



CLEAN ENERGY
FINANCE AND INVESTMENT AUTHORITY

845 Brook Street
Rocky Hill, Connecticut 06067

300 Main Street, 4th Floor
Stamford, Connecticut 06901

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www.ctcleanenergy.com

April 7, 2014

Dear Audit, Compliance and Governance Committee Members,

We look forward to our meeting on Tuesday, April 15th, at CEFIA in Rocky Hill from 1 to 2 p.m. We have three main agenda items:

- Review and Recommendation to the Board of Directors revisions to the Employee Handbook;
- Legislative Update; and
- Review and Recommendation to the Board of Directors revisions to the CEFIA Operating Procedures.

The materials for the meeting can be found at the link below. As always, please let me know if you have any questions.

Sincerely,

Brian Farnen
General Counsel & Chief Legal Officer



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AGENDA

Audit, Compliance and Governance Committee of the
Clean Energy Finance and Investment Authority
845 Brook Street
Rocky Hill, CT 06067

Tuesday, April 15, 2014 – Regular Meeting
1:00 to 2:00 p.m.

Staff Invited: Bryan Garcia, Brian Farnen, Bert Hunter George Bellas, Mackey Dykes,
Suzanne Kaswan and David Goldberg

Others Invited:

1. Call to order
2. Public Comments – 5 minutes
3. Approve meeting minutes for October 4, 2013 Regular Meeting* – 5 minutes
4. Review and recommendation to the Board of Directors of CEFIA for approval certain Employee Handbook revisions** – 15 minutes
5. Legislative Update – 15 minutes
6. Review and recommendation to the Board of Directors of CEFIA for approval certain Operating Procedure revisions** – 15 minutes
7. Adjourn

*Denotes item requiring Committee action

** Denotes item requiring Committee action and recommendation to the Board for approval

Join the meeting online at <https://www4.gotomeeting.com/join/820253391>

Dial +1(267) 507-0015

Meeting ID: 820-253-391



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RESOLUTIONS

Audit, Compliance and Governance Committee of the
Clean Energy Finance and Investment Authority
845 Brook Street
Rocky Hill, CT 06067

Tuesday, April 15, 2014 – Regular Meeting
1:00 to 2:00 p.m.

Staff Invited: Bryan Garcia, Brian Farnen, Bert Hunter George Bellas, Mackey Dykes,
Suzanne Kaswan and David Goldberg

Others Invited: Marcum, LLP

1. Call to order
2. Public Comments – 5 minutes
3. Approve meeting minutes for October 4, 2013 Regular Meeting* – 5 minutes

Resolution #1

Motion to approve the minutes of the Audit, Compliance and Governance Committee meeting for October 4, 2013. Second. Discussion. Vote.

4. Review and recommendation to the Board of Directors of CEFIA for approval certain Employee Handbook revisions** – 15 minutes

Resolution #2

WHEREAS, the Clean Energy Finance and Investment Authority (CEFIA) has developed and maintains an Employee Handbook which come under continuous review by CEFIA staff and is subject to change from time to time;

NOW, therefore be it:

RESOLVED, that the Committee hereby recommends to the Board of Directors of CEFIA approval of the revisions to the CEFIA Employee Handbook as presented to the Audit, Compliance and Governance Committee on April 15, 2014.

RESOLVED, that the Committee hereby recommends to the Board of Directors of CEFIA that CEFIA staff shall be authorized to update the Employee Handbook and related appendixes and forms for non-substantive revisions and updates.

Second. Discussion. Vote.

5. Legislative update – 10 minutes
6. Review and recommendation to the Board of Directors of CEFIA for approval certain Operating Procedure revisions** – 15 minutes

Resolution #3

WHEREAS, Pursuant to Section 15 of the CEFIA Operating Procedures, the Audit, Compliance and Governance Committee (the “Committee”) shall meet to review and discuss the matters addressed by these procedures and, if deemed necessary, to make recommendations for amendment of these procedures to Board of Directors;

NOW, therefore be it:

RESOLVED, that the Committee hereby approves publication of revisions to CEFIA’s Operating Procedures in the Connecticut Law Journal pursuant to the Notice set forth as **Attachment A**.

RESOLVED, that the Committee hereby recommends to the Board of Directors of CEFIA approval of the revised Operating Procedures contingent upon the review of any and all public comments.

Second. Discussion. Vote.

7. Adjourn

*Denotes item requiring Committee action

** Denotes item requiring Committee action and recommendation to the Board for approval

Join the meeting online at <https://www4.gotomeeting.com/join/820253391>

Meeting ID: 820-253-391

ATTACHMENT A

NOTICE OF INTENT TO AMEND OPERATING PROCEDURES

In accordance with Section 1-121 of the Connecticut General Statutes, notice is hereby given that the Clean Energy Finance and Investment Authority (“CEFIA”) proposes to amend its Operating Procedures.

Summary of Written Procedures: CEFIA is proposing the following revisions to its Operating Procedures. These changes clarify the authority of CEFIA’s President and revise certain competitive and programmatic selection and award procedures in the following ways:

- Grant the President authority to make adjustments as necessary in benefits programs regarding workplace flexibility (e.g., telecommuting and flex-time policies) in order to recruit and retain qualified applicants. The President’s authority to make such adjustments cannot result in an adverse budgetary impact.
- Clarify authorization requirements for requests for proposals (“RFP”) in the competitive selection and award process. Rescind the requirement that each RFP be authorized by resolution of the CEFIA Board of Directors (the “Board”) and instead require that each RFP be issued pursuant to guidelines established by CEFIA consistent with its Comprehensive Plan and Annual Operating Budget. Each award shall be subject to all necessary CEFIA approvals before execution, including approval by the Board or a duly authorized committee of the Board.
- Amend programmatic selection and award procedures by rescinding the 120 day deadline for notice of approval or disapproval of an application for financial assistance under any CEFIA program.

Statement of Purpose: The proposed amendments clarify the authority of the President in regard to employee policies and revise certain competitive and programmatic selection and award procedures.

Copies of the proposed revised procedures are available at CEFIA between the hours of 8:00 a.m. and 4:30 p.m., Monday through Friday, by contacting Brian Farnen, General Counsel and Chief Legal Officer at 860.257.2892 or by email at Brian.Farnen@ctcleanenergy.com. All interested parties may submit comments in connection with the proposed revisions to the Operating Procedures, within thirty days following publication of this notice, to Loyola French, Contract Administrator, CEFIA, 845 Brook Street, Rocky Hill, CT 06067, email: Loyola.French@ctcleanenergy.com.



CLEAN ENERGY
FINANCE AND INVESTMENT AUTHORITY

Audit Compliance and Governance Committee of the Clean Energy Finance and Investment Authority

Agenda Item #1

Call to Order

April 15, 2014



CLEAN ENERGY
FINANCE AND INVESTMENT AUTHORITY

Audit, Compliance and Governance Committee of the Clean Energy Finance and Investment Authority

Agenda Item #2

Public Comments

April 15, 2014



CLEAN ENERGY
FINANCE AND INVESTMENT AUTHORITY

Audit, Compliance and Governance Committee of the Clean Energy Finance and Investment Authority

Agenda Item #3

Approval of Meeting Minutes October 4, 2013

April 15, 2014



CLEAN ENERGY
FINANCE AND INVESTMENT AUTHORITY

Audit, Compliance and Governance Committee of the Clean Energy Finance and Investment Authority

Agenda Item #4

Review and Recommendation to the Board of Directors of CEFIA for approval certain handbook revisions.

April 15, 2014

▶ **Whistleblower Policy**

- New policy
- Mirrors CI
- Clarifies process for employees to file whistleblower complaints
- **Updated language on Computer Use and Social Media**
 - Proposed revision of policy - CI Board Approved
 - Worked with Adnet (computer consulting firm) to develop a best practice computer use/social media policy
 - No longer a zero tolerance approach for personal use, yet clear limits that protect the security of CEFIA's data and equipment
 - Recognizing increasing usage of social media, mobile devices



- ▶ **Revision of Violence in the Workplace Prevention Policy**
 - ▶ Directly from the State of Connecticut Violence in the Workplace Prevention Manual
- ▶ **Vacation carryover**
 - ▶ Revision in policy clarifies cap of 30 days allowed vacation accrual (removes reference to 120 days for employees hired prior to 1998 as CEFIA does not have any employees in this category).
 - ▶ Clarifies that allowed vacation carryover in excess of 30 days must be used by the end of the following calendar year (consistent with CI's policy)

▶ General Housekeeping Changes

- ▶ Addition of new Building Floor Plans
- ▶ Removing reference to specific staff and referring to departments instead
- ▶ Updating outdated benefits information and providing a general summary with the notification that benefits updates will be provided by Human Resources



Review and Recommendation for approval of certain CEFIA Employee Handbook revisions



CLEAN ENERGY
FINANCE AND INVESTMENT AUTHORITY

RESOLVED, that the Committee hereby recommends to the Board of Directors of CEFIA for approval the revisions to the CEFIA Employee Handbook as presented to the Audit, Compliance and Governance Committee on April 15, 2014.

RESOLVED, that the Committee hereby recommends to the Board of Directors of CEFIA that CEFIA staff shall be authorized to update the Employee Handbook and related appendixes and forms for non-substantive revisions and updates.



CLEAN ENERGY
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Audit, Compliance and Governance Committee of the Clean Energy Finance and Investment Authority

Agenda Item #5

Legislative Update

April 15, 2014



▶ **SB 357—Revisions To Energy Statutes**

- ▶ Contains 3 CEFIA important matters
 - ▶ Name Change, OBR Cost Recovery for EDCs, & Micro-grid Inclusion in CPACE + (calls for R-PACE study by CEFIA—1/15)
 - ▶ Also has EE standards and undergrounding/excavation of utility services
 - ▶ Referred to Environmental Committee on 4/9



▶ **SB 353—The Development of Class I RE Source Projects**

- ▶ Expands EDC & 3rd Party Developments to 100MWs (Sec. 127)
- ▶ Section 2—Shared/Community CE pilot program
 - ▶ Attempting to get CEFIA & private capital included in shared CE program development
- ▶ On Senate Calendar

- ▶ **SB 404—RECs For Trash-To-Energy Facilities & Requiring A Report On Anaerobic Digestion Technologies.**
 - ▶ CEFIA attempting to remove AD study requirement due 1/15 & rather included in our section 103 of PA11-80 AD pilot program report due 1/16
 - ▶ On Senate Calendar

- ▶ **HB 5413—Funds For The Public, Educational, & Governmental Programming Education Technology Investment Account & CEFIA**
 - ▶ Calls for the return of monies swept during FY14 as well as elimination of additional amount in FY15.
 - ▶ Referred to Appropriations Committee on 4/8



CLEAN ENERGY
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Audit, Compliance and Governance Committee of the Clean Energy Finance and Investment Authority

Agenda Item #6

Review and Recommendation to the Board of Directors of
CEFIA for approval certain Operating Procedures revisions.

April 15, 2014



- ▶ **ACG Charged with Annual Review of Procedures**
 - ▶ Grant the President authority to make adjustments as necessary in benefits programs regarding workplace flexibility
 - ▶ Clarify Board authorization requirements for RFPs in the competitive selection and award process.
 - ▶ Amend programmatic selection and award procedures by rescinding the 120 day deadline.

Operating Procedures revisions



CLEAN ENERGY
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Proposed Process

ACG Review and Recommendation



Board Informal Feedback



Law Journal/Public Comment Period



Board Approval

Adopted Procedures



Review and Recommendation for approval of certain Operating Procedures revisions



CLEAN ENERGY
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RESOLVED, that the Committee hereby approves publication of revisions to CEFIA's Operating Procedures in the Connecticut Law Journal pursuant to the Notice set forth as Attachment A.

RESOLVED, that the Committee hereby recommends to the Board of Directors of CEFIA for approval the revised Operating Procedures contingent upon the review of any and all public comments.



CLEAN ENERGY
FINANCE AND INVESTMENT AUTHORITY

Audit, Compliance and Governance Committee of the Clean Energy Finance and Investment Authority

Agenda Item #7

Adjourn

April 15, 2014

Subject to changes and deletions

**AUDIT, COMPLIANCE AND GOVERNANCE COMMITTEE OF THE
CLEAN ENERGY FINANCE AND INVESTMENT AUTHORITY
Draft Minutes – Regular Meeting
Friday, October 4, 2013**

A regular meeting of the Audit, Compliance and Governance Committee (“Audit Committee”) of the Board of Directors of the **Clean Energy Finance and Investment Authority (the “Authority”)** was held on October 4, 2013, at the office of CEFIA, 845 Brook Street, Rocky Hill, CT.

1. **Call to Order**: Matthew Ranelli, Chairperson of the Audit Committee, called the meeting to order at 1:05 p.m. Audit Committee members participating: Matthew Ranelli, and John Harrity.

Absent: Patricia Wrice.

Staff Attending: George Bellas, Brian Farnen, Bryan Garcia, Bert Hunter, Shelly Mondo, and Phil Siuta.

Others Attending: Bill Sawicki, Marcum; John Schuyler, Marcum; and Gary Smith, Marcum.

2. **Public Comments**: There were no public comments.

3. **Approval of Minutes**:

Mr. Ranelli asked the Audit Committee members to consider the minutes from the June 5, 2013 meeting. Mr. Siuta noted the need to amend the resolution on page 6 in the first whereas clause in the minutes to indicate that in accordance with Article V, Section 5.3.1(i) of the “Bylaws” rather than “Operating Procedures” . . .

Upon a motion made by Mr. Harrity, seconded by Mr. Ranelli, the Audit Committee members voted unanimously in favor of adopting the minutes from the June 5, 2013 meeting as amended.

4. **Review and Recommendation of FY2013 Draft CEFIA Audited Financial Statements**:

Mr. Bellas introduced Ms. Schuyler, Mr. Smith and Mr. Sawicki. Mr. Sawicki provided an overview of Marcum’s “unmodified opinion” of CEFIA’s financial statements. He stated that the audit was conducted under auditing standards generally accepted in the United State of America and Government Auditing Standards issued by the Comptroller General of the United States. Mr. Sawicki stated that the audit includes reporting on internal control over financial reporting and on compliance and other matters required under Government Auditing Standards (“GAS”) and Federal OMB Circular A-133. He

indicated that all audits require the auditor to gain an understanding of the internal controls in order to plan the audit procedure; and under GAS, the auditor is required to explicitly report on whether or not there were significant deficiencies or material weaknesses found in internal controls over financial reporting or in compliance by the entity over grants, contracts, laws, regulations or agreements that could materially impact its financial statements.

Mr. Sawicki explained Marcum's responsibilities and the items required to be communicated with the members of governance. He indicated that there were no issues with accounting estimates, no significant audit adjustments, no disagreements with management, no known consultations with other auditors, no difficulties relating to the performance of the audits, no material errors or fraud or significant deficiencies in internal controls, no relationships between representatives of Marcum and CEFIA that could bear on the independence of the audit and no major issues discussed with management prior to retention.

Mr. Sawicki described the areas of the audit that are still open. Mr. Bellas stated that the only entry left that has to be updated is for the Renewable Energy Certificates ("RECs") which are anticipated to be immaterial and require an adjustment of approximately \$100,000 charged to profit and loss.

Mr. Bellas went through the financial statements. A discussion ensued on Management's Discussion and Analysis ("MD&A") Mr. Schuyler noted that Marcum does not opine on the MD&A, and the MD&A can be used to provide more explanation about the numbers in the financial statements.

Mr. Garcia expressed his concern that the financial statements don't truly reflect the decisions made by the CEFIA Board of Directors with respect to funding commitments and allocations of resources. A discussion ensued on how to more clearly show CEFIA's net position after taking into consideration Board commitments. Mr. Sawicki explained several options, and there was general agreement that cash on hand can be more clearly explained in the MD&A and that a parenthetical note can be included in the financial statements under cash to indicate the amount that has been designated by the Board for specific purposes. In response to a question, Mr. Sawicki explained that the financial statements are as of June 30, 2013. However, if there is a subsequent event, the information can be included (i.e. designating an additional \$20,000,000 for the C-PACE funding warehouse after June 30, 2013). Mr. Bellas will work with Mr. Garcia, Mr. Hunter and representatives from Marcum on the appropriate language and information to include.

Questions were asked, and Mr. Sawicki indicated that factual information about the resources used to attract private capital could be included.

A discussion ensued on the Solar Lease 2 Program. Mr. Hunter described the ownership and operational structure of the limited liability corporation and questioned the recognition of some of the expenses. Staff questioned whether the consolidated

Subject to changes and deletions

financial statements should include or reflect the Solar Lease 2 Program in consolidation with the rest of CEFIA's activities or, due to CEFIA's one percent (1%) ownership of the special purpose entity, whether such ownership should be reflected using the equity method of accounting for investments which would, in turn, impact the accounting of certain other transactions related to the Solar Lease 2 Program. This issue will be discussed further with Mr. Hunter, Mr. Bellas and representatives from Marcum.

Mr. Garcia raised questions around custodial credit risk, and there was general agreement to revise Note 3 to provide a better explanation. Note 4 will also be revised to indicate that CEFIA no longer supports emerging technology. Staff noted that given the overwhelming proportion of CEFIA's cash balances are held in the State of Connecticut Treasurer's "AAA-rated" Short Term Investment Fund ("STIF"), CEFIA does not have a formal policy with respect to deposits with financial institutions. Notwithstanding the fact that, as may be required for operational or transactional purposes, Staff places non-STIF balances with financially secure commercial banks, the Committee recommended Staff to work with Marcum to draft language regarding a formal CEFIA deposit policy going forward.

The Audit Committee members discussed the recommendation to have someone assist Mr. Bellas with the financial statements given the increased complexities with the financial statements. Mr. Bellas will report back to the Audit Committee members at the next meeting with a recommendation. There was general agreement that the goal is to have the appropriate controls in place and to be transparent.

Representatives from Marcum suggested that the Audit Committee and/or Board consider a Comprehensive Annual Financial Report ("CAFR") for the future.

Upon a motion made by Mr. Harrity, seconded by Mr. Ranelli, the Audit Committee members voted unanimously in favor of adopting the following resolution recommending approval of the Audited Financial Statements and Federal Single Audit for CEFIA for fiscal year ending June 30, 2013, subject to staff following up and making the appropriate adjustments as follows:

- **disclosure of Board commitments,**
- **the accounting treatment of the Solar Lease 2 program,**
- **addressing custodial risk in Note 3,**
- **changing the language in Note 4,**
- **other grammatical errors and items as discussed.**

WHEREAS, Article V, Section 5.3.1(i) of the Clean Energy Finance and Investment Authority ("CEFIA") Bylaws requires that the Audit, Compliance and Governance Committee (the "Audit Committee") meet with the auditors to review the annual audit and formulation of an appropriate report and recommendations to the Board with respect to the audit report;

NOW, therefore, be it:

RESOLVED, that the Audit Committee hereby recommends to the Board of Directors of CEFIA for approval the Audited Financial Statements and the Federal Single Audit Report of CEFIA for the fiscal year ending June 30, 2013 (Attachment A) contingent upon Marcum LLP and CEFIA staff addressing the open items set forth in the directives from the October 4, 2013 Audit Committee Meeting.

5. CEFIA Board of Directors Recruitment Update:

Mr. Garcia reviewed the terms and appointers for the members of the Board, including the ex-officio members. He indicated that staff is working on the reappointment for Reed Hundt and filling the vacant positions.

6. Legislative Update:

Attorney Farnen provided an update on legislation, noting that in the last session the C-PACE program was expanded to include district heating and cooling systems. He mentioned that CEFIA will seek to include a broader definition of “non-permanently fixed” equipment, including microgrids and other community energy systems. Attorney Farnen talked about benchmarking and disclosure and mentioned that discussions continue regarding building disclosure requirements in an effort to consider how and to what extent CEFIA may participate in any legislative initiatives in this regard.

7. Adjournment: Upon a motion made by Mr. Harrity, seconded by Mr. Ranelli, the Audit Committee members voted unanimously in favor of adjourning the October 4, 2013 meeting at 2:25 p.m.

Respectfully submitted,

Matthew Ranelli, Chairperson of Audit
Committee



CLEAN ENERGY
FINANCE AND INVESTMENT AUTHORITY

Employee Handbook

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SECTION 1 INTRODUCTION

Employee Welcome

Welcome to the Clean Energy Finance and Investment Authority (CEFIA)! We are pleased that you are joining our staff and embarking on an employment career with CEFIA. We are so pleased to welcome you as you begin this endeavor. CEFIA develops, invests in and promotes clean sustainable energy sources for the benefit of Connecticut ratepayers. Our most important resource in achieving that vision is you – the employee. The staff at CEFIA works together and depends upon one another to achieve our vision. We want you to know how much we appreciate the contribution you are making to the continued successful operation of our agency.

This handbook was developed to describe some of the expectations of our employees and to outline the policies, programs and benefits available to eligible employees. These policies and programs are general guidelines under continuous review and are subject to change or discontinuance at any time. Employees should familiarize themselves with the contents of the employee handbook as soon as possible, for it will answer many questions about employment at CEFIA.

Please read your handbook carefully and keep it for further reference. Please contact the Manager, Human Resources if you have any questions or concerns about the information set forth in this handbook. Again, welcome and we wish you the best in your career at CEFIA.

Agency Purpose and Structure

CEFIA was established by Connecticut's General Assembly on July 1, 2011 as a part of Public Act 11-80. This new quasi-public agency supersedes the former Connecticut Clean Energy Fund. CEFIA's mission is to promote, develop and invest in clean energy and energy efficiency projects in order to strengthen Connecticut's economy, protect community health, improve the environment, and promote a secure energy supply for the state. As the nation's first full-scale clean energy finance authority, CEFIA will leverage public and private funds to drive investment and scale-up clean energy deployment in Connecticut. For more information about CEFIA, please visit www.ctcleanenergy.com.

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Objectives and Scope

This Employee Handbook has been prepared to acquaint you with policies and procedures relating to employment at CEFIA and to provide a reasonable understanding of expectations so that we may work together effectively. It is a guide to CEFIA's policies but it does not include every single policy. All employees are expected to be familiar with and abide by the policies in this Handbook.

This Handbook provides information concerning CEFIA benefits. Please note that CEFIA benefit plans are defined in legal documents such as insurance contracts and official plan texts. This means that if a question ever arises about the nature and extent of plan benefits or if there is conflicting language, the formal language of the plan documents governs over the informal wording of this Handbook. Plan documents are available for inspection.

This Handbook is not, nor is it intended to be, an express or implied contract of employment, an agreement for employment for any specified period of time, or a guarantee of benefits or working conditions between employee and CEFIA. CEFIA does not recognize any contract of employment unless it is reduced to writing and signed by the employee and the President. CEFIA reserves the right to unilaterally revise, delete, or add to the policies, procedures and

benefits within this handbook at any time with or without advance notice. Revisions of policies, procedures and benefits may be made and applied immediately or prospectively, or if not prohibited by law, made effectively with a retroactive date. Additionally, CEFIA reserves the right to make exceptions or vary from any of the rules, benefits, or policies contained in this handbook in its managerial discretion.

At Will Statement

Employment with CEFIA is at will, which means that either party may terminate the relationship at any time and for any reason, with or without cause. No manager, supervisor or other agent of CEFIA has the authority to alter the at-will employment relationship by, for example, making a commitment, express or implied, of guaranteed or continued employment to any employee. An employee's at-will employment status can only be altered by a written contract of employment that is specific as to all material terms and is signed by both the employee and the President of CEFIA.

Administration of Policy

The President has overall responsibility for directing the implementation and administration of policies and procedures. On a day-to-day basis it is the responsibility of the Chief of Staff and each supervisor to administer all policies and procedures in a manner consistent with the handbook.

SECTION 2 EMPLOYMENT

Orientation

During your first few days of employment, you will participate in an orientation program conducted by Human Resources and various members of CEFIA, including your supervisor. During this program, you will receive important information regarding the performance requirements of your position, basic company policies, your compensation, and benefit programs. You will be asked to complete all necessary paperwork at this time, such as medical benefit plan enrollment forms, beneficiary designation forms and appropriate federal and state tax forms. You will be required to present CEFIA with information establishing your identity and your eligibility to work in the United States in accordance with applicable federal law. ~~You will also be assigned a "Buddy" who will assist you with familiarizing yourself with CEFIA and answer any questions you might have.~~ During your first few weeks, you will be asked to prepare a short bio and scheduled to have your photograph taken for inclusion on our Website and in our annual report.

Please use this orientation program to familiarize yourself with CEFIA and our policies and benefits. We encourage you to ask any questions you may have so that you will understand all the guidelines that affect and govern your employment relationship with us.

Status of Employment

Employees of CEFIA are exempt from classified service as provided in Public Act 11-80 of the Connecticut General Statutes. Unlike employees in the classified service, CEFIA employees do not have tenure. Continued employment is predicated on satisfactory performance of duties, a satisfactory record of attendance, and appropriate conduct with the general public and other employees on the CEFIA staff as well as continued available work. All CEFIA employees are considered at will employees.

Conditions of Employment

All new and rehired employees work on an introductory basis for the first six months after their date of hire. Any significant absence (in excess of five consecutive days) will automatically extend an introductory period by the length of the absence. During the six-month introductory period, if any employee's performance is not satisfactory, the employee may be terminated or may be required to serve an extended introductory period.

Acceptance as a regular employee of CEFIA is contingent upon successful completion of a six month introductory period, which is intended to provide the employee the opportunity to demonstrate his/her ability to achieve a satisfactory level of performance and to determine whether the new position meets his/her expectations. CEFIA uses this period to evaluate the capabilities, work habits, and overall performance of the new employee.

The existence of the introductory period as described above does not change an employee's at-will status. Employees and CEFIA may terminate the employment relationship at any time and for any reason during and after the introductory period.

Benefits, eligibility and employment status is not changed during a secondary introductory period that results from a promotion or transfer to a new position within CEFIA. However, the employee will be required to serve a six-month introductory period to assess his/her job performance in the new position.

Staff Relations

CEFIA's success depends on its employees' skills, abilities and the manner in which they are used to meet our goals. Our employees are our most important resource to help us succeed

and to improve the way we do things. To take full advantage of this resource we need to communicate freely and openly. Usually, it is the employees performing the work who have the most knowledge about the tasks and processes they use. We encourage employees to help us by taking every opportunity to make us aware of problems of any kind, and suggesting ways we can improve. Employees should feel free to discuss any concern or suggestions they have with their supervisor or any member of management. It is our intent that as a result of open communication, CEFIA and all of its employees will enjoy a mutually prosperous and satisfying relationship.

Our experience has shown that when employees deal openly and directly with supervisors, the work environment can be excellent, communications can be clear and attitudes can be positive. When you have a suggestion, question, problem or concern, your supervisor is in the best position to respond quickly and accurately, but you should feel free to discuss the issue with the staff in Human Resources.

The working environment at CEFIA is one that puts staff, supervisors, and administration in a close relationship of mutual respect. Attendance at and participation in group meetings and staff meetings are important. Employees are encouraged and expected to use these meetings as opportunities for raising issues to improve client services, program operation, and staff relations. It is generally during these meetings that most business-related matters are communicated. If an employee is absent from any of these meetings, it is his or her responsibility to catch up with business discussed.

Customer Service Deliverables

At CEFIA, customer service is a priority. We all have internal and external customers. To that end, we expect each one of our employees to be accountable for the following customer deliverables:

- To respond promptly to customer requests for information or assistance.
- To act as a member of the CEFIA team and pitch in and assist other staff members as requested.
- To provide a work product that is complete, well-organized and useful to the customer.

