLOYMENT OPPORTUNITY

A. Statement of Policy

National Council is committed to the principle of equal employment opportunity, and it complies with all applicable laws which prohibit discrimination and harassment in the workplace. **Thus, National Council strictly prohibits discrimination or harassment based on race, color, national origin, religion, age, sex, disability, pregnancy, gender identity, marital status, personal appearance, family responsibilities, matriculation, political affiliation, sexual orientation, genetic information, or any other characteristic protected by law** in all terms, conditions and privileges of employment, including without limitation, recruiting, hiring, assignment, compensation, promotion, discipline and termination. This policy covers conduct occurring at National Council office(s), all locations where National Council is providing services, and to all work-related activities, wherever located.

B. Individuals Covered By This Policy

This policy covers **all** National Council employees. National Council will not tolerate discrimination or harassment, whether engaged in by fellow employees, supervisors or managers. Nor will National Council tolerate discrimination or harassment engaged in by non-employees who conduct business with National Council to the extent that it affects any National Council employee. While on the job, employees must not engage in any form of discrimination or harassment with respect to anyone, including other employees, customers, visitors, guests, or anyone with whom an employee comes into contact while on the job.

C. Forms of Harassment

While all forms of discrimination and harassment are prohibited, it is important to understand the types of conduct that may be viewed as harassment and which are not to be engaged in.

1. **Non-sexual Harassment.** Forms of harassment that are prohibited include making, displaying or circulating epithets or derogatory statements, remarks, comments, jokes or slurs, posters, cartoons, drawings or other written materials that are based on a person's race, color, religion, national origin, sex, age, disability or other protected characteristic.

2. **Sexual Harassment.** Sexual harassment includes, but is not necessarily limited to, unwelcome or unwanted sexual advances, requests for sexual acts or favors, lewd or sexually-suggestive remarks, comments or jokes, display or circulation of pictures or written materials of a sexual nature, inappropriate physical contact or other verbal, written or physical conduct of a sexual nature when (i) submission to or rejection of this conduct by an individual is used explicitly or implicitly as a factor in decisions affecting hiring, evaluation, promotion, retention or other aspects of employment; or (ii) this conduct substantially interferes with an individual's employment or creates an intimidating, hostile or offensive work environment.

Without limiting the foregoing, employees must not use National Council's, their own, or someone else's computer (including instant messaging), telephone (including texting), voicemail, email, fax or other communications or information systems to engage in harassment or other conduct prohibited by this policy.

D. Complaint Procedure

National Council encourages individuals who believe that they are being subjected to discrimination or harassment to notify the offender that his or her behavior is unwelcome. If for any reason an individual does not want to confront the offender directly, or if this approach does not successfully end the discrimination or harassment, the individual should promptly contact either his or her supervisor, the Human Resources Director, or the President & CEO. National Council cannot act if it is not made aware of a situation and National Council cannot take action on anonymous complaints.

E. Accommodations for Disabilities and Pregnancy

As an equal opportunity employer, National Council does not discriminate on the basis of disability or pregnancy, and provides reasonable accommodations to employees in accordance with law to enable them to be able to perform the essential functions of their jobs or to enjoy the benefits and privileges of employment. Any employee who believes that he or she needs such an accommodation should inform the Human Resources Director of National Council. We cannot evaluate a need for an accommodation unless it is brought to our attention.

Any manager or supervisor who receives a request for an accommodation on the basis of disability or pregnancy must promptly notify the Human Resources Director of National Council.

F. Protection Against Retaliation

National Council prohibits and will not tolerate retaliation against any individual who makes a complaint under this policy, or anyone who has assisted a person making a complaint or provided information during an investigation under this policy. Retaliation is a violation of this policy and should be reported immediately. The same complaint and investigation procedures described herein will also apply to any complaint of retaliation.

G. Investigation

All reports of discrimination, harassment or retaliation will be promptly investigated. The investigation may include interviews with any person having relevant information, including the complainant, the accused and any witnesses.

To the extent possible, National Council will protect the confidentiality of a complaint. Information concerning the complaint will be limited to those with whom it needs to be shared in order to investigate and respond to the complaint.

H. Supervisors Receiving Complaints – Reporting

Any supervisor or manager receiving a report or complaint of discrimination, harassment or retaliation must report it immediately to the Human Resources Director of National Council.

I. Disciplinary Action

Upon completion of an investigation, appropriate action will be taken. Any individual found to have engaged in discrimination, harassment or retaliation will be subject to disciplinary action, up to and including termination.

J. Questions

Employees who have any questions about this policy should contact the Human Resources Director of National Council.

EMPLOYMENT

A. Employee Classification Categories

All employees are designated as either nonexempt or exempt under state and federal wage and hour laws, and as either regular, full-time; regular, part-time; or temporary. The following is intended to help employees understand employment classifications and employees' employment status and benefit eligibility.

- **Regular, full time:** Employees who are not in a temporary status and who are regularly scheduled to work National Council's full-time schedule of 40 hours per week. Generally, these employees are eligible for the full benefits package, subject to the terms, conditions and limitations of each benefits program.
- **Regular, part time:** Employees who are not in a temporary status and who are regularly scheduled to work less than the full-time schedule but at least 20 hours each week. Regular, part-time employees are eligible for all fringe benefits and leave on a prorated (proportional) basis, equal to the percent of time worked for some of the benefits offered by National Council subject to the terms, conditions and limitations of each benefits program.
- **Temporary:** Employees who are hired as interim replacements to temporarily supplement the workforce or to assist in the completion of a specific project and who are temporarily scheduled to work for a limited duration. Employment beyond any initially stated period does not in any way imply a change in employment status. Temporary employees receive no fringe or leave benefits.

B. Deductions from the Pay of a Salaried Employee

If you are a salaried employee, you will normally be paid for work performed for National Council. However, National Council can make deductions from your salary if any of the following circumstances occur:

- If you have no remaining paid leave (other than sick time) and you are absent from work for one or more days for personal reasons other than sickness, your pay will be deducted for those full days missed.
- If you have no remaining sick leave and you are absent from work for one or more days due to sickness or disability, your pay will be deducted for those full days missed.
- If you are suspended without pay for one or more days for violating National Council's policies, including, but not limited to, those on non-discrimination and harassment, conduct, and drugs and alcohol, your pay will be deducted for each full day during the duration of the suspension.

This is not an exhaustive list of all circumstances under which National Council can make a deduction from your salary, but is meant to be a guide as to the most common examples when a deduction may be made.

Notification Procedure - Improper Deductions

As with any other paycheck errors, if you are a salaried employee and you believe that National Council has made an improper deduction from your salary, you should promptly advise the Human Resources Director that the deduction has been made. National Council will do a prompt investigation and will reimburse you promptly for any deductions that it is determined should not have been made. Please try to give National Council as much notice as possible, so we can try to correct the deduction, if necessary, before your next scheduled pay day.

C. References

Any employee receiving any request for information of any nature about another employee, a former employee or an applicant for employment must refer the request to National Council's Human Resources Director. It is National Council's policy to provide the following information in reply to requests for employment references: dates of employment, position(s) held, and general description of accountabilities of the position. No supervisor is authorized to give any information about current or former employees without the approval of the Human Resources Director.

D. Employment of Relatives and Personal Relationships

National Council wants to ensure that its practices do not create conflicts of interest or favoritism. This extends to practices that involve employee hiring, promotion and transfer. Close relatives, partners, those in a dating relationships or members of the same household are not permitted to be in positions that have a reporting responsibility to each other. Close relatives are defined as husband, wife, domestic partner, father, mother, father-in-law, mother-in law, grandfather, grandmother, son, son-in-law, daughter, daughter-in law, uncle, aunt, nephew, niece, brother, sister, brother-in-law, sister-in-law, step relatives, cousins and domestic partner relatives. National Council reserves the right to transfer one or both employees involved in a consensual relationship or to change their reporting functions. If accommodations to this nature are not feasible, National Council may require that one or both of the employees resign.

