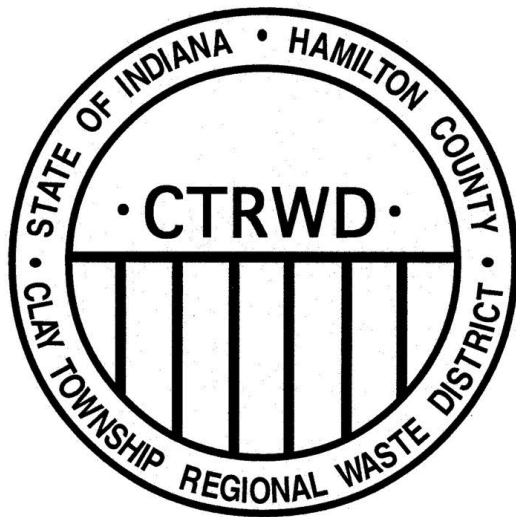


CLAY TOWNSHIP REGIONAL WASTE DISTRICT

EMPLOYEE HANDBOOK



July 8, 2013

This handbook supersedes all prior policies, procedures and practices – verbal or written.

Approved by the Board of Trustees July 8, 2013

NOTICE

Nothing in this Handbook is intended to create (nor shall be construed as creating) an express or implied contract of employment or to guarantee employment for any term or to promise that any specific procedures must be followed by CTRWD. There is no contract of employment between CTRWD and any of its employees unless the employee has an employment contract that has been signed by CTRWD's Board of Trustees.

While CTRWD hopes that each employee's relationship with CTRWD will be a satisfactory one, an employee may resign from employment with CTRWD at any time for any reason, with or without notice. CTRWD may similarly terminate an employee's employment at-will.

**See the employee bulletin board for contact information for the
Chair of the Board's Personnel and Benefits Committee**

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CTRWD

EMPLOYEE HANDBOOK

I. **INTRODUCTION**

A. **Introduction to Clay Township Regional Waste District (CTRWD)**

CTRWD was created in 1975 as a non-profit municipal corporation, a political entity organized and existing under the environmental laws of the State of Indiana. CTRWD is governed by State statutes and by a 9-person appointed Board of Trustees. Day-to-day operations are managed by the Utility Director, who is appointed by the Board.

The District has operations in two different locations. The Administrative offices are located in the Clay Township Government Center in Clay Township, Hamilton County. The wastewater treatment plant is located in Zionsville.

B. **Purpose of the Handbook**

CTRWD's handbook will (1) answer many of the questions employees have; (2) provide information CTRWD believes employees should know about their employment; and (3) inform employees of some of the rules, procedures and policies related to their employment.

The matters discussed in this handbook are of great importance, but are not, and are not intended to be, a complete list of all of CTRWD's policies and procedures. CTRWD reserves the right to modify its policies and procedures periodically. Every employee is expected to comply with each of the procedures and policies discussed in this handbook, as well as any others adopted by CTRWD exercising its right to manage its business. Questions about CTRWD's policies and procedures should be directed to the Utility Director. Violation of any of CTRWD's policies or procedures may result in discipline up to and including termination.

C. **CTRWD's Purpose, Vision, Mission, Core Values, And Guiding Principles**

Purpose: To provide effective and efficient sanitary service to CTRWD's customer base in an environmentally sensitive manner.

Vision: To become a model regional utility.

Mission: To provide high quality, cost-effective sanitary sewer service to CTRWD's community. This Mission is accomplished by:

- Providing equipment and facilities that are safe, environmentally sound, and up-to-date.
- Maintaining a professional work force that performs job responsibilities professionally.
- Continuously evaluating and improving structures and systems, and following industry best practices.
- Diligently collaborating and cooperating with community planners, utilities, developers and the public.

Core Values:

- Integrity
- Responsibility
- Community focus
- Environmental stewardship

Guiding Principles:

- To act with integrity at all times.
- To act with responsibility in all fiscal matters.
- To protect the environment in all instances.
- To provide a balance of service and accountability to all stakeholders.
- To act in an equitable and reasonable manner at all times and with all Stakeholders.

D. Code of Ethics

Public Image. All business is to be conducted in a manner that creates and maintains an excellent opinion of CTRWD and its employees. Employees must conduct themselves in a manner to avoid any public perception of criminal activity or conflict of interest, either real and/or apparent.

Avoiding Problems. Employees are to avoid situations that would jeopardize their reputation and possibly their CTRWD career. An employee is, both on the job and in their personal lives, subject to disciplinary actions and/or prosecution for unlawful acts.

Gifts/Courtesies. CTRWD personnel may accept certificates, mementos and similar awards of recognition for their contributions and achievements in government, civic, professional and comparable activities. An employee may also accept minimal courtesies extended in the spirit of hospitality such as meals or holiday/special recognition gifts that can be shared with staff. When any type of gratuity (such as attendance at special events) is offered, the offer must be reported to the Utility Director before it is accepted so that he/she can determine whether the gratuity may be accepted and/or who will be permitted to participate. If in doubt about the propriety of accepting any gratuity, including meals and shared gifts, talk to the Utility Director. An employee shall not solicit a gift, gratuity, or benefit of any kind from any individual or entity conducting business with CTRWD. Keep in mind that the policy is intended to avoid even the appearance of impropriety.

Disclosure Of Interest. Any employee having a financial interest or investments in an entity having dealings with CTRWD must disclose in writing such interest to the CTRWD's Utility Director promptly upon becoming aware of such entity's dealings with

CTRWD. An employee must avoid any conflict of interest. Failure to do so may result in termination.

Politics/Campaigning. An employee may not use his or her position and/or working hours to assist in any political campaign. An employee may volunteer his or her own time to assist in political campaigns. However, an employee must avoid any behavior that suggests that CTRWD supports any particular candidate or issue.

E. Equal Employment Opportunity/Anti-Harassment Policy

Equal Employment Opportunity

CTRWD's Policy

CTRWD, as required by law, makes equal employment opportunities available to all persons without regard to race, sex, age, color, religion, national origin, disability, citizenship status, military status, genetic disposition or any other category protected under federal, state, or local law. This policy applies to applicants and employees and to all aspects of employment including hiring, promotion, demotion, treatment during employment, rates of pay or other forms of compensation, and termination of employment.

Reasonable Accommodation

CTRWD will take appropriate steps to provide reasonable accommodation upon request to qualified individuals with disabilities so long as doing so does not cause an undue hardship. If you need accommodation, please provide a written description of your situation and your needs to the Utility Director, who will contact you to discuss your request.

Anti-Harassment

CTRWD is further committed to providing a workplace free of inappropriate treatment of any employee because of the employee's race, color, sex, religion, age, national origin, ancestry, disability, or any other category protected under federal, state, or local law. To be unlawful, conduct must be so severe and pervasive that it unreasonably interferes with an employee's ability to work. CTRWD does not, however, condone or tolerate any inappropriate conduct based on an employee's race, sex, age, religion, national origin, ancestry or disability, or any other category protected under federal, state, or local law.

CTRWD is committed to protecting employees from inappropriate conduct whether from other employees or non-employees such as visitors, vendors, suppliers, contractors, or members of the public.

Examples of Inappropriate Conduct

Inappropriate conduct may include, among other things:

- (1) Epithets, slurs, stereotyping, or threatening, intimidating, or hostile acts that relate to race, color, sex, age, religion, national origin, ancestry, or disability; and
- (2) Written or graphic material that denigrates or shows hostility or aversion toward an individual or group because of race, color, sex, age, religion, national origin, ancestry, or disability.

CTRWD is committed to providing a workplace free of inappropriate conduct of a sexual nature. Such conduct may include a range of subtle and not so subtle behaviors and may involve individuals of the same or different gender. Such conduct also may include, among other things:

- (1) Unsolicited and unwelcome comments or conduct of a sexual nature or that are demeaning to women or men as a group (for example, offensive or vulgar jokes, name-calling, comments about one's body or sex life, stereotyping based on a person's sex, touching, leering, ogling, patting, pinching, indecent exposure, physical gestures, or displaying sexually explicit photographs or objects that interfere with a reasonable person's work);
- (2) Unsolicited and unwelcome demands or requests for sexual favors or social or sexual encounters;
- (3) An explicit or implicit promise of preferential treatment with regard to a person's employment in exchange for sexual favors or sexual activity; and
- (4) The use of an employee's or applicant's submission to or rejection of sexual conduct as the basis for making, influencing, or affecting an employment decision that has an impact upon the terms and conditions of the individual's employment (for example, hiring, firing, promotion, demotion, compensation, benefits, or working conditions).

CTRWD treats alleged violations of this Policy seriously and, to the extent possible, confidentially. CTRWD expects all individuals to treat alleged violations in the same responsible manner.

Internal Reporting Procedure

An employee who believes that any employee is being subjected to behavior that is not consistent with these policies by either a non-employee or another employee must immediately report the matter to the Utility Director. Additionally, any employee who believes a non-employee's behavior violates this policy should promptly report the offending conduct. If for any reason an employee does not feel comfortable reporting the matter to the Utility Director, or if the concern relates to the behavior of the Utility Director, the employee may contact the Chair of the Personnel and Benefits Committee, who will also inform the Board President.

Supervisors who become aware of any potential violation of this Policy must report the potential violation to the Utility Director. Failure to report potential violations will result in appropriate discipline, up to and including termination.

CTRWD's Commitment When Reports Are Made

No action will be taken against any employee merely because the employee reports behavior believed to violate this Policy. CTRWD will investigate and take appropriate action on complaints. CTRWD is committed to maintaining an environment free of discrimination and inappropriate conduct.

Violations of this Policy will not be tolerated and will result in appropriate disciplinary action, up to and including termination.

F. Personal Relationships at Work

CTRWD does not employ individuals related by blood, adoption, or marriage (including step relationships) in any capacity where (1) one relative is supervised by or within the chain of command of another or (2) one relative indirectly reports to the other or one relative has effective input into decisions concerning the terms and conditions of the other's employment.