Equal Employment Opportunity

In order to provide equal employment and advancement opportunities to all individuals, employment decisions at CEFIA will be based on merit, qualifications, abilities in relation to the staffing requirements, and business needs. CEFIA is an equal opportunity employer and does not discriminate in employment opportunities or practices on the basis of race, color, religious creed, sex, marital status, national origin, age, ancestry, mental retardation, physical or learning disability, past or present history of mental disorder, sexual orientation, special disabled veterans or veterans of the Vietnam War status, or any other legally protected status, except in those cases where there is a legitimate, compelling and documented occupational qualification that precludes the hiring or promotion of individuals in any of these protected groups. CEFIA will make reasonable accommodations for qualified individuals with known disabilities unless doing so would result in an undue hardship to CEFIA. This equal opportunity policy extends to all aspects of the employment relationship, including recruitment, hiring, training, compensation, promotions/transfers, job assignments, discipline and termination. All other policies, such as employee benefits, are also administered based on fair and equal treatment.

Any employees with questions or concerns about any type of discrimination in the workplace are encouraged to bring these issues to the attention of their immediate supervisor. Employees can raise concerns and make reports without fear of reprisal, either verbally or through the

grievance procedure. Anyone engaging in any type of unlawful discrimination will be subject to disciplinary action, up to and including termination of employment.

Disability Policy (ADA)

As an employer, CEFIA will not discriminate against any employee or person seeking employment on the basis of a disability, in compliance with the spirit and regulations of the Americans with Disabilities Act (ADA) and all applicable Connecticut law. The purpose of the ADA is to assure that individuals with covered disabilities who are able to perform the essential duties of their job, with or without reasonable accommodation, are given equal opportunity and treatment by their employer and fellow employees. If a qualified employee or employee candidate has an ADA recognized disability; they cannot be denied equal opportunity for employment.

In accordance with the ADA, CEFIA does not discriminate on the basis of disability in the administration of or access to its programs, services or activities, and is committed to equal employment opportunity for employees and job applicants with disabilities. Employees who violate the ADA by discriminating against an individual with an ADA recognized disability would be subject to disciplinary action up to and including dismissal. Rumors and gossip regarding any employee who has an ADA recognized disease or is assumed to have an ADA recognized disease would not be tolerated under any circumstances. Employees who need a reasonable accommodation must request such accommodations through their supervisor. Employees may be required to submit medical documentation to support their request.

Immigration Law Compliance

All job offers extended to successful candidates are contingent upon the receipt of the required documentation and completion of INS Form I-9.

Only those successful applicants who provide the required documentation and complete Form I-9 will be permitted to begin work.

Former employees who are rehired must also complete the form if they have not completed a Form I-9 with CEFIA within the past three years, or if their previous Form I-9 is no longer retained or valid.

Conflict of Interest

This policy establishes the general framework within which CEFIA wishes the business to operate.

Employees have an obligation to conduct business within guidelines that prohibit actual or potential conflicts of interest and should not have a financial interest in any client. A conflict of interest may exist when the interests or concerns of any director, officer, staff, client, or said person's relatives, or any party, group or organization in which said person has an interest or concern, may be seen as competing or conflicting with the interests or concerns of CEFIA. No "presumption of guilt" is created by the mere existence of a relationship with outside firms. The employee concerned must disclose any possible conflict of interest to the President. If it is not clear to the employee whether a particular situation or relationship constitutes a conflict of interest, the employee should contact the President.

When a conflict of interest exists regarding any matter requiring action by the Board of Directors, the President shall call it to the attention of the Board of Directors (or its committee).

Outside Employment

Employees may hold a job with another company as long as he/she satisfactorily performs their job responsibilities with CEFIA. Employees who have additional outside employment for which they receive pay must keep their supervisor and the Human Resources Manager informed of such employment. This outside employment must not interfere with the employee's effectiveness in performing their job responsibilities, and must not conflict with CEFIA's public image. All employees will be judged by the same performance standards and will be subject to CEFIA scheduling demands, despite any existing outside work requirements.

If the President and/or his designee decides that an employee's outside work interferes with performance or the ability to meet the requirements of CEFIA as they are modified from time to time, the employee may be asked to terminate the outside employment if he or she wishes to remain with CEFIA. Inappropriate behavior believed to be a result of outside employment (abuse of sick time, refusal of overtime, unsatisfactory performance, etc.) will be addressed through normal performance management and/or disciplinary procedures.

Outside employment will present a conflict of interest if it has an adverse impact on CEFIA. Employees with outside employment must abide by the confidentiality standards that protect CEFIA's clients.

Employment of Relatives

CEFIA is committed to the objective treatment of all employees based upon their job performance and the operational needs of CEFIA. The employment of relatives may cause serious conflicts and problems with favoritism and employee morale. In addition, real or apparent partiality in treatment at work and personal conflicts from outside the work environment can be carried into day-to-day working relationships. Therefore, it is the policy of CEFIA that relatives of employees will not be considered for employment.

If the relative relationship is established after employment, and there will be a direct reporting relationship or the related individuals will be working within the same department, the parties may be separated by reassignment or termination, if it is deemed necessary by the Human Resources Department and/or the President and/or his designee.

A relative is any person who is related by blood or marriage, or whose relationship with the employee is similar to that of persons who are related by blood or marriage.

Confidential Nature of Work

The protection of confidential information and trade secrets, as defined below, is vital to the interest and the success of CEFIA. The improper disclosure of confidential information would harm CEFIA and/or its employee or clients if such information were improperly disclosed to third parties. Accordingly, employees may not at any time during and after termination of employment with CEFIA, use for any purpose or disclose any confidential information to any third person or party, except as specifically authorized in the course of employment and required for carrying out job duties.

Confidential information includes, but is not limited to, the following examples:

- Any work performed by CEFIA employees for a client, portfolio company, or applicant.
- Any client, portfolio company or applicant information.
- Compensation data, including salary information.
- Personnel information.
- Financial information.
- Pending projects and proposals.
- Any other information not subject to the State Freedom of Information Act.

Confidential information should not be discussed with others (including family and friends), nor should employees discuss office matters or the affairs of clients, portfolio companies, or applicants generally with each other outside the office or any place where they might be overheard, e.g. on the street, in elevators or elevator lobbies, or at lunch counters. Except when they are certain that it is proper to do so, employees are cautioned against disclosing to callers anything being undertaken by CEFIA or its employees, clients, companies, or applicants. Likewise, it is important not to leave confidential information on desks at the end of the day or while a visitor is in the office which would allow easy unauthorized access to such information. Upon termination of employment with CEFIA or whenever requested by CEFIA, employees must promptly deliver to CEFIA all work product and all documents and other tangible embodiments of the confidential information and any copies thereof.

The best way to adhere to this policy is to not disclose any information if you are not sure whether such information is confidential information of CEFIA. Also, if you have any question as to whether certain information is considered confidential, please consult your department manager.

Violations of this policy may provide grounds for legal action against an employee and may result in disciplinary action up to and including termination, even if the employee does not actually benefit from the disclosed information.

Categories of Employment

It is the intent of CEFIA to clarify the definitions of employment classifications so those employees understand their employment status and benefit eligibility.

Full-Time Regular Employees

Employees who are not in a temporary or introductory status and who are regularly scheduled to work a minimum of 40 hours per week are considered full-time regular employees. Full-time regular employees are eligible for CEFIA benefits, subject to the terms, conditions, and limitations of each benefit program. Such employees must have successfully completed the six-month introductory period.

Part-Time Regular Employees

Employees who are not assigned to a temporary or introductory status and who are regularly scheduled to work less than 40 hours per week are considered part-time regular employees. Part-time regular employees receive all legally mandated benefits (such as Social Security and Workers' Compensation Insurance). Part time employees who work at least 20 hours per week are generally eligible for other CEFIA benefit programs on a prorated basis, based on the ratio of their standard hours of work per week to the full time standard for that position. Such employees must have successfully completed the six-month introductory period.

Exempt Employees

Exempt employees will not receive any overtime pay. Exempt employees may be granted compensatory time at the discretion of the President and/or his designee in accordance with the compensatory time policy outlined in Section 4.

Non-Exempt Employees

Non-exempt employees are paid based on the number of hours actually worked and are eligible for overtime pay. Overtime pay will be paid at the rate of one and one-half times (1½) the non-exempt employee's regular rate of pay for all time worked in excess of 40 hours per week. Overtime pay is based on actual hours worked. Thus, if a non-exempt employee is absent during a week when overtime hours have occurred, the absent hours reported will not be considered hours worked in determining a time and one-half overtime payment. An accurate record of non-exempt regular and overtime hours must be maintained for purposes of pay. Time sheets are to be signed by the staff member and by their supervisor, then submitted to Human Resources for processing.

Introductory Employees

Employees who work on an introductory basis as specified in the "Conditions of Employment" are considered introductory employees. Introductory employees who satisfactorily complete the six-month introductory period will be notified of their new employment classification. Any significant absence will automatically extend the introductory period by the length of the absence. If an employee changes jobs during the introductory period, a new six month introductory period shall begin.

Temporary Employees

Employees who are hired as interim replacements to temporarily supplement the work force or to assist in the completion of a specific project are considered temporary employees. Temporary employees hired from temporary agencies for specific assignments are employees of their respective agencies and not CEFIA. Employment assignments in this category are of a limited duration. Employment beyond any initially stated period does not in any way imply a change in employment status.

Consultants

Those independent contractors who are on contract to provide services to CEFIA-. Persons in this category are not CEFIA employees.

Selection Process, Interviewing and Hiring

The President and/or his designee must approve all new positions or changes to existing position descriptions. Vacant positions to be filled may be posted internally and if necessary posted externally. The immediate supervisor, the President, any manager or director within CEFIA and/or any person the President designates, may be involved in the interview selection

process. The President has the ultimate responsibility for appointing the candidate to the position.

CEFIA through the actions and approval of the President reserves the right to transfer or reclassify positions and employees within CEFIA and restructure their job duties and position without going through the above public process when in the best interest of CEFIA.

Promotion Policy

CEFIA is committed to providing employees with opportunities for career advancement. Employees may apply for posted positions, for which they are qualified, provided any such position represents a promotion or advancement.

CEFIA is committed to implementing a fair and equitable “in-house” promotion policy that will aid in the development of staff to their fullest potential. Full and equal opportunity will be extended to all employees in accordance with CEFIA’s affirmative action plan.

There is an established career path for most positions within CEFIA. The career path progression for each position can be found in the job description for that position. If an employee is being promoted within the established career path and within their department, such promotion can be made without posting the position.

If the position is not within the established career path progression, the position will be posted and the selection process outlined above will be followed.

Employment Applications

CEFIA relies upon the accuracy of information contained in the employment application, as well as the accuracy of other data presented through the hiring process and employment. Any misrepresentations, falsifications or material omissions in any of this information or data may result in CEFIA exclusion of the individual from further consideration for employment or, if the person has been hired, termination of employment.

Employment Reference Checks

CEFIA wishes to ensure that applicants are qualified and have a strong potential to be productive and successful. It is the policy of the CEFIA to check the employment references of all applicants.

Human Resources will respond to all reference check inquiries from other employers only with the approval of the employee or past employee and in accordance with applicable law. No offer of employment can be made until Human Resources has received satisfactory reference checks.

Performance Management and Review

CEFIA has a performance management and review process. The objectives of this process are to:

- Provide clear communication between the supervisor and employee
- Identify the employee’s work objectives and expected results
- Identify the employee’s performance strengths and weaknesses
- Assess the need for training
- Aid in decisions about future work assignments
- Determine the employee’s suitability for continued employment
- Determine the employee’s eligibility to receive a merit compensation award

CEFIA believes that all employees should receive prompt, thorough feedback regarding their performance. Formal performance assessments for new hires and newly promoted employees are conducted at the completion of six (6) months. Once an employee has completed an introductory employment period of six months, formal written performance appraisals are conducted annually. Performance evaluations provide employees with the opportunity to express any concerns they have about their jobs, career aspirations, and future with CEFIA. If an employee is having difficulty in their job, interim evaluations may be conducted to help the employee understand what performance improvements are needed.

All performance assessments are reviewed by the appropriate department head, President and/or his designee and ~~the Manager,~~ Human Resources.

Personnel Files

CEFIA maintains a confidential personnel file on each employee. The personnel file includes such information as the employee's job application, resume, records of training, documentation of performance appraisals and salary increases, written warnings or reprimands, and written commendations.

Personnel files are the property of CEFIA, and access to the information they contain is restricted.

Generally, only supervisors and management personnel of CEFIA who have a legitimate reason to review information in a file are allowed to do so unless otherwise required by law.

Employees will be notified when information is added to their personnel file.

Employees who wish to review their own files should contact Human Resources. With reasonable advance notice, employees may review their own personnel file in the Human Resources Office in the presence of a Human Resources employee.

Updating Personnel Records

Employees must notify Human Resources of any changes in personal mailing addresses, telephone numbers, number and names of dependents, individuals to be contacted in the event of an emergency, etc.

It is the responsibility of each individual employee to promptly notify CEFIA of any such changes in personnel status.

It is also the responsibility of each individual employee to review bi-weekly payroll deductions (tax withholding, FICA, etc.) for accuracy and report any errors promptly to Human Resources.

SECTION 3 WAGES AND SALARY ADMINISTRATION

General Policy

It is the policy of CEFIA to maintain a fair compensation program that provides equitable payment for work performed, is competitive with the identified labor market, and ensures compliance with federal and state legislation.

A salary range has been assigned to each position. The compensation for each employee shall be within the minimum and maximum range established for the grade to which the position has been assigned. In rare instances, the President may approve a salary outside the range for which the position has been assigned. Periodically, CEFIA may revise job descriptions, evaluate individual jobs to ensure they are being compensated appropriately and review job specifications as business needs dictate. Salary ranges may also be adjusted for annual inflation at the discretion of the Board of Director's Budget and Operations Committee.

Hours of Work

The standard workweek for full-time regular employees is currently a minimum of 40 hours. Regular daily work hours are from 8:00 a.m. to 5:00 p.m. Monday through Friday. Where workload or schedules require, some departments may operate outside these regular hours. Supervisors should notify employees of their work schedule. Each employee is responsible for informing Human Resources of any permanent change in usual work hours.

Flexible Time

Under the flextime policy, an employee may be permitted to start and end the workday at times that differ from the standard hours of operation.

Flextime schedules are at the discretion of management, and must be approved in advance by the employee's supervisor and the Department Head.

Employees participating in flextime must have regular daily starting and quitting times that do not vary from day to day.

All full-time regular employees must be at work during the core hours of 9:00 a.m. to 3:30 p.m. No flextime schedules shall begin before 7:00 a.m., or end later than 6:00 p.m.

All employees participating in flextime must work their full scheduled hours per day and take at least a one half-hour lunch break.

Pay Periods

Staff members are paid on a bi-weekly basis. Each paycheck will include earnings for all work performed through the end of the previous payroll. Thus a new employee can expect to receive his/her paycheck up to four weeks from the first day he/she commenced work for CEFIA. Employees may have pay directly deposited into their bank accounts if they provide advance written authorization. Direct deposit applications may be obtained from Human Resources. Employees will receive an itemized statement of wages.

~~The Payroll Administrator will distribute staff paychecks to the department supervisor or~~ For those employees not participating in Direct Deposit, paychecks will be distributed directly to the staff member after 3:00 p.m. every other Thursday. All paychecks not distributed by the end of the business day will be returned to payroll.human resources. If a staff member is absent from work and desires other arrangements, he/she will have to contact Human Resources directly to make such arrangements.

Lunch Periods

Employees are generally entitled to a one (1) hour lunch period. All employees must take a minimum of a half-hour for lunch. Scheduling of lunch periods is between the hours of 12:00 P.M. and 2:00 P.M. Lunch hours should be scheduled so that there is coverage at all times. Employees who work in tandem with other employees should schedule their lunch hours so there will always be coverage. If employees must attend to personal business during the workday, they should do so during their scheduled lunch break period. Employees should not work through their lunch period in order to leave early without prior authorization from their supervisor.

Time Sheets

CEFIA participates in self-service time reporting to the State of Connecticut's payroll system, CORE. Accurately recording time worked is the responsibility of every employee. Time worked is all the time actually spent on the job performing assigned duties. Time sheets must be accurately filled out in accordance with CORE time reporting guidelines and approved by the supervisor. Each employee shall personally record his or her own time, which includes the time they begin and end work and any time that is charged against their leave balances (personal time, vacation time, sick time, etc.). Altering, falsifying, tampering with time records, or recording time on another employee's time sheet may result in disciplinary action, up to and including termination of employment.

Employee time sheets for each two-week pay period must be submitted to Payroll completed in CORE by noon on the Friday after the pay period. All time sheets must be approved and initialed by the employee's supervisor, including any corrections and backup. Working time is logged in 15 minutes increments. Non-exempt employees, who report to work more than seven minutes late, but less than 15 minutes, must log their starting time at 15 minutes after the normal starting time. Time lost due to reporting to work late may not be made up by staying late at the end of the day or working through lunch periods, unless the employee obtains the prior authorization of his/her supervisor.

Attendance and Punctuality

The ability of CEFIA to operate smoothly and efficiently depends on regular attendance and punctuality. Absenteeism and tardiness are disruptive and place a burden on other employees. To maintain a productive work environment, CEFIA expects employees to be consistently reliable and punctual in reporting for work.

In the rare instances when employees cannot avoid being late to work or are unable to work as scheduled, they should personally notify their supervisor before the anticipated tardiness or absence. If the supervisor is not available, employees should notify the Human Resources Manager so that he/she can arrange for coverage during the absence. Employees should also inform their supervisor or the Human Resources Manager of the reason for their tardiness or absence. In case of an emergency where advance notification is not possible, employees must report the absence or tardiness as soon as possible.

1. An employee's supervisor is responsible for monitoring an employee's attendance. The supervisor should deal with abuses of reporting time. Occurrences of abuse should result in counseling of the employee by the supervisor. Supervisors and Human Resources will monitor unscheduled occasions of absence and ~~the Manager~~, Human Resources will determine the action to be taken upon the accumulation of a certain number of unscheduled occasions of absence within a given time period, taking into consideration the following. Numbers of days taken;

2. The number of unscheduled occasions of absence;
3. The pattern of absences
4. The employee’s past records; and
5. The reasons for the unscheduled occasions of absence.

Attendance and Punctuality, Continued

Although the specific action taken in each instance will be determined by Human Resources in its discretion, the chart below illustrates the actions likely to be taken upon the accumulation of a certain number of unscheduled occasions of absence within a given time period.

Number of Occasions	Within this Time Period	Action Likely to Be Taken
3	3 months	Your attendance record will be reviewed with you to determine contributing problems and possible solutions.
5	6 months	Your attendance record will be reviewed with you to determine contributing problems and possible solutions AND this counseling session will be recorded in a written memo, a copy of which will be maintained in your personnel file.
9	12 months	Your attendance record will be reviewed with you to determine contributing problems and possible solutions AND this discussion will be documented and a copy will be maintained in your personnel file. An “Unsatisfactory” or “Below Threshold” performance appraisal will be given to you for unsatisfactory attendance and dependability unless you give your supervisor documentation explaining the occasions to his/her satisfaction. You will also be notified that receiving two “Unsatisfactory” or “Below Threshold” performance appraisals in a row (for poor attendance or any other reason) is just cause for dismissal.

Poor attendance and excessive tardiness, including failing to report the same in a timely manner, may lead to disciplinary action, up to and including termination of employment. For example, an employee who does not report to work and who has not notified their supervisor of this absence may be terminated unless an acceptable explanation is provided for both the absence and the failure to report.

Absence from the Office

If an employee must be out of the office for business or personal matters, the supervisor must be advised. The employee also should make every attempt to keep their schedule up to date on their Outlook Calendar. If the supervisor is not available, the appropriate department head or the President and/or his designee should be notified. Employees who are working outside the office at meetings or other events should leave a telephone number where they can be reached. These employees are also responsible for checking in and receiving messages.

Procedures for Absences from the office

1. Pre-schedule all vacation time use. Vacation leave shall be requested as far in advance as possible and is subject to CEFIA's operating needs.
2. Pre-schedule all absences, if possible. You should attempt to schedule all absences (including late arrivals and early departures) in advance with your supervisor. Pre-scheduled and approved use of sick and other types of leave, such as vacation, a doctor's visit or a funeral, will not be counted as an unscheduled occasion of absence.
3. Unscheduled absences. If it is not possible to pre-schedule an absence (including a late arrival or early departure), you must:
 - notify your supervisor within a ½ hour of the start of the work day;
 - give the reason for the absence; and
 - give an estimate of how long the absence will be.
 - If the absence is continuous or lengthy, notify your supervisor on a daily basis, or as otherwise required by your supervisor.
4. Exhaustion of sick leave accruals. If you are absent because of illness or injury, but have exhausted your sick leave accruals, you must:
 - For each absence, have your physician complete a state medical certificate form explaining the reason for your absence, and submit the completed form to Human Resources.
 - If you wish to use other accrued leave in place of your exhausted sick leave, you must make such a request in writing and submit it to your supervisor or to Human Resources with the completed medical certificate form.
 - If you fail to follow this procedure, you will be charged with an unscheduled occasion of absence and unauthorized leave for the day.
 - If you have exhausted all other accrued leave time in addition to your sick leave time, you will be charged with unauthorized leave for the day.
5. Extended Leaves. If you will be absent for an extended period of time because you are sick or injured, you must
 - Obtain a medical certificate form from Human Resources
 - Have the form completed by the treating physician stating the reason for the absence and your anticipated return to work date; and
 - Return the form to Human Resources at the time you return to work.

Telecommuting

Telecommuting is a management option that allows an employee to work at home or an alternate work site; it is not an employee entitlement. Telecommuting does not change the hours of work. An employee may be considered for this option when the following minimum criteria are met:

1. In most instances, the employee must have completed their introductory period and have been performing his/her current job duties for at least 60 days.
2. The employee has requested to telecommute by filling out a telecommuting agreement which will outline the terms and conditions of their telecommuting arrangement.
3. CEFIA has determined that the employee's job can be readily and effectively completed at an alternate site.
4. CEFIA determines that the employee's absence from the office is not detrimental to office operations, overall productivity, the working conditions of other employees, or services to clients and customers.
5. The employee's performance has been satisfactory or better.
6. The employee agrees to abide by the guidelines of the Telecommuting Policy.

The following guidelines for telecommuting are to be followed in accordance with each employee's individual telecommuting agreement:

1. Each employee must specify a regular telecommuting day on their telecommuting agreement including hours to be worked per day, start time, end time, breaks, lunch periods, and duration if this is implemented on a project basis.
2. If an employee would like to telecommute in the case of inclement weather, they must have a signed “inclement weather” telecommuting agreement on file.
3. Telecommuting is not an entitlement. If business needs dictate the employee’s physical presence in the office, the employee is required to report to work.
4. In order to meet the business needs of the agency, an employee may request an adjustment to the telecommuting schedule outlined in this agreement. No adjustment may be made without prior supervisory approval

Overtime and Overtime Pay

Under the federal Fair Labor Standards Act (FLSA), employees who are covered by FLSA shall be paid time-and-one-half for all hours worked in excess of 40 hours per week. Each position at CEFIA is determined to be exempt or non-exempt in consultation with the President, the Chief of Staff, the Manager, Human Resources and CEFIA’s attorneys. Exempt employees will not receive any overtime pay. Non-exempt employees are paid based on the number of hours actually worked and are eligible for overtime pay. Overtime pay will be paid at the rate of one and one-half times (1½) the non-exempt employee’s regular rate of pay for all time worked in excess of 40 hours per week. Overtime pay is based on actual hours worked. Thus, if a non-exempt employee is absent during a week when overtime hours have occurred, the absent hours reported will not be considered hours worked in determining a time and one-half overtime payment. An accurate record of non-exempt regular and overtime hours must be maintained for purposes of pay. Time sheets are to be signed by the staff member and by their supervisor and then submitted to Human Resources for processing.

Merit Compensation

On an annual basis, the President may recommend for approval by the Board of Directors an allocation of funds for merit compensation increases for the staff. A maximum percentage salary increase will be set by the President for those employees with exceptional performance evaluations. Employees shall be compensated according to job performance as determined through the performance management process as administered by CEFIA.

SECTION 4 TYPES OF LEAVE

Vacation Policy

Vacation is not earned in any calendar month in which an employee is on leave of absence without pay more than five working days. ~~The amount of annual~~ Regular full-time employees will accrue and must use vacation time ~~earned will be based on years of service according to~~ in accordance with the following ~~formulas~~ schedule:

Years of Service	Vacation Earned	Must Use Annually
0 - 2 years	15 days per year	10 days
2 - 10 years	20 days per year	15 days
Over 10 years	25 days per year	20 days

The maximum number of vacation days an employee will be eligible to earn annually will be 25 days. ~~All employees will be required to take at least 10 or 15 vacation (15 or 20 for employees with over 10 years of service) days per year.~~ Generally an employee may not take more than four (4) consecutive weeks at one time in one year. Under extraordinary circumstances, the President and/or his designee may grant exceptions.

All employees will be limited to a maximum carryover annually of 5 days. The maximum aggregate carryover permitted for employees hired after January 1, 1998, including the current years allowed shall be 30 days. In extraordinary circumstances, such as unusual work circumstances, deadlines, or demands, the President may increase the allowable annual carryover to ten (10) days. The additional time that is carried over must be used during the next calendar year, in addition to all other vacation time the employee will accrue during that calendar year. In cases where vacation carryover in excess of 30 days is allowed with prior approval of the President, the employee's vacation balance will be automatically reduced to the maximum aggregate carryover of 30 days and all unused vacation time will be forfeited.

Vacation time will not be advanced under any circumstances. If an employee wishes to take vacation time, but does not have accrued time available, they may request to take unpaid leave. Such leave may be granted at the discretion of the employee's supervisor and or/ the department head. Vacation time is paid at the employee's base pay rate and can be taken when earned. Vacation time earned is credited to an employee on a monthly basis based upon the schedule presented above.

*Note – Once an employee is at the maximum vacation balance of 30 days, they must utilize all of their annual accruals or forfeit them.

Accrual Period

Vacation days are accrued on a monthly basis. Employees begin to accrue vacation days the first full month after their date of hire.

Scheduling

To the extent possible, and with sufficient advance notice, vacations will be scheduled as requested by the employee provided that staffing requirements be met as determined by the supervisor. The supervisor will settle conflicts between employees with regard to desired vacation schedules.

A written or electronic request should be filled out by the employee and approved by the Supervisor. Whenever possible, if requesting less than one week of vacation, the request should be presented three days prior to the time requested and if requesting one week or more the request should be presented and approved at least three weeks prior to leave.

Compensatory Time

The President and/or his designee may grant compensatory time for extra time worked by exempt employees, excluding members of the senior management team, for these unique situations provided it conforms to the following criteria:

1. As a general rule, exempt employees at CEFIA work 40 hours per week. However, these employees are expected to work the number of hours necessary to get the job done. There are some occasions that require an exempt employee to work a significant number of extra hours in addition to the normal work schedule. This does not include the extra hour or two a manager might work to complete normal work assignments in a normally scheduled workday.
2. The exempt employee must receive **written authorization in advance** to work extra time by the President and/or his designee in order to record the extra hours as compensatory time. The authorization must include the employee's name and outline the reason(s) for compensatory time. Proof of advance authorization must be retained in the employee's personnel file for audit purposes.
3. The amount of extra time worked must be significant in terms of total and duration and **occur on weekends or state holidays**.
4. Extra time worked must be completed at an approved work location.
5. Compensatory time shall not accumulate by omitting lunch hours or other changes that do not extend the exempt employee's normal workday.
6. Compensatory time shall not accumulate for travel or commuting purposes.
7. The number of extra hours worked and the compensatory time taken must be recorded on the appropriate time sheet and maintained by CEFIA. In no case shall an exempt employee be permitted to take compensatory time before it is earned.
8. All compensatory time earned January 1 through June 30 will expire on December 31 of the same year, and compensatory time earned July 1 through December 31 will expire on June 30 of the following year. All compensatory time balances will be set to zero on these dates. Any time not used by these dates will not be available.
9. In no event will compensatory time be used as the basis for additional compensation and shall not be paid as a lump sum at termination of employment.
10. No more than 8 hours can be earned in a twenty-four hour period.

