



**CLEAN ENERGY**  
FINANCE AND INVESTMENT AUTHORITY

December 5, 2011

Dear Clean Energy Finance and Investment Authority Budget and Operations Committee Members:

We are honored to have you sit on the Budget and Operations Committee.

To prepare you for next Monday's meeting, we have provided you with a lot of information that will be covered on the agenda and the associated resolutions.

If you have any questions, comments or concerns, please feel free to contact me at any time.

We look forward to the meeting next week.

Sincerely,

A handwritten signature in blue ink, appearing to read 'B. Garcia', with a long horizontal flourish extending to the right.

Bryan Garcia  
President and CEO



# CLEAN ENERGY

## FINANCE AND INVESTMENT AUTHORITY

### AGENDA

Budget and Operations Committee of the  
Clean Energy Finance and Investment Authority  
79 Elm Street  
Hartford, CT 06106

Monday, December 12, 2011 – Regular Meeting  
11:00 a.m.-12:00 p.m.

Staff Invited: George Bellas, Brian Farnen, Bryan Garcia, and Suzanne Kaswan

1. Call to order
2. Review of public comments submitted through the Connecticut Law Journal and approval of the proposed Operating Procedures\*\* – 10 minutes
3. Review and approval of the proposed Employee Handbook and other policies and practices\*\* – 15 minutes
4. Discussion of a proposed Program Plan Outline document – 10 minutes
5. Review and approval of the proposed revisions to the FY 2012 Operating Budget of the CCEF for the CEFIA\*\* – 20 minutes
6. Approval of the regular schedule of the Budget and Operations Committee for 2012\* – 5 minutes
7. Adjourn

\*Denotes item requiring Committee action

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

**Call-in information: 1-719-867-0487**

**Audio Key: 772184**

***Next Meeting: Tuesday, May 8, 2012***

***Clean Energy Finance and Investment Authority, 865 Brook Street, Rocky Hill, CT***



# CLEAN ENERGY

## FINANCE AND INVESTMENT AUTHORITY

### RESOLUTIONS

Budget and Operations Committee of the  
Clean Energy Finance and Investment Authority  
79 Elm Street  
Hartford, CT 06106

Monday, December 12, 2011 – Regular Meeting  
11:00 a.m.-12:00 p.m.

Staff Invited: George Bellas, Brian Farnen, Bryan Garcia, and Suzanne Kaswan

1. Call to order
2. Review of public comments submitted through the Connecticut Law Journal and approval of the proposed Operating Procedures\*\* – 10 minutes

**Motion to Recommend the acceptance of the public comments and approval of the Operating Procedures of the Clean Energy Finance and Investment Authority to the Board of Directors of the Clean Energy Finance and Investment Authority. Second. Discussion. Vote.**

3. Review and approval of the proposed Employee Handbook and other policies and practices\*\* – 15 minutes

**Motion to Recommend the approval of the Employee Handbook and other policies and practices of the Clean Energy Finance and Investment Authority to the Board of Directors of the Clean Energy Finance and Investment Authority. Second. Discussion. Vote.**

4. Discussion of a proposed Program Plan Outline document – 10 minutes
5. Review and approval of the proposed revisions to the FY 2012 Operating Budget of the CCEF for the CEFIA\*\* – 20 minutes

**Motion to Recommend the approval of the proposed revisions of the FY 2012 Operating Budget of the Connecticut Clean Energy Fund to the FY 2012 Operating Budget of the Clean Energy Finance and Investment Authority to the Board of Directors of the Clean Energy Finance and Investment Authority. Second. Discussion. Vote.**

6. Approval of the regular schedule of the Budget and Operations Committee for 2012\* – 5 minutes

**Motion to approve the Regular Budget and Operations Committee Meeting  
Schedule for the calendar year 2012, as presented. Second. Discussion. Vote.**

7. Adjourn

\*Denotes item requiring Committee action

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

**Call-in information: 1-719-867-0487**

**Audio Key: 772184**

***Next Meeting: Tuesday, May 8, 2012***

***Clean Energy Finance and Investment Authority, 865 Brook Street, Rocky Hill, CT***



**CLEAN ENERGY**

FINANCE AND INVESTMENT AUTHORITY

## **Budget & Operations Committee of the Clean Energy Finance and Investment Authority**

### **Agenda Item #1**

Call to Order

December 12, 2011



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## **Budget & Operations Committee of the Clean Energy Finance and Investment Authority**

### **Agenda Item #2**

Proposed Operating Procedures

December 12, 2011

1. **Proposed Draft** – approved by the Board of Directors on September 29, 2011
2. **Public Comments** – released to the Connecticut Law Journal on October 25, 2011 and received comments from one individual pertaining to grammatical errors
3. **Proposed Final** – includes comments and proposes a clarifying definition of “clean energy project” as an addendum
4. **Motion** – recommend the acceptance of the public comments, **inclusion of a “clean energy project” definition**, and approval of the Operating Procedures of the Clean Energy Finance and Investment Authority to the Board of Directors of the Clean Energy Finance and Investment Authority.