CTRWD will not consider applications, transfers, promotions, etc., if the resulting employment situation would violate this policy. All employees must immediately report the relationship to the Utility Director so that appropriate steps may be taken, including reassignment of personnel. In many cases, CTRWD can readily ascertain whether employees are related (by, for instance, shared last names). However, if you know or suspect that CTRWD is unaware of such a relationship, you must report the relationship to the Utility Director so that appropriate steps may be taken.

An employee involved in a personal/romantic/sexual relationship and/or cohabitation with another employee must promptly report the relationship to the Utility Director so that appropriate steps may be taken to avoid the potential for the personal relationship or cohabitation to adversely affect anyone if the relationship is between (1) a supervisor and an employee in the supervisor's chain of command or (2) a supervisor and an employee if the employee indirectly reports to the supervisor or the supervisor has effective input into decisions concerning the terms and conditions of the employee's employment (direct or indirect relationship, or an individual serving in a temporary supervisor capacity). A supervisor's failure to report dating, a personal/romantic/sexual relationship or cohabitation may result in immediate termination.

The Utility Director is responsible for implementation of this policy and determining whether a relationship constitutes a violation. Any questions as to whether a particular relationship violates this policy should be directed to the Utility Director.

G. Non-Discriminatory Service Policy

CTRWD is committed to ensuring that all customers are treated with respect regardless of their race, sex, age, color, religion, national origin, ancestry, disability, or any other protected status. An employee must treat all customers equally when providing service.

All customers will receive the same rights, privileges, and services; unless an individual's medical condition poses a direct threat to the health and safety of that person or others or disrupts the orderly flow of business or service. Upon request, CTRWD will take appropriate steps to provide reasonable accommodation to individuals with disabilities so long as doing so does not cause CTRWD undue hardship. All facilities are to be accessible to those challenged by physical or mental disabilities, so all employees must be responsive to requests for assistance or to the observation of any needed assistance. Responses can include physically assisting outside or inside the plant, removing physical barriers, and rearranging items to provide easy access and movement throughout the plant.

H. Drug-Free/Alcohol-Free Workplace

The use and abuse of drugs and alcohol can seriously impair an employee's ability to perform assigned duties safely and efficiently and undermine public confidence in the quality of CTRWD's services. Because a drug- or alcohol-impaired employee can pose a significant threat to the safety of the public, co-workers, and himself, CTRWD has adopted this policy as part of its ongoing efforts to maintain a drug- and alcohol-free workplace.

An employee is expected to report to work free of alcohol and illegal drugs. Employees may not sell, distribute, dispense, possess, or use an illegal drug or alcohol on CTRWD's premises or during working time, nor may employees conspire in any such activities. Likewise, an employee may not distribute, or misuse any prescription or nonprescription

medications on CTRWD's premises or elsewhere during work time. An employee should be aware that distributing controlled substances, including prescription medications, to co-workers not only violates CTRWD's policy but is also a crime.

CTRWD expects its employees to support this policy for the sake of the safety, health, productivity, and welfare of all. Employees must cooperate in CTRWD's efforts to enforce this policy and to investigate any suspected violation.

Alcoholic Beverages.

An employee who is on-call is to abstain from consuming alcohol for four hours before and during the scheduled on-call period. Failure to do so is a violation of this policy, and may result in discipline up to and including discharge.

An employee who may be subject to emergency call-ins must decline a call to report to work if he or she has consumed alcohol within four hours of being contacted or believe he or she is impaired. Declining to report because of alcohol consumption on an occasional basis will not reflect negatively on the employee or the employee's employment record.

Prescription Drugs. An employee using a prescription drug that may impair mental or motor functions so as to affect the employee's ability to safely perform his or her duties must report the use of that prescription drug to his or her supervisor or the Utility Director before reporting to work after its use. For the safety of all employees, CTRWD may place persons using such prescription medications in a less hazardous job assignment, provided such assignment is available, or place them on temporary medical leave until released as fit for duty by the prescribing physician. CTRWD reserves the right to have a physician it selects determine if a medication produces hazardous effects.

Pre-Employment Testing. Each individual who is offered employment must pass a drug test as a condition of employment.

Reasonable Cause Testing. When there is reasonable cause to believe that an employee has used a controlled substance, the employee will be required to submit to a drug test. Testing may also be required when there is reasonable cause to believe that the employee has used or is under the influence of alcohol during working hours.

“Reasonable cause” testing may be based upon such things as:

- (1) Specific observations concerning the appearance, behavior, speech, or body odors of the employee, including observation of drug use, drug possession, or possession of drug paraphernalia, physical signs or symptoms of being under the influence of a drug or alcohol, and signs and symptoms of chronic and/or withdrawal effects of drugs;
- (2) A pattern of abnormal or erratic behavior as evidenced by the employee’s work time actions, appearance, or conduct; or
- (3) Arrest or conviction for a drug and/or alcohol-related offense. An employee must notify the Utility Director in writing within three (3) calendar days of any such arrest or conviction, or immediately upon reporting to work following such arrest or conviction, whichever is earlier.

If practical, two supervisors will witness the employee’s conduct. If that is not practical, one supervisor’s observations are sufficient. Reasonable cause can be based on a third party observer’s report if the report is independently corroborated or if the employee frequently works in an unsupervised environment.

An employee who is required to submit to a reasonable cause drug or alcohol screen will be suspended until CTRWD receives the results of the test. If the test result is negative, the employee will be paid for regularly scheduled hours missed because of the suspension.

In any reasonable cause situation, CTRWD will ensure that the employee is transported to an appropriate facility and then transported back to the work site, where an individual identified by the employee will be contacted to transport the employee home. If the employee refuses to agree to any of these procedures and attempts to operate his or her own vehicle, CTRWD will make appropriate efforts to discourage the employee from doing so, up to and including contacting law enforcement officials. Any employee failing to cooperate with any of the procedures described above will be subject to termination.

Post-Accident and Random Testing. CTRWD will conduct drug and alcohol testing consistent with all federal and state guidelines covering designated positions--for example, those covered by Department of Transportation guidelines.

Positive Drug or Alcohol Test. An employee testing positive for illegal drugs will be terminated. An employee whose test results show an alcohol concentration of .04% or greater will be terminated. An alcohol concentration of less than .04% but at least .02% will constitute evidence of intoxication and will result in disciplinary action. Refusal to submit to a drug or alcohol test or to execute any requested documentation will be treated as a positive test and result in termination. Similarly, an employee who switches, tampers, or attempts to switch or tamper with any screening test or sample will be terminated.

Voluntary Identification and Rehabilitation/Treatment. Any employee who voluntarily identifies himself as having a drug- or alcohol-related problem will not be subject to

discipline for volunteering that fact. Rather, the employee will be permitted to take unpaid personnel leave of absence to undergo rehabilitation or treatment to overcome dependence on drugs or alcohol or to participate in other treatment programs recommended by a substance abuse professional. This leave will be in accordance with the terms and conditions of CTRWD's leave policies. If the employee has successfully completed a rehabilitation/treatment program as verified in writing by the program's administrator, the employee will be allowed to return to work when work is available for which the individual possesses the skills, qualifications and experience. Return from rehabilitation may also be conditioned upon the employee's compliance with individual responsibilities, which may include follow-up counseling and/or treatment.

Since the key to CTRWD rehabilitative efforts is an employee's willingness to admit and seek to remedy the problem, this provision is not available to an employee who requests protection (1) after being asked to submit to testing or (2) after the employee's use of drugs or alcohol becomes a personnel issue based on direct observation or evidence obtained from an arrest or criminal conviction for a drug- or alcohol-related offense.

Furthermore, an employee who volunteers such information and participates in a rehabilitation/treatment program are not relieved of his or her obligation to comply with applicable rules concerning alcohol and drugs and will be subject to disciplinary action, including termination, for his or her violation.

Any costs associated with the voluntary rehabilitation/treatment program will be at the employee's expense unless the cost is wholly or partially covered under CTRWD's health insurance program and the employee is eligible for that coverage.

I. Monitoring of Information Assets

CTRWD has the right at any time, for any purpose, and without providing prior notice, to access, monitor, intercept, inspect, and/or disclose to CTRWD-approved third parties:

(1) The use of any electronic resources connected to the company network,

and

(2) All data and information located on or associated with such networks

This right is subject to local law and applicable CTRWD procedures and must be performed by authorized personnel.

This may include, but not limited to access:

- (1) During regular maintenance of the system.
- (2) When CTRWD has a business need to access the employee's electronic mail or computer files – for example, if the employee is absent from the office and the supervisor has reason to believe that information relevant to the day's business may be located in these files. While electronic systems may accommodate the use of passwords for security, confidentiality is not guaranteed.
- (3) When CTRWD receives a legal request to disclose electronic information.
- (4) When CTRWD has reason to believe that employees are using its electronic information systems or other technical resources in violation of CTRWD's policies.

J. Protection of Information Assets

Passwords that protect access to CTRWD information assets must not be shared. Access to information and systems must be traceable to the actual individual. Users are accountable for all actions taken under or using their identification information, such as passwords, pass codes, access codes, and electronic signatures.

Users must:

- (1) Maintain the confidentiality of their individual account access information, such as passwords,
- (2) Respect all restrictions imposed by CTRWD on access to CTRWD information, and
- (3) Store account access devices securely, such as remote access cards.

When managing or using CTRWD information assets, users must not:

- (1) Violate laws, CTRWD's policies, or CTRWD's values,
- (2) Be fraudulent or deceitful,
- (3) Engage in activities that interfere with job performance, otherwise adversely affect CTRWD or its employees or customers, or people,
or
- (4) Circumvent security controls, such as passwords and virus protection

When managing or using CTRWD information assets, users must not promote or engage in a personal business venture or in any other activity for personal gain or profit (including, for example, gambling) or the private gain or profit of others.