Personal Leave

All CEFIA full time employees are granted three days paid personal leave each calendar year for purposes not covered by vacation or sick leave. Personal days do not require prior approval of the employee's supervisor. Personal time may not be accumulated or carried over to the next calendar year. Employees will not be compensated for unused personal time upon termination of employment. Personal leave days for part time employees will be pro-rated.

General Leave of Absence

Occasionally, an employee may request time off without pay for reasons not covered by any of the other policies. In these cases the employee should submit a written request for a leave of absence to their manager with a copy to the President and/or his designee. The request should clearly state the reason for the request and provide any supporting information to aid in the approval decision. The reason, and the requested length of the leave, will be considered by the President in his/her decision as to whether the employee's medical and other insurance benefits should continue during the leave, if approved. The decision will also be influenced by any limitations imposed by individual insurers.

Bereavement Leave

CEFIA will grant an employee up to five consecutive workdays off in the event his or her immediate family member dies. If a death occurs while the employee is on vacation, five days absence with pay may be granted in lieu of the employee's vacation period. The immediate family is defined as an employee's spouse, parent, brother, sister, child, grandparent, grandchild, in-law, legal guardian or permanent resident of the employee's household. Additional time may be granted if approved by the supervisor, and charged against vacation or personal time. Employees should notify their supervisor as soon as possible if they have a need for bereavement leave.

Sick Leave

Full-time employees earn 10 sick leave days per year. Part time employees earn sick leave according to the same schedule as full-time employees, but prorated according to their standard part-time hours per week. Sick time is not earned in any calendar month in which an employee is on leave of absence without pay more than five working days.

Sick leave is intended for use in situations such as the following:

- **Family illness - the event of a critical illness or severe injury to a member of the employee's immediate family in which the assistance of the employee is required.**
- **Medical Appointments – for medical, dental, eye examinations, or treatment for which arrangements cannot be made outside of working hours**
- **Other bereavement - up to three days per calendar year to attend the funeral of persons other than those of the employees' immediate family.**

Terminating employees will not be compensated for the balance of unused sick leave except in the case of retiring employees. Qualified retirees will receive payment for one-quarter of accumulated unused sick leave up to a maximum of 60 days.

Sick Leave - Medical Certification Or Examination

CEFIA may require certification of illness from an employee's physician or a medical examination with another physician to verify the need for continued absence. To be certain that an employee's health permits his or her safe return to work, CEFIA may require medical certification or an examination by a physician regarding fitness for duty.

An acceptable medical certificate, signed by a licensed physician or other health care provider, will be required to substantiate time off if the medical/sick leave:

- **Consists of more than five consecutive working days.**
- **Is to be applied contiguous to, or in lieu of time taken off as vacation.**
- **Recurrs frequently or habitually, and the employee has been notified.**
- **When the employee's presence at work will expose others to a contagious disease.**

Sick Leave Bank

The CEFIA Sick Leave Bank is a pool of sick days that has been established by employees of CEFIA who have made a donation of their accumulated sick days. The Bank is available to members to draw up to ten (10) eight- hour sick days per year in the unfortunate event that they experience a qualified illness or injury.

Sick Leave Bank members will receive benefits in the form of paid sick leave if all of the following requirements are met:

- the member has a medical condition that prevents them from working that has been verified by a Medical Certificate OR a member's immediate family member has a medical condition that has been verified by a Medical Certificate and requires the Sick Leave Bank member's care;
- the member has been out on approved medical leave (paid or unpaid) as described above for at least two consecutive weeks;
- the member has exhausted all of their sick, personal leave and compensatory time and vacation time in excess of 30 days;
- the member has not been disciplined for an absence-related reason for the past 12 months; however a committee comprised of HR and Management may waive this requirement;
- the member has completed a Sick Leave Bank Withdrawal Request Form and it has been approved by human resources;

All requests for utilization of the sick leave bank must be in accordance with the Sick Leave Bank Policy. Please contact Human Resources for a complete copy of the sick leave bank policy.

Family Medical Leave

Purpose

This policy establishes guidelines for leave available to employees of CEFIA under the federal Family and Medical Leave Act of 1993 ("FMLA") and highlights relevant provisions of Connecticut law.

Eligibility

Employees who have worked at CEFIA for at least twelve (12) months, and who have worked at least 1,250 actual work hours during the twelve (12) months immediately preceding the start of a leave, are eligible for unpaid leave under the FMLA. ("Hours worked" does not include time spent on paid or unpaid leave). Employees must have worked at CEFIA for at least six (6) months to be eligible for family/medical leave under Connecticut law.

Reasons for Leave

Leaves under either the state family/medical leave or federal FMLA or a combination of the acts may be taken for the following reasons:

- **The birth of employee's child or adoption of a child by the employee (both).**
- **The placement of a foster child with the employee (federal only).**
- **The "serious illness" (state) or "serious health condition" (federal) of a child, spouse or parent of an employee.**
- **The "serious illness" (state) or "serious health condition" (federal) of the employee.**

Family Medical Leave Documentation Requirement

The following documents must be submitted in support of an FMLA request:

- **Birth of child:** "Employee Request" (Form HR-1) and Medical Certificate (Form P-33A-Employee) indicating the pre-delivery disability period (if applicable), delivery date and post-partum disability period (if applicable).

- **Adoption:** (both state and federal) or foster care (federal only) of child: “Employee Request” (Form HR-1) and letter from the adoption/foster care agency confirming the event and its effective date.
- **Serious illness/health condition of child, spouse or parent:** “Employee Request” (Form HR-1) and Medical Certificate (Form P-33B-Caregiver).
- **Serious illness/health condition of employee:** “Employee Request” (Form HR-1) and Medical Certificate (Form P-33A-Employee) (only if employee is on paid or unpaid leave for more than five days).

Length of Leave

Under federal FMLA, employees are entitled to 12 weeks of unpaid leave in a twelve-month period. Under state family/medical leave, employees are entitled to a maximum of twenty-four (24) weeks of unpaid leave within a two-year period. The state entitlement is applied **after** the employee has exhausted any sick leave accruals that may be applicable. The state policy allows the substitution of personal leave and vacation accruals; however, this will not extend the 24-week entitlement period.

The 12-month entitlement period for family or medical leave is measured from the initial date of an employee’s first leave under this policy, until the end of the applicable 12 or 24-month period. **For leaves eligible under both the FMLA and state family/medical leave, the entitlement periods will run concurrently.**

Requests for Leave

Requests for a family or medical leave must be submitted to Human Resources at least thirty (30) days before the leave is to commence, if possible. If thirty (30) days notice is not possible, please submit your request as soon as practicable under the circumstances. For leaves taken because of the employee’s or a family member’s serious health condition, the employee must submit a completed medical certification form before the leave begins, if possible. This form may be obtained from Human Resources. If advance certification is not possible, the employee must provide the medical certification within fifteen (15) calendar days of the employer’s request for the medical certification. Failure to submit a certification, or submission of an incomplete certification, may delay the use of FMLA leaves, or result in denial of such leave.

Requests for Leave

If an employee takes leave to care for his or her own serious health condition, immediately upon return to work the employee must provide medical certification that the health condition which created the need for the leave no longer renders the employee unable to perform the functions of the job. This certification must be submitted to Human Resources.

Use of Paid Leave

Employees have the option of substituting their accrued paid personal leave and accrued paid vacation for any unpaid portions of federal FMLA taken for any reason other than the employee’s own serious health condition. However, where the leave is for the employee’s own serious health condition, accrued paid sick leave shall be substituted for unpaid portions of federal FMLA prior to the employee electing the substitution of accrued paid personal and accrued paid vacation leave. The amount of unpaid leave entitlement is reduced by the amount of paid leave that is substituted.

Medical Insurance and Other Benefits

During approved FMLA and/or state family/medical leaves of absence, CEFIA will continue to pay its portion of medical insurance premiums for the period of unpaid family or medical leave. The employee must continue to pay their share of the premium and failure to do so may result in loss of coverage. If the employee does not return to work after expiration of FMLA leave, the employee will be required to reimburse CEFIA for payment of medical insurance premiums during the family or medical leave, unless the employee does not return because of a serious health condition or other circumstances beyond the employee's control.

Employees who have state-sponsored group life insurance will be billed directly for the same amount they contributed prior to the leave. In the case of any other deductions being made from paychecks (disability insurance, life insurance, deferred compensation, credit union loans, etc.), employees must deal directly with the appropriate vendor to discuss payment options.

During a leave, an employee shall not accrue employment benefits such as seniority, pension benefit credits, sick, or vacation leave. However, employment benefits accrued by the employee up to the day on which the leave begins, which remain unused at the end of the leave, will not be lost upon return to work. Leave taken under this policy does not constitute an absence under CEFIA's attendance policy.

Reinstatement

Except for circumstances unrelated to the taking of a family/medical leave, an employee who returns to work following the expiration of a family/medical leave is entitled to return to the job held prior to the leave or to an equivalent position with equivalent pay and benefits. In cases involving the serious health condition of an employee, CEFIA will require the employee to produce a fitness-for-duty report on which the physician has certified the employee is able to return to work. This requirement protects the employee, co-workers and the public from the negative consequences that can result when an individual returns to work before being medically ready to do so. Therefore, employees who are notified of the need for a fitness-for-duty certification will not be allowed to return to work without it.

Military Leave

Military leave with pay for required military training is available to members of the National Guard or Reserve components of the Armed Forces. Required military leave must be verified through the submission of a copy of the appropriate military orders to Human Resources. A maximum of three (3) weeks per calendar year is allowed for annual field training.

When an employee is ordered to duty at the expiration of his/her field training, as evidenced by special orders, he/she shall receive additional time off with pay provided the period of absence in any calendar year shall not exceed thirty (30) days. No such employee shall be subjected, by reason of such absence, to any loss or reduction of vacation or holiday privileges.

Extended Military Leave (Induction)

Any employee who shall enter the Armed Forces shall be entitled to a leave of absence without pay for the time served in such service, plus ninety (90) days. An employee who leaves employment for the purpose of entering the Armed Forces of the United States shall be reinstated to their former position and duties, providing he/she apply for return to employment within ninety (90) days after receiving a certificate of satisfactory service from the Armed Forces.

This section shall not apply to any employee who has been absent from his/her employment for a period of more than three (3) years in addition to war service or compulsory service and the ninety (90) day period provided for because of voluntary reenlistment.

Jury Duty

CEFIA recognizes that every citizen has an obligation to perform jury duty when required. CEFIA encourages cooperation of its employees with this important civic duty.

If an employee is notified to appear in court to qualify to serve as a juror, the staff member must inform Human Resources by presenting the notice in advance of the court appearance date. The employee will receive time off to serve and will receive his/her regular salary during the period of jury service.

Failure to provide such notice will result in CEFIA charging that time to either personal or vacation leave.

On any day during which the employee's attendance on the jury is not required, he/she shall report to work as usual. On any day in which the court releases jurors before 1:00 p.m., the employee is expected to report to work for the balance of the day.

Holidays

Holiday time off will be granted to all full-time regular employees on the 12 holidays listed below. Part-time employees will be paid only if they are scheduled to work on the date that the holiday falls and their pay for the holiday shall be pro-rated based on their part-time schedule. Temporary employees after ninety (90) days will receive holiday pay if normally scheduled to work on the day of the week on which the holiday falls.

If a recognized holiday falls during an eligible employee's paid absence (e.g. vacation or sick leave), holiday pay will be provided instead of the paid time off benefit that would otherwise have applied.

Paid holidays at CEFIA are as follows:

New Year's Day	Independence Day
Martin Luther King's Birthday	Labor Day
Lincoln's Birthday	Columbus Day
Washington's Birthday	Veteran's Day
Good Friday	Thanksgiving Day
Memorial Day	Christmas Day

Inclement Weather

When traveling in snow presents a significant danger to staff and clients, cancellations and late openings for the State of Connecticut will be announced on WTIC-AM 1080 or on-line at the Connecticut Department of Emergency Management and Homeland Security website. The President and/or his designee will inform department managers about any early closing times established during the day.

On inclement weather mornings when no cancellation or late openings have been announced, all employees (except those with an approved inclement weather telecommuting agreement) are expected to make a reasonable effort to be at work on time. Any employee who is unable to get to work is expected to notify their supervisor promptly and will have to utilize their personal

leave accruals. Failure to notify your supervisor will be treated as an unexcused absence. Those employees with an approved inclement weather telecommuting agreement shall be subject to the terms and conditions of that agreement.

In the event of a situation where our offices will be closed because of a power outage, the following steps will be taken:

1. We will notify the local media that our offices are closed so we can be added to the official "cancellation list" on television and radio.
2. We will implement a "telephone tree" where we will attempt to contact employees via telephone in the event our offices are closed unexpectedly.
3. If you have any questions as to whether our offices are open during a large power outage, please call (860) 257-2366, extension 411. If there is a message that "Circuits are busy" and it doesn't roll over to normal voicemail, you can assume there is no power at our offices and you should not report to work.
4. If necessary, we may communicate a conference call number and a time to call in for a teleconference. We will attempt to communicate this information via the "telephone tree". This conference call will be used to provide information to staff and to arrange continuity of operations in the event of a major emergency.

Community Service Days

Each employee may take up to one paid workday per year to perform community service. Prior approval by the employee's supervisor is required. The community service must be for 501 c 3 or equivalent non-profit organizations. The purpose of this policy is to encourage a range of community service activities by CEFIA employees. This day with pay will not be charged against any leave balance of the employee. Prior to the date of community service, each employee must provide a written request to their supervisor. ~~The Manager,~~ Human Resources will determine whether the proposed service and organization meets the intent of the policy. A letter from the organization will be required as documentation of participation.

SECTION 5 EMPLOYEE BENEFITS

Employees of CEFIA are eligible to participate in the medical, dental and retirement benefits offered to employees of the State of Connecticut. In addition, there are certain benefits offered by CEFIA that are available to our employees. A summary of these benefits follows.

Workers' Compensation

All employees are covered under the State of Connecticut Workers' Compensation insurance program. This program covers any injury or illness sustained in the course of employment that requires medical, surgical, or hospital treatment. CEFIA pays the full premium for this coverage. There is no cost to the employee.

Employees who sustain work-related injuries or illnesses should inform their supervisor immediately. No matter how minor an on the job injury may appear, it is important that it be reported immediately. Consistent with applicable state law, failure to report an injury within a reasonable period of time could jeopardize your claim. Supervisors are responsible for calling **MedInsights** at (800) 828-2717 toll-free as quickly as possible, to report any work-related injury sustained by an employee. Supervisors must provide **MedInsights** with the employee's name, home address, home telephone number, description of the injury, and the date and place the injury occurred. Supervisors should also notify Human Resources and the President as quickly as possible of any on the job injury sustained by an employee.

Neither CEFIA nor the insurance carrier will be liable for the payment of benefits for injuries sustained during an employee's voluntary participation in any recreational, social or athletic activity sponsored by CEFIA after normal working hours.

Medical Insurance

Employees become eligible for coverage in a comprehensive health insurance program on the first day of the first full month of employment. Enrollment is limited to the date of hire or open enrollment periods (normally the month of May) as outlined by the employer. The details of the plan options and their coverage will be explained by Human Resources and are listed in the explanatory booklets provided by the insurer. A portion of the cost of the medical insurance for dependents must be covered by employee contributions.

Dental Insurance

Employees become eligible for coverage in a dental insurance program on the first day of the first full month of employment. The details of this insurance coverage will be explained by Human Resources and are listed in the explanatory booklet provided by the insurer.

Deferred Compensation

The Deferred Compensation Plan, created in accordance with Section 457 of the Internal Revenue Code, allows you to defer money earned during your peak earning years and receive its value later when you may be in a lower tax bracket. Amounts you elect to defer are before tax dollars and any interest earned or any gains on these dollars are allowed to accumulate without federal income tax obligations until you receive your money.

Participation in the Plan is voluntary. It is your decision, which should be made after considering all options, as well as your plans for the future. A Deferred Compensation Plan is not intended for savings and investments of a short-term nature since monies deferred are generally not available until you separate from State service. For more information regarding deferred compensation, contact Human Resources.

Retirement Plan

Employees of CEFIA are provided retirement benefits under the State of Connecticut Retirement Plan ([SERS](#)). The benefits provided by the plan are described in the Summary Plan Description given to all eligible employees.

Dependent Care Assistance Program

CEFIA employees are eligible to participate in the State of Connecticut Dependent Care Assistance Program (DCAP). With DCAP you have the opportunity to deposit a portion of your pay into a Dependent Care Spending Account. These dollars are deducted on a pre-tax basis and are used to reimburse you for eligible dependent care expenses. These “pre-tax” dollars are exempt from federal and state income taxes.

When you contribute pre-tax dollars to a reimbursement account, you lower your taxable income; therefore, you pay fewer taxes and increase your spendable income. To receive more information, contact Human Resources.

~~Lincoln National Life and ADD Insurance~~

Upon employment, CEFIA provides life insurance coverage at no cost to the employees that work at least 30 hours per week. In the event of an employee’s death, life insurance benefits are payable to the person he/she has named as beneficiary. Other benefits such as dismemberment, loss of sight, continuation of insurance are explained in the group certificate. All eligible employees will receive a certificate showing the face value of the policy upon receipt of the application by the insurance company. The amount of coverage is equal to two times the employee’s annual salary up to a maximum of \$150,000 worth of coverage.

Group Life Insurance

Upon date of hire, employees can elect to participate in group life insurance offered by the State of Connecticut. Employees become eligible for coverage under the State of Connecticut group life insurance plan after six months of employment. The details of this coverage will be explained by Human Resources and are listed in the plan booklet provided by the insurer. The cost of this option is fully borne by the employee.

Supplemental Group Life Insurance

The State of Connecticut also offers supplemental group life insurance to employees whose gross annual income is at least \$45,000. New employees are eligible for this insurance after six months of employment. This benefit is available for present employees to be initiated or increased during open enrollment, which is usually in May. The cost of this option is fully borne by the employee.

Other Insurance

~~Colonial Life Insurance offers accident/sickness benefits as well as life insurance. The employee bears the total cost of coverage. There are several options for insurance available to our employees through the State of Connecticut. Human Resources will provide updates on these options periodically.~~ Please contact Human Resources for further information.

Disability Insurance

CEFIA ~~, Incorporated~~ provides short-term and long-term disability insurance coverage for all full time employees. Disability coverage for new employees will commence on the first day of the second full month of employment. Please refer to your certificate booklet for full details, limitations and provisions of the plan.

Connecticut Higher Education Trust Program

CEFIA employees are eligible to participate in the State of Connecticut's Higher Education Trust Program, Connecticut's 529 College Savings Program (CHET). With CHET, you have the opportunity to deposit a portion of your pay into a higher education savings account. These dollars are deducted on a pre-tax basis and are "pre-tax" dollars are exempt from federal and state income taxes. To receive more information, contact Human Resources.

Employee Assistance Program

The Employee Assistance Program offers assistance to employees having problems of a personal nature that may affect job performance. Services are also available for family members. Some examples of such problems would be drug or alcohol abuse, marital or family difficulties, or other situations that might have an adverse effect on an employee's emotional health. Participation in the program is confidential and free. It will generally include private consultation with a trained counselor who will advise the employee on what services are appropriate to their need. The counselor will normally refer the employee to qualified providers of treatment or counseling, and advise the employee on what services are or are not covered by their health insurance. Any employee needing assistance should contact [Pathways, 674 Prospect Avenue, Hartford, CT 06105](mailto:Pathways.674@uconn.edu). The hotline number is (860) 233-6220 UCONN EAP at 860-679-2877 or toll-free (in CT) 800-852-4392. The UCONN EAP website is http://www.hr.uconn.edu/employee_assistance.html.

Participation in the EAP program does not excuse employees from complying with normal agency policies or from meeting normal job requirements during or after receiving EAP assistance. Nor will participation in the EAP prevent CEFIA from taking disciplinary action against any employee for performance problems that occur before or after the employee's seeking assistance through the EAP.

The EAP program is there for you and is totally confidential and voluntary.

Credit Union

CEFIA employees may participate in the Connecticut State Employee's Credit Union. Payroll deductions may be arranged. For more information, telephone CSE Credit Union, Inc., 84 Wadsworth Street, Hartford, CT 06106, (860) 522-5388 (Savings) or (860) 522-7147 (Loans). An employee can open an account by completing an application card and a payroll deduction authorization form, which are available in Human Resources. A check or money order made payable to the Connecticut State Employee's Credit Union must accompany the application and the normal processing time is four (4) weeks.

A change in deduction form may be obtained from Human Resources for employees wishing to stop their deductions. This form must be submitted to CSECU, Inc. The change will take approximately four (4) weeks to become effective.

Other Payroll Deductions

Payroll deductions may be made for U.S. Savings Bonds and the Connecticut State Employees Campaign for charitable giving. Automobile insurance and homeowner's insurance can also be arranged through payroll deduction utilizing a program established by the State of Connecticut. For more information, contact Human Resources.

Direct Deposit

Direct deposit of paychecks to the banking institution of your choice is available. Forms are available from Human Resources. Upon termination of employment, a final paycheck will be issued and not deposited directly.

Benefits Continuation (Cobra)

The federal Consolidated Omnibus Budget Reconciliation Act (COBRA) gives employees and their qualified beneficiaries the opportunity to continue health insurance coverage under CEFIA's health plan when a "qualifying event" would normally result in the loss of eligibility. Some common qualifying events are resignation, termination of employment, or death of an employee; a reduction in an employee's hours or a leave of absence; an employee's divorce or legal separation, and a dependent child no longer meeting eligibility requirements. Under COBRA, the employee beneficiary pays the full cost of coverage at CEFIA group rates plus an administrative fee. CEFIA will provide each employee with a written notice describing rights granted under COBRA when the employee becomes eligible for coverage under the health insurance plan.

Continuing Education Assistance

Any full time regular employee who has satisfactorily completed six months of service (and receives a rating of "meets expectations" or higher as a result of their six month review) and is continuing his/her education in a job related area, or in an area that will assist the employee in upward mobility or promotional opportunities shall be eligible to receive tuition assistance as follows: For credit courses at accredited institutions of higher education, 100% of the cost of tuition and laboratory fees up to a maximum of \$400 per credit taken for undergraduate courses and \$750 per credit for graduate courses. There will be a maximum dollar limit of \$10,000 tuition assistance per employee per fiscal year. The employee must maintain an overall rating of "meets expectations" during the annual review process in order to continue to be eligible for assistance under this program.

Requests for tuition assistance must be in writing and will be reviewed and approved by the employee's department head and the President and/or his designee based on individual merits. Management will consider the relevance of the program to the employee's current position, job responsibilities and promotional path prior to approval of the tuition assistance request. The employee must maintain a grade point average (GPA) of C for undergraduate courses and B for graduate courses to continue receiving tuition assistance under this program. If an employee's GPA falls below these minimums, further eligibility for tuition assistance will be suspended until the required GPA is achieved.

Employees interested in applying for tuition assistance under this program should obtain a "Continuing Education Assistance Form" from the Human Resources department and follow the steps below to assure prompt tuition assistance.

1. Complete the Continuing Education Assistance Form and submit it, along with a written request for tuition assistance to your immediate supervisor.
2. The request will be reviewed and if appropriate, approved by your department head and the President
3. Once approved and subsequent to enrollment in the program, submit a copy of course registrations, invoices and any other related documents to the Human Resources Administrator for review and payment approval.
4. Upon completion of the semester, The Human Resources Administrator will require a copy of all grades. Failure to do so may render you ineligible for tuition assistance for future course. Employees are financially responsible to reimburse CEFIA for payments made on their behalf under this program if they resign from their employment with CEFIA within (6) months of the signed date on the most recent consent authorization section of the Continuing Education Assistance Form.
5. Employee Tax Liability: CEFIA follows the current IRS guidelines pertaining to annual reporting of employee educational benefits. Employees should consult with their tax advisor regarding this matter.

Training

All employees of CEFIA are encouraged to take advantage of any job-related training opportunities that will enhance their job performance. CEFIA will pay the cost of any training deemed necessary for its employees.

The following is the procedure for signing up for and attending training.

1. The supervisor and employee will work together to develop a training plan for the employee based on the requirements of the job and the employees specific training needs.
2. The employee initiates a training request form and forwards it to their supervisor for approval.
3. The supervisor determines if the training is necessary, job-related, and if there is adequate office coverage for the employee to attend the training.
4. The employee attends the training and receives a certificate or attendance confirmation.
5. Upon return to the office, the employee forwards a copy of that certificate or attendance confirmation to Human Resources to be added to the personnel file.
6. The employee is responsible for sharing information learned at training that might be useful to other staff. The employee is also responsible for utilizing or practicing the subject material (i.e. computer training) and will be held accountable for the training material.

In addition, there are several training programs mandated for our employees by the State of Connecticut – sexual harassment prevention, diversity training, workplace violence prevention training and ethics training. Human Resources will work with employees to ensure they attend these mandatory training sessions.

SECTION 6 TRAVEL AND ENTERTAINMENT POLICY

Travel and Entertainment Policy

This policy provides guidelines and establishes procedures for employees incurring business travel and entertainment expenses on CEFIA 's behalf.

Our objective is to provide employees with a reasonable level of services and comfort while traveling on CEFIA business. In order to accomplish this objective all employees must have a clear understanding of the policies and procedures for business travel and entertainment.

Responsibility and Enforcement

The employee is responsible for complying with the travel and entertainment policy. An expense report form must be completed by the employee within 30 days of incurring the expense to request reimbursement for travel and entertainment expenses.

The employee's supervisor is responsible for reviewing and approving expense reports prior to their submission.

CEFIA assumes no obligation to reimburse employees for expenses that are not in compliance with this policy or are not submitted within 30 days of incurring the expense.

Who to Call About Travel Policy Questions

Any questions, concerns, or suggestions regarding this travel policy should be directed to the Finance Department.

Airline Class of Service

All domestic air travel must be in Coach class. Employees are expected to use the lowest reasonable airfare available.

Upgrades for Domestic Air Travel

Upgrades at the expense of CEFIA are **NOT** permitted. Upgrades are allowed at the employee's personal expense.

Unused/Voided Airline Tickets

Unused airline tickets or flight coupons must never be discarded or destroyed as these documents may have a cash value. To expedite refunds, unused or partially used airline tickets must be returned immediately to the designated department employee. Do not send unused tickets to the airlines, or include them with expense reports.

Lodging

Employees are entitled to stay in a single room with a private bath. Employees may accept room upgrades to suites or executive floor rooms if the upgrade does not result in additional cost to CEFIA.

Room Guarantee / Cancellation and Payment Procedures

It is the responsibility of the employee to cancel the room prior to the deadline if business needs require a change in travel plans (cancellation deadlines are based on the local time of the property). Employees should request and record the cancellation number for potential billing disputes.

Rental Car

Rental Car Guidelines

- Employees may rent a car at their destination when:
- It is less expensive than other transportation modes such as taxis, airport limousines and airport shuttles.
- Entertaining customers.
- Employees may reserve rental cars in advance if that is the most reasonable and cost effective means of transportation.

Rental Car Categories

CEFIA reimburses the costs of Compact or Intermediate class rental cars. Employees may book a class of service one-level higher when:

- Entertaining customers.
- The employee can be upgraded at no extra cost to CEFIA.
- Transporting excess baggage such as booth displays.
- Pre-approved medical reasons preclude the use of smaller cars.