If employees begin a dating relationship or become relatives, partners or members of the same household and if one party is in a supervisory position, it is the responsibility of the supervisory employee to promptly inform his/her supervisor and Human Resources of the relationship.

National Council reserves the right to apply this policy to situations where there is a conflict or the potential for conflict because of the relationship between employees, even if there is no direct-reporting relationship or authority involved.

E. Performance Management and Disciplinary Actions

Every employee has the duty and the responsibility to be aware of and abide by existing rules and policies. Each employee also has the responsibility to perform his/her duties to the best of his/her ability and to the standards as set forth in his/her job description or as otherwise established.

National Council supports the use of disciplinary action to address issues such as poor work performance, unacceptable workplace behavior, or misconduct. Our discipline policy is designed to provide a corrective action process to improve and prevent a recurrence of undesirable behavior and/or performance issues.

National Council, in its sole discretion, will determine the appropriate action to take in each situation. Some of the factors that will be considered are whether the offense is repeated despite coaching,

counseling and/or training; the employee's work record; and the impact the conduct and performance issues have on National Council.

Depending on the circumstances surrounding the violation, counseling may begin at any of the following steps:

- **Verbal warning:** A supervisor verbally counsels an employee about an issue of concern, and a written record of the discussion is placed in the employee's file for future reference.
- **Written warning:** Written warnings are used for behavior or violations that a supervisor considers serious or in situations when a verbal warning has not helped change unacceptable behavior. Written warnings are placed in an employee's personnel file. Employees should recognize the grave nature of the written warning.
- **Performance Improvement Plan:** Whenever an employee has been involved in a disciplinary situation that has not been readily resolved or when he/she has demonstrated an inability to perform assigned work responsibilities efficiently, the employee may be given a final warning or placed on a performance improvement plan (PIP). PIP status will last for a predetermined amount of time not to exceed 90 days. Within this time period, the employee must demonstrate a willingness and ability to meet and maintain the conduct and/or work requirements as specified by the supervisor and the organization. During or at the end of the performance improvement period, the performance improvement plan may be closed or, if established goals are not met, dismissal may occur. Human Resources and the EVP must review all documentation prior to an employee being placed on a PIP.
- **Termination of Employment:** Discharge occurs when warnings fail to correct the performance or workplace behavior problem. Human Resources and the EVP must review all documentation prior to terminating the employee.

In some cases leading to discharge, the warning procedure as outlined above may not be appropriate or necessary. National Council reserves the right to determine the appropriate level of discipline for any inappropriate conduct, including oral and written warnings, suspension with or without pay, demotion and discharge, and may impose this discipline independent of any other form of discipline.

F. Separation of Employment

Separation of employment from National Council can occur for several different reasons.

- **Resignation:** Although we hope your employment with us will be a mutually rewarding experience, we understand that varying circumstances cause employees to voluntarily resign employment. To facilitate a smooth transition out of the organization, resigning employees are to provide, in writing, no less than two weeks' notice (14 days) or longer in case of a management position, specialized position or ongoing priority project (see below). Management reserves the right to decline notice term in situations where job or business needs warrant such action. If an employee provides less notice than requested, the employer may deem the individual to be ineligible for rehire depending on the circumstances regarding the notice given. Notice of resignation for President and CEO, Executive Vice President, and Vice-Presidents shall be given as follows:

**President and CEO:
Vice-Presidents:**

By Agreement with Executive Committee
One calendar month (30 days)

- **Retirement:** Employees who wish to retire are required to notify their supervisor and Human Resources in writing at least one calendar month (30 days) before the planned retirement date.
- **Job abandonment:** Employees who fail to report to work or contact their supervisor for three (3) consecutive workdays may be considered to have abandoned their jobs without notice, effective at the end of their normal shift on the third day. The supervisor shall notify Human Resources at the expiration of the third workday and initiate the paperwork to terminate the employee. Employees who are separated due to job abandonment are ineligible for rehire.
- **Termination:** Employees of National Council are employed on an at-will basis, and National Council retains the right to terminate an employee at any time.

G. Return of National Council Property

Upon National Council's demand, but no later than the effective date of your separation of employment, you will immediately return to National Council all of its property including, but not limited to, all of National Council's documents, files, forms, notes, records, external website log-in information, charts, keys, credit cards, computer hardware, cell phones and other electronic devices, tablets, laptops, computer software and all copies. Your duty to return such property extends to all locations where you have stored or maintained such property.

WORKPLACE SAFETY

A. Substance Abuse Policy

National Council has a strong commitment to providing a safe workplace that promotes employee health. Consistent with this commitment, National Council has established this Substance Abuse Policy. Our goal is to maintain a work environment that is free from the effects of illegal drugs and alcohol. This policy applies to all employees and all applicants for employment at National Council.

National Council has no intention of intruding into the private lives of its employees, however, we do expect employees to remain free of the influence of illegal drugs and alcohol while on National Council premises and/or performing their work-related duties. In addition, National Council must also be concerned about any off-the-job involvement with illegal drugs and alcohol that can have an impact on the workplace, on customers, and on fellow employees. In that regard:

- The unlawful manufacture, distribution, dispensation, sale, possession or use of illegal drugs or controlled substances while working, on duty or on National Council business is prohibited, whether on National Council's premises, at other job or work locations, or while driving or operating a motor vehicle or motorized equipment.
- The unauthorized use or possession of alcohol while working, on duty or on National Council business is prohibited, whether on National Council's premises, at other job or work locations, or while driving or operating motor vehicles or motorized equipment.
- Reporting to work and/or working under the influence of illegal drugs, controlled substances or alcohol is prohibited.
- Where alcohol consumption is permitted (such as at certain National Council functions), only employees of legal age may consume alcohol, and they should drink responsibly so as not to adversely affect or jeopardize the employee's work performance, his/her own or another's safety or National Council's reputation or business. As defined by NIAAA, for women, low-risk drinking is no more than 3 drinks on any single day and no more than 7 drinks per week. For men, it is defined as no more than 4 drinks on any single day and no more than 14 drinks per week.

Employee Assistance and Drug-Free Awareness

Alcoholism and drug addiction are recognized as illnesses or disorders, and National Council will provide channels of help, but it is the employee's responsibly to seek help. Such employees may be allowed to use accrued paid time off/sick leave, placed on leaves of absence, referred to treatment providers and otherwise accommodated as required by law. Employees will not be terminated for voluntarily seeking assistance for a substance abuse problem; however, performance, attendance, or behavioral problems may result in disciplinary action up to and including termination.

Illegal drug use and alcohol misuse have a number of adverse health and safety consequences. Information about those consequences and sources of help for drug/alcohol problems is available from Human Resources.

B. Smoke-Free Workplace

It is the policy of National Council to prohibit smoking on all organization premises in order to provide and maintain a safe and healthy work environment for all employees. National Council also prohibits the use of e-cigarettes and any other tobacco use within the office. Employees, who wish to smoke, use

e-cigarettes, and use tobacco must do so outside of their work schedule and is only permitted in designated areas as posted by the building management.

Employees who violate the smoking policy will be subject to disciplinary action up to and including termination.

C. Workplace Bullying

National Council defines bullying as “repeated inappropriate behavior, either direct or indirect, whether verbal, physical or otherwise, conducted by one or more persons against another or others, at the place of work and/or in the course of employment.” Such behavior violates National Council Code of Ethics, which clearly states that all employees will be treated with dignity and respect.

The purpose of this policy is to communicate to all employees, including supervisors, managers and executives, that National Council will not tolerate bullying behavior. Employees found in violation of this policy will be disciplined up to and including termination.