K. Electronic Communication Systems Policy

E-mail, computer, and voice mail systems are CTRWD's property and are intended for business use. Incidental and occasional use of CTRWD's electronic communication systems for personal use is permitted only when such use does not generate a direct cost to CTRWD including the cost of loss of time during scheduled work hours. Employees have no right of privacy regarding information or files maintained in or on CTRWD's property or transmitted or stored through CTRWD's electronic information systems or other technical resources.

CTRWD prohibits the use of its electronic information systems in ways that are unlawful, disruptive, offensive to others, or harmful to morale. For example, the display or transmission of images, messages, and cartoons that may offend others because of their sex, race, age, national origin, disability, religion, or any other category protected by law is prohibited.

An employee should remember that when he or she is using CTRWD's electronic information systems, he or she is creating documents that belong to CTRWD. These documents are not private and may be read by other employees and, under some circumstances, by others outside the workplace.

An employee should also be aware that even though a message may be deleted from the system, a record of it may remain either on the daily backups of all data or in other

ways. It is possible to re-create a “deleted” message. Therefore, ultimate privacy of messages is not assured to anyone.

Because CTRWD is sensitive to an employee’s privacy concerns, it will try to access electronic information systems in a respectful and responsible manner. The Utility Director is responsible for the implementation and enforcement of this policy.

Computer Viruses/Unauthorized Software. Employees may not install software on computers used by CTRWD without the approval of the Utility Director. Use of streaming media applications introduces security risks that can overwhelm CTRWD's network and systems causing interruption of CTRWD’s business. All CTRWD employees are prohibited from accessing any streaming media programs, feeds, material, and content unless the subject matter being streamed is directly required for fulfilling job responsibilities. No streaming media sites are to be accessed nor are any streaming media programs or applications to be downloaded, installed, or operated by an employee for entertainment purposes using CTRWD-provided computers, phones, servers, systems, or networks.

Because of the rapidly changing nature of the use of electronic communication systems, this policy cannot address every possible situation. Instead, it expresses CTRWD’s philosophy and sets forth general principles to be applied to the use of electronic communication systems and other technical resources. This policy may be modified from time to time with appropriate notice.

Violations of this policy may result in disciplinary action up to and including termination. If an employee becomes aware of inappropriate use of CTRWD’s information assets, the employee must notify his or her supervisor or the Utility Director immediately.

L. Social Media Policy

All employees must act professionally and refrain from behavior, both on and off the job, which could adversely impact the organization's reputation and mission. Employees are expected to treat co-workers and customers respectfully at all times, including when posting and transmitting through social media. Social media includes, but is not limited to, social networking websites (e.g., Facebook, Twitter, etc.), chat rooms, mailing lists, and web logs ("blogs").

The use of social media is prohibited during work hours. Exceptions may be made when management sponsors a website for business reasons or otherwise approves a legitimate business use.

The following restrictions apply to an employee's use of social media:

- (1) An employee must not represent themselves as an agent representative of CTRWD. Social media profiles or communications indicating place of employment must include a disclaimer that the opinions provided do not represent CTRWD's views. Content placed on social media regarding the workplace or its officers, management, employees, customers must be free of any impression that the views expressed are anything more than personal opinion. In other words, the content must make clear the views are not those of CTRWD or its management.
- (2) An employee must not post disparaging or post derogatory comments about CTRWD, its officers, management, employees, vendors, or customers, either by name or by implication.

- (3) An employee must at all times respect the other employee's privacy and refrain from posting photographs, opinions, or other information that may portray other employees, CTRWD or business relationships with CTRWD in a negative manner.
- (4) An employee must not post information that could identify a co-worker, customer, or other individual with whom CTRWD has a business relationship unless the employee has an independent relationship with that individual.
- (5) An employee must not place content on social media that violates CTRWD's policies, including but not limited to its Equal Employment Opportunity/Anti-Harassment, Confidential Information, Outside Work, Workplace Violence, and Employee Conduct Policies.
- (6) An employee must not publish confidential information, including, but not limited to all non-public information and data about CTRWD and its business. If employees are uncertain whether information is confidential, ask the Utility Director.
- (7) An employee must not use CTRWD logos and trademarks.
An employee who learns of social media use that is inconsistent with the requirements of this policy should immediately notify the Utility Director.

This policy does not prohibit legally-protected speech and conduct.

M. Issue Resolution Procedure

An employee who has an unresolved work-related issue should approach resolution through the following procedures:

Equal Employment Opportunity/Anti-Harassment Policy

If you have concerns related to discrimination, inappropriate behavior or comments based on sex, race, national origin, age, or disability, or retaliation, those concerns should be reported under the procedures specified in the Equal Employment Opportunity/Anti-Harassment Policy.

Disciplinary Action

An employee who has concerns related to disciplinary action should take the following steps.

First, the employee should discuss the concern with the supervisor, who, in most cases, will be able to resolve the situation.

If this first step does not result in satisfactory resolution, the employee should bring the concern to the attention of the Utility Director, in writing, within

5 business days of the date of the supervisor's decision. The written statement should include (1) the reason the employee disagrees with the disciplinary action and (2) the facts supporting this reason, including names of others who have information related to the relevant facts and circumstances. In other words, the written statement should include the "who," "what," "where," "when," "how" and "how often." The Utility Director will review the matter and, if necessary, meet with involved parties to address the concern. The Utility Director's review of the disciplinary action is final.

Other Issues or Concerns

If a work-related concern does not involve an issue under the Equal Employment Opportunity/Anti-Harassment Policy or disciplinary action, the employee should first discuss the concern with the supervisor, who, in most cases, will be able to address the concern.

If this first step does not result in satisfactory resolution (or the employee is uncomfortable addressing the concerns with the supervisor), the employee should bring the concerns to the attention of the Utility Director in writing. The written comments should include the names of the involved parties, dates of prior meetings or attempts to resolve the matter, and reasons given for lack of attention or resolution. In other words, the written statement should include the "who," "what," "where," "when," "how" and "how often." The Utility Director will review the matter and, if necessary, meet with involved parties to address the concern. The Utility Director's decision is final.

Concerns about the Utility Director's Conduct

If any employee believes that the Utility Director has behaved in any way that is unethical or illegal or inconsistent with any specific policy in this Handbook, the employee should report this concern in writing to the Chair of the Personnel and Benefits Committee, who will also inform the Board President. The Chair of the Personnel and Benefits Committee will initiate an investigation of the concerns raised and take appropriate action.

N. Policy for Reporting Compliance Concerns (Whistleblowing)

1. Overview

These procedures are for employees to identify concerns about actual or potential violations of any legal and regulatory requirements regarding financial reporting and disclosure requirements, preparation of financial statements, accounting practices, internal accounting controls, financial audit matters, matters concerning fraud against CTRWD, or inappropriate use of its resources. Failure to report a violation of this type may subject an employee to discipline up to and including termination.

2. Submitting a Report

An employee should report concerns through the chain of command. If an employee cannot resolve the concerns through the chain of command, he or she may report them through the following procedure.

- (1) The employee may submit a confidential written report through internal mail, regular mail, email or delivered in person to the President of the Board of Trustees. The envelope should be marked "*Confidential and*

Private” and should include a telephone number at which the employee may be contacted.

- (2) All reports should be factual and contain specific information to allow the President to make a proper assessment.

3. Handling Reports

- (1) The President, or a designee, will determine whether a reasonable basis exists for beginning an investigation. To assist in making this determination, the President may conduct an informal inquiry. To the extent possible, all reports will be handled confidentially.
- (2) The President will report to the Board all reports submitted since the last report, including the determination and results, if any, of any informal investigations.
- (3) If the Board determines that a reasonable basis exists for initiating a formal investigation, the Board will appoint a member of the Board to lead an investigation. In conducting the investigation, the Board may retain outside legal or accounting expertise. The President of the Board will oversee all investigations. When appropriate, the employee submitting the report will be informed of the status of the investigation and the outcome.
- (4) The Board appointee together with input from management, if requested, will determine any appropriate corrective action. It is the responsibility of

the Board appointee to report to the full Board any noncompliance with legal and regulatory requirements and to assure that management takes the corrective action as directed by the Board.

4. Regulatory Reporting

CTRWD also respects its employees' legal right to report this type of actual or suspected unlawful activity directly to government agencies or management. CTRWD will not retaliate or discriminate against an employee for reporting in good faith to federal or state authorities or to CTRWD or for participating in or assisting in any proceeding or investigation of a report.

O. FLSA SAFE HARBOR Statement

1. Deductions from Exempt Employees' Salaries

Exempt employees work as many hours as are necessary to perform their job. For this reason, and subject to the exceptions below, CTRWD's policy does not reduce a salaried exempt employee's predetermined compensation for *any* partial-day absence; any partial-week absence occasioned by CTRWD or its operating requirements, including holidays and partial-week shutdowns; or because of variations in the quality of work performed.

Deductions from salary may occur in the following circumstances:

- (1) Full-day absences for personal reasons, other than sickness or disability;
- (2) Full-day absences due to the employee's own sickness or injury (including work-related injuries and FMLA-related absences). Such deductions will be made in accordance with CTRWD's paid time off plans and state worker's compensation laws and regulations;

- (3) A penalty imposed for infraction of a safety rule of major significance;
- (4) Full-day absences for unpaid disciplinary suspensions under CTRWD's disciplinary action policy for infractions of CTRWD's workplace conduct rules; and
- (5) When no work is performed in a work week.

NOTE: CTRWD's attendance and disciplinary action policies are applicable to an absence even though the absence may not be one for which a deduction from salary will be taken.

NOTE: CTRWD reserves the right to require an employee to utilize paid time off benefits for full-day absences occasioned by personal reason or the employee's own illness or injury.

CTRWD encourages any exempt employee who believes his or her salary has been improperly reduced to report the problem immediately to the Utility Director. CTRWD is committed to comply, and expects all supervisors to comply, with this policy and not to make improper deductions from salary.

CTRWD will reimburse an employee for any improper deduction.