Rental Car Insurance

Employees should decline all insurance coverage when renting a car for CEFIA use as CEFIA has suitable coverage in our general liability policy to cover these situations.

RENTAL CAR CANCELLATION PROCEDURES

Employees are responsible for cancelling rental car reservations. Employees should request and record the cancellation number in case of billing disputes. Employees will be held responsible for unused car rentals that were not properly cancelled.

Returning Rental Cars

Every reasonable effort must be made to return the rental car:

- **To the original city unless pre-approved for a one-way rental.**
- **Undamaged (i.e., no bumps, scratches or mechanical failures).**
- **On time, to avoid additional hourly charges.**
- **With a full tank of gas.**

Reimbursement for Personal Car Usage

Employees will be reimbursed for business usage of personal cars on a fixed scale as determined by CEFIA's mileage allowance. The mileage allowance is updated once a year in January and follows the mileage allowance set by the Internal Revenue Service. When working out of the office or out of town, any commute time clocked which is less than your normal daily commute is not reimbursable. Employees will not be reimbursed for any repairs to their personal car even if these costs result from business travel. To be reimbursed for use of their personal car for business, employees must provide on their expense report:

- **Purpose of the trip.**
- **Date and location.**
- **Receipts for tolls, parking.**

Ground Transportation to and from Terminals

The most economical mode of transportation should be used to and from airports and bus and rail terminals when the employee is not accompanying a customer. The following modes of transportation should be considered:

- **Public transportation (buses, subways, taxis).**
- **Hotel and airport shuttle services.**
- **Personal car.**

Personal/Vacation Travel

Combining Personal With Business Travel

Personal vacation travel may be combined with business travel provided there is no additional cost to CEFIA. Corporate credit cards must **NOT** be used to pay for personal/vacation travel.

Spouse / Companion Travel

A spouse or other individual may accompany an employee on a business trip at the employee's expense. CEFIA will not reimburse travel and entertainment expenses incurred by a spouse or other individual accompanying an employee on business unless:

- **There is a bona fide business purpose for taking the spouse or other individual.**
- **The expense incurred would otherwise be reimbursable; and**
- **There is prior approval from the President-.**

Telephone Usage

Business Phone Calls

Employees will be reimbursed for using their personal cell phone or home phone for business phone calls that are reasonable and necessary for conducting business. Expenses must be substantiated with the original telephone bill. The finance department maintains a cell phone reimbursement policy. If you are contemplating using a cell phone for business purposes on a regular basis, contact the finance department to obtain a copy of the policy.

Airphone Usage

Employees will be reimbursed for using an airphone only in an emergency or if critical business issues necessitate its use.

Travel Insurance Coverage

Expenses for additional travel insurance coverage will not be reimbursed.

Meals and Entertainment

Personal Meal Expenses

Personal meals are defined as meal expenses incurred by the employee when dining alone on an out-of-town business trip. Employees will be reimbursed for personal meals according to actual and reasonable cost incurred.

Business Meal Expenses

Business meals are defined as those taken with clients, prospects or associates during which a specific business discussion takes place. Employees will be reimbursed for business meal expenses according to actual and reasonable cost.

Business Meals Taken With Other Employees

Employees will be reimbursed for business-related meals taken with other employees only in the following circumstances:

- When a client is present.
- When, for confidentiality reasons, business must be conducted off CEFIA premises.
- When traveling together for business.

Meal costs for social occasions, such as employee birthdays; secretary's day, etc. are not classified as business meals or entertainment expenses.

Entertaining Customers

Entertainment expenses include events that include business discussions, which take place during, immediately before or immediately after the event, are eligible for reimbursement for entertaining customers, with the prior approval from the President.

Tipping

Tips included on meal receipts will be reimbursed. Any tips considered excessive will not be reimbursed. As a general rule, employees should not tip more than 15% to 20% of the cost of the meal.

Other types of tips for porters, maid service, etc. should be reasonable.

Payment for Meals and Entertainment

When more than one employee is present at a business meal, the most senior level employee should pay and expense the bill.

Documentation Requirements

A receipt must be submitted with the expense report for any individual meal or entertainment expense. If a receipt is lost or destroyed, the President or Vice President Finance and Administration must approve the expense. In addition, for business meals and entertainment expenses, the following documentation is required and must be recorded on the expense report:

- Names of individuals present, their titles and company name.
- Name and location of where the meal or event took place.
- Exact amount and date of the expense.
- Specific business topic discussed.
- In the case of entertainment events, the specific time the business discussion took place (i.e. before, during or after the event).

Corporate Charge Card

The President and/or his designee must approve the issuance of a corporate charge card.

Personal Use of Corporate Charge Card

Corporate charge cards are intended for business use. Corporate charge cards must NOT be used for personal expenses and use of the corporate charge card for personal expenses will result in termination of the card.

Reporting Lost / Stolen Cards

A lost or stolen corporate charge card must be reported to the card issuer and the Vice President of Finance and Administration as soon as the employee discovers it is missing. Statistics on stolen charge cards indicates that unauthorized use of stolen cards is greatest in the first few hours after the theft.

Expense Reporting

An expense report form is required to be completed to request reimbursement for incurred eligible travel and entertainment expenses.

The expense report form is located under Templates in the Shared Drive.. The form will automatically calculate mileage reimbursements, total expenses by day and by type and calculate the net amount due the employee.

The expense report is to be completed and submitted for reimbursement in a timely manner. Expense reports should be submitted within one week of incurring the expense. CEFIA will assume no obligation to reimburse employees for expenses that are not submitted within 30 days of incurring the expense.

The type of expense and dollar amount must be separated on a **daily basis**. For example: a hotel bill may include meals, lodging and telephone expenses. Each category must be split and entered in the appropriate space on the expense report form with expenses allocated for each travel day.

Approval / Authorization Process

All expense reports must be approved by the employee's immediate supervisor and then forwarded to the Finance Department. The President's expense report will be approved by the Vice President Finance and Administration. **Individuals approving expense reports are responsible for ensuring:**

- The correctness, reasonableness and legibility of entries.
- Applicable receipts are attached.
- Charges are consistent with policy and were incurred for business purposes.
- Expenses are adequately explained.
- The expense report is signed by the employee.

In accordance with present rules and guidelines, charges that are questionable should be discussed with the employee and resolved **before** the expense report is approved.

Expense Report Review

The Finance Department will review each employee expense report for:

- Approval signatures.
- Business purpose.
- Correct totals.
- Supporting documentation and receipts.
- Policy compliance.

The Finance Department will not reimburse any expense that is not in compliance with CEFIA's travel and entertainment policy.

Examples of Acceptable Documentation:

- Air/Rail - original passenger coupon.
- Hotel - hotel folio plus charge card receipt or other proof of payment.
- Car Rental - rental car agreement plus charge card receipt or other proof of payment.
- Meals/Entertainment – charge card receipt or cash register receipt.
- Receipts for all miscellaneous expenses over \$10.00.

Receipts must include the name of the vendor, location, date and dollar amount of the expense. When a receipt is not available, a full explanation of the expense and the reason for the missing receipt is required.

Incorrect or Incomplete Expense Reports

Expense reports that are incorrect or incomplete will be returned to the employee for corrective action and may result in delay or non-reimbursement of specific items. Violating CEFIA policy or altering of receipts can result in disciplinary action up to and including termination.

Employees Will Not Be Reimbursed for the Following Items:

- **Airline club membership dues.**
- **Airline headsets.**
- **Airline drinks.**
- **Airline or personal insurance.**
- **Annual fees for personal credit card.**
- **Barbers and hairdressers.**
- **Birthday lunches.**
- **Car washes.**
- **Cellular phone repairs, except for corporate cell phones.**
- **Child care.**
- **Clothing (i.e. socks, pantyhose, etc.).**
- **Expenses for travel companions/family members.**
- **Expenses related to vacation or personal days while on a business trip.**
- **Flowers or gifts for employees or customers (unless approved by the President or a Vice President).**
- **Gum, candy or cigarettes.**
- **Health club facilities, saunas, massages.**
- **Hotel movies.**
- **Hotel room refrigerator items.**
- **Hotel laundry and valet services unless the trip exceeds five consecutive days.**
- **Interest or late fees incurred on a personal credit card.**

- **Loss/theft of cash advance money or Company-paid airline tickets.**
- **Loss/theft of personal funds or property.**
- **Magazines, books, newspapers, subscriptions.**
- **Mileage for travel between home and office/work site.**
- **“No show” charges for hotel or car service.**
- **Optional travel or baggage insurance.**
- **Parking or traffic tickets.**
- **Personal accident insurance.**
- **Personal entertainment, including sports events.**
- **Personal toiletries.**
- **Pet care.**
- **Postage costs, postcards (sent to fellow employees).**
- **Shoe shine.**
- **Short term airport parking (except for 1 day trips only)**
- **Unexplained or excessive expenses which are not within the intent of CEFIA policy will not be reimbursed.**

All employees must review this policy and sign the acknowledgement form found in the Appendix and return it to Human Resources.

SECTION 7 GENERAL RULES OF CONDUCT

General Rules of Conduct

To ensure orderly operations and provide the best possible work environment, CEFIA expects employees to follow rules of conduct that will protect the interests and safety of all employees and the organization. Although it is not possible to list all the forms of behavior that are unacceptable, the following are examples of infractions that may result in disciplinary action, up to and including termination of employment:

- Theft or inappropriate removal or possession of property of CEFIA, clients or other employees.
- Dishonesty or misrepresenting, falsifying or providing misleading records including, but not limited to, employment applications or resumes, time keeping records, client records, expense requests, etc.
- Working under the influence of alcohol or illegal drugs.
- Possession, distribution, manufacturing, sale, transfer, or use of alcohol or illegal drugs in the work place, while on duty.
- Fighting, wrestling, horseplay, or threatening violence in the workplace.
- Insubordination or other disrespectful conduct including, but not limited to, refusal to perform assigned work.
- Refusal to do assigned work, use of obscene or vulgar language, or other disrespectful conduct.
- Taking any action detrimental to CEFIA, fellow employees, clients or visitors.
- Unsafe behavior and/or violation of safety or health rules.
- Sexual or other unlawful or unwelcome discrimination or harassment.
- Possession of dangerous or unauthorized materials, such as explosives or firearms, in the workplace.
- Excessive absenteeism, tardiness, or any absence without notices.
- Unauthorized use of telephones, mail system, or other employer-owned equipment for personal use or other unauthorized operation.
- Sleeping, loafing, failure to demonstrate a professional behavior in carrying out assigned tasks.
- Soliciting, gambling, taking orders, selling tickets, collecting or contributing money for any unauthorized cause.
- Engaging in outside business activities that conflict with CEFIA's interests or interfere with proper performance of job duties.
- Failure to report a work-related injury immediately.
- Unauthorized use or the willful damage, abuse or destruction of CEFIA property or the property of others.
- Violation of CEFIA's personnel policies and/or rules.
- Unsatisfactory work performance.

The examples listed above are not intended to cover all situations that may result in disciplinary action, but are only intended to be guidelines as to what are considered improper standards of work conduct. Also, this policy does not alter the at-will nature of an employee's employment with CEFIA.

If any employee's behavior or interactions jeopardize positive working relationships with clients, and render the employee unable to fulfill the responsibilities of his/her position, or place CEFIA at risk of liability, the employee will be subject to review and possible disciplinary actions. It is important for all employees to conduct themselves in a way that is fair to each other and to our common objective of delivering quality services.

Personal Appearance

The nature of our business at CEFIA puts us in frequent contact with clients and the public. We enjoy an excellent reputation among the energy community in Connecticut. While there are many reasons for this reputation, one of the ways to help maintain it is for all staff to present a professional image to the community. It is important that they have confidence in the staff, and the staff members have confidence/pride in themselves when transacting business. To help present this image and foster public confidence, staff members must dress appropriately for their work assignments and use common sense and good judgment in their appearance. Employees with questions regarding what is deemed appropriate dress for his/her work assignments should discuss this with his/her supervisor. CEFIA reserves the right to determine individual compliance with the policy in all questionable cases.

Personal Appearance Guidelines

Staff will wear clean and well-maintained attire appropriate to the type of work they do. Shoes are required and must also be well-maintained. Good grooming is required.

Formal business attire may be expected for internal and external events such as board meetings, hearings, presentations, and meetings.

Business casual attire (ties are optional) is acceptable for all other occasions. In compliance with this policy, the following are examples of unacceptable attire:

- torn, patched/faded clothing
- athletic wear, e.g. sneakers, shorts, t-shirts, skorts, etc.
- halter tops
- tube tops
- rubber soled flip flops
- blue denim clothing (unless on a designated “Jeans for Charity” Day)
- shorts (any pant or slack that ends above the knee)
- shirts with slogans or large letter advertising

Freedom from Harassment

CEFIA is committed to treating its employees with dignity and respect. All employees have a right to be free from racial or ethnic slurs, unwelcome sexual advances, or any other verbal or physical conduct that constitutes harassment. CEFIA is committed to providing a work environment that is free of discrimination and unlawful harassment.

Sexual harassment is unlawful under federal and state law. The CEFIA statement on Sexual Harassment and the Equal Employment Opportunity Commission “Guidelines on Discrimination Because of Sex” provide that unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature constitute sexual harassment when:

- Submission to such conduct is made either explicitly or implicitly a term or condition of an individual’s employment.
- Submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting that person.
- Such conduct has the purpose or effect of unreasonably interfering with an individual’s work performance or creating an intimidating, hostile, or offensive working environment.

Actions, words, jokes, or comments based on an individual’s sex, race, ethnicity, age, religion, or any other legally protected characteristics will not be tolerated. As an example, sexual harassment (both overt and subtle) is a form of employee misconduct that is demeaning to

another person, undermines the integrity of the employment relationship, and is strictly prohibited.

Sexual, racial, ethnic, or other unlawful harassment of employees by supervisory or non-supervisory employees of CEFIA, or by non-employees (including clients) will not be tolerated. All members of CEFIA management and supervision have the explicit responsibility to take immediate corrective action to prevent any sexual, racial, ethnic or other harassment.

Any employee who wishes to report an incident of unlawful harassment should promptly report the matter to his or her supervisor. If the supervisor is unavailable or the employee prefers to report the incident to someone other than the supervisor, he or she should immediately contact the Human Resources Administrator or any other available manager.

Anyone engaging in unlawful harassment will be subject to disciplinary action, up to and including termination of employment.

Sexual Harassment

Title VII of the Civil Rights Act of 1964, which is a federal law and Connecticut law, prohibit sexual harassment. CEFIA will not tolerate sexual harassment in the workplace. No employee—either male or female—should be subject to unwelcome verbal or physical conduct that is sexual in nature or shows hostility to the employee because of the employee's gender. Sexual harassment does not refer to occasional compliments of a socially acceptable nature. It refers to behavior that is not welcome, that is personally offensive, that debilitates morale, and that, therefore, interferes with work effectiveness.

Management Responsibility

Management at all levels of CEFIA is responsible for preventing sexual harassment in the workplace. This responsibility includes immediately reporting conduct by anyone, whether a coworker, supervisor, or non-employee, that may constitute sexual harassment, even if the conduct was sanctioned and regardless of how awareness of conduct was gained.

Prohibition Against Sexual Harassment

CEFIA strictly enforces a prohibition against sexual harassment of any of its employees. Sexual harassment prohibited by state and federal law and by this policy includes the following conduct:

- Unwelcome verbal or physical conduct of a sexual nature when submission to such conduct is made either an explicit or implicit term or condition of any individual's employment (such as promotion, training, timekeeping, overtime assignments, leaves of absence); or
- Unwelcome verbal or physical conduct of a sexual nature when submission to or rejection of such conduct by an individual is used as the basis for employment decisions; or
- Unwelcome verbal or physical conduct of a sexual nature when the conduct has the purpose or effect of substantially interfering with an individual's work performance or creating an intimidating, hostile or offensive working environment; or
- Unwelcome verbal or physical non-sexual conduct that denigrates or shows hostility toward a person because of his or her gender when the conduct has the purpose or effect of substantially interfering with an individual's work performance, or creating an intimidating, hostile, or offensive work environment.
- Sexual harassment is a form of sexual discrimination, and neither sexual harassment nor discrimination will be tolerated.

Examples of Conduct Prohibited By This Policy Include:

- Offering or implying an employment-related reward (such as a promotion or raise) in exchange for sexual favors or submission to sexual conduct;
- Threatening or taking a negative employment action (such as termination, demotion, denial of a leave of absence) if sexual conduct is rejected;
- Unwelcome sexual advances or repeated flirtations;
- Graphic verbal commentary about an individual's body, sexual prowess or sexual deficiencies;
- Sexually degrading or vulgar words to describe an individual;
- Leering, whistling, touching, pinching, brushing the body, assault, coerced sexual acts, or suggestive, insulting, or obscene comments or gestures;
- Asking unwelcome questions or making unwelcome comments about another person's sexual activities, dating, personal or intimate relationships, or appearance;
- Conduct or remarks that are sexually suggestive or that demean or show hostility to a person because of that person's gender (including jokes, pranks, teasing, obscenities, obscene or rude gestures or noises, slurs, epithets, taunts, negative stereotyping, threats, blocking of physical movement);
- Displaying or circulating pictures, objects, or written materials (including graffiti, cartoons, photographs, pinups, calendars, magazines, figurines, novelty items) that are sexually suggestive or that demean or show hostility to a person because of that person's gender;
- Retaliation against employees complaining about such behaviors;
- Harassment consistently targeted at only one sex, even if the content of the verbal abuse is not sexual;
- Sexually suggestive or flirtatious letters, notes, e-mail, or voice mail

This policy covers all employees. CEFIA will not tolerate, condone or allow sexual harassment whether engaged in by fellow employees, supervisors, and associates or by outside clients, opposing counsel, personnel or other non-employees who conduct business with this agency.

General Harassment

Actions, words, jokes or comments based on an individual's sex, race, ethnicity, age, religion or any other legally protected characteristic will not be tolerated. Such conduct can unreasonably interfere with work performance and create an intimidating, hostile and offensive work environment.

We expect all employees to consider at all times the effect your words and actions may have on those with whom you work. While you may feel that your behavior is harmless, it is the way your words and actions are perceived by others that counts.

Please do not assume that the agency is aware of a harassment situation. It is in your best interest and your responsibility to bring your complaints and concerns to management's attention so that the issue may be resolved.

Complaint Process

Should you ever experience any job harassment problem, please exercise the steps in our agency Grievance Procedure (outlined in Section 7 of this handbook), or at your option, you may directly contact Human Resources. You may expect prompt and concerned reaction to your problem. Any employee engaging in unlawful harassment will be subject to disciplinary action, up to and including termination.

Sanctions

Any employee found to have engaged in sexual harassment or sexual discrimination will be subject to appropriate discipline, up to and including discharge.

No Retaliation

This policy also prohibits retaliation against employees who bring sexual harassment charges or assist in investigating charges. Retaliation in violation of this policy may result in discipline up to and including termination. Any employee bringing a sexual harassment complaint or assisting in the investigation of such a complaint will not be adversely affected in terms and conditions of employment, nor discriminated against or discharged because of the complaint.

All employees must review this policy and sign the acknowledgement form found in the Appendix and return it to Human Resources.

Confidential Disclosure Policy

Instructions: Please read this Confidential Disclosure Policy form carefully, then sign and return this form to Human Resources.

I understand that in connection with my work for CEFIA, I may be exposed to or given confidential or proprietary information belonging to CEFIA and others, including, but not limited to, information concerning trade secrets, business, products, finances, personnel information, and plans of CEFIA or CEFIA's clients, portfolio companies and applicants, (the Confidential Information). Without limitation, examples of Confidential Information are: drawings, manuals, notebooks, reports, models, inventions, formulas, processes, machines, compositions, computer programs, accounting methods, financial information, business and marketing plans and information systems.

Some of the Confidential Information may belong to or relate to "publicly held" companies and may include "inside information" which is not available to the public.

My employment by CEFIA creates a relationship of special confidence and trust between me and CEFIA with respect to the Confidential Information.

I agree as follows:

1. I will not, either during or subsequent to my employment by CEFIA, (1) publish or otherwise disclose Confidential Information except to persons who may from time to time be designated by CEFIA as proper recipients of such Confidential Information or (2) use the Confidential Information (including any inside information) either for the benefit of myself or for the benefit of anyone other than CEFIA. If I have any questions regarding whether any information is Confidential, I will ask my supervisor for instructions and will not disclose such information unless otherwise instructed by my supervisor.
2. The Confidential Information will remain at all times the property of CEFIA or the rightful owners thereof notwithstanding its disclosure to me.
3. I will promptly disclose to CEFIA all materials, innovations, studies, writings or other works created or developed by me as a result of tasks assigned to me by CEFIA or exposure to the confidential Information ("Work Product"). I agree that all ("Work Product") shall be the sole property of CEFIA and that CEFIA shall be the sole owner of all copyrights and other intellectual property rights related thereto. I hereby assign to CEFIA any and all rights which I may have or acquire in any Work Product and agree to assist CEFIA in every way (but at CEFIA's expense) to obtain or enforce copyrights and other interests in the Work Products as CEFIA may desire.
4. Upon termination of my employment with CEFIA or whenever requested by CEFIA, I will promptly deliver to CEFIA all Work Product and all documents and other tangible embodiments of the Confidential Information and any copies thereof.

Confidential Disclosure Policy

This agreement supersedes and replaces any existing agreement between CEFIA and me relating generally to the same subject matter. It may not be modified or terminated, in whole or in part, except in writing signed by an authorized representative of CEFIA. Discharge of my undertakings in this agreement shall be an obligation of my executors, administrators, or other legal representatives or assigns.

All employees must review this policy and sign the acknowledgement form found in the Appendix and return it to Human Resources.

Computer Use Policy

Purpose

Personal Use

Your computer is a CEFIA resource and is subject to the same rules as other CEFIA resources. The purpose of this policy is to ensure that employees understand the guidelines governing computer and other electronic communications (including tablet computers and mobile phone) use with regard to Internet access, email, other electronic communications, software licensing, security and personal use, in particular.

This policy cannot provide rules and guidance to cover every possible situation. Instead it is designed to express CEFIA's philosophy and set out the general principles that employees should apply when using company computers and technology. These policies apply to all CEFIA employees and staff (consultants, third-party contractors and administrators).

This policy does not cover health and safety issues.

Issues not directly addressed in this policy or in some other written form are to be decided by HR and/or CEFIA management should the need(s) and situation(s) arise. Further policy documents are forthcoming to cover specific areas of acceptable use as technology is deployed.

Unless otherwise stated, violation of these policies may result in disciplinary action, up to and including termination and/or legal action.

General

EFIA provides employees and staff with personal computers (PCs), printers and other computer equipment as necessary to perform their job. Employees should not expect the latest hardware or software releases to be provided unless there is a business reason to do so. Personal use includes anything not related to your job.

CEFIA encourages the use of email, voicemail, online services, the Internet and Intranet as they can make communication more efficient and effective. In addition, they can provide valuable sources of information about vendors, customers, competitors, technology and new products and services.

Everyone connected with the organization should remember that electronic media and services provided by the company are company property and their purpose is to facilitate and support company business. Data stored and/or accessed on company equipment, regardless of origin, purpose, or design should also be considered to be within, at CEFIA, company purview, oversight and audit rights. The company reserves the right to access, review, read, monitor, edit, delete, and print, any files, data, electronic mail, or other information or material which is created, communicated, accessed, or stored by any user on any of CEFIA's electronic information resources, of any sort, stored or located on company provided equipment.

The following are examples of non-business related activities that are prohibited:

- Streaming music or video.
- Shopping.

- Booking a vacation.
- Using instant messaging.
- Viewing personal pictures over the web.
- Downloading unauthorized computer software or pornographic materials.

E-Mail

All employees and staff are supplied with a company email address and the means by which to access their account. These details are provided by CEFIA as part of our IT orientation process. E-mail messages are considered public records and are subject to the Freedom of Information Act. Furthermore, e-mail, both incoming and outgoing, is not confidential and is monitored by the Information Technology Department. All e-mail correspondence is saved on the network backup solution and is easily retrievable. –You should take great care to scrutinize what you include in an e-mail message.– E-mail messages may exist on the system indefinitely and may be recoverable even after you have deleted the message.

All employees must create and use a business email signature, based on the approved template that is generated by the marketing department. –Instructions and format of the signature are located under IT Tech Tips in public folders.

The followingAll non-company email services, such as Gmail, Hotmail, Yahoo, etc. are misusednever to be used for company purposes. If third-party email services must be used, it will be provisionally and under direct supervision of the email system.–IT department. Never is an employee or staff member to use a personal email account to correspond with clients.

Electronic media (email, web browsers, etc.) must not be used for knowingly transmitting, retrieving or storage of any communication that:

- Is discriminatory
- Is harassing or threatening
- Is derogatory to any individual or group
- Is obscene or pornographic
- Is defamatory
- Is engaged in any purpose that is illegal or contrary to CI's policy or business interests
- Contains unencrypted personal information
- Contains unencrypted intellectual property

Further, all forms of mass email (including 'virus warnings', 'good luck' and similar messages) are unacceptable unless for an approved business purpose.

The transmission of user names, passwords, or other information related to the security of CI's computers is prohibited. If a password protected file absolutely must be emailed, the password should be sent in a separate email from the document or communicated in another manner.

Employees should avoid sending unnecessary informational emails to large parts or all of the organization. However, we recognize the business need for companywide emails, but there will be a strictly monitored and governed use of such behavior and practice. Failure to comply with these guidelines could result in disciplinary action.

~~E-mail of a personal nature sent within the organization or to outside individuals.~~

~~Forwards / chain mail.~~

~~Jokes / cartoons / videos.~~

~~Remarks of a discriminatory, abusive, profane, threatening, racist, sexist nature.~~

~~Solicitations for donations or events (unless authorized by management).~~

~~Infringement on copyrights or trademark rights of the company or other organizations.~~

~~Misrepresentation of oneself or the company.~~

~~Additionally, users shall not open misaddressed e-mail, or send anonymous e-mail messages.~~

Email Disclaimer

An email disclaimer is automatically added through our exchange server to the end of all e-mail being sent outside the office. Do not add your own disclaimer to messages. The company disclaimer is as follows:

NOTICE TO RECIPIENT: This e-mail is (1) subject to the Connecticut Freedom of Information Act and (2) may be confidential and is for use only by the individual or entity to whom it is addressed. Any disclosure, copying or distribution of this e-mail or the taking of any action based on its contents, other than for its intended purpose, is strictly prohibited. If you have received this e-mail in error, please notify the sender immediately and delete it from your system.

External email and participation in online forums

Employees should be aware that any messages or information sent using the company systems are statements identifiable and attributable to the company. Thus, an email carries the same weight in law as a letter written on company stationery.

Employees should note that even with a disclaimer, as described above, a connection with the company still exists and a statement could be imputed legally to CEFIA. Therefore, no one should rely on disclaimers as a way of insulating CEFIA from the comments and opinions that are contributed to forums or communicated in emails. Instead, discussions must be limited to matters of fact and expressions of opinion should be avoided while using company systems or a company-provided account. Communications must not reveal information about company

processes, techniques, trade secrets, or confidential information and must not otherwise violate this or other company policies.

Employees should not send file attachments by email in situations where there is any potential for the compromise of company secrets or in relation to litigation. Be aware, files from many word processing packages, including Microsoft Word, retain information related to previous versions of the document that can later be retrieved.

Electronic calendars and voicemail

It is CEFIA policy that all employees keep their electronic calendars up to date (using Microsoft Outlook) and that calendars can be read by supervisors. When a meeting or event needs to be kept confidential, it should be marked as 'private' with the appropriate program functionality.