Bullying may be intentional or unintentional. However, it must be noted that where an allegation of bullying is made, the intention of the alleged bully is irrelevant and will not be given consideration in the determination of appropriate discipline. As with sexual harassment, it is the effect of the behavior upon the individual that is important. National Council considers the following types of behavior examples of bullying:

- **Verbal bullying:** Slandering, ridiculing or maligning a person or his/her family; persistent name calling that is hurtful, insulting or humiliating; using a person as the butt of jokes; abusive and offensive remarks.
- **Physical bullying:** Pushing, shoving, kicking, poking, tripping, assault or threat of physical assault; damage to a person’s work area or property.
- **Gesture bullying:** Nonverbal threatening gestures or glances that convey threatening messages.
- **Exclusion:** Socially or physically excluding or disregarding a person in work-related activities.

Engaging in the conduct listed above, or other similar conduct, may also be a violation of National Council’s harassment policy.

Complaint Procedure

National Council encourages individuals who believe that they are being subjected to bullying notify the offender that his or her behavior is unwelcome. If for any reason an individual does not want to confront the offender directly, or if this approach does not successfully end the bullying, the individual should promptly contact either his or her supervisor, or the Human Resources Director. National Council cannot act if it is not made aware of a situation.

Protection Against Retaliation

National Council prohibits and will not tolerate retaliation against any individual who makes a complaint under this policy, or anyone who has assisted a person making a complaint or provided information during an investigation under this policy. Retaliation is a violation of this policy and should be reported immediately. The same complaint and investigation procedures described herein will also apply to any complaint of retaliation.

Investigation

All reports of bullying will be promptly investigated. The investigation may include interviews with any person having relevant information, including the complainant, the accused and any witnesses.

To the extent possible, National Council will protect the confidentiality of a complaint. Information concerning the complaint will be limited to those with whom it needs to be shared in order to investigate and respond to the complaint.

Supervisors Receiving Complaints – Reporting

Any supervisor or manager receiving a report or complaint of bullying must report it immediately to the Human Resources Director of National Council.

Disciplinary Action

Upon completion of an investigation, appropriate action will be taken. Any individual found to have engaged in bullying will be subject to disciplinary action, up to and including termination.

Questions

Employees who have any questions about this policy should contact the Human Resources Director of National Council.

D. Violence in the Workplace

All employees, customers, vendors and business associates must be treated with courtesy and respect at all times. Employees are expected to refrain from conduct that may be dangerous to others.

Conduct that threatens, intimidates or coerces another employee, customer, vendor or business associate will not be tolerated. National Council resources may not be used to threaten, stalk or harass anyone at the workplace or outside the workplace. National Council treats threats coming from an abusive personal relationship as it does other forms of violence.

Employees should promptly inform the Human Resources Director of any protective or restraining order that they have obtained that lists the workplace as a protected area. Employees are encouraged to report safety concerns with regard to intimate partner violence. National Council will not retaliate against employees making good-faith reports. National Council is committed to supporting victims of intimate partner violence by providing referrals to National Council's employee assistance program (EAP) and community resources and providing time off in appropriate circumstances for reasons related to intimate partner violence.

National Council's goal is to maintain a safe work environment for all its employees. National Council has adopted the following policies to deal with any violence that may occur on the premises, and to ensure the safety of our employees and guests. To comply with these policies, please do the following:

- Report all threats of violence, both direct and indirect, as soon as possible to your supervisor, or, if they cannot be reached, to any other manager or to Human Resources. Be as specific regarding the facts as possible.
- Report all suspicious individuals or activities to Human Resources, your supervisor, or to any other manager as soon as possible.
- Do not put yourself in danger.
- If you hear any violent activity or commotion near your workplace, do not attempt to see what is happening. Go to the nearest telephone and call 911.
- Warn others, if it is possible to do so safely, and hide from any potential danger or threats.
- Cooperate fully with security, law enforcement, and emergency medical personnel that respond to call for help.
- Do not respond on behalf of National Council to inquiries from the media about violence on National Council property, but let the designated person (CEO, EVP, or Senior VP, Communications & Strategic Development) respond to such inquiries.

National Council will promptly and thoroughly investigate all reports of threats of violence or incidents of actual violence and of suspicious individuals or activities. The identity of the individual making a report will be protected as much as possible. National Council will not retaliate against employees making good-faith reports of violence, threats or suspicious individuals or activities. In order to maintain workplace safety and the integrity of its investigation, National Council may suspend employees suspected of workplace violence or threats of violence, either with or without pay, pending investigation.

Anyone found to be responsible for threats of or actual violence or other conduct that is in violation of these guidelines will be subject to prompt disciplinary action up to and including termination of employment.

National Council encourages employees to bring their disputes to the attention of their supervisors or Human Resources before the situation escalates.

E. Safety

It is the responsibility of each employee to conduct all tasks in a safe and efficient manner complying with all local, state and federal safety and health regulations and program standards, and with any special safety concerns for use in a particular area or with a client.

Although most safety regulations are consistent throughout each department and program, each employee has the responsibility to identify and familiarize her/himself with the emergency plan for National Council and his/her working area. *Please refer to National Council's Emergency Plan document for specific details.*

It is the responsibility of the employee to complete an Accident and Incident Report for each safety and health infraction that occurs by an employee or that the employee witnesses. Failure to report such an infraction may result in employee disciplinary action, including termination.

Furthermore, management requires that every person in the organization assumes the responsibility of individual and organizational safety. Failure to follow National Council's safety and health guidelines or

engaging in conduct that places the employee, client or National Council property at risk can lead to employee disciplinary action, up to and including termination.

F. Employee Assistance Program (EAP)

Through the employee assistance program (EAP), Life's Solutions provides confidential access to professional counseling services. The EAP, available to all employees and their immediate family members, offers problem assessment, short-term counseling (including mental health and addictions counseling) and referral to appropriate community and private services. This service is provided on behalf of Life's Solutions by calling 1-888-231-7015 or by visiting <http://www.lifessolutionseap.com/> and entering the password "adprso"

The EAP is strictly confidential and is designed to safeguard an employee's privacy and rights. Contacts to and information given to the EAP counselor may be released to National Council only if requested by the employee in writing. There is no cost for an employee to consult with an EAP counselor. If further counseling is necessary, the EAP counselor will outline community and private services available. The counselor will also let employees know whether any costs associated with private services may be covered by their health insurance plan. Costs that are not covered are the responsibility of the employee.

WORKPLACE EXPECTATIONS

A. Code of Ethics

National Council operates in accordance with certain ethical standards. It is the policy of National Council to conduct its business with honesty and integrity and in accordance with the highest moral and ethical standards.

Our Code of Ethics is not a roadmap for every business, legal and ethical situation we may find ourselves in, nor would it be possible to create such a roadmap. While our Employee Handbook contains the policies and procedures relevant to our day-to-day operations, our Code of Ethics represents the broad framework for how we address certain ethics issues as we make decisions individually and collectively.

Compliance with the Code

All employees, officers and directors are required to comply with the letter and spirit of our Code of Ethics. We are all required to take responsibility for our own actions and to work with our colleagues to create a collaborative work environment where people are proud to work.

National Council employees, officers and directors who fail to follow the letter or spirit of the Code of Ethics may be subject to disciplinary action, up to and including additional training, re-assignment to lower-risk functions, or termination of employment. Failure to report violations of the Code of Ethics is also grounds for disciplinary action up to and including termination.

Ethics Program and Training

National Council's Ethics Program is focused on educating National Council employees, officers and directors concerning the basic values and expectations that are central to our Code of Ethics. Newly hired employees receive and are required to acknowledge that they have reviewed and understood the Code. All other employees receive annual Code of Ethics Training as well as annual training on other targeted topics.

Questions, Clarifications, and Reporting Misconduct

At National Council we strive to be a trusted advisor and service provider to our customers. Our customers' trust in us is our lifeblood. As such, a foundational question we must all ask ourselves when faced with an ethically challenging decision is "If the details are known, will trust in National Council be increased?"

If you are or become aware that someone at any level within National Council is acting in a way that you think violates our Code of Ethics, our policies, or otherwise is some type of business misconduct, you are required to report such conduct. Misconduct reports should be directed to a manager, supervisor, officer, or Human Resources. Reports can be made anonymously, although providing a name facilitates investigation and follow-up.