II. **GENERAL INFORMATION**

A. Employment Classifications

For the purpose of designating eligibility for certain benefits and the payment of overtime, employment classifications fall into one of each of the following categories:

Regular/Temporary. A regular employee is an individual who has been hired to perform work of an ongoing nature for an indefinite period of time. A temporary employee is an

individual who has been hired for work of purely temporary nature for an indefinite period of time.

Full-Time/Part-Time. A full-time employee is regularly scheduled to work 37.5 or more hours per week. A part-time employee is any individual who is regularly scheduled to work fewer than 37.5 hours per week.

Part-time employees may occasionally be required to work full-time hours because of business needs. These occasions will not alter the employee's part-time status unless management determines that the requirements of the position warrant converting the position to full-time status.

Exempt/Non-Exempt. An exempt employee is one whose duties and responsibilities are of an executive, administrative, or professional character (or other exempt work) as described under the Fair Labor Standards Act (FLSA) and who is paid on a salary basis and is, therefore, exempt from the overtime and certain other provisions of the FLSA. Exempt employees may be required to perform work in excess of the standard 37.5 hour workweek without additional compensation.

A non-exempt (hourly) employee is covered by the provisions of the FLSA, including the provision for payment of all overtime hours worked.

B. Orientation Period

An employee hired for regular part-time or full-time employment must complete a minimum 90-day orientation period. During the orientation period, an employee may decide that the new job is not suitable, or the employee's supervisor may conclude that the employee is not qualified to perform the job. The 90-day orientation period provides employees a chance to demonstrate their ability, skills, and interest and to determine for themselves whether the

position is suitable.

CTRWD will give the employee feedback on performance and conduct after 30, 60, and 90 days.

If management determines that the employee is not performing according to expectations during or at the end of the initial 90 days, the employment relationship will be terminated at that time unless management concludes that a 30-day extension of the orientation period is appropriate.

Once management determines that an employee has successfully completed the orientation period, the employee will be notified of the change to regular employment status.

Transfer/Reassignment. Any employee who is transferred, voluntarily or involuntarily, to a different position must complete a minimum 90-day orientation period under the same terms and conditions as a new hire.

Wage Increases. CTRWD reviews compensation annually and to ensure that the wage range for all positions is appropriate and competitive. Wage increases and other forms of compensation are based upon job performance, compliance with CTRWD policies, attendance, punctuality, ability to cooperate with other employees and other relevant factors. All employees' questions concerning earnings should be addressed to his/her supervisor.

C. Performance Reviews

Performance reviews are conducted to provide both the employee and supervisor an opportunity to discuss the employee's job responsibilities, identify weaknesses, encourage and recognize strengths, and discuss methods for improving performance. A positive performance review does not guarantee an increase in salary, a promotion, or even continued employment. Compensation increases and the terms and conditions of employment, including

job assignments, transfers, promotions, and demotions, are determined by and at CTRWD's discretion.

D. Improving Employee Job Performance

CTRWD gives employees the opportunity to demonstrate their abilities and continually improve their job performance. Where performance problems exist, the employee should be told about these deficiencies and may be given an opportunity to improve. When CTRWD determines that an employee is in need for improvement, an attempt will be made to help the employee meet CTRWD's expectations.

E. Pay Periods and Payday

All employees are paid bi-weekly. If an employee believes there is a paycheck error, the employee should report it to the Controller immediately.

CTRWD will release a paycheck only to the employee unless the employee submits written authorization to release the paycheck to another individual.

F. Time Clock Policy

All employees are required to maintain an accurate record of all time worked through the approved time keeping method for their work areas.

Clocking In/Out

- If an employee forgets to clock in or out or is unable to due to an offsite activity, the employee must report the time on the log posted next to the time clock. It is the employee's responsibility to report time that is not logged on the time clock.

- No work should be performed while clocked out for lunch. (If the time clock is not available, lunches must be recorded on the Missed Punch Sheet and submitted to the Controller.)
- An employee must clock out or record on the Missed Punch Sheet all non-productive time in excess of 15 minutes.
- Clocking in or out for another employee is strictly forbidden and is grounds for termination.

Reports

- Employees have online access to their time card with their pay stub bi-weekly.
- Employees must access their time card report online on the Monday before each payroll period to approve their time record. This report must be approved by the employee and the employee's supervisor by 10:00 a.m. on the Monday of the payroll week.

G. Lunch

Each non-exempt employee receives an unpaid lunch period at a time designated by the supervisor. Non-exempt employees

- must take lunch away from their work areas,
- may not work during lunch breaks without their supervisor's approval; and
- must record the time they leave and return from lunch on their time record.

H. Payroll Deductions

CTRWD is required by law to withhold from each employee's pay federal, state, and local income taxes, the employee's portion of Social Security/Medicare taxes, and court ordered deductions. Additional deductions must be approved in writing by the employee.

I. Hours

Administrative office hours are 8 A.M. to 4:30 P.M. and Wastewater Treatment Plant hours are 7:00 A.M. to 3:30 P.M., Monday through Friday, unless otherwise stipulated or approved by the supervisor.

J. Flex Hours Policy

This policy allows employees flexibility in scheduling their work hours within the policy requirements established below. For CTRWD to successfully fulfill its purpose, it must maintain adequate staffing levels so that it can meet its operational needs. It will allow flexible hours if the Utility Director and the employee's supervisor determine that operational needs will not be adversely affected. CTRWD will determine which positions are eligible for flexible hours.

CTRWD's standard hours are 8:00 a.m. to 4:30 p.m. The core hours, i.e., the time all employees must work, are 8:30 a.m. to 3:00 p.m. Flexible schedules must be between the hours of 7:00 a.m. to 4:30 p.m. A minimum of one-half hour lunch must be scheduled. Flexible schedule requests must be approved by the employee's supervisor. Schedules changes do not take effect until approved by the supervisor.

CTRWD can cancel or modify this policy at any time. It may make temporary adjustments for special circumstances on an individual basis.

K. Overtime

For purposes of overtime compensation, non-exempt employees who work more than 40 hours during a work week will be paid overtime at one and one-half times the regular hourly rate of pay. Paid days off such as holidays and paid time off are not considered hours worked for purposes of computing overtime. Supervisors may schedule overtime when it is deemed necessary. An employee may not work over his or her scheduled hours without the prior approval of his or her supervisor. Hours worked on a holiday will be paid at double the regular hourly rate of pay.

Notwithstanding the paragraph above, the following time shall always be compensated at the overtime (time and one-half) rate.

- *All hours worked on an emergency call-out basis, if: a) the assignment commences outside the employee's regularly scheduled work hours b) there is no prior notification of the assignment; and c) the employee does not have the option of declining the assignment. If the call-out assignment continues into the employee's regularly scheduled work hours, the employee shall revert to his regular rate of pay during the regularly scheduled hours.*
- *All hours that are an extension of the employee's work day, if the work is unscheduled, of an emergency nature and cannot reasonably be delayed until the next scheduled shift. Emergencies will generally involve threats to public health and safety and/or major equipment failures that impact operational capabilities.*
- *Phone calls handled from home or from another off-site location will be considered work time, but will not automatically qualify for the time-and-one-half rate.*
(May 8, 2017 Addendum)

L. On-Call Assignment

The "On Call" Program ensures that after hours coverage is provided for emergency situations, including calls from the after-hours answering service, the SCADA system, lift station dialer calls, and others that may arise. The program establishes a schedule for emergency responsibilities through designation of a "Primary On-Call" person. However, because of CTRWD's small staff, all available staff may be called to respond to emergency situations.

The Primary On-Call designee is the first one responsible for answering and investigating after hours emergencies. This person will typically be first on the scene to investigate and assess the situation.

The Primary On-Call responds and investigates as much as possible by phone then follows up to investigate in the field as necessary. In the field, the Primary On-Call person resolves problem if possible or calls the Superintendent for assistance. If the Superintendent is not available, then the Utility Director is called. The Superintendent provides direction for field staff and additional assistance as necessary. In all cases, a work order must be completed by the end of the call out period. The work order is then given to the Superintendent. Any necessary maintenance follow up should be recommended on the work order and discussed with the Superintendent.

The Superintendent ensures that the on-call schedule is completed and appropriately staffed. The Primary On-Call person must respond to all emergencies. Any On-Call designee's failure to respond promptly to an emergency call will result in disciplinary action.

CTRWD vehicles are available for on-call use. The vehicles are located at the Michigan Road WWTP and at the Administrative office on College Avenue. On-Call responders will be reimbursed for actual miles driven in their personal vehicle per the vehicle assignment policy. Take home vehicle assignments must be authorized by the Utility Director.

M. Attendance

1. Policy Statement

It is essential for each employee to make every effort to attend work on a daily basis. To encourage positive attendance, the following policy will be enforced for all non-exempt employees. Management expects each employee to be at his or her work stations and

ready to begin work at the start of each scheduled work day and at the end of lunch periods.

Failure to adhere to this policy will result in disciplinary action.

Exempt employees are allowed some flexibility due to demands outside of normal business hours. However, excessive absences or tardiness will result in disciplinary action.

2. Excused Absences

Absences due to the following reasons are considered excused and are not used as a basis for discipline:

- (a) Jury duty;
- (b) Time off because of a subpoena or because of a trial/hearing/deposition if the employee is a party to the action and provides appropriate documentation to the Utility Director immediately upon receipt;
- (c) FMLA medical leave;
- (d) Absences due to a work-related injury even if not FMLA-eligible;
- (e) Bereavement or personal leave;
- (f) Military leave;
- (g) Pre-scheduled paid time off;
- (h) Lack of work as determined by management; and
- (i) Extreme weather conditions as determined by management or the inability to travel to work because a road on the employee's normal commute has been closed by law enforcement.

3. Absenteeism/Tardiness

An employee is considered absent when he or she is not present for work as scheduled.