It is CEFIA policy that all employees with email and/or voicemail keep their "out of office assistant" or pre-recorded greetings up-to-date. In particular, during periods of absence from the office, these greetings should provide the individual with information indicating when the employee will receive a message or information about an alternative contact.

My Documents

The "My Documents" folder is to be used as a work-in-progress location. This is the only place you are allowed to store documents on the PC. Once items in this folder are deemed completed they should be moved to the proper location within the department's folders on the server. Your my documents folder is located on the server, synchronized with your PC on logon and logout. The size of this folder is limited to 350 mb

Creation of folders and files on your PC is prohibited, except within your "My Documents" folder.

Illegal & Prohibited Activities

Use of your computer for an illegal purpose is prohibited. Illegal activities include violations of local, state and/or federal laws and regulations. Connecticut General Statutes, section 53a-251 establishes the crime of "Computer Crime." A person can be charged with a computer crime for such things as:

- Unauthorized access to a computer system.
- Theft of computer services.
- Interruption of computer services.
- Misuse of computer services.
- Destruction of computer equipment.

A computer crime violation can range from a Class B Felony (1 to 20 years in prison and up to \$20,000 fine) to a Class B Misdemeanor (up to 6 months in prison and up to \$1,000 fine) depending on the amount of money or damage involved.

CEFIA strives to maintain a workplace free of harassment and sensitive to the diversity of its employees. Therefore, CEFIA prohibits the use of any of its systems, including the computers and the e-mail system in ways that are disruptive, offensive to others, or harmful

to morale. For example, the display or transmission of sexually explicit images, messages, and cartoons is not allowed. Other such misuse includes, but is not limited to, ethnic slurs, racial comments, off-color jokes, or anything that may be construed as harassment or showing disrespect for others.

It is recognized that employees do not have complete control over all incoming e-mail that is sent to CEFIA. However, it is the responsibility of every employee to monitor incoming e-mail and request cessation of inappropriate, voluminous, unprofessional or disruptive e-mail.

Software

~~Use of~~ it is CEFIA policy that only licensed software that ~~was preinstalled on your computer or is legally owned by the company may be used. All use of unlicensed software later approved is expressly forbidden, unless written pre-approval by IT and installed on your computer by the Information Technology Department is permissible.~~ management. However, you are not allowed to install any software on any company hardware. All software must be approved and installed by the Information Technology Department. As always, proper documentation of licensing is required.

~~All use of software must pertain to CEFIA business only. No copying of software is permitted.~~

~~No use of any recreational games on company hardware is permitted.~~

~~Prior to use, the Information Technology Department must scan all computer media received from outside CEFIA for viruses. No personal software may be brought in or used on CEFIA systems.~~

~~No company software may be installed on personal hardware.~~

In order to implement this policy, CEFIA maintains a central register containing physical licenses for the software install on its computers. Where no physical manifestation of a license exists, a written record of the license purchase is kept with a reference to the relevant invoice. It is the responsibility of the IT support organization to maintain this license repository.

Free or shareware programs should not be installed on company computers due to the risk of virus infection and other side effects without approval from IT. Where installed, they are only exempt from the central license recording provided the software clearly identifies itself as free.

Hardware

~~All use of hardware must pertain to CEFIA business only. No personal use of this equipment is permitted.~~

~~No personal hardware may be used on CEFIA systems.~~

Employees issued portable (laptop, tablet) computers must take reasonable precautions. When out of the office the computer should always be under direct control of the employee or out of sight in a secure location. CEFIA may take other security measures including, but not limited to, computer tracking hardware/software, security cables, and/or hard drive encryption.

- Personal use of the company phone system should be kept to a minimum.

- Presentation laptops and LCD projectors must be reserved in the CEFIA device calendars.
- All laptop users must carry their device in an adequately padded laptop case. Laptop sleeves, totebags and any other uncushioned bags are ~~not~~ acceptable unacceptable.

Equipment may not be rearranged on your desk without assistance by the IT Staff.

- Printers must be handled with care. If a jam or other issue occurs and you cannot quickly fix the issue, the IT Staff should be contacted to resolve the issue.

Standard Configuration

Standard hardware and software configurations are used wherever possible to provide the best levels of reliability for the company network and computers. Other benefits of the standard configuration include the rapid replacement of faulty equipment with spare parts, the tracking of software licenses (as described in the preceding section) and the ability to plan for the implementation of new projects.

The configuration of company computers should not be changed in any way without the prior agreement of CEFIA management. In particular, new hardware devices, new software and upgrades to existing software should only be installed under the guidance of CEFIA's IT staff.

Data Security

All employees and staff (consultants, third-party contractors, and administrators) are assigned a network user name and password when they join the company. The network will force employees and staff to change their password at regular intervals, the interval being determined by the network administrator. The network administrator will also impose other restrictions, such as password length and complexity requirements.

Employees must select network passwords that cannot be easily guessed or that appear in a standard dictionary. If it is necessary to create a written record of a password, that record should never be stored near the employee's desk and never associated with the employee's user name. In general, passwords should be memorized and not recorded in writing.

Privacy

CEFIA respects your desire to work without the company being overbearing with respect to monitoring and control. However, detailed electronic records about your use of the PC, the network, email and Internet are created, but not routinely reviewed by the company.

While the company does routinely gather logs for most electronic activities, they will typically be used for the following purposes:

- Cost analysis
- Resource allocation
- Optimum technical management of information resources
- Production analysis
- Detecting patterns of use that indicate users may be violating company policies or engaging in illegal activity

CEFIA reserves the right, at its discretion, to review any electronic files, logs and messages to the extent necessary to ensure electronic media and services are being used in compliance with the law, this policy and other company policies. This includes the use of spot checks on Internet (Web) use, network files and email without prior notification or user interaction.

Software tools to identify possible breaches of this policy (e.g. highlighting access to websites with unacceptable content or emails containing abusive language) may be used. The results will be reported to the company management and thoroughly investigated where appropriate.

It should not be assumed that internal or external communications are totally private. Accordingly, particularly sensitive information should be transmitted by other means. Therefore, do not use the company network for personal items that you would not want made public.

Encryption

Only encryption software supplied by CEFIA for purposes of safeguarding sensitive or confidential business information may be used. People who use encryption files stored on a company computer must provide their manager with a sealed hard copy record (to be retained in a secure location) of all the passwords and/or encryption keys necessary to access the files.

Power-on passwords should not generally be used but if they are, they are required to be approved by IT.

Please note: this means that employees must inform their supervisor of any passwords used to protect individual documents.

File Storage

CEFIA creates backup images of all email, server and network file stores. These images are stored in a secure location and can be used in the event of:

- Accidental deletion of important material
- A “disaster” necessitating complete recovery of one or more of the company’s systems

Data and other files created during the course of an employee’s work should, therefore, be stored on the network.

Personal Use

Mobile Devices and Tablets**Cell Phones/Smart Phones**

CEFIA understands the need to keep in touch with others both on a personal and professional level. We ask that you use some common courtesy using cell phones.

Company Computers and associated equipment are provided by CEFIA for employee's and staff's business use. Limited, occasional and incidental use for personal, non-business purposes is understandable. However, please be mindful of prohibited activities as described above in General Guidelines (i.e. shopping, music streaming, etc.) As a general reference, limited, occasional or incidental use is defined as use for less than 15 minutes during a workday.

Use of social networking sites (e.g. Facebook, Twitter, LinkedIn) at any time using company provided computers is strongly discouraged, unless it is for company purposes and/or business. While at work, the impact to company resources can impact business operations, but also opens the device to possible security issues.

Personal laptops, cell phones and other internet-enabled items are permitted to be used; however reasonable restrictions of use may be exercised at HR/management discretion. CEFIA does not provide internet access for public/private use, except on an approved device/user basis. Please advise IT for further detailed instructions before attempting to connect any device to the CEFIA network.

Streaming media (internet Radio, YouTube, Hulu, Pandora, Spotify, etc.) uses significant resources. Please consider the impact of its use and consider using for business purposes only for all devices, including cell phones.

Company locations may provide a freely accessible public WiFi connection that may be used by employees and staff, but CEFIA absolves itself of any and all damage, liability, etc. that arises from the use of third-party networks. It is the policy of CEFIA that if an employee chooses to use these third-party connections that they do so on their break, lunch, or after-hours and do not pursue personal activities during business hours.

Contract and freelance staff

CEFIA will provide agency/temporary, contract/freelance staff with access to computers and the company computer systems for the sole purpose of fulfilling their contractual role with CEFIA. No personal use by these staff of computer and communication facilities provided by CEFIA is permitted at any time.

Viruses/Spyware

All computer viruses/spyware must be reported immediately to IT. IT is responsible for verifying the updating of virus/spyware detection software from time to time and providing detailed guidelines in the event of a major problem. IT will also investigate any infection and must receive the full cooperation of all staff in attempting to identify the source. Any attempt to introduce viruses/spyware to the network through malice or negligence will be thoroughly investigated and will be dealt with according to HR guidelines and procedures.

Mobile Devices

It is CEFIA policy that representatives of our organization who are issued a cellular phone understand that phones are issued for business use. It is anticipated that personal as well as business use will occur, however it is your responsibility to remember its intended use. Company-paid phones with data plans must be first approved by your supervisor and proper paperwork filed with Finance. Once this process is complete, the IT department will configure the device to connect to the server to retrieve mail, contacts and your calendar. Levels of reimbursement will be set forth in accordance with CEFIA's Mobile Communications policy. It is your responsibility to take care of the device and ensure its safety. If it at any time it is lost, stolen, upgraded or you leave CEFIA you must inform IT so that they can wipe the device remotely of company data.

It is your responsibility to take care of the device and ensure its safety. If your device is lost or stolen, you must contact IT immediately so it can be remotely wiped of company data.

CEFIA has a zero tolerance policy regarding using a cell phone while driving. For the safety of our employees and others it is imperative that you pull over and stop at a safe location to dial, receive, text or converse on the cell phone in any way. Please consider the use of hands-free devices as allowed by Connecticut State Law.

Mobile devices equipped with cameras require special attention. No photography should occur where confidential information exists, nor where client information is stored. Areas where personal privacy exists (bathrooms, etc.) should be avoided with such devices entirely. Under no circumstances should photography occur at a client location without their permission.

EFIAEFIA

Tablets

Those who own such devices must have management approval to use them for company business and e-mail synchronization, just as for ~~smart phones.~~ smartphones. Just as for synchronized phones, IT needs to be informed if your device has been lost or put into the wrong hands or if you are getting rid of the device as they need to wipe it of company data.

~~Other Wireless Enabled Devices~~

~~Other devices, such as the iPod Touch, which have wireless capabilities, may be connected to the guest wireless in the office. To use these devices to connect to company email you must have management approval and must follow the same rules as smartphones and tablets.~~

Company Data

The Information Technology ~~Department~~ department is responsible for protecting ~~all~~ company data. This includes all data on the servers, as well as on other devices such as laptops, desktops, mobile devices and multifunction printers. The IT department backs up all data on the servers on a daily, weekly, and monthly schedule and retains this data under the company ~~approved~~ Backup Policy.

The following are not permitted:

- ~~Backup~~ Backing up company data on your own.
- ~~Have~~ Having company data on your personal equipment, this includes the following:
 - Personal PCs laptops or desktops.

- Personal USB devices, such as memory sticks, MP3 players, hard drives or other recording devices.
- ~~Send~~Sending company data via e-mail to your or another CEFIA employee's personal email account.
- ~~Access~~Accessing another employee's hardware, computer files or email without prior permission from employee or appropriate manager.
- Sharing your logon password with anyone except ~~for~~ the IT ~~Staff~~staff.
 - The system will ask to reset your password every 90 days.

If you telecommute, all work must be done on company equipment. If you are not using a company-owned laptop, a loaner PC can be arranged through the IT department with proper advanced notice to accommodate your needs. ~~No~~ personal devices may be attached to company hardware without prior approval by the IT department (i.e. printers, hard drives, etc.).

It is ~~permitted~~permissible to transfer items such as presentations and documents to a recording device for the sole purpose of collaboration with approved clients or customers pertaining to company business.

~~Internet Use Policy~~

~~Access to the Internet at CEFIA is a resource, and use thereof is subject to the same rules as other CEFIA resources. It is the responsibility of the user to make sure that all use of the Internet is authorized, appropriate and to the benefit of CEFIA. Each individual with access to the Internet is responsible for controlling its use. The use of the Internet is a privilege, not a right, which can be revoked at any time.~~

~~Use of the Internet for personal business is prohibited. Access to the Internet is provided for official business purposes only. It is our intention to prevent users from going to non-business related websites that could potentially download malware without the user's knowledge. We also want to prevent unnecessary Internet use that reduces bandwidth.~~

~~The following are examples of non-business related activities that are prohibited:~~

- ~~Streaming music or video.~~
- ~~Shopping.~~
- ~~Booking a vacation.~~
- ~~Using instant messaging.~~
- ~~Viewing personal pictures over the web.~~

~~Social media websites (i.e. Facebook, Twitter, MySpace, Google+, etc.)~~

- ~~Downloading unauthorized computer software or pornographic materials.~~

~~Communication on the Internet is not private and can be monitored by CEFIA. CEFIA systems and all information stored on them is the property of CEFIA. Do not send confidential or sensitive information. Do not assume any communication will be read only by the intended recipient. Communication on~~

~~CEFIA systems shall not contain content that could be considered to be defamatory, offensive, harassing, disruptive, or derogatory. This includes, but is not limited to, sexual comments or images; racial or ethnic slurs, or other comments or images on gender, national origin, religion, political beliefs, or disability that would offend someone.~~

Social Media

These guidelines apply to CEFIA— employees, temporary employees and contractors who create or contribute to blogs, wikis, social networks, virtual worlds or any other kind of Social Media for both professional and personal use.

~~While everyone is welcome to participate in Social Media, we expect all who participate in online commentary understand and follow these simple but important guidelines. Please keep in mind that our overall goal is simple: to participate online in a respectful, relevant way that protects our reputation and follows the letter and spirit of the law.~~

~~Post meaningful, respectful comments— no spam and no remarks that are off-topic or offensive.~~

~~Be smart about protecting yourself, your privacy, and CEFIA's confidential information. What you publish is widely accessible and available for a long time, so consider the content carefully.~~

~~Never claim nor imply that you are speaking on the company's behalf, unless you are posting on a company owned and approved location and that information has been approved by management.~~

~~Do not represent yourself or CEFIA in a false or misleading way. All statements must be true and not misleading; all claims must be substantiated.~~

~~Postings cannot include company logos or trademarks unless permission has been asked for and granted.~~

Overview

Social networks are fundamentally changing the way people communicate, conduct research and make purchasing decisions. As an organization, CEFIA is engaged in these communities as they are appropriate and relevant to our clients and the marketing department has developed a strategy for our Social Media Platform. We encourage you to learn how you can use social media to help us share the exciting things we are doing with our clients, uncover new opportunities and strengthen the perception of CEFIA's staff as innovative professionals—people who work for a company that our clients trust and want to do business with.

Marketing does not exist in a vacuum within the marketing department; every interaction our clients, prospective clients and partners have with us can strengthen or harm our brand. Therefore, social media should not be thought of just as a marketing tool. While it can be a vehicle for organizations to publish content, it can also be a way for the people who make up those organizations to build and maintain relationships with clients and business partners.

You might be thinking "I already know how to use social media. What else do I need to know?" As the lines between personal and business communications become increasingly blurred, there are a few important points we would like you to consider when using social media in the capacity of your job.

1. You don't have to participate if you don't want to.

Unless you are in marketing, using social media is not likely to be an official part of your job role. We respect that some people prefer not to participate in social networking, or are unsure if they want to mix personal and professional networks. Don't worry, there's no pressure to participate.

2. Be honest and transparent about your role.

If you publish something or respond to something about CEFIA, make sure it is understood that you are a CEFIA employee so there is no conflict of interest. There are several easy ways to do this, such as listing CEFIA as your place of employment on your profile, or starting your comment with something like "Disclaimer: I work for CEFIA", but regardless of your method, your audience will appreciate your transparency.

3. Know what the official lines of communication are and when to defer to them.

There is a significant difference between speaking *about* CEFIA and speaking *on behalf of* CEFIA. CEFIA has official means to publish information when it needs to and only a few people are authorized to do so via social media, the press, or any other venue. On your own blogs or social profiles, you can use simple statements such as "The postings on this site are my own and don't necessarily represent CEFIA's positions, strategies or opinions" to make it clear you are not speaking on behalf of CEFIA.

If you are not authorized to speak on behalf of CEFIA and receive requests for official comments, or are unsure if you should respond to an inquiry, defer to the marketing department.

Social media can be a forum for customers to share negative comments about an organization. CEFIA monitors our social profiles daily and has official means of diffusing and responding to these situations. Our policy is to respond promptly and openly and to take the conversations offline. If you see a negative comment or a situation that concerns you, do not respond directly, but report it to your supervisor and/or marketing and it will be addressed quickly and professionally.

4. Remember our core values and follow our general code of conduct.

You should use your best judgment and consider CEFIA's values of integrity, accountability and professionalism as a guide for your conduct in online communities, just as they are a guide for other professional behavior. You are personally responsible for the content you post on any social network. These forums are public, are often searched and indexed and should be treated as though they will be available for public viewing forever. If you aren't sure whether certain content should be published or discussed, ask before you post.

Know and follow our Code of Conduct, respect all copyright, fair use and financial disclosure laws and never share any confidential or proprietary information belonging to CEFIA or any other organization. Never comment on anything related to legal matters, litigation, or any parties CEFIA may be in litigation with.

Postings must respect copyright, privacy, fair use, financial disclosure, and other applicable laws.

Pictures Only marketing may post or authorize the posting of pictures, videos, and other media produced on the business premises or outside events. ~~may not be posted.~~

Sites cannot be accessed for personal use on company hardware nor can any postings of a personal nature be orchestrated during business hours on company owned personal devices.

CEFIA reserves the right to request that certain subjects be avoided, withdraw certain posts, and remove inappropriate comments. -If such employee denies or does not comply, proper legal action will be taken. When in doubt, feel free to run by marketing or human resources.

5. Think before you post.

Use common sense when it comes to verbiage and tone in written online content. While social media is in some cases less formal than traditional business communications, CEFIA uses social media as a professional extension of our business. Do not use ethnic slurs, insults or otherwise inappropriate and unprofessional language that would not be acceptable in the workplace. Respect the privacy of others and avoid potentially inflammatory topics.

Above all else, seek to add value in your participation. Our clients are looking for your information, insight and expert perspective. Bashing competitors and posting negative comments about work, our clients or our partners violates our Code of Conduct and adds nothing positive to an online dialogue. Think before you post and ask yourself if you are making a situation better or worse by doing so. Answering questions, sharing resources and talking about your experiences are a great way to add value.

6. Don't forget your day job.

Social media, like, the Internet, can quickly change from a worthwhile tool to a distraction. Make sure your online activities do not interfere with your job or your commitments to our clients. In addition, social media sites may not be accessed on company hardware for personal reasons.

All employees must review these policies and sign the Information Technologies Policies acknowledgement form found in the Appendix and return it to Human Resources.

Solicitation and Distribution

All CEFIA employees are entitled to the opportunity to perform their work without being bothered or disturbed. Accordingly, we have adopted the following solicitation and distribution rule.

Non-Employees

Anyone who is not an employee of CEFIA is prohibited from soliciting or distributing literature on CEFIA premises at any time.

Employees

The CEFIA Solicitation and Distribution policy as it relates to current employees is as follows:

- Employees may not engage in solicitation or distribution of literature during working time. "Working time" means actual working time during the workday and includes both the working times of an employee doing the soliciting or of an employee being solicited. Working time does not include lunch periods, work breaks, or any other period in which employees are not on duty.
- Employees may not distribute literature concerning matters other than those directly related to CEFIA business in work areas at any time.
- Employees may not engage in verbal solicitation or distribution of literature at any time in those areas normally frequented by clients carrying on CEFIA business.

Bulletin Boards

Bulletin boards are important as communications tools to alert you to CEFIA programs and activities. The posting of written solicitations of any kind on bulletin boards is restricted. Only notices relating to CEFIA sponsored activities may be posted on bulletin boards. These bulletin boards display important information, and employees should consult them frequently for:

- Employee announcements.
- Internal memoranda.
- Job openings.
- Organization announcements.
- Workplace Violence Policy Memorandum

DATE: ~~December 16, 2014~~
TO: ~~CEFIA Staff~~
FROM: ~~Bryan Garcia, President~~
RE: ~~Workplace Violence Policy~~

VIOLENCE IN THE WORKPLACE PREVENTION POLICY SUMMARY

~~Attached Below is a copy of a CEFIA's policy concerning workplace violence and prohibiting weapons and dangerous instruments in the workplace. This policy was prepared at the direction of the Governor and is effective immediately.~~

The policy is consistent with what has been called a "Zero Tolerance" approach. Violence or the threat of violence by or against any employee of the State of Connecticut, including CEFIA, is unacceptable and will subject the perpetrator to serious disciplinary action and possible criminal charges.

CEFIA is committed to providing its employees a safe and healthy work environment, free from intimidation, harassment, threats and/or violent acts.

The worksite is any location, either permanent or temporary, where an employee performs any work-related duty. This includes but is not limited to the building and the surrounding perimeter, including the parking lot. It includes all state-owned and leased space, including vehicles and any location where state business is conducted.

According to the National Institute for Occupational Safety and Health (NIOSH), workplace violence is defined as:

"any physical assault, threatening behavior or verbal abuse occurring in the work setting. It includes, but is not limited to beatings, stabbings, suicides, shootings, rapes, near suicides, psychological traumas such as threats, obscene phone calls, an intimidating presence, and harassment of any nature such as being followed, sworn at, or shouted at."

There is no such thing as a "joke" when dealing with this subject. It is not funny when employees speak about "going postal", "getting" another employee or anything remotely similar.

Do not ignore violent, threatening, harassing, intimidating, or other disruptive behavior. If you observe or experience such behavior by anyone on Authority premises, whether he or she is a CEFIA employee or not, report it immediately to a supervisor or manager.

The cooperation of all CEFIA staff is needed to implement this policy effectively and maintain a safe working environment.

State of Connecticut

Workplace Violence Prevention Policy
Issued by Governor John G. Rowland

August 1999

CEFIA

VIOLENCE IN THE WORKPLACE PREVENTION POLICY

The State of Connecticut ~~adopts~~has adopted a statewide zero tolerance policy for workplace violence. Connecticut Innovations fully supports this policy and recognizes the right of its employees to work in a safe and secure environment that is characterized by respect and professionalism.

~~Therefore, except~~
Prohibited Conduct

Except as may be required as a condition of employment~~---~~;

No employee shall bring into any state worksite any weapon or dangerous instrument as defined herein.

No employee shall use, attempt to use, or threaten to use any such weapon or dangerous instrument in a state worksite.

No employee shall cause or threaten to cause death or physical injury to any individual in a state worksite.

In addition, Connecticut Innovations prohibits all conduct, either verbal or physical, that is abusive, threatening, intimidating or demeaning.

Definitions

"Weapon" means any firearm, including a BB gun, whether loaded or unloaded, any knife (excluding a small pen or pocket knife), including a switchblade or other knife having an automatic spring release device, a stiletto ~~or any knife with the blade of four or more inches,~~ any police baton or nightstick or any martial arts weapon or electronic defense weapon.

"Dangerous instrument" means any instrument, article, or substance that, under the circumstances, is capable of causing death or serious physical injury.

~~Violation~~ **Confiscation of the above Weapons and Dangerous Instruments**

Any weapon or dangerous instrument at the worksite will be confiscated and there is no reasonable ~~work rules shall subject the~~ expectation of privacy with respect to such items in the workplace.

Reporting Procedures

Emergency Situations: Any employee ~~to disciplinary action up to and including discharge.~~

~~Any employee, who fears for their personal~~ believes that there is a serious threat to his/her safety or ~~for the safety of others in situations that require~~ requires immediate attention, should ~~call police at~~ **contact 9-911.**

~~Contact your~~ The employee must also contact his/her **immediate supervisor** or ~~the~~ **Human Resources** ~~at ext. extension 356 for non-emergency situations or 861.~~

Please note that when 9- 911 is dialed from a hard line, the local police authority will respond. When dialing from a cell phone, 911 will connect you directly to the nearest State Police Troop.

Non-Emergency Situations: any employee who feels subjected to or witnesses violent, threatening, harassing, or intimidating behavior in the workplace should immediately report the incident or statement to his/her supervisor or manager or Human Resources.

Supervisors/Managers Responsibilities: Any manager or supervisor who receives a report of violent, threatening, harassing, or intimidating behavior shall immediately contact the Human Resources Office so that office may evaluate, investigate, and take appropriate action.

Investigation and Corrective Action

CEFIA will promptly investigate all reports or alleged incidents of violent, threatening, harassing or intimidating behavior.

All employees ~~must review~~ are expected to cooperate fully in all such investigations.

Any employee suspected of violating this policy ~~and sign the acknowledgement form~~ may be placed immediately on administrative leave pending the results of the investigation.

If the claims of violent, threatening, harassing or intimidating conduct are substantiated, or if it is found ~~in the Appendix and return it to Human Resources~~ that the employee has otherwise violated this policy, the employee will be dealt with through the appropriate disciplinary process, and may be subject to discipline up to and including dismissal from CEFIA.

Where the situation warrants, CEFIA will request that the appropriate law enforcement agencies become involved in the investigation of the matter, and CEFIA may seek prosecution of conduct that violates the law.

Enforcement of the Policy

This policy will be prominently posted for all agency employees.



CEO

Disciplinary Procedure

CEFIA believes each employee should be treated and respected as an individual. Therefore, employee misconduct is approached in a case-by-case manner. Some infractions are more serious than others are and an employee's lengths of service, work record and prior conduct are all important in determining the proper disciplinary action. It is our general practice to use progressive disciplinary counseling procedures between the employee and their immediate supervisor in which the supervisor will explain the charges and allow the employee to explain their position. In all phases of the disciplinary procedure, CEFIA will make reasonable efforts to give the employee the opportunity to make their position clear, orally or in writing. Some serious incidents of misconduct may require immediate discharge from employment, but whenever possible, misconduct will be approached with counseling before termination of employment is considered. The primary purpose of discipline is remedial, not punitive. When possible and appropriate the steps of progressive discipline will be as follows:

1. A verbal (oral) warning giving clear guidelines for corrective action and potential consequences.
2. A written warning with the infraction and required corrective action specified.
3. A written reprimand is issued when the employee has been warned and the problem behavior has not been corrected.
4. A suspension without pay serves as the last resort prior to discharge.
5. A demotion results when an employee is willing but unable to perform assigned duties.
6. A termination of employment usually follows prior disciplinary steps or for a serious rule violation.

When disciplinary action is required upon the recommendation of the Supervisor, the President and/or his designee may elect a written reprimand, suspension without pay demotion, disciplinary probation, or dismissal. The President and/or his designee may take any such disciplinary action after the evaluation process determines that an employee's performance and/or conduct is unacceptable, taking any mitigating circumstances into account. A record of the written reprimand or documentation of other disciplinary action will be made a permanent part of the employee's personnel file.

Management reserves the right to enter into any level of disciplinary action or termination based upon the severity of the offense requiring discipline and the employee's past work record. This policy in no way alters the at-will employment policy; the employee or CEFIA may terminate the employment relationship at any time and for any reason.

Employment Termination

Termination of employment is an inevitable part of personnel activity within any organization, and many of the reasons for termination are routine. Below are examples of some of the most common circumstances under which employment is terminated:

Resignation

Employment termination initiated by an employee who chooses to leave CEFIA voluntarily.

Discharge

Employment termination initiated by CEFIA.

Layoff

Involuntary employment termination initiated by CEFIA for non-disciplinary reasons.