We maintain a culture at National Council where important issues can be freely discussed without fear of retaliation. We will not tolerate retaliation against anyone who makes a report in good faith. Any suspected retaliation should be reported in the same manner as a violation.

Cooperation with Government Investigations

We value our relationships with our Government customers. In upholding our obligations to these customers, National Council will respond promptly to questions, concerns, and reports of wrongdoing. Investigations will be as confidential as possible given their circumstances. All National Council employees, officers, and directors will cooperate fully with investigation activities by National Council or by government investigators and/or regulators. Should you receive a request for information from the

government or on behalf of the government, you must contact Andréa Moore, Human Resources Director immediately so National Council may respond professionally, courteously, and accurately.

Gifts and Entertainment

National Council must only give or accept business courtesies that are for business purposes, are modest and infrequent, and are not prohibited by law or by the policies and regulations that apply to all parties involved. Exchanging gifts and sharing entertainment in connection with a legitimate business purpose can foster constructive relationships with third parties. Gifts and entertainment can include meals and attendance at events, including National Council sponsored events. However, gifts and entertainment should never affect, or appear to affect, impartial business decision-making by National Council employees or anyone else. Gifts and entertainment should never be offered or received in exchange for preferential treatment. You must never provide gifts, entertainment, or transportation to Members of Congress, congressional staff, other elected officials and their staff, U.S. government officials or customers. Please consult with the Sr. VP, Public Policy & Practice Improvement for exceptions when it may be lawful to provide a member of Congress or their staff with a gift and/or entertainment.

Responsible Official

The National Council official responsible for the Code of Ethics is Linda Rosenberg, President and CEO. This responsible official will ensure Ethics Program training occurs as required and that periodic reviews occur to assess whether the company's practices, procedures, policies and internal controls remain adequate to (1) monitor for potential misconduct, (2) report/disclose misconduct when appropriate, and (3) uphold the values of National Council. The responsible official shall also periodically track incidences of misconduct to ensure the misconduct is met with appropriate and proportional discipline.

If you have any questions concerning National Council's Code of Ethics, please contact Linda Rosenberg at lindar@thenationalcouncil.org.

B. Confidential Information

Every National Council employee shares in the responsibility for proper conduct of National Council's business and for maintaining the confidence of clients and business partners in our operations. This is a serious obligation and the responsibility of every person. In our operations, employees must adhere to high standards of honesty and integrity.

Routinely, employees are in contact with confidential and proprietary information about National Council, our clients, and our business partners. Each employee must appreciate the need to maintain the confidentiality of this information. Failure to do so or any inappropriate communication or misuse of confidential information may result in disciplinary action, up to and including termination, and/or legal recourse.

Any National Council employee, officer or director who handles government proprietary and/or source selection information plays an important role in protecting the information from inappropriate or unauthorized use or disclosure. As a general rule, government proprietary or source selection information must only be shared with people with a "need to know" and with specific permission from the customer to know the information. In addition, the information must never be disclosed outside of National Council and must never be used for anything other than legitimate National Council business purposes. Seek clarification from VP, Finance & Administration/CFO whenever government proprietary and source selection information is received and as questions arise.

In addition, hiring or discussing possible employment with former and current government employees could create the perception – even if it is not accurate – that National Council is attempting to influence or reward the government employee's decision to purchase our services or influence how laws and

regulations affecting National Council are enforced. To avoid the appearance of improper influence, National Council employees, officers and directors must obtain prior clearance from President & CEO to conduct employment-related discussions with government employees, elected officials, and members of their immediate families.

C. Conflicts of Interest

National Council strives to encourage and promote objectivity in business decision-making. Avoiding conflicts of interest is critical to maintaining integrity and honesty in the way National Council conducts its business.

National Council as an organization strives to comply with laws, rules and regulations pertaining to organizational conflicts of interest. Due to National Council's esteemed relationships with various agencies of the federal government, National Council makes it a priority that all actual or potential conflicts of interest be identified in advance, properly evaluated and disclosed to appropriate individuals, and that mitigation plans, as necessary and appropriate, are properly documented and implemented.

National Council employees have a duty of loyalty to the organization and are expected to make business decisions with National Council's best interests in mind, and to exercise business judgment independent of external influences such as personal financial interests, external business relationships, outside employment, and familial relationships. Potential conflicts of interest can arise in any of the following circumstances when a National Council employee:

Accepts gifts from a potential business partner;

Accepts additional employment by another company;

Has a financial interest in a business partner or competitor;

Places business with any firm in which the employee or an immediate family member of an employee has a financial interest; or

Inappropriately communicates with a competitor.

These potential conflicts are discussed further below.

- Outside Employment – Employees must provide advance notice to, and receive written approval from, Human Resources if they seek or obtain or continue any full or part-time employment opportunities during their tenure of employment with National Council, with entities other than National Council, including any self-employment opportunities. National Council's Human Resources will not grant such approval if the outside employment is with any National Council competitor, is deemed to interfere, in management's judgment, with the employee's position at National Council, or otherwise creates a potential organizational conflict of interest.
- Outside Business – Employees cannot conduct the business of any outside employment during their work time at National Council.
- Outside Directorships – Employees who wish to serve or continue to serve on the board of directors of any organization, for-profit or not-for-profit, must disclose their plans to Human

Resources so a determination can be made by National Council management whether such a position is in conflict with employment at National Council.

- Financial Interest in National Council's Competitors, Customers or Clients – Employees must disclose to Human Resources any direct or indirect (via family members) financial interest in National Council's competitors, customers or clients.
- Financial Interest in Other Organizations – In supporting our clients, the objectivity of National Council and the objectivity of National Council's employees is paramount. For this and other reasons, National Council endeavors to avoid any organizational or personal conflicts of interest. National Council also endeavors to avoid situations where an employee's objectivity may be questioned. Integral to this effort is that employees self-report to National Council any direct or indirect interest in any other organization where such interest might create a conflict either for National Council or for the employee.
- Corporate Opportunities – National Council prohibits employees from using the Organization's property, information, resources or position for personal gain or to compete with National Council in any way. National Council also prohibits employees from taking or diverting to any third party any business opportunity that is discovered through the use of any of National Council's property, information, or resources.

D. Office Hours, Attendance, and Punctuality

The office is open from 8:30am-5:00pm, Monday through Friday.

Regular, full-time employees generally work a 40-hour week and have established schedules that are approved by a direct supervisor and the CEO. A period of 30 minutes is provided for lunch. Lunch should be taken away from the regular work station, is not included in time worked, and is unpaid for hourly employees.

Vacation must be scheduled with one's supervisor in advance. Sick leave may be used in the case of emergency or sudden illness without prior scheduling. Patterns of absenteeism or tardiness may result in discipline up to and including termination even if the employee has not yet exhausted available paid time off. Absences due to illnesses or injuries that qualify under the D.C. or Federal Family and Medical Leave Act will not be counted against an employee's attendance record. Medical documentation within the guidelines of the D.C. or Federal FMLA may be required in these instances.

E. Business Attire and Grooming

Business casual attire is required for Monday through Thursday. Staff may wear jeans on Fridays only. A neat professional appearance in the workplace is a requirement of the organization. National Council employees are expected to be neat, clean and well-groomed while on the job. Clothing must be consistent with the standards for a business environment and must be appropriate to the type of work being performed. National Council is confident that employees will use their best judgment regarding attire and appearance. Management reserves the right to determine appropriateness.

Any staff member who reports for work dressed inappropriately, may be asked, at the sole judgment and discretion of management, to leave work and return in appropriate attire. If asked to leave work for this reason time away from work may not be considered as work hours.

On occasion the CEO may determine that business dress is required and may designate such times. (i.e. during Board of Directors meeting, in the event we have visitors in the DC Office) Supervisors will alert staff when this occurs.