Frequent or patterned absences are subject to disciplinary action up to and including termination. Examples of pattern absences include but are not limited to:

- Absence on scheduled weekends or holidays;
- Absence the day before or after a scheduled holiday or scheduled time off;
- Absence the scheduled workday after a payday;
- Use of PTO as quickly as it accrues, especially if used one day at a time;
- Coincidence of absence with unapproved requested days off;
- Coincidence of absence with days of heavy or light work load; and
- Repeated or pattern absence on a specific day of the week.

Excessive absenteeism is having six or more unscheduled absences in any rolling 12-month period.

An employee must submit his or her PTO requests to his or her Supervisor for approval as soon as possible and no later than 10 hours before the start of the scheduled shift so that management may evaluate business needs, resolve any conflicting requests, and authorize requests. Under some emergency circumstances, with the Utility Director's approval and discretion, PTO may be approved without advance notice.

Unscheduled absence is defined as:

- Failure to report to work on a scheduled day without prior approval.
- Leaving work before the shift ends without prior approval.
- Reporting to work more than one (1) hour after the scheduled start time

without prior approval.

4. Disciplinary Action

- Six unscheduled absences in a rolling 12-month period will result in a verbal warning.
- Eight unscheduled absences in a rolling 12-month period will result in a written warning.
- Ten unscheduled absences in a rolling 12-month period will result in a one-day suspension without pay.
- Twelve unscheduled absences in a rolling 12-month period will result in termination.

Supervisors, after consulting with the Utility Director, may accelerate from the normal progressive disciplinary steps if attendance patterns warrant.

5. Proper Notification of Absences Policy

All unscheduled absences must be reported no later than 30 minutes prior to the start of the employee's scheduled shift by speaking directly to the employee's supervisor or the Utility Director or leaving a timely voicemail message. If the employee's absence continues for a period of days, the employee must call in every day of the absence unless the employee is on an approved leave of absence.

6. Voluntary Resignation

An absence of three consecutive days without appropriate notice and/or documentation, unless due to the excused reasons above, is considered voluntary resignation.

N. Inclement Weather

Under most conditions, CTRWD will remain open during its regularly scheduled hours. Each employee is expected to make a reasonable effort to come to work. For personal safety, an employee may decide not to come to work or arrive later than regular starting time. However, to avoid taking unscheduled time off, an employee must notify his or her supervisor at least 30 minutes before his or her regular scheduled start time. An employee may choose to use PTO for such absences or take time off without pay.

In severe weather conditions, the Utility Director may close the plant or office or adjust normal work schedules. Employees should consult with the supervisor concerning the latest information regarding weather-related changes in working status.

Due to the nature of the wastewater business, the following staff is deemed essential during severe weather:

Ice/Snow – Field Operations Specialist, Field Operations Technician, Superintendent, Utility Director, Chief Operator, and Operator(s)

Rain/Flood –Customer Service Manager, District Engineer, Field Operations Specialist, Field Operations Technician, Superintendent, Chief Operator, Technical Specialist, and Utility Director

Tornado – Customer Service Specialist, Field Operations Specialist, Field Operations Technician, Superintendent, Utility Director, Customer Service Manager, Chief Operator, and Operators.

O. Changes in Employment Information

To keep personnel records up to date, an employee must promptly inform the Utility Director, in writing (email is acceptable), of any change in any of the following: name,

home address, home telephone number, marital status, status affecting an employee's legal right to work in the United States, licenses (to the extent they are required to perform job responsibilities), person to contact in the case of an emergency and that person's contact information, number of dependents, designated physician or health care provider, voluntary payroll deductions, military status, or beneficiary designee.

P. Personal Injury / Property Damage

An employee must immediately report all workplace incidents, including actual or potential injury and/or property damage, to his or her supervisor or member of management using appropriate forms. Where the potential for injury or damage exists, an unsafe working condition form must be submitted. CTRWD will investigate all such reports in an effort to prevent conditions and acts determined to be unsafe.

Employees must promptly report any injury while on the job, no matter how slight, to a supervisor so the employee may receive prompt and proper medical attention. The supervisor must promptly report the incident to the Utility Director. Employees may be required to go to a CTRWD-chosen physician for initial treatment and any required follow-up examination. If the CTRWD-chosen healthcare provider and/or management determine that the employee needs medical attention, the employee must comply with that decision.

When a work-related injury requires being absent from work or incurs medical costs, the employee must contact the Utility Director for the appropriate forms to be completed and processed for worker's compensation.

Q. Driver Responsibility

1. Guidelines for Use of Personal/CTRWD Vehicles

An employee using his or her personal or CTRWD vehicles to conduct CTRWD business, even occasionally, must have a current driver's license, carry liability insurance, and abide by all traffic laws. CTRWD's liability insurance covers only claims against CTRWD; it does not cover an employee or the employee's personal vehicle even when used to conduct CTRWD business. If an employee is injured as a result of an accident while conducting CTRWD business, the employee may be entitled to certain worker's compensation benefits, depending on the circumstances and Indiana law.

2. Traffic Violations

An employee is responsible for any traffic citation received while driving on CTRWD business.

3. Revoked Or Suspended Driver's License

An employee whose job requires driving, even occasionally, must immediately report to a supervisor any change in driving privileges, such as a driver's license being revoked, suspended, or restricted for any reason. Failure to do so will result in disciplinary action. Supervisors must promptly report any changes to the Utility Director. Following a voluntary report, management may re-assign the employee to a job that does not involve driving. The work may be in a classification and at a pay rate that is different from the employee's regular classification and pay rate. If for whatever reason, management does not re-assign the employee to a job that does not require driving; the employee may be placed on a leave of absence without pay or may be administratively terminated.

CTRWD will typically verify each employee's driving record and the status of the employee's

driver's license through the Bureau of Motor Vehicles annually. All employees must obtain or authorize CTRWD to obtain a BMV report annually or upon reasonable request at any time.

4. Use of Electronic Devices

Electronic Personal devices such as cell phones and pagers have been identified as contributing factors in traffic accidents. Consequently, employees are prohibited from using electronic devices while driving on CTRWD business. Except in an emergency, an employee operating a motor vehicle should park in a safe area (i.e. removed from the flow of traffic) before making or receiving telephone calls or otherwise using electronic devices.

Furthermore, employees must be familiar and comply with the laws of the jurisdiction in which they are driving as those may be more restrictive than this policy.

5. Safe Driving

- (1) All occupants must use seat belts in CTRWD vehicles or a personal vehicle used for CTRWD business. The driver must ensure that all occupants fasten their seat belts prior to operating the vehicle. Any non-functioning seat belt must be repaired and replaced immediately. Failure to comply with this policy will result in disciplinary action up to and including termination.
- (2) Every employee must drive defensively when driving on CTRWD business.
- (3) Transportation of flammables and fuel must be in compliance with DOT requirements.

6. Insurability

Employment may be administratively terminated if an employee becomes uninsurable through the CTRWD's insurance coverage.

An employee must notify the Utility Director in writing within three calendar days or immediately upon reporting to work, whichever is earliest, of an arrest for all drug/alcohol-related offenses or felony driving offenses or anything adversely affecting insurability of the employee whether the event occurred on or off duty. An employee who is arrested for any of the offenses that result in a loss of liability coverage will be immediately suspended without pay. Pending final disposition of the arrest, the following will occur:

- (a) For the first four weeks following the arrest, the employee's position will be filled temporarily. At the end of the initial four weeks, the position may be filled.
- (b) If within the next eight weeks following the arrest, charges are not filed, it has been determined that charges will not be filed or charges are disposed of other than through a guilty plea or through a conviction, an employee will be considered for return to work after the Utility Director conducts an independent investigation of the facts and circumstances underlying the arrest and determines whether, based on management's assessment and discretion, the employee is eligible to return to work. Return to work will be on the basis of qualifications, prior performance, and its business and personnel needs. If there is no position available, the employee's position may be administratively terminated at that time.

- (c) At the conclusion of twelve weeks, if the charge is still pending, an employee's employment may be administratively terminated.

R. Job Selection Procedure

CTRWD tries to transfer and promote from within, when possible, to fill existing vacancies. Employees can prepare for transfer and advancement by performing well in their current role, mastering new skills, and obtaining additional education and training in fields related to their work or work in which the employee is interested.

Employees should notify his/her supervisor when he/she have completed any educational or training courses so that this information can be included in the employee's personnel record.

S. Personal Telephone Use, Mail, and Visitors

Prompt and efficient telephone service is an important part of CTRWD's office operation. Family members and friends should be instructed not to call during working hours. Personal calls should be limited, made only on break, during lunchtime or for exceptional circumstances. (See discussion of cell phones in next section.) Under no circumstances should an employee make or charge a long-distance call unless it is work-related and approved by the supervisor.

Good telephone etiquette is important when dealing with the public. Employees should identify themselves and their department in a pleasant manner. Employees should conduct themselves in a courteous and professional manner at all times.

No employee is allowed to use CTRWD stationery, stamps, postage meters, facsimile machines, or other equipment and supplies for personal correspondence. All personal

correspondence should be sent to the employee's home.

Personal visits by individuals not employed by CTRWD to the work areas are also restricted subject to the supervisor's approval.

T. Personal Equipment/Cell Phones/Electronic Devices

An employee must limit his or her use of personal equipment such as cell phones or pagers during work time unless management has authorized use of those personal devices for business use. This applies to all functions of the cell phone, or other personal equipment including but not limited to camera functions, web-browsing, games, and audio recording.

At all times, the use of personal taping devices, video equipment, or other personal audio or video surveillance is prohibited on employer property or during work time off property. This prohibition includes the use of a cell phone for audio, video surveillance, or photography.

To promote open communications, an employee may not record his or her managers or co-workers during meetings, telephone calls, or any other conversations—while on or off duty. Management does not secretly record conversations with employees.

U. Personal Appearance

Employees must use good judgment and maintain high standards in personal cleanliness and attire.

Supervisors may establish specific guidelines for appearance and dress. Safety and protective items may also be required in some areas. CTRWD reserves the right to determine that particular attire is inappropriate for its business and to instruct employees to change inappropriate attire.