Retirement

Voluntary retirement from active employment status initiated by the employee.

Exit Interview

CEFIA will generally schedule exit interviews at the time of employment termination. The exit interview will afford an opportunity to discuss such issues as employee benefits, conversion privileges, repayment of outstanding debts to CEFIA, return of CI-owned property, and assuring that necessary assignments are completed. Suggestions, complaints, and questions can also be voiced.

Employee benefits will be affected by employment termination in the following manner. All accrued, vested benefits that are due and payable at termination will be paid. Some benefits may be continued at the employee's expense if the employee so chooses. The employee will be notified in writing of the benefits that may be continued and of the terms, conditions, and limitations of such continuance

Grievance Procedure

Supervisors are responsible for being accessible and for regularly discussing working conditions, job performance, or any other concern an employee has about his/her job at CEFIA making reasonable efforts to address problems and concerns. Our success depends upon maintaining clear and open communication with employees. It is of utmost importance to respond to complaints, problems, or anything employees deem unfair or unacceptable. Each employee should feel free to discuss any complaint or problem with their immediate supervisor. This initial step in the grievance procedure is informal to encourage a quick resolution. No employee will be penalized or discriminated against for bringing up a problem or registering a grievance regardless of the nature of the complaint.

Grievances Not Involving Discrimination Or Sexual Harassment

If an employee has a grievance that remains unresolved in informal discussions with their supervisor, they should make a scheduled, recorded appointment with their supervisor to discuss the problem. The employee and supervisor should keep a written record of this discussion.

If a settlement satisfactory to both parties cannot be reached, the employee and their supervisor should submit the grievance in writing to the President and/or his designee, attaching their written records of the meeting. The President and/or his designee will schedule a meeting with the employee and the supervisor within five (5) working days of receipt of the grievance. A written record of this meeting will also be kept, and the President and/or his designee will render a decision within three (3) working days after the meeting.

In the event the employee is not satisfied with the decision of the President and/or his designee, they may request a hearing before the Board of Director's Budget and Operations Committee. The decision of the Budget and Operations Committee shall be final.

Grievances Involving Discrimination Or Sexual Harassment

Any employee who feels they would like counseling about possible violations of CEFIA affirmative action or anti-harassment policies, or any state or federal statutes related to Equal Employment Opportunity (EEO), Affirmative Action (AA), or Sexual Harassment should contact Human Resources. This counseling will be kept confidential and no related information will be released except upon signed consent of the employee or as necessary for CEFIA to comply or fulfill its obligations under federal or state law. Human Resources will provide information on state, federal agencies and CEFIA resources available to employees who wish to pursue a grievance regarding discrimination.

If a grievance involves sexual harassment by the employee's supervisor, or if there are other circumstances that make it impossible for the employee to initially address a grievance directly to the supervisor, he/she may schedule the initial meeting with the President and/or his designee. If the employee's supervisor is the President and/or his designee, the grievance may be directed to the Budget and Operations Committee.

Grievance Procedure Contacts

CHRO and EEOC

Separate and independent from the above process, the complainant may file written complaints of discrimination with:

The Connecticut Commission on Human Rights and Opportunities (CHRO)
21 Grand St, Hartford, CT 06106
Phone: (860) 541-3400

The Equal Employment Opportunity Commission (EEOC)
150 Causeway St, Boston, MA. 02114
Phone (617) 565-3214

Department of Justice (DOJ)
Office on the Americans with Disabilities Act
Civil Rights Division, P.O. Box 66118, Washington, D.C. 20507
Phone (202) 514-0301.

Employees may also file complaints with any other agencies, state, federal or local, including the United States Department of Labor, Wage and Hour Division, that enforce laws concerning discrimination in employment. Employees should be aware that there are statutes of limitations that require complaints be filed by a certain time period or the employee may forfeit his or her rights. Employees may inquire further with the respective agency.

No individual who files a complaint, or who cooperates or testifies in the investigation of a complaint, shall be unlawfully retaliated against for the exercising of their legal rights.

Whistleblower Policy

Any person having knowledge of corruption, unethical practices, violation of state laws or regulations, mismanagement, gross waste of funds, abuse of authority, or danger to the public safety occurring within CEFIA or in a related contract with CEFIA may disclose such matter to any member of the Audit Compliance and Governance Committee of CEFIA or the state Auditors of Public Accounts. A person disclosing such information is known in lay terms as a "whistleblower." A whistleblower should feel free to report such information without fear of retaliation.

No CEFIA officer or employee, may take or threaten to take any personnel action against a whistleblower who is an employee of CEFIA in retaliation for disclosing such information. Whistleblowers protection applies to any CEFIA employee who discloses such information:

- (1) to any employee of the Auditors or of the Attorney General;
- (2) To any member of the Audit, Compliance and Governance committee of CEFIA;
- (3) to an employee of the state or quasi-public agency that employs the person who retaliated or threatened retaliation;
- (4) to an employee of a state agency pursuant to a mandated reporter statute; or,
- (5) in the case of a large state contractor, to an employee of the contracting state agency concerning information about a large state contract.

A CEFIA employee who believes he or she is the subject of retaliation for "whistleblowing" may file a "whistleblower retaliation complaint" with the Chief Human Rights Referee at the CHRO's Office of Public Hearings not later than thirty (30) days after the employee learns of the specific incident giving rise to the claim (i.e., the personnel action threatened or taken against him/her). An employee who believes that he or she has been retaliated against should contact a private attorney to discuss his/her rights. The Attorney General cannot provide legal advice or counsel.

CEFIA's guidelines for making whistleblower complaints are set forth below.

- File a written complaint or verbal complaint with the CEO and/or the Ethics Officer, and or the CEFIA Audit, Compliance, and Governance Committee. Employees may also choose file a written complaint or make a telephone complaint with the Auditors of Public Accounts. All complaints should be filed in writing with the Auditors of Public Accounts, 210 Capitol Avenue, Hartford, CT 06106, or by telephone: Toll Free within Connecticut: (800) 797-1702 or Locally: (860) 240-5305. If the employee wishes to remain anonymous, they may.
- Whistleblower complaints will be referred to the CEFIA Audit, Compliance, and Governance Committee for review. That committee will serve as the primary contact between CEFIA and the Auditors of Public Accounts.

Employees can visit Auditors of Public Accounts website for more information about filing a complaint. In addition, employees may visit the Commission on Human Rights and Opportunities website for information regarding the processes and procedures in the administration of whistleblower retaliation complaints.

SECTION 8 HEALTH AND SAFETY

Health and Safety

Each employee is expected to share our commitment to a safe workplace. This obligation means that safe working habits and principles must be followed. All employees are expected to exercise common sense and good housekeeping practices. For the sake of all our employees and clients, safety concerns must be taken seriously. Every employee is expected to take a proactive role in providing a safe workplace. Horseplay or other unsafe activity is prohibited. Every employee must report any injury, no matter how slight, immediately to his or her supervisor. Such reports are necessary to initiate any necessary emergency procedures, to comply with workers compensation laws, and to initiate insurance and workers compensation benefits procedures.

First-aid kits containing items needed for most minor first-aid situations are maintained throughout the building. All employees should make a note of their locations. Each employee is expected to exercise safe working habits and reasonable caution in all work activities. Any unsafe condition must be reported immediately to the appropriate supervisor. Employees who violate safety standards, who cause hazardous or dangerous situations, or who fail to report, or where appropriate, remedy such situations, may be subject to disciplinary action.

Policy On Life-Threatening and Communicable Diseases

This policy provides guidance for dealing with work situations involving employees, who have life-threatening and communicable diseases, including but not limited to:

- Acquired Immune Deficiency Syndrome (AIDS);
- Human Immunodeficiency Virus (HIV) infection;
- HIV-related illness as defined by the Connecticut General Statutes Section 19a-58 1; or
- Any other life-threatening and communicable disease.

Non-Discrimination

CEFIA does not unlawfully discriminate against qualified individuals with life-threatening and communicable diseases in any terms or conditions of employment.

It is our policy that individuals with life-threatening and communicable diseases will be treated with the same compassion and consideration given to any employee with a health problem. No person will be treated differently in the workplace as a result of having or being perceived as having such a disease.

No ~~Hiv~~H.I.V. Or Aids Testing

Present or prospective employees will not be required to submit to an AIDS or HIV-related test as a condition of hiring or continued employment.

Ability To Work

CEFIA recognizes that employees with life-threatening and communicable diseases may require a reasonable accommodation to perform their job duties. It is CEFIA's policy to accommodate these employees by allowing them to work as long as they are able to perform their essential job functions, with or without reasonable accommodation, provided that medical evidence indicates that their conditions do not pose a direct threat to themselves or others.

Employee Health and Safety

CEFIA also recognizes its obligation to provide a safe and healthy work environment for all employees. Therefore, CEFIA may obtain appropriate medical direction, when necessary, to ensure that an employee's condition does not pose a significant risk of substantial harm to him/herself or to other employees or customers of the Agency.

According to the best medical evidence available to date, casual workplace contact with employees who have AIDS or who have been exposed to HIV will not result in transmission to others. Employees are expected to work with co-workers and any other individuals who have these conditions that do not pose a significant risk of harm. Employees who have unwarranted fears of exposure will not be allowed to refuse to work with individuals affected by HIV/AIDS or any other communicable disease. In addition, it is unacceptable for employees to spread rumors regarding situations involving HIV/AIDS or any other life-threatening and communicable disease where such rumors may affect the privacy, dignity and well-being of others. Behavior of this nature will not be tolerated at CEFIA.

Confidentiality

All employee records or information regarding life-threatening and communicable diseases will be confidentially maintained in the Human Resources Office in a secure area, apart from the employee's personnel file.

Information Specific To H.I.V./Aids

The identity of any employee with HIV or AIDS will remain confidential. HIV and AIDS-related information will not be disclosed without the written consent of the employee. Any unauthorized disclosure by an employee is strictly prohibited by the Connecticut General Statutes and may result in disciplinary action. This policy is intended to be consistent with the Connecticut HIV/AIDS Testing and Confidentiality Law of 1989 (C.G.S. §§ 19a-585 through 19a-592).

Drug and Alcohol Policy

CEFIA is committed to maintaining a substance-free, healthful, and safe work environment. To promote this goal employees are required to report to work in appropriate mental and physical condition to perform their jobs in a satisfactory manner. Employees are forbidden to use, possess, consume, manufacture, distribute, purchase, sell, or be under the influence of alcohol, illegal drugs, or controlled substances during working hours, whether on the premises, or representing or conducting the business of CEFIA elsewhere. Reporting to work under the influence of alcohol or illegal drugs, or being in possession of alcoholic beverages or illegal drugs on CEFIA's premises will not be tolerated. Such conduct is also prohibited during non-working time to the extent that, in CEFIA's opinion, it impairs an employee's ability to perform on the job or threatens the reputation or integrity of CEFIA.

The legal use of physician prescribed, or legal over-the-counter drugs is permitted on the job if it does not impair an employee's ability to perform the essential functions of the job effectively and in a safe manner that does not endanger other employees or clients. Any employee taking any legal or prescribed drugs known to have possible side effects that affect or impair judgment, coordination, or other senses, or that might adversely affect the employee's ability to perform normal work in a safe and productive manner, must notify his or her supervisor or other manager before commencing work. Information provided by the employee concerning the use of medication will be treated in a confidential manner. If CEFIA has reasonable cause to believe an employee is adversely affected by the use of a drug or medication such that a threat is posed to the safety of the employee, other persons, or to property, the employee may be denied

permission to continue working pending further investigation. The investigation will be conducted expeditiously, with the resulting information treated confidentially to the extent possible.

An employee whose job performance has deteriorated through the use of alcohol and/or drugs to the extent that termination of employment is being considered may opt to enter an approved treatment facility of their choice. Upon successful completion of treatment, the employee may be permitted to resume normal employment.

Employees must give notification in writing to Human Resources within five (5) calendar days of any drug conviction for violation of a criminal drug statute if the violation occurred in the workplace. Employees who have substance abuse problems are encouraged to participate in a rehabilitation program prior to any disciplinary action. If an employee chooses not to undergo rehabilitation, CEFIA will take disciplinary action consistent with state law and regulation within 30 calendar days of receiving notice of the conviction. A conviction means a finding of guilt including a plea of nolo contendere, or the imposition of a sentence by a judge or jury in any federal or state court.

Violations of any part of this policy may lead to disciplinary action, up to and including immediate termination of employment. Such violations may also have legal consequences.

Smoking Policy

The health and well-being of staff and visitors to CEFIA are primary concerns of management. The Environmental Protection Agency has released a report officially concluding that second hand smoke is a Class A human carcinogen. It is also known that second hand smoke causes respiratory illness and is suspected to be even more dangerous in its link with heart problems. In order to protect the health of those who use our building, smoking or other use of tobacco products is prohibited in any offices or work areas within CEFIA. Smoking is permitted only out-of-doors.

Emergency Procedures Manual

Emergencies can occur at any time, and we need to be prepared to handle such situations to minimize injury and damage. The following information is designed to assist you in preparing for and handling an emergency.

Emergency Phone Numbers

Rocky Hill Police	9-911 or 258-7640 (Routine calls)
Rocky Hill Fire	9-911 or 258-7603 (Routine calls)
Health Emergencies	9-911 or dial 500 to page and assemble the first responders team to the announced area.

Medical

Medical Emergency Procedures for Staff

Page the Response Team by:

- Picking up the hand set
- Press the paging button on the bottom row, last button. (this is marked **Paging**)
- Press any # key three times and **SPEAK LOUD AND CLEAR AND SAY:**

“Attention, Response Team, Emergency in (location)”.
“Attention, Response Team, Emergency in (location)”.
(Give location and repeat the announcement twice).

If the person is unconscious, not responsive, seriously injured or in apparent serious distress, immediately after paging response team, dial 9-911.

(This will always be a personal judgment call and do not worry about calling unnecessarily). Please use the **house phone (not cell)** if possible as this triggers an in-house and police alert.

Paging button is **FOR EMERGENCIES ONLY.**

Response Team Actions (fyi)

Always know that if YOU are in distress and call 911 an immediate alert goes to the reception area, IT and the police. Do not hesitate to use this in an emergency.

1. Response Team Members will go directly to code red location. Follow trained response.
2. All team members of the **RESPONSE TEAM** respond to the location immediately.
3. In route to location, pick-up **AED unit --portable 1st Aid Kit** --notebook and Emergency Bag. All found next to the mailboxes and in file cabinet under AED unit.
4. If 9-911 has not yet been called, CEFIA trained staff will decide whether or not to call **9-911** directly or ask someone to do so and report the nature of the emergency and location. (Best to call in the presence of the victim if at all possible so information can be relayed to EMTs.)

One or two Response Team members will assess the situation and take the lead in providing necessary response. Remaining team members will provide the following:

1. Set up AED for use, if needed. Bring notebook in drawer and Emergency Bag.
2. Prepare for CPR relief, if needed. 3-to 5 minutes is desired.
3. Provide Privacy/Crowd Control, request non-response team personnel to evacuate the area until all is clear.
4. Meet and Direct medical personnel to emergency location.
5. Once the Emergency Medical Team (EMT) has arrived the duties and responsibilities will be transferred to them. They may take AED with them.
6. Provide necessary information and any other support needed by the EMT.
7. Contact necessary family member(s) of victim. (List at AED location)
8. See that victim is accompanied to ER when applicable.
9. Provide follow up report to Human Resources.

Medical Emergency Procedure for Front Desk Personnel

Should you receive a call for medical assistance from any staff member, please use the following procedure:

1. **Page the Response Team by dialing 500 which enacts the paging system**
“Attention, all response team personnel, there is a code RED in ____.”
(Give location and repeat the announcement twice).
2. Response team members will go directly to red code location and follow trained response instructions. If possible while in route to location, pick-up AED unit and portable First Aid Kit located by the mailboxes next to the front lobby.
3. Response team evaluates situation and does one or all of the following:
 - a. Call 911
 - b. Call Front Desk
 - c. Team will activate procedure for 911.
4. Keep lines open for further communication.
5. Have a list of all family emergency numbers for staff available.
6. Notify Human Resources that there is an emergency.

Fire

In order to minimize property damage and possible loss of life, familiarize yourself with the building's fire prevention system. **Know the location of fire alarm pull stations and fire extinguishers. In addition familiarize yourself with the instructions on the extinguishers.**

WHEN THE FIRE ALARM IS HEARD:

- EVERYONE SHOULD IMMEDIATELY STOP WHAT THEY ARE DOING.
- EVACUATE THE BUILDING IN A CALM, ORDERLY MANNER TO A CENTRAL LOCATION AT LEAST 300 FEET FROM THE BUILDING.
- Do Not Stop to Gather Belongings.
- Follow Emergency Exit Signs to Exit Building.
- Check offices and cubicles as you leave your area.
- Sign-in roster should be picked up and taken to company gathering place.
- ALL DEPARTMENTS AND TENANTS GATHER DIRECTLY AT THE FAR RIGHT SIDE OF THE PARKING LOT (CLOSEST TO BROOK STREET). IF FRONT EXIT IS BLOCKED AND YOU MUST EXIT FROM THE REAR OF THE BUILDING, TRAVEL AROUND THE BUILDING AND HEAD TO THAT AREA. PLEASE REMAIN IN A GROUP. FIRE MARSHALL NEEDS HEAD COUNT IMMEDIATELY.
- DEPARTMENT SUPERVISORS TAKE A HEAD COUNT WHEN ALL CLEAR SIGNAL RECEIVED FROM FIRE MARSHALL SUPERVISORS WILL GIVE INSTRUCTIONS TO REENTER BUILDING.

Note: When moving into exit areas in an emergency situation, before going through the door, put your hand against it to feel for heat—there could be a fire on the other side. If the door feels cool proceed with caution. If the door feels hot, use an alternate escape route.

Fire procedures

If you should spot a fire follow these suggested guidelines:

1. If the fire is minor (wastebasket, ashtray, etc.) extinguish if possible. However, do not take risks! Your personal safety comes first!
2. If the fire cannot be immediately brought under control without personal risk, isolate or contain if possible by closing the door to the fire area.
3. Call the Fire Department at **9-911** or **258-7603**
 - a. Give building name: CEFIA .
 - b. Give building address and intersection: **865845 Brook Street, Rocky Hill.**
 - c. Give CEFIA-2 telephone number **563-5851.**
 - d. Give location and extent of fire.
4. Pull the fire alarm pull station so that evacuation can begin.
5. If trapped by flame or heat:
 - a. If possible, telephone the fire department and request immediate assistance.
 - b. Close doors separating you from the source of heat or flame.
 - c. Break glass window if necessary in order to escape.
 - d. Remember that both **heat and smoke rise**—air near the floor will be cleaner and cooler. Crouch down or crawl to exits.

Fire drills

Fire drills need to be conducted once a year according to town codes. The fire department will be directly involved so that they can test the fire alarm system and see if fire evacuation procedures are being followed.

Supervisors will be designated as the fire safety captains for their area.

Fire safety captains

Joe Casparino serves as our Fire Safety Captain and will help coordinate evacuation efforts. The captains' responsibilities include:

1. An awareness of employees in their area/office who are present that day so that all are accounted for after evacuating.
2. Knowledge of any employees with handicaps or disabilities which should be considered in an emergency.
3. Awareness of an up-to-date evacuation route from their area or office.
4. Checking of restrooms, conference rooms, smoking rooms or other areas which are not immediately visible to ensure that they are also evacuated.
5. Reporting any problems or special circumstances to Fire Warden.
6. Ensuring that people are exiting from the building in a calm and orderly fashion.

IN THE EVENT OF AN EMERGENCY, JOE CASPARINO WILL IMMEDIATELY NOTIFY CEFIA 's PRESIDENT, CHIEF OF STAFF AND/OR SENIOR MANAGEMENT TEAM.

Housekeeping

Please inspect your space regularly and remove any items that could start or contribute to a fire or be a safety hazard. The following guidelines should be adhered to:

1. Do not allow accumulation of trash or waste material that is flammable.
2. Flammable materials or chemicals should not be stored within five feet of exit doors.
3. The wall and ceiling space around emergency and exit light fixtures should be kept clear.
4. The area surrounding electrical equipment should be free of clutter to provide for adequate air circulation.
5. Coffee makers and oven units are potential sources of fire. The last person leaving the building should check to be sure that they are turned off.

Gas Leaks

Due to the proximity of the office park to the Connecticut Natural Gas Storage Facility on the Rocky Hill/Cromwell line, we have occasionally found that a gas odor permeates the area when they are purging their lines. However, if at any time you detect a gas odor, it is important to assume that it's a potential leak and to take proper precautions as follows:

1. **DO NOT** turn on or adjust anything electrical in nature or anything which could cause a spark or flame (light switches, thermostats, lighters, etc.)
2. Call the facilities manager.
3. Evacuate the premises.

How To Handle Anthrax and Other Biological Agent Threats

Many facilities in communities around the country have received anthrax threat letters. Most were empty envelopes; some have contained powdery substances. The purpose of these guidelines is to recommend procedures for handling such incidents.

Do Not Panic

1. Anthrax organisms can cause infection in the skin, gastrointestinal system, or the lungs. To do so, the organism must be rubbed into abraded skin, swallowed, or inhaled as a fine, aerosolized mist. Disease can be prevented after exposure to the anthrax spores by early treatment with the appropriate antibiotics. Anthrax is not spread from one person to another person.
2. For anthrax to be effective as a covert agent, it must be aerosolized into very small particles. This is difficult to do, and requires a great deal of technical skill and special equipment. If these small particles are inhaled, life-threatening lung infection can occur, but prompt recognition and treatment are effective.

How to handle a suspicious unopened letter or package marked with threatening message such as "anthrax":

1. Do not shake or empty the contents of any suspicious envelope or package.
2. **PLACE** the envelope or package in a plastic bag or some other type of container to prevent leakage of contents. Plastic bags and/or containers are available in the kitchen.
3. If you do not have a container, then **COVER** the envelope or package with anything (e.g., clothing, paper, trashcan, etc.) and do not remove this cover.
4. **LEAVE** the room and **CLOSE** the door, or section off the area to prevent others from entering. Keep others away.
5. **WASH** your hands with soap and water to prevent spreading any powder to your face.
6. Contact ~~Suzanne Kaswan ext. 356~~ or ~~Bonnie Greenwell ext. 344~~ Human Resources. They will take the necessary steps to report the incident to the proper authorities.

7. **LIST** all persons who were in the room or area when this suspicious letter or package was recognized. This list will be given to both the local public health authorities and law enforcement officials for follow-up investigations and advice.

How to handle an envelope with powder and powder spills out onto surface:

1. **DO NOT** try to **CLEAN Up** the powder. **COVER** the spilled contents immediately with anything (e.g., clothing, paper, trashcan, etc.) and do not remove this cover!
2. Then **LEAVE** the room and **CLOSE** the door, or section off the area to prevent others from entering. Keep others away.
3. **WASH** your hands with **soap and water** to prevent spreading any powder to your face.
4. Contact ~~Suzanne Kaswan ext. 356 or Bonnie Greenwell ext. 344~~ **Human Resources**. They will report the incident to the proper authorities.
5. **REMOVE** contaminated clothing as soon as possible and place in a plastic bag, or some other container that can be sealed. This clothing bag should be given to the emergency responders for proper handling. Plastic bags and/or containers are available in the kitchen.
6. **SHOWER** with soap and water as soon as possible. **DO NOT USE BLEACH OR OTHER DISINFECTANT ON YOUR SKIN.**
7. **LIST** all persons who were in the room or area, especially those who had actual contact with the powder. This will be given to both the local public health authorities so that proper instructions can be given for medical follow-up, and to law enforcement officials for further investigation.

What to do if you suspect a room has been contaminated by aerosolization- (For example: a small device was triggered, a warning was received that the air-handling system is contaminated, or a warning was received that a biological agent was released in a public space.)

1. Turn off local fans or ventilation units in the area.
2. **LEAVE** area immediately.
3. **CLOSE** the door, or section off the area to prevent others from entering. Keep others away.
4. Contact ~~Suzanne Kaswan ext. 356 or Bonnie Greenwell ext. 344~~ **Human Resources**. They will then report the incident to the proper authorities.
5. **SHUT** down air handling system in the building, if possible.
6. **LIST** all persons who were in the room or area. This list will be given to both the local public health authorities so that proper instructions can be given for medical follow-up, and to law enforcement officials for further investigation.

How to identify suspicious packages and letters:

Some characteristics of suspicious packages and letters include the following:

- Excessive Postage
- Handwritten or poorly typed addresses
- Incorrect titles
- Title, but no name
- Misspellings of common words
- Oily stains, discoloration or odor
- No return address
- Excessive weight
- Lopsided or uneven envelope

How to identify suspicious packages and letters continued:

- Protruding wires or aluminum foil
- Excessive security material such as masking tape, string, etc.
- Ticking sound
- Marked with restrictive endorsements, such as "Personal" or "Confidential"
- Shows a city or state in the postmark that does not match the return address

Bomb Threats

In the event of a bomb threat, evacuating people from the potential danger area is the highest priority. In the event of the receipt of a bomb threat, try to remember as many of the following details as possible:

1. Time call received
2. Time call terminated
3. Exact words of caller
4. Time to explode
5. Location of bomb (if given)
6. Description/type of bomb (if given)
7. Why was it placed?
8. Description of voice (male, female, deep, high, accents, etc.)
9. Background sounds (traffic, machinery, music, voices, etc.)

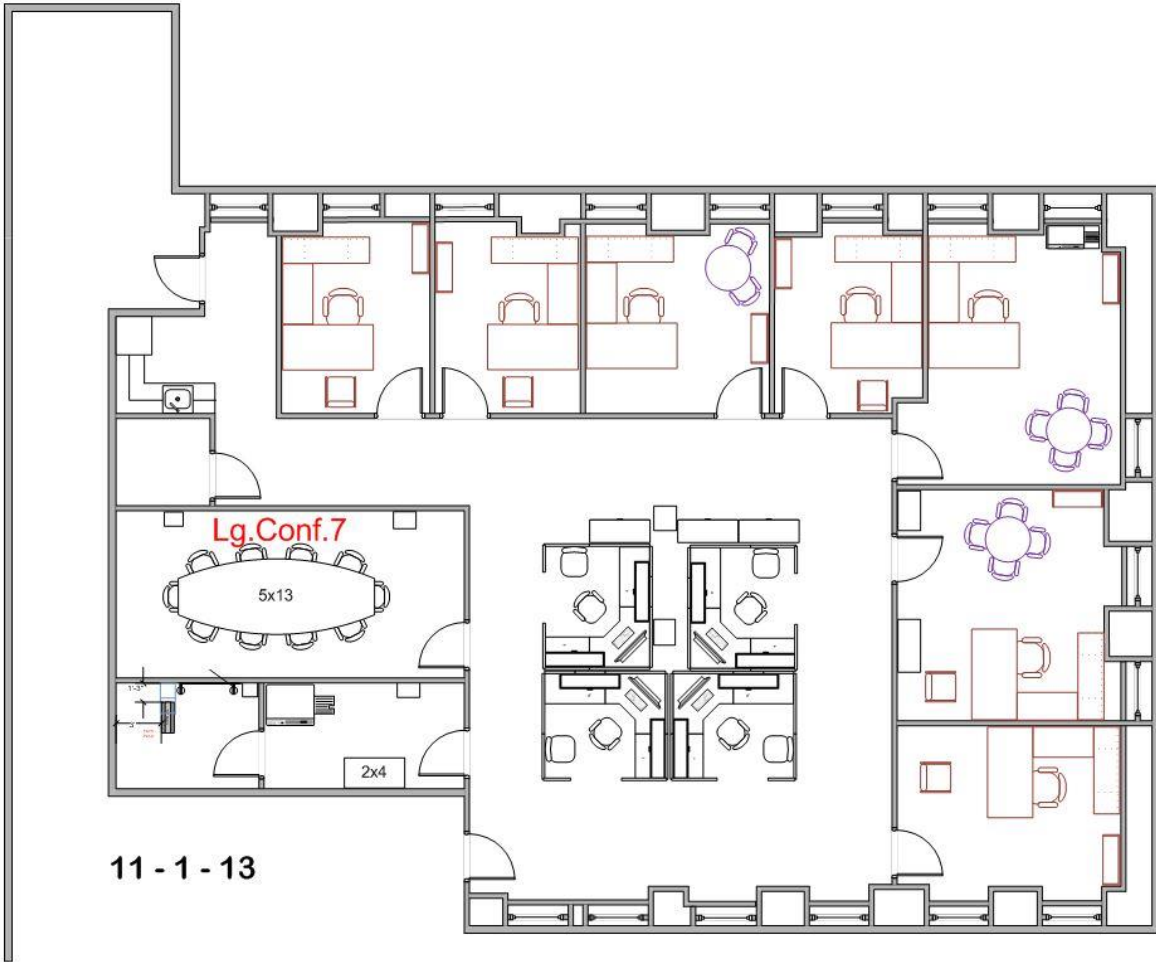
Then immediately call: Police (**911** or **258-7640**); Fire Department (**911** or **258-7603**).