F. Technology/Computer/Email/Internet Acceptable Use

National Council provides certain communications and information equipment, systems, networks, software and other information and communications-related devices and resources, including computers, internet access, electronic mail (e-mail), facsimile machines, telephones and voice mail (collectively, "Communication/Information Systems"), in order to aid employees of National Council in the performance of their duties. All Communication/Information Systems (a) are the property of National Council or are used pursuant to a license granted to National Council, and (b) are to be used only in connection with an employee's duties as an employee of National Council and in accordance with this policy.

Prohibited Use

Communication/Information Systems are to be used for National Council-related purposes and **not** for other purposes, including, but not limited to:

- for any illegal, fraudulent or unauthorized purpose;
- to solicit or to address employees regarding commercial, religious or political causes;
- to send, receive, file or post any messages, files or other materials that are defamatory, discriminatory, obscene, pornographic, offensive or otherwise inappropriate and/or which are intended to harass, threaten, or intimidate another person; and
- violating any other National Council policy, such as disclosure of confidential information.

Access

National Council has the right to restrict and/or terminate an employee's access to Communication/Information Systems, including network privileges and/or access to the internet.

Internet

National Council provides internet access to employees for National Council business use and purposes only. Employees are not to use National Council-provided internet access for non-work-related reasons. **You should have no expectation of privacy from your use of National Council's internet connection.** National Council may, without notice:

- monitor any individual's usage of National Council's internet connection;
- keep logs of the internet sites visited by any individual;
- identify the individual sites that have been visited;
- monitor the number of times a site may be visited;
- identify the pages within a site that have been visited;
- determine the duration of any visit to any site and to each page of a site;
- monitor any other information or statistic that may be available.

You should assume National Council knows what internet sites you visit. You are expected to act professionally and appropriately because, among other things:

- Communications with some non-business sites, particularly of the pornographic or inappropriate type, significantly increase the risk of National Council's computer systems being "spammed," resulting in system-wide slowdown or stoppage, inconvenience for everyone, and substantial extra work for our systems personnel.

- Nonbusiness usage of National Council's internet connection may be perceived by others as offensive or creating a hostile work environment (particularly if the web sites that are being visited include pornographic or other inappropriate materials). National Council's employment policies prohibit any activity that might be defamatory, discriminatory, offensive, or in violation of any state or federal laws, or create a hostile work environment.

Information -- NO PRIVACY; National Council Property; Access; Monitoring

- All information and other materials contained in National Council Communication/Information Systems is considered National Council property. Employees shall not be entitled to any right, title or interest (including any copyrights, trademarks, trade secrets, patents, moral rights and similar rights) in and to any files, messages, and other material authored, created, developed or otherwise placed in or on National Council Communication/Information Systems.
- National Council Communication/Information Systems are **not private** even if passwords or other security measures are used. **There is no assurance of privacy or confidentiality, and you should have no expectation of privacy** in your use of National Council's Communication/Information Systems. National Council has and will have access to, and reserves the right to access and monitor, any and all National Council Communication/Information Systems.
- Any data, information or materials that an employee does not want to have accessed, monitored, read or listened to should not be conveyed by, processed on, disseminated by or stored in National Council Communication/Information Systems.
- Unauthorized access, copying and/or removal of data, information or materials from National Council Communication/Information Systems is prohibited.

Software

It is the policy of National Council that there be no illegal copying, distribution, reverse assembly, reverse compiling, translation or alterations to computer software used at National Council, whether on National Council's computers or National Council's network. It is also against National Council policy for any employee to load unauthorized software onto National Council's computers or National Council's network. In addition, software may not be given to any third party (including, family and friends) or transferred or made available electronically over a timesharing service, network or other system that provides access to multiple users unless a proper license (such as a network license) has been obtained.

No software shall be installed on any National Council Communication/Information Systems unless approved by the IT Manager of National Council and installed by authorized personnel. Any unapproved software that is installed can be removed by National Council without notice or warning.

File Downloads

No files or other information from the internet or other sources outside National Council's private network (including information on disks or CD-ROM's) are to be downloaded directly to National Council's network or the hard drive of any National Council computer used by you. Any such downloads must only be performed by authorized personnel.

Viruses

Viruses can seriously damage National Council's Communication/Information Systems. To prevent viruses from infecting Communication/Information Systems, National Council requires that all computer disks including CD-ROMs brought to National Council's premises be scanned for viruses **before** working with the disks or copying the contents of the disk to the hard drive, network or other

Communication/Information Systems. If you are going to use a disk received from an outside source or which was used outside National Council's premises, please see the IT Manager of National Council to have the disk checked for viruses. In addition, no information is to be downloaded from the internet directly to National Council's network or hard drives. Any information downloaded from the internet must first be downloaded to a disk and scanned for viruses as set forth above.

Users must **never** download or open attached files from e-mails without being 100% certain of its sender's identity, and must **never** open files with a filename that ends in **".exe", ".bat", or ".com"** even if the sender is known – viruses are often passed *unknowingly* between users.

Users must immediately call the IT Manager of National Council whenever they believe that a system has been infected with a virus. This will allow steps to be promptly taken to assure that no further infection takes place and, if necessary, that experts needed to eradicate the virus are promptly engaged.

Policy Violations

Any violation of this policy is grounds for National Council to (a) take disciplinary action against the employee (up to and including termination of employment), (b) revoke and/or restrict the employee's use of or access to National Council Communication/Information Systems (including restricting networking privileges, access to the internet and/or use of e-mail), and/or (c) take such other action as National Council determines appropriate in its discretion.

Report any policy violations to the IT Manager of National Council.

Questions

If you have any questions about this policy, please contact the IT Manager of National Council.

G. Personal Use of Telephone During Office Hours

Employees are requested not to receive or make personal telephone calls outside of personal emergencies and limit calls during supervisor designated rest breaks. During supervisory designated rest breaks, employees may make or return urgent personal calls. These calls should be limited to no more than five minutes in length. Emergency or urgent personal calls resulting in a toll charge to National Council must be cleared in advance with the appropriate supervisor.

H. Social Media Policy

At National Council, we understand that social media can be a fun and rewarding way to share your life and opinions with family, friends and co-workers around the world. However, use of social media also presents certain risks and carries with it certain responsibilities. To assist you in making responsible decisions about your use of social media, we have established these guidelines for appropriate use of social media.

This policy applies to all employees who work for National Council.

Guidelines

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

principles and guidelines found in National Council policies and three basic beliefs apply to your activities online. Ultimately, you are solely responsible for what you post online. Before creating online content, consider some of the risks and rewards that are involved.

Know and Follow the Rules

Carefully read these guidelines, National Council's Code of Ethics, the Technology/Computer/Email/Internet Acceptable Use policy and the Diversity and Equal Employment Opportunity policy, and ensure your postings are consistent with these policies. Inappropriate postings that may include discriminatory remarks, harassment, and threats of violence or similar inappropriate or unlawful conduct will not be tolerated and may subject you to disciplinary action up to and including termination.

Be Respectful

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

Be Honest and Accurate

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

Post Only Appropriate Content

- Do not create a link from your blog, website or other social networking site to a National Council website without identifying yourself as a National Council employee.
- Express only your personal opinions. Never represent yourself as a spokesperson for National Council. If National Council is a subject of the content you are creating, be clear and open about the fact that you are an employee and make it clear that your views do not represent those of National Council, fellow employees, members, customers, suppliers or people working on behalf of National Council. If you do publish a blog or post online related to the work you do or subjects associated with National Council make it clear that you are not speaking on behalf of National Council. It is best to include a disclaimer such as "The postings on this site are my own and do not necessarily reflect the views of National Council for Behavioral Health."

Using Social Media at Work

Refrain from using social media while on work time or on equipment we provide, unless it is work-related as authorized by your manager or consistent with the Technology/Computer/Email/Internet Acceptable Use policy. Do not use National Council email addresses to register on social networks, blogs or other online tools utilized for personal use.

Retaliation is Prohibited

National Council prohibits retaliation against any employee who in good faith reports a possible deviation from this policy or for cooperating in an investigation. Any employee who retaliates against another employee for reporting a possible deviation from this policy or for cooperating in an investigation will be subject to disciplinary action, up to and including termination.