Uniforms furnished to employees are not for use outside CTRWD premises.

They are not a substitute for personal attire.

V. Courtesy

Courtesy is important to good customer service and employee relations, creating a pleasant work environment and CTRWD's success. All employees are expected to maintain a cooperative demeanor toward customers and co-workers.

W. No Smoking Policy

CTRWD prohibits employees from smoking anywhere in its office or plant facilities or in its vehicles at any time and while in view of the public. Smoking is permitted in the following areas only: outside the building structures at the administrative office and wastewater treatment facility in a location more than 8 feet from any entrance and not in the front of any public building.

In fairness to all employees, individuals who smoke are expected not to permit smoking time to interfere with work time.

An employee violating the policy in non-smoking areas will be subject to disciplinary action. Smokers who wish to quit are encouraged to contact the Utility Director for information on smoking cessation options available to them.

X. Firearms

An employee may not bring a firearm or ammunition onto CTRWD property or carry a firearm or ammunition while on work-related business unless (1) the employee legally possesses the firearm and/or ammunition and (2) the firearm or ammunition is stored in the employee's vehicle's locked trunk (if the vehicle has a trunk release in the driver's cabin, the vehicle must also be locked), kept in the glove compartment of the locked vehicle, or stored out of plain sight in the locked vehicle. Carrying firearms or ammunition in CTRWD-owned or

leased vehicles is prohibited. CTRWD requires strict compliance with the policy, and violations of this policy will result in discipline up to and including termination.

Y. No Solicitation or Distribution

CTRWD prohibits solicitation for any activity while either the employee(s) doing the soliciting or the employee(s) being solicited is on working time. "Working time" does not include scheduled meal periods. There shall be no distribution of literature (i.e., printed matter of any kind) by employees on working time or in working areas at any time. Occasional emails to employees, sent with the Utility Director's approval, regarding charitable fundraising activities do not violate this policy. An employee must submit in writing a proposed charitable solicitation to the Utility Director. If the Utility Director approves this request, the email may be transmitted to all employees.

Non-employees are prohibited from soliciting or distributing literature to CTRWD employees in any of its facilities.

Z. Bulletin Boards

Bulletin boards are used by CTRWD to provide official, work-related information such as announcements, program changes, and new or revised personnel policies. The Utility Director must approve all materials before they are posted. Employees are responsible for checking the bulletin board regularly. Bulletin boards are for CTRWD business only.

AA. Confidential Information

All information regarding an employee's medical records or health status will be kept in separate files and shall be treated confidentially by those with access to this information. Unauthorized disclosure of confidential information will subject an employee to immediate discipline or termination and possible criminal and civil penalties. This policy, however, does

not prohibit disclosures protected or required by federal law.

BB. Cooperation with Investigations

From time to time when problems such as suspected theft, dishonesty, destruction of property, or alcohol or drug use arise, CTRWD may require each employee's full cooperation in an investigation. All employees asked to cooperate in such an investigation are expected to comply. This may include submitting to searches of personal property and CTRWD property. This rule is for the protection of employees and customers.

CC. Searches

CTRWD reserves the right to conduct searches to monitor compliance with rules concerning safety of employees, security of its individual property, drugs and alcohol, and possession of other prohibited items. "Prohibited items" includes illegal drugs, alcoholic beverages, prescription drugs or medications not used or possessed in compliance with a current valid prescription, weapons, any items of an obscene, harassing, demeaning, or violent nature, and any property in the possession or control of an employee who does not have authorization from the owner of such property to possess or control the property. "Control" means knowing where a particular item is, having placed an item where it is currently located, or having any influence over its continued placement. In addition to its premises, CTRWD may search an employee's work areas, lockers, personal vehicles if driven to work or parked during work time and other personal items such as bags, purses, briefcases, backpacks, lunch boxes, and other containers. In requesting a search, CTRWD is not accusing anyone of theft or any other form of improper conduct.

There is no general or specific expectation of privacy in the workplace, either in CTRWD's facilities or while on duty. In general, an employee should assume that what he or she does while on duty or on CTRWD's premises is not private. Any area may be searched at any time, with or without the employee's presence or permission. As a general rule, with the exception of items relating to personal hygiene or health, no employee should bring anything to work or store anything at work that he would not be prepared to disclose and/or possibly turn over to CTRWD and/or law enforcement. If any part of the workplace is secured by an employee's lock or other security device, the employee must provide CTRWD with a duplicate key or the combination at the time the lock is installed. In CTRWD's sole discretion, any employee lock or other security device may be removed or otherwise disabled at any time at the employee's cost and expense.

The search must be authorized by the Utility Director, conducted by the manager authorized by the Utility Director, and observed by a second manager or supervisor. To the extent that a situation allows, CTRWD will explain the reason for the search and permit the employee to observe the search. An employee may be required to empty his or her pockets, but the employee's person may not be searched except by a police officer in the course of police business. No employee will ever be physically forced to submit to a search. However, an employee who refuses to cooperate with a search request will face disciplinary action up to and including termination of employment. An employee who feels that he or she has been the subject of an improper search may file a complaint after the fact with the Chairperson of the P&B Committee.

DD. Outside Work

An employee may not hold any other employment or engage in any personal business, including as an independent contractor, which would create an actual or a potential conflict of interest (or the appearance of a conflict) with employment at CTRWD. If outside work would involve services or customers similar to those of CTRWD or involve a person or an entity that has a business relationship with CTRWD, this could create a conflict of interest. An employee who is considering engaging in outside work and who is uncertain whether the work would create a conflict of interest or involve a person or entity doing business with CTRWD, the employee must promptly discuss the situation with the Utility Director. CTRWD will ultimately decide whether there is a conflict of interest or the appearance of conflict, and whether an employee will be allowed to remain employed by CTRWD while holding the other position,

Even for outside work that is permissible, an employee should consider whether the demands of that work will interfere in any way with his or her employment here. Outside work will not be considered an excuse for poor job performance, absence, tardiness, leaving early, refusing to travel, or refusing to work overtime or a changed schedule.

EE. Workplace Violence

The safety and security of CTRWD employees is of the utmost importance. We will not tolerate threatening, intimidating, malicious, or violent behavior directed toward employees or other individuals by anyone on CTRWD property or during work time.

CTRWD will take decisive and appropriate action in response to inappropriate behavior. This may include, but is not limited to, heightened security, suspension and/or termination of a business relationship, reassignment of job duties, suspension or termination of employment, and/or criminal prosecution of the person(s) involved.

All employees are responsible for immediately notifying their supervisor or the Utility Director of any possible violations of this policy or other threats to workplace security that they have experienced, witnessed, or otherwise become aware. Possible violations include threatening, intimidating, malicious, or violent behavior that is or was job-related. All employees are responsible for reporting this behavior regardless of the relationship between the individual who initiated the inappropriate behavior and the person who was the target of the behavior.

If employees receive or overhear any threatening communications from an employee or outside third party, report it to a supervisor immediately. Employees shall not engage in either physical or verbal confrontation with a potentially violent individual. If employees encounter an individual who is threatening immediate harm to an employee or anyone else in the public, contact an emergency agency (911) immediately. Also, immediately report the concern to the Utility Director.

All reports of work-related threats will be kept confidential to the extent possible, investigated, and documented. Employees are expected to report and participate in an investigation of any suspected or actual cases of workplace violence.

Violations of this policy, including failure to report or fully cooperate in CTRWD's investigation (unless applicable law provides such reporting is not required), may result in disciplinary action up to and including immediate termination.

CTRWD expects all employees to maintain a safe and secure work environment and reduce the risk of threatening, intimidating, malicious, or violent behavior that may affect CTRWD's employees and those who interact with its employees by complying with the letter and spirit of this policy.

FF. Duty To Report Arrests, Convictions, And Guilty Pleas

Employees are required to notify the Utility Director in writing within the earlier of three (3) calendar days or immediately reporting to work of any arrest, conviction, or entry of a guilty plea for any criminal offense, or immediately upon reporting to work following such arrest, conviction, or plea entry, whichever is earlier. This reporting obligation includes drug- or alcohol-related offenses but does not apply to minor traffic tickets or citations, unless the employee has an independent obligation to report under CDL regulations. Employees must also comply with reporting obligations in this handbook's Workplace Violence Policy. Failure to report under this policy subjects an employee to discipline, up to and including discharge.

GG. Resignation of Employment

If an employee chooses to resign from employment, CTRWD requests that the employee give the supervisor a two-week notice and participate in an exit interview.

HH. Outside Reference Requests

All requests for information about current or former employees must be directed to the Utility Director. No one else is to provide information on current or prior employees. Specifically, supervisors are not to provide letters of reference for any former employee unless approved by the Utility Director.

II. Safety

Every employee is responsible for safety. To achieve CTRWD's goal of providing a safe workplace, CTRWD has a safety manual with corresponding forms for reference and expects employees to follow all safety practices. Employees are expected to report any unsafe or hazardous condition directly to a supervisor or the Chief Operator, who acts as the Safety Coordinator, immediately.

In case of an accident involving a personal injury, regardless of how serious, the employee is expected to notify the supervisor immediately. Failure to report accidents can result in a violation of legal requirements and can lead to difficulties in processing insurance and benefit claims, or result in disciplinary action.

JJ. Revisions to Employee Handbook

Revisions to this handbook will be distributed to each employee.

KK .Lactation in the Workplace

CTRWD will provide, to the extent reasonably possible, a private location where an employee can express breast milk.

1. Scheduling

An employee who needs to express breast milk should contact the Utility Director to arrange a time and location to do so. An employee will be allowed reasonable paid breaks (typically, not to exceed 20 minutes) to express breast milk.

2. Storage

An employee may keep expressed breast milk in the designated refrigerator until the end of the workday. An employee must store the expressed milk in her own containers. Each container must be clearly labeled with the employee's name and the date.