Immediately call **Administrative Services ext. 391 Joe Casparino** ext. 365. Explosives can be concealed in any type of container and in any location. Any suspicious item must not be touched and should be considered dangerous. Alert police of anything out of the ordinary, and do not turn on or adjust anything electrical in nature (i.e. - thermostats, light switches, radios, etc.)

It is policy that everyone evacuates the building immediately!

CEFIA Fire Exits





11 - 1 - 13

In Case of Emergency: Questions and Answers for Employees

What happens if I can't reenter the building?

The Emergency Operations Team (correct name) including the President when available will assess the immediate damage and will inform the President or designee of what to expect. You may be asked to assemble at a nearby building for further instruction.

How will I know when and where to go back to work?

CEFIA- has designated a Team Leader (George Bellas – Vice President Finance and Administration) for implementing its Business Continuation Plan. This team leader will contact you at home and let you know when and where to return for work. If the business disruption is a serious one, it may take up to 30 days for all staff to return. A small number of employees who handle critical business functions may be asked to report to work immediately in a different office location.

What should I do if a reporter approaches me?

If a member of the press approaches you, please refrain from commenting about the incident or your personal reaction to what has occurred. It is natural that any business – disrupting incident may result in press coverage, and the Director of Government and External Relations is the designated CEFIA representative to keep the news media informed and answer questions. Please refer any such inquiries to that designee.

The signature page for CEFIA's Emergency Procedures is in the Appendix. All employees must review and sign the policy in the Appendix and return it to Human Resources.

APPENDIX AND FORMS

Employee Acknowledgement form

The Employee Handbook describes important information about CEFIA, and I understand that I should consult my supervisor or the Manager, Human Resources regarding any questions not answered in the Handbook.

Since the information, policies, and benefits described here are necessarily subject to change, I acknowledge that revisions to the Handbook may occur. All such changes will be communicated through official notices and I understand that revised information may supersede, modify, or eliminate existing policies. Only the President of CEFIA, consistent with the Bylaws of CEFIA, has the authority to approve any revisions to the policies in this Handbook, which shall be done in writing.

Furthermore, I acknowledge that this Handbook is neither a contract of employment nor a legal document. It is understood that nothing in this Handbook or any other policy or communication changes the fact that employment is at will for an indefinite period unless terminated at any time by CEFIA or me. Accordingly, either CEFIA or I can terminate the relationship at any time and for any reason.

I have received the Handbook and understand that it is my responsibility to read and comply with the policies contained in this Handbook and any revisions made to it. Should the content of this Handbook be changed, I understand that CEFIA may require a written acknowledgement from me that I have received and understand the change.

I understand that this signed statement of acknowledgement will be retained in my personnel file.

Employee's Signature

Date

Print Employee Name

Harassment Policy

I hereby acknowledge that I have reviewed the Sexual Harassment Policy in Section 7 of the Employee Handbook. I hereby acknowledge that I have read and understand this policy. By signing below, I agree to abide by this Policy. I also acknowledge that any infractions will result in disciplinary action, up to and including termination.

Employee's Signature

Date

Print Employee Name

Travel and Entertainment Policy

I hereby acknowledge that I have reviewed the Travel and Entertainment Policy in Section 6 of the Employee Handbook. I hereby acknowledge that I have read and understand this policy. By signing below, I agree to abide by this Policy. I also acknowledge that any infractions will result in disciplinary action, up to and including termination.

Employee's Signature

Date

Print Employee Name

State of Connecticut Workplace Violence Prevention Policy

Issued by Gov. John Rowland – August 1999

I hereby acknowledge that I have read and understand the Workplace Violence Prevention Policy in Section 7 of the Employee handbook. By signing below, I agree to abide by the Policy. I also acknowledge that any infractions will result in disciplinary action, up to and including termination.

Employee's Signature

Date

Print Employee Name

CEFIA's Emergency Procedure Signature Page

I hereby acknowledge that I have read and understand the Emergency Procedures Manual in Section 8 of the Employee handbook. By signing below, I agree to abide by the Policy. I also acknowledge that any infractions will result in disciplinary action, up to and including termination.

Employee's Signature

Date

Print Employee Name

Confidential Disclosure Policy

I hereby acknowledge that I have read and understand the Confidential Disclosure Policy in Section 7 of the Employee handbook. By signing below, I agree to abide by the Policy. I also acknowledge that any infractions will result in disciplinary action, up to and including termination.

This agreement supersedes and replaces any existing agreement between CEFIA and me relating generally to the same subject matter. It may not be modified or terminated, in whole or in part, except in writing signed by an authorized representative of CEFIA. Discharge of my undertakings in this agreement shall be an obligation of my executors, administrators, or other legal representatives or assigns.

Employee's Signature

Date

Print Employee Name

Information Technologies Policies

I hereby acknowledge that I have read and understand the Information Technologies Policies in Section 7 of the Employee handbook. By signing below, I agree to abide by the Policies. I also acknowledge that any infractions will result in disciplinary action, up to and including termination.

Employee's Signature

Date

Print Employee Name

CEFIA Request for Training

Name _____

Class Requested _____

Date of Class _____

Location of Class _____

Class is being offered by: _____

Requestor's Signature _____

Supervisor's Approval _____

Today's Date _____

Signature _____

Suzanne Kaswan
Manager, Vice President, Human Resources

APPLICATION FOR PARTICIPATION IN THE CEFIA SICK LEAVE BANK

I understand that as a permanent employee of CEFIA that has completed my introductory period, I may elect to choose to participate in a sick leave bank that is outlined in CEFIA Sick Leave Bank Policy. I understand that if I do not elect to participate within 30 days of completing my introductory period, I may only elect to participate during the annual open enrollment period.

I understand that if I elect to participate in the Sick Leave Bank, I will contribute the hourly equivalent of one day towards the Sick Leave Bank, and if the Sick Leave Bank falls below an adequate number of hours, I may be required to make an additional contribution to the Bank at a later date.

Employee Name: _____

Telephone: _____

Title: _____

Qualifying Event

I completed by introductory period on _____

I am enrolling during open enrollment on _____

_____ I elect participation in the Connecticut Innovations Sick Leave Bank.

_____ I reject participation in the Connecticut Innovations Sick Leave Bank.

Signature: _____

Date: _____

CEFIA.
Continuing Education Assistance Policy Form

1. Identification

Name _____ SS # _____

Home Address: _____

Current Title: _____ Current Dept: _____

2. Educational Information

School _____ Semester _____ Year _____

Degree: Certificate _____ Assoc. _____ Bach. _____ Grad. _____

Program: _____ Expected Matriculation: _____

Course Name:	Course No.	Date Reimbursed:	Grade
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

(Attach supporting documentation)

3. Consent and Authorization

I consent to the reporting of my grades in the above named course(s) to CEFIA. As of the date of this application, I hereby signify my intention to remain an employee of CEFIA for a period of not less than six months following completion of course(s). I further agree that if I voluntarily terminate my employment with CEFIA prior to the six month period and I have received reimbursement, I will repay CEFIA any funds extended to me under this program over the past six months.

I also understand that any additional tax liability related to these courses will be my responsibility and that CEFIA shall not be responsible for any such liability.

Signature _____ Date _____

4. Approvals

The employee identified above is authorized by CEFIA to pursue the program indicated above. Under this authorization, CEFIA will reimburse the employee for these courses in accordance with its Continuing Education Assistance Policy.

Supervisor _____ Date _____

Executive Director _____ Date _____

CEFIA

Telecommuting Agreement

This *Telecommuting Agreement* specifies the conditions applicable to an arrangement for performing work at an alternate work site on a regular basis. All employees that telecommute, even occasionally (i.e. inclement weather) must have a signed and approved Telecommuting Agreement on file with Human Resources. The *Agreement* becomes effective on _____ (date) and will remain in place as long as it meets the business needs of the organization. Either party can terminate the *Agreement* at any time. On-site workspace will be provided to the returning employee as soon as appropriate accommodations can be arranged. Please remember that telecommuting is not an option for some jobs – there are certain positions that require face to face interaction in the office. Prior to completing a telecommuting agreement, you should discuss with your supervisor whether your job duties can be performed remotely.

1. Telecommuting employees must have a set schedule of regular telecommuting days. In order to meet the business needs of the agency, an employee may request an adjustment to the telecommuting schedule outlined in this agreement. No adjustment may be made without prior supervisory approval. The supervisor has the right to revoke telecommuting privileges based on performance and/or business needs.

To facilitate ease in communication, the telecommuting schedule is defined as follows: Please indicate start time, end time, breaks, lunch periods, and duration if telecommuting is for a specific project basis.

<u>Monday</u>	<u>Tuesday</u>	<u>Wednesday</u>	<u>Thursday</u>	<u>Friday</u>	<u>Inclement Weather and/or As Needed Basis*</u>

*Inclement Weather and/or As Needed Basis requires individual supervisory approval for each occurrence.

Telecommuting may also be permitted on an as-needed basis with the approval of your supervisor if a valid business need exists for the agency. The employee must have an approved telecommuting agreement on file with Human Resources.

- ~~1. To facilitate ease in communication, the telecommuting schedule is defined as follows: (Specify days proposed to telecommute, hours to be worked per day, start time, end time, breaks, lunch periods, and duration if this is implemented on a project basis.) Telecommuting employees must have a set schedule of regular telecommuting days. The following guidelines should be considered when selecting a telecommuting schedule – No employee shall telecommute more than one (1) day per week. In addition, telecommuting is not permitted on Mondays, Fridays or during any which in which there is a holiday or the employee has scheduled time off. In order to meet the business needs of the agency, an employee may request an adjustment to the telecommuting schedule outlined in this agreement. No adjustment may be made without prior supervisory approval.~~

2. Telecommuting site information:

Address: _____

Phone # _____ Fax # _____ E-mail _____
Cell Phone # _____

3. Salary, job responsibilities, benefits, work status, and the amount of time worked per day or pay period will not change while telecommuting unless otherwise specified in writing. Since the employee's telecommuting space is considered an extension of **CEFIA's** workspace, the company's liability for job-related accidents will continue during the understood and approved telecommuting hours. The employee will maintain a designated workspace. Workers' Compensation coverage is limited to this workspace as opposed to adjacent areas, e.g. other areas of the home.

4. Duties and assignments authorized to be performed at the telecommuting site are the following:

Management will establish with the employee the means of assessing the quality and quantity of work performed at the telecommuting site, integrating these into established performance objectives. Management reserves the right to assign work as necessary at either the regular or the telecommuting site.

5. Identify any aspects of your current role that will not be able to be performed at the telecommuting site. Describe how you plan to compensate for these duties/responsibilities (e.g. faxes, phone coverage, etc.)

6. Recognizing that effective communication is essential for a telecommuting arrangement to be successful, the following methods and times of communicating are agreed upon. Specify how such communication will occur, including items such as backup & emergency contacts, time frames, phone, fax, beeper, email, face-to-face etc. In addition, employees shall forward their company phones to their home telephones or cell phones while telecommuting.

7. The employee agrees to remain accessible during designated work hours, and understands that management retains the right to require that the employee come into the regular work-site when a business need arises. Employees must indicate their telecommuting days on their Outlook calendar. Advance notice will be given whenever possible. In addition, employee will report to the traditional worksite for regularly scheduled meetings and time-periods pre-determined by management for purposes of education, communication, etc. In the event of equipment failure, loss of remote access capability or other system problems, employee will report to the traditional work site until the problem is resolved unless otherwise directed.

8. Describe your proposed telecommuting location:

A. The physical location in your home where your work space will be located

- B. When choosing your workspace please ensure the following:
- a. Adequate electrical power and power outlets, workspace and access pathways
 - b. Ergonomic lighting, seating work surfaces, and other work – related resources
 - c. Power cord, work-related tools, filing equipment, office equipment and items stored in overhead shelves or bins are safely arranged and secured.
 - d. Reasonable in-place safeguards to prevent family members from getting hurt within the telecommuters work's area; prevent loss or theft of the employer's proprietary data and equipment and protect the confidentiality of matters related to the telecommuter's work.
9. Also, make a detailed inventory of employer owned equipment that you will be utilizing in your telecommuting workspace. Regarding space and equipment set-up and maintenance, the following is agreed upon: Specify purchase source e.g. purchase/ lease/loan, set-up, maintenance, provision of supplies, insurance arrangements, etc. for each piece of equipment, furniture, phone, etc.
10. Employee will not subcontract or perform non-company work using its equipment, materials, information or anything else made available for the express purpose of performing work as defined in this Agreement.
11. Any hardware or software purchased by **CEFIA** remains its property and will be returned at the conclusion of the telecommuting arrangement. Employee agrees to protect all company equipment against unauthorized or accidental access, use, modification, destruction, or disclosure. Employee agrees to report to management instances of loss, damage, or unauthorized access immediately. Company-owned software is not to be duplicated except as formally authorized. Company information, whether stored electronically or as hard copy, remains the property of **CEFIA**; all work produced and products developed while telecommuting, remain the property of the company. **CEFIA** equipment at the telecommuting site will not be used for personal purposes or by anyone else at the telecommuting site. Employees may check email via webmail on home computers, but may not edit any attachments on any computer that is not issued by CI. Management reserves the right to make unscheduled inspections of the telecommuting premises, equipment and software to ensure compliance with all aspects of policies, procedures and agreements.

Employee agrees to maintain a safe, ergonomically correct, and secure work environment, and agrees to allow management access to telecommuting site to assess safety and security, upon reasonable notice.

12. Employee agrees to report work-related injuries to the supervisor and appropriate departments immediately. Employee agrees to hold the company harmless for injury to any non-employee at the telecommuting site.
13. Employee accepts responsibility for tax consequences, if any, of this arrangement, and for conformance to any local zoning regulations.
14. Employee agrees that dependent care responsibilities during agreed-upon telecommuting time periods, or other times as required by business need, will in no way impact work performance, quality, or attainment of goals and objectives.
15. Viewing or sharing in any way of company information, documentation or work product by any unauthorized person (e.g. family member, neighbor, etc.) will be cause for disciplinary action, up to and including termination.
16. Employee understands that all obligations, responsibilities, terms and conditions of employment with **CEFIA** remain unchanged, except those obligations and responsibilities specifically addressed in this Agreement.

I hereby affirm by my signature that I have read this *Telecommuting Agreement*, and understand and agree to all of the provisions found in it. The *Telecommuting Agreement* itself is not a contract of employment and may not be construed as one. I understand that I am accountable to all previous

THE CLEAN ENERGY FINANCE AND INVESTMENT AUTHORITY ETHICAL CONDUCT POLICY

I. Introduction

Ethical conduct is a core value of The Clean Energy Finance and Investment Authority (CEFIA) and all employees and officials of CEFIA are expected to maintain the highest professional standards in the conduct of their duties. In particular, each person is responsible for, and should become familiar with, the Code of Ethics for Public Officials. A copy of the "Guide to the Code of Ethics for Public Officials" is attached here. You may also access both the Code and the guide on the Office of State Ethics website at www.ct.gov/ethics by clicking on "Public Information".

II. Code of Ethics Compliance

Principle provisions of the Code of Ethics for Public Officials include:

- **GIFTS** - In general, state employees are prohibited from accepting gifts from anyone doing business with, seeking to do business with, or directly regulated by the state employee's agency or department or from persons known to be a registered lobbyist or lobbyist's representative. There are also restrictions on gifts between state employees in certain circumstances. (See the "Guide to the Code of Ethics for Public Officials" and Statutory References below, Sections 1-79(e) and 1-84(m).)
- **FINANCIAL BENEFIT** - A state employee is prohibited from using his/her office or non-public information obtained in state service for the financial benefit of the individual, certain family members, or that of an associated business.
- **OUTSIDE EMPLOYMENT** - A state employee may not accept outside employment which will impair his/her independence of judgment as to official state duties or which would induce the disclosure of confidential information. Generally, outside employment is barred if the private employer can benefit from the state employee's official actions.
- **FINANCIAL DISCLOSURE** - Certain state employees are required to file a financial disclosure statement with the State Ethics Commission. This statement will be considered public information.
- **RECUSAL OR REPORTING IN CASE OF POTENTIAL CONFLICTS** – The Code of Ethics requires that public officials and state employees avoid potential conflicts of interest. If a public official or state employee would be required to take official action that would affect a financial interest of such public official or state employee, certain family members or a business with which they are associated, they must excuse themselves from the matter or prepare and file a sworn written statement explaining why continued involvement in the matter would be on an objective basis and in the public interest despite the potential conflict. (See Statutory References below, Section 1-86(a).)

III. Additional CEFIA Policies

CEFIA expects that, in addition to complying with all provisions of the Code of Ethics for Public officials, employees and officials will:

- Protect the confidential information to which CEFIA has access;

- Avoid actual or potential conflicts of interest;
- Neither interfere with nor solicit contracts on behalf of any person;
- Avoid, in the case of employees, outside employment which may compromise or interfere with the ability to perform duties for CEFIA; and
- For those employees subject to the requirements of C.G.S. 1-83(a), submit the Statement of Financial Interests disclosure documents to the Office of State Ethics in a timely manner.

For the same reasons, and in order to maintain public confidence and avoid even an appearance of impropriety

- CEFIA employees and members of their immediate families are prohibited from investing in companies that receive financial assistance from CEFIA; and
- If an application for financial assistance from CEFIA is received from a business with which a CEFIA employee is associated, or in which such employee or an immediate family member has a direct financial interest, such employee, whether or not he or she expects to be involved in the processing or consideration of such application, shall notify the President of such business association or financial interest and such employee shall be sequestered from all information, discussions, actions and other activities related to such application. For this purpose, a business with which such employee is associated has the same meaning assigned in Section 1-79 of the Code of Ethics to the phrase “business with which he is associated”. (See Statutory References below, Section 1-79(b).)

For these purposes, CEFIA may post a “restricted list” of companies in which employees may not invest and may require employees to disclose outside business interests. The rules of conduct in these matters may also be covered in more detail in the CEFIA Handbook.

IV. Post-State Employment Restrictions

Employees leaving The Clean Energy Finance and Investment Authority are required to comply with the Code of Ethics provisions pertaining to post-state employment, which are commonly known as the “revolving door” provisions. For example, there are restrictions on accepting employment with a party to certain contracts (which would include contracts relating to investments or other financial assistance) if the employee or official were involved in the negotiation or award of the contract, and restrictions on representing other parties before CEFIA during the one-year period following departure from state service. Employees should familiarize themselves with the statutes pertaining to post-state employment. They can be found at C.G.S. Section 1-84a and 1-84b. (See Statutory References below.) You may access these statutes on the Office of State Ethics website at www.ct.gov/ethics by clicking on “Statutes and Regulations”. A summary of these requirements is included in the “Guide to the Code of Ethics for Public Officials and State Employees” attached to this ethics policy.

Before an employee leaves the employment of The Clean Energy Finance and Investment Authority, an exit interview will be conducted by our Ethics Liaison Officer. The purpose of this exit interview will be to individually review potential issues relating to post-Clean Energy Finance and Investment Authority employment.

V. Other Matters

The Board of The Clean Energy Finance and Investment Authority continues to have well justified faith in the integrity of and ethical conduct of employees and officials of The Clean Energy Finance and Investment Authority. It is understood however, that breaches of this ethics policy may require disciplinary action, including but not limited to dismissal from CEFIA, in addition to sanctions provided by state law. Such sanctions are to be applied as appropriate with the approval of the Clean Energy Finance and Investment Authority Board of Directors.

It is the responsibility of each employee and official to inquire of the Ethics Liaison Officer or the Office of State Ethics at 860.566.4472 should any question arise concerning his or her conduct.

VI. Statutory References

Sec. 1-79. Definitions. The following terms, when used in this part, shall have the following meanings unless the context otherwise requires:

(b) "Business with which he is associated" means any sole proprietorship, partnership, firm, corporation, trust or other entity through which business for profit or not for profit is conducted in which the public official or state employee or member of his immediate family is a director, officer, owner, limited or general partner, beneficiary of a trust or holder of stock constituting five per cent or more of the total outstanding stock of any class, provided, a public official or state employee, or member of his immediate family, shall not be deemed to be associated with a not for profit entity solely by virtue of the fact that the public official or state employee or member of his immediate family is an unpaid director or officer of the not for profit entity. "Officer" refers only to the president, executive or senior vice president or treasurer of such business.

(e) "Gift" means anything of value, which is directly and personally received, unless consideration of equal or greater value is given in return. "Gift" shall not include:

(1) A political contribution otherwise reported as required by law or a donation or payment as described in subdivision (9) or (10) of subsection (b) of section 9-601a;

(2) Services provided by persons volunteering their time, if provided to aid or promote the success or defeat of any political party, any candidate or candidates for public office or the position of convention delegate or town committee member or any referendum question;

(3) A commercially reasonable loan made on terms not more favorable than loans made in the ordinary course of business;

(4) A gift received from (A) an individual's spouse, fiancé or fiancée, (B) the parent, brother or sister of such spouse or such individual, or (C) the child of such individual or the spouse of such child;

(5) Goods or services (A) which are provided to a state agency or quasi-public agency (i) for use on state or quasi-public agency property, or (ii) that support an event, and (B) which facilitate state or quasi-public agency action or functions. As used in this subdivision, "state property" means (i) property owned by the state or a quasi-public agency, or (ii) property leased to a state agency or quasi-public agency;

(6) A certificate, plaque or other ceremonial award costing less than one hundred dollars;

(7) A rebate, discount or promotional item available to the general public;

(8) Printed or recorded informational material germane to state action or functions;

(9) Food or beverage or both, costing less than fifty dollars in the aggregate per recipient in a calendar year, and consumed on an occasion or occasions at which the person paying, directly or indirectly, for the food or beverage, or his representative, is in attendance;

(10) Food or beverage or both, costing less than fifty dollars per person and consumed at a publicly noticed legislative reception to which all members of the General Assembly are invited and which is hosted not more than once in any calendar year by a lobbyist or business organization. For the purposes of such limit, (A) a reception hosted by a lobbyist who is an individual shall be deemed to have also been hosted by the business organization which he owns or is employed by, and (B) a reception hosted by a business organization shall be deemed to have also been hosted by all owners and employees of the business organization who are lobbyists. In making the calculation for the purposes of such fifty-dollar limit, the donor shall divide the amount spent on food and beverage by the number of persons whom the donor reasonably expects to attend the reception;

(11) Food or beverage or both, costing less than fifty dollars per person and consumed at a publicly noticed reception to which all members of the General Assembly from a region of the state are invited and which is hosted not more than once in any calendar year by a lobbyist or business organization. For the purposes of such limit, (A) a reception hosted by a lobbyist who is an individual shall be deemed to have also been hosted by the business organization which he owns or is employed by, and (B) a reception hosted by a business organization shall be deemed to have also been hosted by all owners and employees of the business organization who are lobbyists. In making the calculation for the purposes of such fifty-dollar limit, the donor shall divide the amount spent on food and beverage by the number of persons whom the donor reasonably expects to attend the reception. As used in this subdivision, "region of the state" means the established geographic service area of the organization hosting the reception;

(12) A gift, including but not limited to, food or beverage or both, provided by an individual for the celebration of a major life event **[Not an available exception; see Section 1-84(m) below]**;

(13) Gifts costing less than one hundred dollars in the aggregate or food or beverage provided at a hospitality suite at a meeting or conference of an interstate legislative association, by a person who is not a registrant or is not doing business with the state of Connecticut;

(14) Admission to a charitable or civic event, including food and beverage provided at such event, but excluding lodging or travel expenses, at which a public official or state employee participates in his official capacity, provided such admission is provided by the primary sponsoring entity;

(15) Anything of value provided by an employer of (A) a public official, (B) a state employee, or (C) a spouse of a public official or state employee, to such official, employee or spouse, provided such benefits are customarily and ordinarily provided to others in similar circumstances;

(16) Anything having a value of not more than ten dollars, provided the aggregate value of all things provided by a donor to a recipient under this subdivision in any calendar year shall not exceed fifty dollars; or

(17) Training that is provided by a vendor for a product purchased by a state or quasi-public agency which is offered to all customers of such vendor.

Section 1-84 Prohibited Activities

(m) No public official or state employee shall knowingly accept, directly or indirectly, any gift, as defined in subsection (e) of section 1-79, from any person the official or employee knows or has reason to know: (1) Is doing business with or seeking to do business with the department or agency in which the official or employee is employed; (2) is engaged in activities which are directly regulated by such department or agency; or (3) is prequalified under section 4a-100. No person shall knowingly give, directly or indirectly, any gift or gifts in violation of this provision. For the purposes of this subsection, the exclusion to the term "gift" in subdivision (12) of subsection (e) of section 1-79 for a gift for the celebration of a major life event shall not apply. Any person prohibited from making a gift under this subsection shall report to the State Ethics Commission any solicitation of a gift from such person by a state employee or public official.

Section 1-84a. Disclosure or use of confidential information by former official or employee

No former executive or legislative branch or quasi-public agency public official or state employee shall disclose or use confidential information acquired in the course of and by reason of his official duties, for financial gain for himself or another person.

Sec. 1-84b. Certain activities restricted after leaving public office or employment

(a) No former executive branch or quasi-public agency public official or state employee shall represent anyone other than the state, concerning any particular matter (1) in which he participated personally and substantially while in state service, and (2) in which the state has a substantial interest.

(b) No former executive branch or quasi-public agency public official or state employee shall, for one year after leaving state service, represent anyone, other than the state, for compensation before the department, agency, board, commission, council or office in which he served at the time of his termination of service, concerning any matter in which the state has a substantial interest. The provisions of this subsection shall not apply to an attorney who is a former employee of the Division of Criminal Justice, with respect to any representation in a matter under the jurisdiction of a court.

(f) No former public official or state employee (1) who participated substantially in the negotiation or award of (A) a state contract valued at an amount of fifty thousand dollars or more, or (B) a written agreement for the approval of a payroll deduction slot described in section 3-123g, or (2) who supervised the negotiation or award of such a contract or agreement, shall accept employment with a party to the contract or agreement other than the state for a period of one year after his resignation from his state office or position if his resignation occurs less than one year after the contract or agreement is signed.

(g) No member or director of a quasi-public agency who participates substantially in the negotiation or award of a contract valued at an amount of fifty thousand dollars or more, or who supervised the negotiation or award of such a contract, shall seek, accept, or hold employment with a party to the contract for a period of one year after the signing of the contract.