Media Contacts

Employees should not speak to the media on National Council's behalf without contacting the Senior Vice-President, Communications & Strategic Development. All media inquiries should be directed to the Senior VP.

For More Information

If you have questions or need further guidance, please contact Human Resources.

COMPENSATION AND REIMBURSEMENT

A. Payment of Wages

Pay period's are semi-monthly. Paydays currently are on the 4th and 19th of the month.

Overtime payment, which is included with the nonexempt employee's base salary payment, is also paid semi-monthly, with such payment covering hours worked in the previous semi-monthly period.

If the normal payday falls on an organization-recognized holiday or weekend, paychecks will be distributed one workday before the aforementioned schedule.

If an employee's marital status changes or the number of exemptions previously claimed increases or decreases, a new Form W-4 must be submitted to Human Resources. A W-4 must be completed annually.

B. Staff Timesheet Recording

Employees must record all hours worked. The workday is defined as the 24-hour period starting at 12:00 a.m. and ending at 11:59 p.m. The workweek covers seven consecutive days beginning on Sunday and ending on Saturday. The usual workweek period is 40 hours.

Overtime may not be worked by non-exempt employees without the prior approval of a supervisor. In that regard, non-exempt employees may not work before or after their scheduled hours or during their lunch periods without prior approval from their supervisor.

Employees will submit their timesheet semi-monthly. Each employee is to maintain an accurate daily record of his or her hours worked. For more details refer to separate National Council Timesheet Recording Policy.

C. Employee Travel and Reimbursement

It is the policy of the National Council, in connection with official travel, to pay actual and reasonable transportation costs and additional items such as lodging, meals, taxis and necessary telephone charges. Staff and non-staff will receive reimbursement of expenses subject to prior approval of travel by your Department VP. Any exceptions to the below policy require Executive Vice President (EVP) approval.

Staff and non-staff travel (airfare, hotel and car rental) must be booked through National Council's travel agency. The travel agency will bill these charges to the company account. Department VP's may choose to use their individual card and provide that to the travel agency. All staff and non-staff are required to provide a charge code to the travel agency in order to place a booking. National Council may have subcontracts or arrangements that require us to use other agencies (for example, the Dixon Group requires us to use Omega Travel).

Air travel is to be by discounted coach class unless extenuating circumstances require more expensive accommodations. Such circumstances shall be documented in writing to the EVP and submitted immediately upon return. If other compensating factors can offset the price of travel, a higher cost alternative can be utilized with specific approval of the EVP given to that specified individual.

When a staff member uses a personal car for official travel, reimbursement will be made at the IRS-approved rate (currently .575 per mile). Additionally, tolls and other road usage fees, parking, etc. may be paid. Reimbursement will be contingent upon submission of proper documentation.

Use of rental cars require documented justification of cost savings and advance approval from their Department VP. Regarding car insurance, in order for travelers to be covered under company policy they are to include National Council and there personal name in the rental agreement name and decline optional car insurance coverage.

Travel reimbursement for taxis and shuttles above \$100 need advance approval from the Department VP.

All employees shall provide receipts documenting expenditures for lodging, transportation, and unusual other expenses when requesting reimbursement pursuant to the National Council travel reimbursement policies.

For staff on travel status (greater than 50 miles), the maximum meal per diem is computed at \$50 per day times the number of days of travel. Receipts are not necessary for a reimbursement request of meals per diem. However, if the project's grant or contract calls for National Council reimbursement based on actual receipts, the employee is not paid based on a flat per diem, but must submit receipts and will be reimbursed for actual costs up to the maximum food reimbursement called for in the agreement. For non-staff on travel status, they will follow the meal reimbursement listed in their agreement with the National Council.

Travel expenses for federal contracts will be in accordance with travel policies and reimbursement rates in force at the time of travel.

For staff and non-staff on travel status, lodging costs above \$200/per night, which have a lower cost reasonable alternative, require pre-approval by EVP. Lodging for National Council sponsored conferences or meetings will be coordinated and procured by the representative department VP. Individual staff members are not to book individual accommodations unless pre-approved by that department VP.

Hotel, food or travel expenses for family or friends are not reimbursable. Personal expenses in excess of the per diem allowance are not reimbursable. All expense reports must be completed fully, receipts attached, be signed and submitted to the National Council office within 5 days after travel.

Local travel and local meals need prior approval from the Department VP's and are based on actual receipts submitted. Care should be given to keep costs reasonable.

D. Tuition Assistance

To encourage professional development, National Council offers tuition reimbursement as outlined below.

Employee Eligibility

After 90 days of employment, employees are eligible to apply for tuition reimbursement. All requests for tuition reimbursement must be approved in advance by Human Resources.

Eligible Educational Expenses

To qualify for tuition reimbursement:

- You must be employed for the duration of the course, from registration through completion of the course.

- The course must be job-related and scheduled during non-working hours.
- You must successfully complete the course and obtain a grade of at least a “B” or its equivalent.

National Council will provide tuition reimbursement for approved courses up to \$2,000 per calendar year.

You are required to pay all required tuition and fees at the time of your registration for the course. You will be required to provide documentation of your successful completion of the course before reimbursement is provided.

Requests for Tuition Reimbursement

A request for tuition reimbursement must be submitted:

- In writing.
- To your direct supervisor and to Human Resources before you enroll in the course.
- With a copy of the course description.

Upon receipt of your request, National Council may contact you for additional information.

Payment Date

National Council will reimburse you for authorized and documented eligible tuition on the next payday following the date on which you provide documentation of successful completion of the course and proof of your payment provided, however, that you acknowledge that if your employment with National Council is terminated within three months of the completion of the course, you agree to re-pay to National Council a pro-rata portion of the tuition reimbursement within 10 business days after the termination of your employment.

TIME OFF/LEAVES OF ABSENCE

A. Holidays

National Council recognizes the following paid holidays each year:

New Year's Day	Independence Day	Thanksgiving Day
Martin Luther King Jr. Day	Labor Day	Day After Thanksgiving
Presidents Day	Columbus Day	Christmas Day
Memorial Day	Veterans Day	

Should a holiday fall on a weekend, the holiday will be observed on the work day closest to the holiday. The CEO, on special occasion and consistent with local business practices, may excuse staff from work.

Employees may observe other religious holidays by charging the time taken against personal leave, annual leave, or leave without pay.

B. Inclement Weather and Emergency Closings

National Council will close offices based on the Federal Government decision to close or adjust the daily work schedule. On days of inclement weather or other emergency situations, National Council employees should listen to public media announcements or monitor the web site <http://opm.gov/status/> to determine the operating status of the Federal Government. If the federal government is open on time, National Council employees are expected to report to work, on time, at National Council's offices. Please note, National Council does not follow the Federal Government's use of leave or telework policies.

Employees who are unable to work during hours that National Council offices are open are expected to use personal or annual leave for those hours. Requests for leave or other work arrangements should be made to the employee's supervisor

C. Annual Leave

National Council encourages each employee to consider the importance of an annual vacation in terms of rest and relaxation. Employees (other than "Temporary" employees) become eligible for accrued annual leave beginning from the date of hire. Requests for annual leave should be made in writing, as far in advance as possible, to one's immediate supervisor for consideration and authorization based on the needs of the organization.

Annual leave is accrued as follows for all employees:

Years of Service	Number of Vacation Days
Hire to 1 year	10 working days
1 year or more	20 working days

Annual leave is accrued on a pro rata basis at the rate of 1/24 of 10 working days per pay period during the first year of employment and 1/24 of 20 working days per pay period for employees with more than one year of service. Regular, part-time employees accrue annual leave on a proportional basis.

Leave balances for all leave categories shall not be less than zero (0.00) unless under special circumstances approved by the Executive Vice President.

Employees do not have to take leave for National Council holidays that occur while they are on paid annual leave. Annual leave may be accumulated up to a maximum of 240 hours. Annual leave earned in excess of 240 hours (at the conclusion of a pay period) is forfeited, except in special circumstances that may be approved by the CEO. In the case of the CEO, the Chair of the Board of Directors shall approve such special circumstances.