III. BENEFITS AND SERVICES

NOTE: Many of the benefit plans sponsored through CTRWD have a plan description booklet or other informational materials. An employee may obtain a copy of this information upon request. When an employee becomes eligible for a benefit plan, the employee will receive a copy of the plan information. The terms of CTRWD's benefit plans are described in detail in these materials. In the event the description of benefits in this handbook conflicts with anything stated in a plan document, the latter will govern and supersede this handbook.

A. Statutory Benefits

In accordance with applicable law, the following benefits are provided to all employees:

1. Worker's Compensation Insurance

Worker's compensation insurance provides financial protection in case an employee is injured or becomes ill as a result of his or her employment. This coverage complies with applicable State worker's compensation laws, and CTRWD pays the entire cost of this protection.

2. Unemployment Compensation

CTRWD pays for unemployment benefits. These benefits are administered to an employee by the State of Indiana per Indiana Code.

3. Social Security/Medicare

Coverage under FICA entitles employees and their family members to certain health and retirement benefits upon retirement or disability. CTRWD pays the employer's FICA obligations and the employee pays their required portion.

B. Insurance Programs

CTRWD periodically reviews the features of its insurance programs, including coverages, carriers and employee participation requirements. Any significant changes in insurance plans will be communicated to covered employees prior to the effective date of the changes.

Any questions about insurance programs should be directed to the Utility Director. Copies of summary plan descriptions can be obtained from the Utility Director.

1. Group Health and Dental Insurance

CTRWD provides a group health, dental, and vision insurance plan for full-time employees. A full-time employee is eligible to apply for group health insurance after meeting the service requirements specified in the Plan. Employees must pay a portion of the premium as determined annually by the Board.

2. Life Insurance

CTRWD provides group life insurance to full-time employee in accordance with the terms of the Plan.

3. Long-Term and Short-Term Disability Insurance

After a full-time employee has completed 60 days, CTRWD provides long-term and short-term disability coverage. The program provides monthly benefits after periods of disability caused by non-occupational injury or illness. Covered, eligible employees will receive a weekly benefit during the continued disability periods as specified in the plans. CTRWD pays the entire premium for these benefits.

C. Paid Time Off (PTO)

Responsibility

Eligible employees may schedule PTO at times mutually agreeable to management. CTRWD reserves the right to reschedule any employee's vacation if business needs require.

PTO pay will be based on the employee's current regular hourly rate or salary and paid on the regular pay schedule.

PTO may be scheduled only in ½-hour increments by non-exempt employees and full-day increments by exempt employees.

Employees must submit their PTO requests to their Supervisor for approval as soon as they know but they must be submitted at least 10 hours prior to the start of the scheduled shift so that management may evaluate business needs and authorize PTO with conflicts resolved based on length of service. Under some emergency circumstances, with the Utility Director's approval and at his discretion, PTO may be approved without advance notice.

Eligibility

All regular full-time employees with up to 5 years of continuous service will be awarded a total of 24 days (7.5 hours/day) of PTO per year. In the first year of employment, PTO will accrue at the rate of 2 days per month but may not be used before completion of the first month of employment.

For each year of continuous service after the completion of 5 years, the PTO benefit will increase one day per year, up to a maximum total annual accrual of 29 days. PTO may be used for illness, vacations, and other time needed to attend to personal matters and may be taken in increments as small as ½ hour for non-exempt employees. An employee may not carry over more than 30 days (225 hours) of PTO from one anniversary year to the next. Should the total accumulated PTO exceed 30 days (225 hours) on the employee's anniversary day, CTRWD will pay the employee a rate equivalent to 50% of the employee's current rate of pay for the days over 30. This payment, which is an incentive for employees to manage his or her PTO wisely and to reward them for excellent attendance, will be made with the paycheck containing the employee's anniversary day.

Upon termination of employment, an employee will be paid for all accrued unused PTO.

D. Holidays

The holiday schedule is set annual by the Board of Trustees.

If a recognized holiday falls on a weekend, CTRWD may observe either the preceding Friday or the following Monday as a holiday. CTRWD will issue a schedule early each calendar year of the recognized holidays to be observed in that year.

In the case of an absence before or after a holiday, an employee must have a pre-arranged (per the PTO policy) absence from work for the scheduled shifts (or part of the shifts) immediately before and after the holiday to receive holiday pay. An employee required to work on the actual holiday (December 25, for example) will be paid double time. An employee required to work on the observed holiday (December 26, for example) will be paid 1½ times the employee's regular hourly rate of pay. These enhanced hourly rates will be paid even if the employee would not otherwise be entitled to overtime.

E. Tuition Assistance

Support for staff's continuing education is important to CTRWD and an incentive for staff members to continually improve their skills. Full-time staff will be eligible for reimbursement of pre-approved educational expenses after one continuous year of employment. Reimbursement is limited to \$3,000 per fiscal year. An employee must submit an Educational Assistance Request form to the Utility Director.

IV. LEAVES OF ABSENCE

An employee may not engage in other work while on leave (other than military leave), nor may he or she take part in non-work-related activities that are inconsistent with

his or her qualifying reasons for any type of medical or personal leave. An employee abusing leave may lose his or her entitlement to leave and will also be subject to discipline up to and including termination.

If any type of leave exceeds one full month, the employee will be responsible for his or her full group health insurance premium after one full calendar month's absence.

A. Medical Leave Of Absence

If an employee becomes unable to work because of a medical condition due to illness or injury (work-related or non-work-related) for more than five consecutive work days, the employee will be placed on a leave of absence. Absences related to illness or injury of five or fewer consecutive work days will be addressed under the Attendance and Paid Time Off policies. Eligible employees are also entitled to disability benefits in accordance with the terms of CTRWD's plan.

For employees who have been employed continuously from 12 continuous weeks to one year, medical leave may be renewed for successive periods up to a maximum of six weeks during the first 12-month period. For employees who have been employed continuously for more than one year, the leave may be renewed for successive periods up to a maximum of 10 weeks during a "rolling" 12-month period.

A "rolling" 12-month period is measured backward for each employee from the date the employee uses a medical leave.

For employees employed fewer than 12 continuous weeks, medical leave will be granted only in the following circumstances:

(1) The employee is a qualified individual with a disability and granting a reasonable medical leave would be an accommodation that would not cause undue hardship.

(2) The employee will be granted up to 6 weeks of medical leave for maternity purposes.

(3) The employee will be granted one period of medical leave for an absence of between 6 and 10 consecutive work days.

Any medical leave granted during the first 12 weeks of employment will be treated as part of the medical leave available to employees during his or her first year of employment.

Medical Documentation

Employees must request a medical leave in writing and provide the Utility Director appropriate medical documentation confirming that they are medically unable to work and the anticipated length of the absence. Employees may be (a) asked the status of any medical condition, (b) required to provide medical evidence from their health care provider or from a health care provider of CTRWD's choice concerning any medical condition, (c) denied a request for medical leave or a request for renewal if the Director determines from the medical evidence that the employee is able to perform the employee's work, or (d) placed or continued on medical leave if the Director determines from the medical information that the employee is not able to perform the essential functions of the employee's job with or without reasonable accommodation. If an employee is granted a medical leave, the employee must use all available paid time off concurrently with the leave.

Expiration of Leave

An employee must notify the Utility Director at least 5 scheduled working days before the expiration of a medical leave whether the employee will return to work or whether the employee needs a renewed medical leave. In either case, the employee must provide medical

documentation confirming his or her ability to return to work or the basis for the need for a renewed medical leave. Failure to provide this notice may cause a delay in the employee returning to work or result in the administrative termination of his/her employment.

Conclusion of Leave

At the conclusion of a medical leave, an employee will generally be restored to an equivalent position with equivalent benefits, pay, and other terms and conditions of employment. However, the employee may be reassigned or the position may be changed based on business and personnel needs, and, if the employee is a qualified individual with a disability, the availability of any reasonable accommodation that would not cause undue hardship on operations. If the employee returns to work after a medical leave, the employee will resume employment on the same terms and conditions applicable to employees generally without having to satisfy any benefit plan waiting periods applicable to new employees. Upon the employee's release to return to work after more than 6 weeks, if there is no available position for which the employee is qualified and the employee has exhausted all available leave time, employment will be administratively terminated at that time unless an evaluation of the employee's circumstances indicates that the employee is a qualified individual with a disability for whom a reasonable extension would be an accommodation, and CTRWD can provide that accommodation without causing an undue hardship on its operation.

Paid time off is not earned after a medical leave of more than four consecutive weeks off.

B. Personal Leave Of Absence

At its discretion, CTRWD may grant an unpaid personal leave of absence upon an employee's written request to the Utility Director after the employee has used all earned paid time off. A request for a leave of absence must clearly state the reason for the leave and the amount of time requested. Requests will be granted only for urgent and exceptional circumstances, and personal leave cannot be used to extend a medical leave of absence. Personal leaves of absence will be granted in one-week increments and will not typically exceed four weeks during a rolling 12-month period. A "rolling" 12-month period is measured backward for each employee from the date he or she uses personal leave of absence.

At CTRWD's discretion, upon written request to the Utility Directory made at least three working days before the expiration of the initial approved personal leave, a personal leave may be extended, but in no event will personal leave of absence be extended beyond eight weeks in a rolling 12-month period.

At the conclusion of a personal leave of absence of up to four weeks, an employee will generally be restored to an equivalent position with equivalent benefits, pay, and other terms and conditions of employment.

At the conclusion of a personal leave of absence of more than four weeks, an employee will be considered for return to work on the basis of the employee's qualifications, prior performance, and CTRWD's then current business and personnel needs.

Failure to return to work at the end of a personal leave of absence or the unavailability of a position if an employee has a leave of more than four weeks will result in the administrative termination of employment.

Paid time off is not earned during a personal leave of absence of more than four weeks.