CLEAN ENERGY FINANCE AND INVESTMENT AUTHORITY

OPERATING PROCEDURES

PURSUANT TO

Section 16-245n of the
Connecticut General Statutes

Adopted December 16, 2011

I. DEFINITIONS

Definitions of terms used in these Operating Procedures are as stated in the Authority's Bylaws or in Section 16-245n of the General Statutes.

Clean Energy Project: An activity that (i) promotes investment in clean energy; (ii) fosters the growth, development, and commercialization of clean energy sources and related enterprises; (iii) stimulates demand for clean energy and deployment of clean energy sources that serve end use customers in this state; or (iv) supports the development of advanced technologies that reduce energy use from traditional sources. For purposes of this definition, "clean energy" has the meaning as provided in Connecticut General Statutes § 16-245n(a), as may be amended from time to time.

II. GENERAL PURPOSES

The general purposes of the Clean Energy Finance and Investment Authority shall be as prescribed in Section 16-245n of the General Statutes, and in a resolution of purposes adopted by the Board pursuant to Section 16-245n(d)(1) of the Connecticut General Statutes, including implementation of the Comprehensive Plan (all together referred to in these Operating Procedures as "the purposes of the Authority").

III. GOVERNANCE

The Authority, a quasi-public authority of the State of Connecticut, shall be governed by a Board of Directors comprised of a number and appointed in a manner as prescribed in Section 16-245n(e) of the General Statutes. The affairs of the Board shall be conducted in accordance with applicable law, the Authority's Bylaws, and such policies with respect to corporate governance as may be adopted by the Board.

IV. ADMINISTRATION

The affairs of the Authority shall be administered in accordance with applicable law, the Bylaws, these Operating Procedures and other administrative policies as may be adopted by the President in consultation with the Board. The Board shall appoint a President and such other officers as provided in the Bylaws. Under the direction of the Board, such officers shall conduct the business of the Authority and shall have such authority as is conferred by applicable law, the Bylaws, these Operating Procedures, and the Board. References in these Operating Procedures to approval by the Board shall mean and include approval by the Board or by any duly constituted committee thereof authorized to act on behalf of the Board pursuant to the Bylaws of the Authority.

V. ADOPTION OF ANNUAL OPERATING BUDGET AND PLAN OF OPERATION

Sixty (60) days prior to the close of each fiscal year, the President shall cause to be prepared a suggested Annual Operating Budget for the forthcoming fiscal year, which shall also comprise the Annual Plan of Operation. The suggested Annual Operating Budget for the forthcoming fiscal year shall be considered by the Board prior the close of the then current fiscal year, modified if deemed necessary, and adopted to be effective beginning the first day of the forthcoming fiscal year.

Any expenditure that exceeds the amount annually budgeted for a specific line item in the Annual Operating Budget by an amount greater than ten thousand dollars (\$10,000) shall require the approval of the Board.

The Annual Operating Budget shall incorporate the Authority's Annual Plan of Operation by specifying operating, programmatic, investment, and other expenses for the forthcoming fiscal year.

VI. COMMUNITY DEVELOPMENT FINANCIAL INSTITUTION

The Authority may seek to qualify as a Community Development Financial Institution under Section 4702 of the United States Code. If approved as a Community Development Financial Institution, then the Authority would be treated as a qualified community development entity for purposes of Section 45D and Section 1400N(m) of the Internal Revenue Code.

VII. PERSONNEL POLICIES

All employees shall be exempt from the classified service and shall have all rights and benefits provided by applicable law. Grade classifications for each job title shall be established by the President, subject to Board approval.

Hiring & Promotions: The President shall, in accordance with the Authority's Bylaws, establish a schedule of positions and total staffing levels for the Authority. The schedule of positions shall describe the signature authority, if any, of each position. The President, acting on behalf of the Board, may from time to time fill any position on such schedule of positions and within such total staffing levels, except as may otherwise be provided in the Bylaws or any applicable resolution of the Board. The creation of any new Director-level position shall require the separate approval of the Board. For these purposes, "Director-level" means an Authority staff position one level under the officers in the Authority's staff organizational chart.

Whenever possible, the Authority shall maintain an identifiable career path for each class of positions on the schedule of positions approved by the Board. If the President determines it to be appropriate, then a current employee's position may be reclassified to another position within said career path. New positions approved by the Board and existing positions that become available as a result of a current employee vacating such position shall be posted internally and, if the President determines it to be appropriate, then publicly advertised in a manner reasonably designed to reach a range of possible applicants. A current employee shall be eligible for

reclassification or promotion to an existing or new position only if such employee has at least six (6) months of service with the Authority and meets the minimum qualifications for such position.

Notwithstanding any other provision of this section or any employee handbook or other personnel policies of the Authority, the position of the President, the manner of the conduct of any search for qualified applicants for such position, and the terms and conditions of employment in such position, including matters of compensation, dismissal, and severance, shall be in the discretion and subject to the approval of the Board. Hiring and promotion shall in all cases be in accordance with the Authority's Affirmative Action Plan and applicable statutes.

Compensation and Benefits: The Board shall establish and may from time to time modify reasonable compensation plans and employee benefits programs and policies as the Board determines to be necessary or appropriate to attract and retain qualified employees and carry out the Authority's statutory mission, including:

1. a compensation plan, which shall consist of sufficient salary grades to provide such compensation rates as may be determined to be necessary or desirable for all job classifications within the Authority, and which may include an incentive compensation program for all jobs classifications;
2. an employee benefits program, which may include, but is not limited to, vacation days, holidays, sick days, group health, life, and disability insurance, tuition reimbursement,

length of service awards and other benefits, including eligibility criteria and benefit levels;

3. a performance evaluation system, which may be used to determine merit increases in salary and incentive compensation levels;
4. policies with respect to compensatory time, flex-time, and telecommuting;
5. policies with respect to severance pay and benefits;
6. policies with respect to business and travel reimbursement; and
7. other reasonable compensation and employee benefits programs and policies as the Board determines to be necessary and appropriate to attract and retain qualified employees.

The President shall be empowered to administer the Authority's compensation plan and employee benefit programs and policies as approved by the Board, and shall have the authority to approve performance evaluations, determine merit increases and incentive compensation payments, and carry out such other duties and responsibilities as appropriate within the overall salary and employee benefits administration plan, except that performance evaluations and determination of merit or other salary increases and bonus payments for the position of President shall be reserved to the Board or the committee of the Board with responsibility for matters of compensation. The President has the authority to establish and modify certain employee policies involving workplace flexibility that do not in the aggregate have an adverse financial impact on the Authority. The Board shall review the Authority's compensation plan and employee benefit programs a part of its annual review of the Authority's Operating Budget and Plan of Operation.

Dismissal: Employment with the Authority is at-will, which means that either the employee or the Authority may terminate the relationship at any time and for any reason, with or without

cause. The President may impose any level of disciplinary action, including termination, based upon the severity of the offense requiring discipline and the employee's past work record. This in no way alters the at-will employment policy.

Coordination with and Administration by Connecticut Innovations, Incorporated: To the extent permitted by any contract for administrative support and services between the Authority and Connecticut Innovations, Incorporated, personnel policies, compensation plans, and benefit programs and policies of the Authority may be coordinated and/or combined with, and administered by, Connecticut Innovations, Incorporated, subject to appropriate cost sharing.

VIII. PURCHASE, LEASE, ACQUISITION POLICY **FOR REAL AND PERSONAL PROPERTY**

The Authority, acting through the President or another duly authorized officer, shall have the authority to invest in, acquire, lease, purchase, own, manage, hold, and dispose of real and personal property, and to lease, convey, or deal in or enter into agreements with respect to such real and personal property, on any terms necessary or incidental to the carrying out of the purposes of the Authority.

Procurement Procedures: The Authority may purchase, lease, or acquire real and personal property on a bid, negotiated, or open-market basis, including through a sole-source procurement or in such other manner as the President determines to be appropriate and in the best interests of the Authority in the circumstances, provided that in the case of any contract or agreement for the

purchase, lease, or acquisition of real or personal property requiring an expenditure by the Authority in excess of seventy-five thousand dollars (\$75,000), wherever possible bids or proposals shall be solicited from at least three (3) qualified parties. The requirements of this subsection shall not be applicable to transactions entered into by the Authority primarily for the purpose of providing financial assistance pursuant to Articles XII, XIII and XIV of these Operating Procedures. To the extent permitted by any contract for administrative support and services between the Authority and Connecticut Innovations, Incorporated, space, systems, supplies and other property, goods or services necessary for the business operations of the Authority may be provided by Connecticut Innovations, Incorporated, subject to appropriate cost sharing, and in such cases the procurement procedures of Connecticut Innovations, Incorporated shall apply thereto.

IX. CONTRACTING FOR PROFESSIONAL SERVICES

The Authority, acting through the President or another duly authorized officer, shall have the authority to engage accountants, attorneys, appraisers, financial advisers, investment advisers, underwriters, investment managers, investment bankers, brokers, architects, construction managers, engineers, and other consultants and professionals on any terms necessary or incidental to the carrying out of the purposes of the Authority. In the absence of a conflict of interest, such consultants and professionals may be those also providing services to Connecticut Innovations, Incorporated.

Procurement Procedures: Contracts for professional services shall be awarded by the Authority in such manner, including on the basis of a sole-source procurement, as the Board determines to be appropriate and in the best interests of the Authority in the circumstances, provided that (i) for such contracts requiring an expenditure by the Authority up to and including seventy-five thousand dollars (\$75,000) over a period of one (1) fiscal year, the President has sole approval authority; (ii) for such contracts requiring an expenditure by the Authority over seventy-five thousand dollars (\$75,000) and up to and including one hundred fifty thousand dollars (\$150,000) over a period of one (1) fiscal year, the President and the Chairperson must both approve the expenditure; and (iii) for such contracts requiring an expenditure by the Authority of over one hundred fifty thousand dollars (\$150,000), such contract shall, whenever possible, be awarded on the basis of a process of competitive negotiation where proposals are solicited from at least three (3) qualified parties. To the extent permitted by any contract for administrative support and services between the Authority and Connecticut Innovations, Incorporated, professional services may also be provided by consultants and professionals selected by and under contract to Connecticut Innovations, Incorporated, subject to appropriate cost sharing. The provisions of Section 1-127 of the General Statutes shall apply to the engagement of auditors by the Authority.

X. STATE CONTRACTING REQUIREMENTS

Any solicitation of bids or proposals by the Authority, and any award of a contract by the Authority, shall be subject to all state procurement and contracting requirements applicable to

quasi-public agencies of the state, including without limitation the following to the extent applicable in the circumstances:

- Section 9-612 of the General Statutes, as amended, relating to campaign contributions by state contractors and their principals and related notices to state contractors and prospective state contractors;
- Section 4-252 of the General Statutes relating to affidavits as to gifts from contractors under certain large state contracts;
- Section 4a-81 of the General Statutes relating to affidavits with respect to consulting fees;
- Section 3-13l of the General Statutes relating to the prohibition of finder's fees in connection with investment transactions;
- Section 3-13j of the General Statutes relating to the disclosure of third party fees attributable to investment services contracts;
- Section 4-61dd of the General Statutes relating to whistleblower protections; and
- Section 4a-60 and 4a-60a of the General Statutes relating to non-discrimination in state contracting and documentation of contractor adoption of a corporate policy supporting the non-discrimination agreements and warranties required by Sections 4a-60 and 40a-60a.

XI. FUNDING SOURCES AND PROCEDURES OF
GENERAL APPLICABILITY TO FINANCIAL ASSISTANCE

Funding sources specifically authorized by the Statute include, but are not limited to:

Funding Sources:

- (i) Funds repurposed from existing programs providing financing support for clean energy projects, provided any transfer of funds from such existing programs shall be subject to approval by the General Assembly and shall be used for expenses of financing, grants, and loans;

- (ii) Any federal funds that can be used for the purposes specified in Section 16-245n(c) of the General Statutes;

- (iii) Charitable gifts, grants, and contributions, as well as loans from individuals, corporations, university endowments, and philanthropic foundations;

- (iv) Earnings and interest derived from financing support activities for clean energy projects backed by the Authority;

- (v) If and to the extent that the Authority qualifies as a Community Development Financing Institution under Section 4702 of the United States Code, then funding from the Community Development Financing Institution Fund administered by the United States Department of Treasury, as well as loans from and investments by depository institutions seeking to comply with their obligations under the United States Community Reinvestment Act of 1977; and
- (vi) The Authority may enter into contracts with private sources to raise capital. The average rate of return on such debt or equity shall be set by the Board.

Procedures of General Applicability to Financial Assistance:

- (a) For clean energy projects, the amount to be financed by the Authority and other nonequity financing sources cannot exceed eighty per cent (80%) of the cost of developing and deploying such projects.
- (b) For energy efficiency projects the amount to be financed by the Authority and other nonequity financing sources cannot exceed one hundred per cent (100%) of the cost of financing such projects.
- (c) The Authority may assess reasonable fees on its financing activities to cover its reasonable costs and expenses, as determined by the Board.

- (d) The Authority shall make information regarding the rates, terms, and conditions for all of its financing support transactions available to the public for inspection, including formal annual reviews by both a private auditor conducted pursuant to Section 16-245n(f)(2) of the General Statutes and the Comptroller, and providing details to the public on the Authority's Web site; provided that public disclosure shall be restricted for patentable ideas, trade secrets, proprietary or confidential commercial or financial information, disclosure of which may cause commercial harm to a nongovernmental recipient of such financing support and for other information exempt from public records disclosure pursuant to Section 1-210 of the General Statutes.
- (e) Any entity that receives financing for a clean energy project from the Clean Energy Fund (Fund) shall provide the board an annual statement, certified as correct by the chief financial officer of the recipient of such financing, setting forth all sources and uses of funds for such project in such detail as may be required by the Authority. The Authority shall maintain any such audits for not less than five (5) years. Residential projects for buildings with one to four dwelling units are exempt from this and any other annual auditing requirements, except that residential projects may be required to grant their utility companies' permission to release their usage data to the Authority.

XII. FINANCIAL ASSISTANCE—GRANTS, LOANS OR LOAN GUARANTEES,
DEBT AND EQUITY INVESTMENTS

The procedures in this section are generally applicable to the award of grants, loans or loan guarantees, and debt and equity investments for clean energy projects when the Board determines that one of the following methods be used in the selection and award process: (1) competitive selection and award, (2) programmatic selection and award, or (3) strategic selection and award. The factors to be considered in choosing the appropriate selection and award method, and the general procedures to be followed in each such case are set forth below.

Competitive Selection and Award

Applicability: Competitive selection and award shall be the preferred method when the Board determines that it is appropriate in the circumstances to invite and consider proposals for a particular clean energy project or projects in a competitive process under an established schedule and pursuant to formal qualification and selection criteria so that proposers and proposals may be evaluated fairly and thoroughly on a comparative basis.

Issuance of RFP: A request for proposals (RFP) shall be published or distributed in a manner that the Authority determines will promote broad participation in the competitive process. Deadlines for particular stages in the competitive selection process will be set forth in the RFP. Notice of the RFP shall be posted on the Web site of the Authority, may be published in one or more major daily newspapers published in the State, and may also be posted on the Web site of the Connecticut Department of Administrative Services. The

RFP itself shall also be posted on the Web site of the Authority and shall be mailed to or otherwise made available to interested parties in a reasonable manner.

Eligibility: Each RFP shall be ~~authorized by resolution of the Board and~~ issued pursuant to guidelines established by the Authority consistent with ~~such Board authorization~~the Authority's Comprehensive Plan and Annual Operating Budget. Such guidelines shall at a minimum set forth: (1) proposer qualification requirements, (2) project eligibility criteria, (3) the nature and amount of financial assistance available from the Authority under the program, (4) the principal selection criteria, (5) any mandatory terms and conditions under which such funding is available, (6) applicable application, processing, or other program fees, and (7) the process by which proposals will be considered and acted upon. Such guidelines may be modified, in whole or in part, from time to time and at any time by the Authority, consistent with the authorizing resolution of the Board.

Selection Criteria: Selection criteria shall include, as applicable, (1) the eligibility of the proposer; (2) the proposer's qualifications and experience; (3) the financial feasibility of the project, including the availability and firmness of required financing; (4) the cost-effectiveness of the project; (5) the technological characteristics of the project, including the potential for technological improvements and advancements; the project's operational feasibility and commercial applicability; (6) the jobs created by the project; (7) the environmental benefits stemming from the project; and (8) the contributions to be made by the project toward the statutory purposes of the Authority and the furtherance of the Comprehensive Plan. Other selection criteria may be established for any RFP, and any weighting of selection criteria shall be in the discretion of the Authority ~~acting pursuant to the authorizing resolution of the Board~~as provided in such RFP. If appropriate in the

circumstances, then an RFP may be first issued as a request for qualifications, following which those respondents found to be qualified are invited to respond to a final RFP.

Selection Process: The selection process shall be designed to provide for a fair and thorough evaluation of each eligible and qualified proposal, and shall be described in the RFP. The selection process may include the use of a review or scoring team, which may include members of any advisory committee, members of the staff of the Authority, and independent members with relevant industry, academic, or governmental experience. No member of any such review or scoring team shall have any financial or other personal interest in any proposed project. Any such review or scoring team shall act in an advisory capacity only and shall not constitute a committee or subcommittee of the Board, and the members of any such review or scoring team shall not be deemed to be public officials as a result of their service thereon. If the Authority determines that the responses to the RFP have been insufficient in number or quality to achieve the objectives of a competitive selection and award process or otherwise determines it to be in the best interest of the Authority, then the RFP may be extended, withdrawn and reissued, or cancelled at any time.

Selection Decision: One or more proposers may be selected for the purpose of entering into negotiations, if applicable, with respect to a project. Such selection shall be made by the Authority ~~acting pursuant to the authorizing resolution of the Board~~ after taking into account the established selection criteria, any report or recommendation by staff of the Authority, the report of any review or scoring team, and the results of any review and recommendation by any advisory committee to the Board, applied on an equitable basis. If more than one proposal is selected, then they may be ranked in order of preference,

which ranking may be based on the recommendation of staff of the Authority, such advisory committee, or the review or scoring team.

Notification to Proposers; Effect of Selection: All proposers shall be promptly notified of the results of the selection process. Such results may also be posted on the Web site of the Authority. Any such selection and notification is solely for the purpose of qualification for possible negotiation and does not constitute a financing commitment or the award of a contract.

Negotiation: The Authority may enter into good faith negotiations with one or more of the selected proposers at such time and in such order as the Authority may determine in its discretion consistent with the ~~authorizing resolution of the Board~~terms of the RFP. The commencement of such negotiations does not signify a commitment to provide financial assistance or to enter into a contract with a proposer. Either the proposer or the Authority may terminate such negotiations at any time for any reason. The Authority reserves the right to enter into negotiations with any other proposer at any time. Such negotiations shall not be limited to the scope or terms of the proposal but may include such other matters or different terms as the Authority may determine to be in the best interests of the Authority, ~~acting pursuant to the authorizing resolution of the Board~~.

Award: Upon mutual agreement regarding the terms and conditions of the financial assistance, the Authority and the selected proposer may enter into a contract which memorializes the agreed-upon terms and conditions subject to all necessary Authority approvals, including the Board or a duly authorized committee of the Board.

Fees and Expenses: The Authority may impose reasonable application, processing, or similar fees in connection with the submission and processing of proposals, and may require, as a condition of negotiation with any selected proposer, that such proposer agree to pay costs incurred by the Authority, including fees and disbursements of the Authority's counsel, consultants, and other professional advisors. Any pre-established application, processing, or other program fees shall be set forth in the RFP.

State Contracting Requirements: Any RFP shall be subject to, and any definitive financing or contracting documents shall include, such provisions as may be required by applicable laws or executive orders, including with respect to non-discrimination and affirmative action.

Other Terms and Conditions: Any RFP may be subject to and include such other terms and conditions, not inconsistent with the requirements of these procedures, as the Authority may determine in its discretion to be appropriate and in the best interests of the Authority, ~~consistent with the authorizing resolution of the Board.~~

Programmatic Selection and Award

Applicability: Programmatic selection and award shall be the preferred method when the Board determines that it is appropriate in the circumstances to invite applications on a continuing or periodic basis for clean energy projects with identified characteristics and to consider such applications under pre-established program-based qualification, eligibility, and selection criteria, but that it is not necessary or appropriate to evaluate such applications on a comparative basis as part of a competitive RFP process. Any such program may be discontinued, suspended, extended, or expanded at any time by the

Board based on its determination of what is appropriate and in the best interests of the Authority.

Program Guidelines: Each such program shall be authorized by resolution of the Board and operated and administered by the Authority pursuant to program guidelines established by the Authority consistent with such Board authorization, which shall at a minimum set forth: (1) applicant qualification requirements, (2) project eligibility criteria, (3) the nature and amount of financial assistance available from the Authority under the program, (4) the principal selection criteria, (5) any mandatory terms and conditions under which such funding is available, (6) the application process, including a standard application form, (7) applicable application, processing, or other program fees, and (8) the process by which applications will be considered and acted upon. Such program guidelines may be modified, in whole or in part, from time to time and at any time by the Authority, consistent with the authorizing resolution of the Board. A general description of each such program, including the applicable program guidelines, and all such modifications, if any, shall be posted on the Web site of the Authority.

Approval; Terms and Conditions of Award: Applications shall be subject to the approval of the Board, or of the President or other officer of the Authority if and to the extent so authorized in the authorizing resolution of the Board, after taking into account any report or recommendations of the staff of the Authority or an advisory committee, if applicable. Financial support for a project under any such program shall be in such amount, and shall be subject to such project-specific terms, conditions, and requirements, as may be determined by the Authority within the limits established by the authorizing resolution of the Board and consistent with the program guidelines.

~~Timing of Consideration; Notice of Approval or Disapproval: While the processing time for applications may vary considerably based on the specific requirements of each program, applicants for financial assistance available under an Authority program will receive notice of approval or disapproval within one hundred twenty (120) days of the submission of a complete application (including receipt of such additional information as the Authority may reasonably request in order to complete its application review). Failure to act on a completed application within such one hundred twenty (120) day period shall be deemed disapproval. Such one hundred twenty (120) day period may be extended at the request of either the Authority or the applicant with the consent of the other.~~

Fees and Expenses: The Authority may impose reasonable application, processing, or similar fees in connection with the submission and processing of proposals, and may require, as a condition of negotiation with any selected proposer, that such proposer agree to pay costs incurred by the Authority, including fees and disbursements of the Authority's counsel, consultants, and other professional advisors. Any pre-established application, processing, or other program fees shall be set forth in the applicable program guidelines.

Strategic Selection and Award

Applicability: While the utilization of an open and public process, either competitive or programmatic, for awards from the Authority is anticipated most often to be in the best interest of the Authority and is to be strongly preferred, there are nevertheless recognized to be certain circumstances in which, based on special capabilities, uniqueness of the opportunity, urgency of need, cost, and similar factors, the public interest and the

strategic mission of the Authority is best served by direct participation by the Authority in, and funding of, a particular clean energy project outside of an existing program and absent a competitive process of selection and award. Such strategic selection and award method may be utilized upon an affirmative resolution, adopted by a two-thirds majority of the members of the Board present at a meeting of the Board, determining that the advantages of strategic selection and award clearly outweigh the general public interest in an open and public process based on a finding that at least three (3) of the following characteristics are present and are of predominant importance to the Authority:

- a. Special Capabilities: The opportunity is presented by a party with exceptional experience, expertise, or availability, or holding patent or other proprietary rights of special value to the Authority.
- b. Uniqueness: The opportunity is one-of-a-kind by virtue of location, high visibility, and leverage with other already committed public or private funding or similar unique attributes.
- c. Strategic Importance: The opportunity has exceptionally strong compatibility with the mission of the Authority, including the jobs created by the project or the environmental benefits stemming from the project, or offers the Authority an organizational role, participation in governance, a formative or other key role in the industry, high funding leverage potential, broad market reach, exceptional educational or public relations value, or similar special strategic advantages important to the Authority.

- d. Urgency and Timeliness: There is an urgent need to act on the opportunity as a result of public exigency or emergency, or a strategically important opportunity would become unavailable as a result of delay, or it would take an unacceptable length of time for a similar opportunity to reach the same level of readiness.

- e. Multiphase Project; Follow-on Investment: The opportunity relates to the next phase of a multiphase proposal or the expenditure is necessary to support or protect an existing the Authority investment or initiative.

Other Requirements: Awards made by strategic selection and award shall to the extent applicable be otherwise subject to the same procedures set forth with respect to competitive selection and award under the headings “Negotiation”, “Award”, “Fees and Expenses”, “State Contracting Requirements”, and “Other Terms and Conditions”.

XIII. ISSUING AND RETIRING BONDS, BOND ANTICIPATION NOTES, AND OTHER OBLIGATIONS OF THE AUTHORITY

The Board shall approve the issuance and retirement of all bonds, bond anticipation notes, and other obligations of the Authority. Such approval may include, but not be limited to, their form, denominations, maturities, rates, prices, public or private sales, and other provisions important or necessary for their issuance or retirement, including the payment of all expenses, premiums, and commissions in connection therewith.

XIV. SURPLUS FUNDS

Surplus funds generated through the sale of bonds, bond anticipation notes, or other obligations of the Authority, to the extent not needed for the payment of interest and principal due on any payment of said bonds, bond anticipation notes, or other obligations, if any accrued by the Authority, shall be withdrawn and transferred to the Authority's Operating Account at such times as is permitted under applicable resolutions for the bonds, bond anticipation notes, or other obligations to be used for any lawful purposes of the Authority.

XV. PERIODIC REVIEW; AMENDMENT OF PROCEDURES

At least annually, the Audit, Compliance, and Governance Committee of the Board shall meet to review and discuss the matters addressed by these Procedures and, if deemed necessary, to make recommendations for amendment of these Procedures to Board. Amendments to these Procedures shall be effective only upon adoption of such amendments by a two-thirds vote of the Board.

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NOTICE OF INTENT TO AMEND OPERATING PROCEDURES

In accordance with Section 1-121 of the Connecticut General Statutes, notice is hereby given that the Clean Energy Finance and Investment Authority (“CEFIA”) proposes to amend its Operating Procedures.

Summary of Written Procedures: CEFIA is proposing the following revisions to its Operating Procedures. These changes clarify the authority of CEFIA’s President and revise certain competitive and programmatic selection and award procedures in the following ways:

- Grant the President authority to make adjustments as necessary in benefits programs regarding workplace flexibility (e.g., telecommuting and flex-time policies) in order to recruit and retain qualified applicants. The President’s authority to make such adjustments cannot result in an adverse budgetary impact.
- Clarify authorization requirements for requests for proposals (“RFP”) in the competitive selection and award process. Rescind the requirement that each RFP be authorized by resolution of the CEFIA Board of Directors (the “Board”) and instead require that each RFP be issued pursuant to guidelines established by CEFIA consistent with its Comprehensive Plan and Annual Operating Budget. Each award shall be subject to all necessary CEFIA approvals before execution, including approval by the Board or a duly authorized committee of the Board.
- Amend programmatic selection and award procedures by rescinding the 120 day deadline for notice of approval or disapproval of an application for financial assistance under any CEFIA program.

Statement of Purpose: The proposed amendments clarify the authority of the President in regard to employee policies and revise certain competitive and programmatic selection and award procedures.

Copies of the proposed revised procedures are available at CEFIA between the hours of 8:00 a.m. and 4:30 p.m., Monday through Friday, by contacting Brian Farnen, General Counsel and Chief Legal Officer at 860.257.2892 or by email at Brian.Farnen@ctcleanenergy.com. All interested parties may submit comments in connection with the proposed revisions to the Operating Procedures, within thirty days following publication of this notice, to Loyola French, Contract Administrator, CEFIA, 845 Brook Street, Rocky Hill, CT 06067, email: Loyola.French@ctcleanenergy.com.