National Council will pay out accrued but unused annual leave upon separation of employment to employees who have completed at least six consecutive months of service.

D. Personal Leave

Full-time employees receive 24 hours of paid personal leave per calendar year. New employees receive a pro-rata share of personal leave hours based on hire date. Part-time employees may accrue personal leave on a pro-rata basis in proportion to the number of hours worked. The ability to take personal leave is subject to the needs of the organization and is contingent upon the approval of the Employee's immediate supervisor. Personal leave does not carry over from one calendar year to the next. Employees shall not be reimbursed for unused personal leave in case of separation of employment and may not use personal leave following submission of notice of resignation by the employee or notice of termination by National Council.

Employees may utilize personal leave for time away from the office. Employees may also use paid personal leave to attend activities where your child is directly involved as a participant or as a subject, and are sponsored by the school or an associated organization, such as:

- A student performance in a concert, play or rehearsal;
- A school team's sporting game or practice;
- A meeting with a teacher or counselor;
- Any similar activity

Additional unpaid leave to attend school activities may be granted upon request.

E. Sick Leave

Employees accrue one hour of paid sick and safe leave for every 22 hours worked, up to twelve days per calendar year. Employees accrue paid sick and safe leave at the beginning of employment and may use leave after they have been employed by National Council for at least 90 days without a break in service.

Employees may use sick and safe leave for any of the following:

- Your own illness and your own medical or dental appointments;
- The illness and medical or dental appointments of your family member;
- To obtain social or legal services, if you or your family member is a victim of stalking, domestic violence or sexual abuse to:
 - Seek medical attention to recover from physical or psychological injury or disability cause by stalking, domestic violence or sexual abuse;
 - Obtain psychological or other counseling;
 - Obtain services from a victim services organization;
 - Temporarily or permanently relocate
 - Take legal action, including preparing for or participating in any civil or criminal legal proceeding; or

- Take any other actions to enhance the health or safety of you or your family member or to enhance the safety of those who associate or work with you.

Sick leave may be accumulated up to a maximum of 320 hours. Unused leave will not be paid out on termination of employment for any reason.

National Council may reduce payment for this leave by any amounts payable to you under any other benefits plan to which National Council contributes or under any federal or state worker's compensation law which covers your absence.

If your leave is for three or more consecutive days, National Council may require that you provide certification supporting your request for leave upon your return to work. This may include: a written statement from your physician confirming your illness or the illness of a family member or a copy of a police report, court order or statement from a witness or victim advocate if your leave was to obtain social or legal services in connection with an incident of stalking, domestic violence or sexual abuse involving you or a family member.

F. Family and Medical Leave Act

If you have worked for National Council for at least 12 months and for at least 1,000 hours during the 12-month period before the leave is to begin, you may be entitled to take up to 16 work weeks of unpaid medical leave during any 24-month period for any combination of the following reasons and up to 16 work weeks of unpaid family care, parental leave or both during any 24-month period for any combination of the following reasons:

- When your own serious health condition makes you unable to perform the functions of your job (medical leave);
- To care for your family member who suffers from a serious health condition (family care leave);
- Due to the birth of your child, the foster care or adoption placement of a child with you, or the placement of a child for whom you assume permanent parental responsibility, within 12 months of birth or placement (parental leave);
- In-patient care and any subsequent treatment; and
- Continuing treatment or supervision at home by a health care provider or other competent individual, and ongoing treatment.

If both you and a family member who works for National Council seek family care or parental leave for the same reason, you are eligible to take up to four weeks of leave at the same time and may take a combined maximum of 16 weeks of family care or parental leave.

In addition, under the Federal Family and Medical Leave Act, an eligible employee who is the spouse, child, parent or next of kin (nearest blood relative) of a covered military member who is undergoing medical treatment, recuperation, therapy, in outpatient status or on the temporary disability retired list, for a serious injury or illness is entitled to a total of 26 workweeks of leave during a 12 month period to care for the covered military member. This leave is only available during a single 12 month period. During the single 12 month period, an eligible employee is entitled to a combined total of 26 workweeks of leave under this paragraph and the preceding paragraph. Federal family and medical leave and District of Columbia family and medical leave run concurrently and cannot be used consecutively.

If your need for leave is foreseeable, you must give reasonable advance notice of the need for the leave.

If leave is requested due to your own or a family member's serious health condition, you must provide medical certification from an appropriate health care provider. If National Council has reason to doubt

the validity of the certification provided, National Council may require that you obtain, at National Council's expense, the opinion of a second health care provider approved by National Council, in regard to any information required to be certified. If the second opinion differs from the original certification provided, you may obtain the opinion of a third health care provider mutually agreed upon by you and National Council, in regard to any information required to be certified. National Council will pay the cost of the opinion of the third health care provider, whose opinion will be final and binding to you and National Council. Additionally, if military-related leave is requested, National Council may require a copy of certain certifications and/or other documentation.

In general, upon returning to work, you will be restored to your former position or to an equivalent position with the same employment benefits and pay. As a condition for restoration to work, an employee who takes leave because of a serious health condition that makes the employee unable to perform the functions of the employee's position may be required to provide certification from the employee's health care provider that the employee is able to resume work.

Consistent with National Council policy for all types of leave, you will not accrue benefits while you are on unpaid District of Columbia and/or Federal FMLA leave. Additionally, you will not be paid for holidays that occur while on unpaid leave. However, the leave period will be treated as continuous service (i.e., no break-in-service) for purposes of eligibility to participate in National Council's retirement plan.

Employees are to give notice and requests for leave to the Human Resources Director of National Council. Any supervisor or manager who receives a notice or request for leave must immediately notify the Human Resources Director of National Council.

You may choose to use paid annual leave, sick leave, or personal leave if your District of Columbia Family and Medical Leave Act leave otherwise meets the requirements of the applicable paid leave. During your Family and Medical leave, the employee will first use any sick leave, annual leave and personal leave which has accrued in excess of 80 hours (combined total). Secondly, the employee may use any combination of accrued leave or may request part or the balance of the leave to be without pay. During family leave, National Council will continue to provide fringe benefits at the same level as prior to the leave.

For further details on the District of Columbia or Federal FMLA or any other leave questions, please contact the Human Resources Director of National Council. A copy of the federal FMLA and District of Columbia FMLA posters are attached as the last page of this handbook.

G. Leave for Jury Duty

National Council encourages you to fulfill your civic responsibilities by serving as a juror. When you are summoned for jury duty, you must inform your supervisor immediately so arrangements can be made to accommodate your absence. You are expected to report to work when the court schedule permits (for example, if you are excused from jury duty during your regularly scheduled work hours or if you are released from jury duty earlier than anticipated).

Full-time employees will receive their usual compensation (minus any fee received for jury duty) for up to five work days missed for jury service on a District of Columbia grand or petit jury, unless scheduled to work an evening shift and more than half of that shift extends to the following day. In addition, exempt employees may be provided with paid leave when necessary to comply with state and federal wage and hour laws. If you are not a full-time employee, your leave will be unpaid, although you may choose to use annual or personal leave.

National Council reserves the right to request proof of jury service issued by the court when you return to work.

Retaliation against an employee who requests leave under this policy is strictly prohibited.

BENEFITS

National Council's insurance and retirement programs are briefly described in this Employee Handbook. These descriptions are not intended to provide detailed information regarding these benefits or to be summary plan descriptions. For all plans for which you are provided a summary plan description or other literature, please refer to those documents.

The following fringe benefit plans are provided for all regular, full time and regular, part-time employees provided they are accepted by the insurance company. If eligible, employee's dependents and families may be covered through a payroll deduction plan. Employees have up to 30 days from their date of hire to make medical and dental plan elections. Once made, elections are generally fixed for the remainder of the plan year. Major life changes, as defined in the Plan document, allow employees to make midyear changes in coverage consistent with the status change. Please contact the Human Resources to determine if a status change qualifies under the Plan document and IRS regulations.