C. Bereavement Leave

Subject to timely approval, in the event of the death of a spouse or child, an employee will be eligible to receive up to 5 paid days off. In the event of the death of other immediate family members (sister, brother, mother, father (including such step relationships) and any other family member living in same household as employee), an employee will be eligible to receive up to 3 paid days off. Also subject to timely approval, in the event of the death of a non-immediate family member (mother-, father-, sister-, or brother-in-law and grandparents), an employee will be eligible for up to 2 paid days off. These days may only be taken at the time of the death, and an employee will not be entitled to additional compensation if these days are not used. In the event of the death of other family or friends, with timely approval, time off may be given without pay or PTO may be used. Proof of death, such as a copy of an obituary, and verification of the relationship to the deceased may be required.

D. Military Family Leave Policy

In accordance with Indiana's Military Family Leave Act, CTRWD provides leave to eligible family members of individuals on active duty in the United States Armed Forces or the Indiana Army or Air National Guard. "Active duty" means full-time service on active duty orders for a period of at least 90 consecutive calendar days.

Eligible employees include the following relatives of the individual on active duty:

- spouse;
- biological, adoptive or step parent;
- court-appointed guardian or custodian;
- biological grandparent;
- sibling (by blood or adoption); or
- child (by blood, adoption or step relationship).

To be eligible for Military Family Leave, an employee

- must have been employed by CTRWD for at least 12 months and
- must have worked at least 1,500 hours during the 12-month period immediately preceding the date that the leave is to begin.

1. Leave Entitlement

Eligible employees may take up to 10 days off work per year as Military Family Leave. For these purposes, a year is a “rolling” 12-month period measured backward for each employee from the date the employee uses Military Family Leave. Leave can be taken during:

- the 30 days before active duty orders are in effect;
- during a leave provided to the one on active duty while the active duty orders are in effect; and
- the 30 days after the termination of the active duty orders.

2. Notification Requirements

An employee must provide a written request for Military Family Leave to the Utility Director and provide a copy of active duty orders, if available, before taking leave. This request must be made at least 30 days before the date the requested leave is to begin unless the

active duty orders are issued fewer than 30 days prior to the date the requested leave is to begin.

3. Substitution of Paid Leave

Generally, Military Family Leave is unpaid. If, however, an employee also has accrued paid time off and if the employee's leave request meets the requirements to use that paid time off, the employee will receive paid time off while on Military Family Leave.

4. Continuation of Benefits

CTRWD will maintain an employee's coverage under its Health Plan on the same conditions during Military Family Leave as if the employee had been employed continuously during the leave period. An employee who wishes to continue health coverage must continue to pay the employee share of the premiums during the leave period to maintain coverage.

5. Job Restoration/No Retaliation

Upon return from Military Family Leave, an employee will generally be restored to his or her position. No action will be taken against an employee because of the use of Military Family Leave. If, during the leave, a layoff or other event occurs that would have changed or even eliminated the employee's job had leave not been taken, the employee will have no greater rights than if he had been continuously employed during the leave.

E. Military Leave

CTRWD will comply with all applicable laws regarding military leaves of absence.

F. Jury or Witness Duty

CTRWD recognizes that jury or witness duty is the obligation of all citizens and encourages its employees to fulfill this obligation. If an employee is called for jury duty or subpoenaed as a witness in a court or administrative agency action, the employee will be granted excused time away from work. The employee is expected, however, to return to his or her duties

any time he or she is not needed in the courtroom. If an employee is called for jury duty or subpoenaed as a witness, the employee should advise his or her supervisor and give the supervisor a copy of the summons or subpoena as soon as possible after learning of the requirement to serve.

If a non-exempt employee is called for jury duty, the employee will receive the difference between his or her average straight time hourly rate up to 7.5 hours per day and the payment he or she receives for jury service for time he or she would otherwise have been regularly scheduled to work for up to a maximum of four weeks. The employee must present proof of the amount of jury pay received. Non-exempt employees will not be compensated for time spent as witnesses. If the employee is an exempt employee and is called for jury duty or witness duty, the employee will receive his or her normal salary for partial workweeks in which the employee performs jury service or witness duty, offset by any amount received as jury or witness fees. The employee must present proof of the amount of jury pay received. If an exempt employee misses up to four full workweeks for jury service, that employee will be paid his or her normal salary, less any jury fees received, but additional full weeks of jury service will be without pay.

V. **EMPLOYEE CONDUCT**

Corrective Action/Work Rules.

CTRWD hopes that every employee's working relationship with CTRWD will be mutually satisfactory. However, an employee's employment will continue only so long as the employee is satisfied with CTRWD, and CTRWD is satisfied with the employee's performance. Just as an employee may resign at any time, CTRWD may terminate an employee's employment

at any time. CTRWD cannot promise continued employment or employment for a specific period of time.

We expect all employees to follow CTRWD established policies, procedures, and rules and to act in a professional manner at all times. CTRWD also expects employees to perform his or her assigned duties in an efficient, effective, and competent manner. There may be occasions, however, where employees perform at an unsatisfactory level, violate policy, or behave inappropriately. CTRWD will try, when it deems appropriate, to provide employees with reasonable opportunities to correct deficiencies.

Nevertheless, CTRWD may choose in certain cases to use forms of corrective action that are less severe than termination. Examples of such less severe forms of discipline include oral counseling, written counseling, suspension with or without pay, and probation. Disciplinary suspensions as to salaried exempt employees will be consistent with the requirements of the FLSA. Additionally, employees may be placed on investigatory leave to allow CTRWD time to review fully the circumstances related to a potential disciplinary matter. Investigatory leave is typically paid and is not disciplinary and will not be reflected in the employee's performance review or personnel file although the results of the investigation may lead to documentation in the employee's file.

Because circumstances vary in each case involving possible corrective action, each situation will be handled on an individual basis with the severity and frequency of the conduct taken into consideration. Although one or more of the steps described above may be taken in connection with a particular employee, no formal order or system is necessary.

Whenever a corrective action is documented, the employee will be asked to acknowledge that the employee has reviewed the documentation and received a copy of the

document by signing the original. The employee's signature will not necessarily signify agreement with the contents of the document.

The policies set forth below as well as in prior sections of this Handbook are intended to provide each employee with fair notice of what is expected of the employee. It is not possible, however, to provide an exhaustive list of all types of impermissible conduct and performance, and the following are only examples of behaviors that are unacceptable and, if found to exist, can result in corrective action up to and including immediate termination. An employee should, therefore, be aware that conduct not specifically listed below, but which adversely affects or is otherwise detrimental to the interests of CTRWD, other employees, or customers may also result in corrective action, including termination.

Attendance – Engaging in a pattern of absenteeism/tardiness/leaving early/taking unauthorized or extended breaks.

Confidential Matters – Discussing or revealing confidential information with individuals outside or within CTRWD who are not authorized to have such information.

Criminal Activity – Being convicted of or pleading guilty to a crime that reflects unfitness for the job or constitutes a threat to the safety or well-being of CTRWD or its employees, customers, or property or failing immediately to report an arrest, conviction, or guilty plea for any criminal conduct. Arrest for such conduct may also result in an unpaid suspension of job duties or termination based on CTRWD's independent investigation.

Customer, Public, and Co-worker Relations – Mistreating, abusing, or intimidating customers, visitors, or other employees; improper interactions or communications

with a supervisor; mistreating or inappropriate use of property belonging to a customer, co-worker, or the public; or otherwise engaging in conduct that does not support CTRWD's goals and objectives.

Detrimental Behavior – Unlawful or improper statements about other employees, CTRWD, or its practices that affect CTRWD's reputation and goodwill or that of other employees.

Dishonesty – Falsifying, altering, or omitting information on an employment application, time record, or any other CTRWD record; giving false information to management personnel or concealing defective or erroneous work, damage, or other matters that may affect CTRWD's customers and reputation.

Drugs and Alcohol – Violating CTRWD's and/or Department of Transportation's Drug and Alcohol Abuse Policy.

Equal Employment Opportunity/Anti-Harassment – Failing to comply with CTRWD's Equal Employment Opportunity/Anti-Harassment Policy.

Fighting – Verbal or physical fighting, baiting, or other behavior that instigates fighting or other conduct that violates Section II. EE.

Mishandling CTRWD Property – Mishandling, misusing, stealing or improperly accounting for CTRWD money, funds, or property.

Insubordination – Failing to follow or comply with instructions or work orders in a timely manner.

Failure to Cooperate – Failing or refusing to cooperate in an investigation conducted by CTRWD (excluding issues arising under the National Labor Relations Act).

Poor Performance – Failing to produce quality and timely work or meet performance expectations.

Safety – Failing to use equipment, materials, and supplies in accordance with CTRWD policies and practices; violating safety or health rules or practices or engaging in horseplay or other conduct that creates a safety or health hazard.

Unauthorized Use of CTRWD Time/Property – Using CTRWD time or property for non-work related activities such as gambling, soliciting, misusing CTRWD electronic communications systems, etc.

Failing To Remain Alert – Failing to remain alert at all times while on duty.

Non-Compliance with Laws/Regulations – Failing to comply with local, state and federal laws and/or regulations or failing to report such non-compliance.

Other Policies, Procedures, and Practices – Failing to comply with other expectations for performance and behavior set forth in this Handbook or by management.

* * * *

Any questions about the information included in this handbook should be directed to an employee's supervisor or to the Utility Director.

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This handbook is not a contract of employment.

CLAY TOWNSHIP REGIONAL WASTE DISTRICT
Revised Handbook approved July 8, 2013 by Board of Trustees

Acknowledgment of Receipt of Employee Handbook
and Confidentiality Agreement

I have received a copy of the CTRWD's Employee Handbook and agree to read and keep the handbook for future reference and to direct any questions about the contents of the handbook to the Utility Director. I understand that as a term and condition of my employment I am to comply with and abide by the policies in the handbook. I understand that this handbook is not a contract of employment and does not alter my at-will employment relationship with CTRWD. I further understand that CTRWD may modify, change, delete, or add to, as it deems appropriate, the policies, procedures, benefits, and other general information in this handbook.

I have read the Emergency Call-out Compensation Addendum under Subsection K of Section II.

Employee's Signature

Employee's Printed Name

Date