Questions concerning benefits (including insurance claim information) should be directed to the Human Resources Director of National Council.

Insurance

National Council currently offers employees medical, vision, dental, group life, disability and workers' compensation insurance.

Refer to the literature, which may include summary plan descriptions, provided by our insurance organization for details on this insurance.

Retirement

National Council currently offers eligible employees a 403(b) Tax-Deferred Annuity Plan. Please refer to the Summary Plan Description for details.

EMPLOYEE RIGHTS AND RESPONSIBILITIES UNDER THE FAMILY AND MEDICAL LEAVE ACT

Basic Leave Entitlement

FMLA requires covered employers to provide up to 12 weeks of unpaid, job-protected leave to eligible employees for the following reasons:

- for incapacity due to pregnancy, prenatal medical care or child birth;
- to care for the employee's child after birth, or placement for adoption or foster care;
- to care for the employee's spouse, son, daughter or parent, who has a serious health condition; or
- for a serious health condition that makes the employee unable to perform the employee's job.

Military Family Leave Entitlements

Eligible employees whose spouse, son, daughter or parent is on covered active duty or call to covered active duty status may use their 12-week leave entitlement to address certain qualifying exigencies. Qualifying exigencies may include attending certain military events, arranging for alternative childcare, addressing certain financial and legal arrangements, attending certain counseling sessions, and attending post-deployment reintegration briefings.

FMLA also includes a special leave entitlement that permits eligible employees to take up to 26 weeks of leave to care for a covered servicemember during a single 12-month period. A covered servicemember is: (1) a current member of the Armed Forces, including a member of the National Guard or Reserves, who is undergoing medical treatment, recuperation or therapy, is otherwise in outpatient status, or is otherwise on the temporary disability retired list, for a serious injury or illness*; or (2) a veteran who was discharged or released under conditions other than dishonorable at any time during the five-year period prior to the first date the eligible employee takes FMLA leave to care for the covered veteran, and who is undergoing medical treatment, recuperation, or therapy for a serious injury or illness.*

*The FMLA definitions of "serious injury or illness" for current servicemembers and veterans are distinct from the FMLA definition of "serious health condition".

Benefits and Protections

During FMLA leave, the employer must maintain the employee's health coverage under any "group health plan" on the same terms as if the employee had continued to work. Upon return from FMLA leave, most employees must be restored to their original or equivalent positions with equivalent pay, benefits, and other employment terms.

Use of FMLA leave cannot result in the loss of any employment benefit that accrued prior to the start of an employee's leave.

Eligibility Requirements

Employees are eligible if they have worked for a covered employer for at least 12 months, have 1,250 hours of service in the previous 12 months*, and if at least 50 employees are employed by the employer within 75 miles.

*Special hours of service eligibility requirements apply to airline flight crew employees.

Definition of Serious Health Condition

A serious health condition is an illness, injury, impairment, or physical or mental condition that involves either an overnight stay in a medical care facility, or continuing treatment by a health care provider for a condition that either prevents the employee from performing the functions of the employee's job, or prevents the qualified family member from participating in school or other daily activities.

Subject to certain conditions, the continuing treatment requirement may be met by a period of incapacity of more than 3 consecutive calendar days combined with at least two visits to a health care provider or one visit and

a regimen of continuing treatment, or incapacity due to pregnancy, or incapacity due to a chronic condition. Other conditions may meet the definition of continuing treatment.

Use of Leave

An employee does not need to use this leave entitlement in one block. Leave can be taken intermittently or on a reduced leave schedule when medically necessary. Employees must make reasonable efforts to schedule leave for planned medical treatment so as not to unduly disrupt the employer's operations. Leave due to qualifying exigencies may also be taken on an intermittent basis.

Substitution of Paid Leave for Unpaid Leave

Employees may choose or employers may require use of accrued paid leave while taking FMLA leave. In order to use paid leave for FMLA leave, employees must comply with the employer's normal paid leave policies.

Employee Responsibilities

Employees must provide 30 days advance notice of the need to take FMLA leave when the need is foreseeable. When 30 days notice is not possible, the employee must provide notice as soon as practicable and generally must comply with an employer's normal call-in procedures.

Employees must provide sufficient information for the employer to determine if the leave may qualify for FMLA protection and the anticipated timing and duration of the leave. Sufficient information may include that the employee is unable to perform job functions, the family member is unable to perform daily activities, the need for hospitalization or continuing treatment by a health care provider, or circumstances supporting the need for military family leave. Employees also must inform the employer if the requested leave is for a reason for which FMLA leave was previously taken or certified. Employees also may be required to provide a certification and periodic recertification supporting the need for leave.

Employer Responsibilities

Covered employers must inform employees requesting leave whether they are eligible under FMLA. If they are, the notice must specify any additional information required as well as the employees' rights and responsibilities. If they are not eligible, the employer must provide a reason for the ineligibility.

Covered employers must inform employees if leave will be designated as FMLA-protected and the amount of leave counted against the employee's leave entitlement. If the employer determines that the leave is not FMLA-protected, the employer must notify the employee.

Unlawful Acts by Employers

FMLA makes it unlawful for any employer to:

- interfere with, restrain, or deny the exercise of any right provided under FMLA; and
- discharge or discriminate against any person for opposing any practice made unlawful by FMLA or for involvement in any proceeding under or relating to FMLA.

Enforcement

An employee may file a complaint with the U.S. Department of Labor or may bring a private lawsuit against an employer.

FMLA does not affect any Federal or State law prohibiting discrimination, or supersede any State or local law or collective bargaining agreement which provides greater family or medical leave rights.

FMLA section 109 (29 U.S.C. § 2619) requires FMLA covered employers to post the text of this notice. Regulation 29 C.F.R. § 825.300(a) may require additional disclosures.



For additional information:
1-866-4US-WAGE (1-866-487-9243) TTY: 1-877-889-5627
WWW.WAGEHOUR.DOL.GOV

U.S. Department of Labor | Wage and Hour Division



WHD Publication 1420 - Revised February 2013

DC Family and Medical Leave Act

- Know Your Rights in the District of Columbia -



Work Leave for Family or Medical Purposes

The District of Columbia Family and Medical Leave Act (DCFMLA) requires employers with 20 or more employees to provide eligible employees with 16 weeks of unpaid family leave *and* 16 weeks of unpaid medical leave during a 24 month period.

Family Leave

Eligible circumstances for family leave under DCFMLA include the birth of a child, adopting a child, or caring for a child in foster care. Caring for a seriously ill family member is also eligible for family leave.

Medical Leave

Eligible circumstances for medical leave under DCFMLA includes recovering from a serious illness rendering the employee unable to work for a total of 32 weeks during a 24-month period.*

Leave under DCFMLA may be taken in blocks of time, intermittently, and in certain circumstances, at a reduced schedule. Employees can also use any accrued time instead of unpaid leave.

The employer may require medical certification and reasonable prior notice when applicable.

Employee Eligibility

An employee is eligible under the Act if she or he has been employed by the employer for at least one year without a break in service, and worked at least 1,000 hours during the 12 month period immediately preceding the requested leave. The one year of service requirement does not need to have immediately preceded the request for leave.

The District government is considered a single employer. The above eligibility requirements can be met by considering employment at more than one District agency.

Employer Posting Requirements

The employer must post and maintain this notice in a conspicuous place. An employer that willfully fails to post this notice may be ordered to pay a fine of up to \$100 for each day the employer fails to post the notice.

Filing a Complaint of a Violation

If you believe an employer has wrongfully denied you family or medical leave, or retaliated against you under this statute, you can file a complaint within one year of the incident with the Office of Human Rights (OHR). To file a complaint, visit:

- **Online** at ohr.dc.gov; or
- **In-Person** at 441 4th Street NW, Suite 570N, Washington, DC 20001.

Questions about the OHR process can also be answered by phone at (202) 727-4559.