# Section I – Definitions

## “Clean Energy Project”



- ▶ **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.





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## **Budget & Operations Committee of the Clean Energy Finance and Investment Authority**

### **Agenda Item #3**

Employee Handbook and Other Policies and Practices

December 12, 2011



1. **Bylaws** – various requirements in the Bylaws for the Budget & Operations Committee to recommend to the Board of Directors various employee policies, internal control procedures and operational practices
2. **Model** – used the handbook, policies and practices of Connecticut Innovations to draft for CEFIA
3. **Resolution** – recommend the approval of the Employee Handbook and other policies and practices of the Clean Energy Finance and Investment Authority to the Board of Directors of the Clean Energy Finance and Investment Authority



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## **Budget & Operations Committee of the Clean Energy Finance and Investment Authority**

### **Agenda Item #4**

Program Plan Outline

December 12, 2011

1. **Rationale** – need for a disciplined, systematic, and comprehensive program designing process intended to align programs with organizational goals and objectives, identify best practices, and provide a framework for evaluation – a management tool.
2. **Process** – worked with LBNL through our Clean Energy Training Program on finance, marketing, and EM&V to develop this outline, which they believe to be “extremely thorough”. LBNL would like to see how impact can be attributable to CEFIA programs and has a green light to continue to provide assistance.
3. **Implementation** – staff will use this document when planning a major program. A memo along with Section 1 Program Summary, will be provided to the Board of Directors for program approval.

# Program Plan

## Section 1 – Program Summary



- 1.1 Executive Summary and Funding Request
- 1.2 Background
- 1.3 Stakeholders
- 1.4 Program Goals
- 1.5 Organizational Goals
- 1.6 Measures of Success
- 1.7 Opportunity for Financial Innovation
- 1.8 Prior Programs
  - a. Similar or Related Programs
  - b. Benchmarking Leaders



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## **Budget & Operations Committee of the Clean Energy Finance and Investment Authority**

### **Agenda Item #5**

Proposed Revisions to the FY 2012 Operating Budget

December 12, 2011

# Background

## From the CCEF and CI to CEFIA



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1. **CCEF Budget Approval** – FY 2012 operating budget approved on May 31, 2011 by CCEF and CI BOD
2. **Passage of Public Act 11-80** – created new quasi-public authority on July 1, 2011
3. **Staff Reorganization** – first meeting of the CEFIA BOD on September 29, 2011 approved of schedule of positions
4. **Revised CEFIA Budget** – proposed FY 2012 operating budget on December 6<sup>th</sup>, 12<sup>th</sup> and 16<sup>th</sup> of 2011

# Goals

## Proposed FY 2012 Operating Budget Revisions



1. Reduce operating expenses by 6% (or \$300,000) compared to the FY 2011 Operating Budget
2. Support the transition needs from the CCEF to CEFIA
3. Align operating resources with the development and implementation of a Comprehensive Plan and subsequently a Program Budget



# Revenues

(\$ in 000's)



Revenues	FY 2011 Budget	FY 2011 Actual	FY 2012 Budget	FY 2012 Revised Budget	FY 2012 Revenues YTD
Utility customer assessments	26,975	28,444	27,515	27,515	9,685
Interest on deposits	127	117	118	118	63
Renewable energy certificates	500	53	100	100	29
Interest income – solar lease notes	90	90	120	120	29
RGGI Auction Proceeds	4,000	3,383	3,500	1,100	193
RPS compliance penalty payments	100	104	100	100	0
Other income	<u>40</u>	<u>62</u>	<u>60</u>	<u>60</u>	<u>515</u>
<b>Total Revenues</b>	<b>31,832</b>	<b>32,254</b>	<b>31,513</b>	<b>29,113</b>	<b>10,514</b>

Utility customer assessment is slightly ahead of expectation and there is a significant reduction in estimated RGGI allowance proceeds

# Expenses

(\$ in 000's)

Expenses	FY 2011 Budget	FY 2011 Actual	FY 2012 Budget	FY 2012 Revised Budget	FY 2012 Expenses YTD
Salaries and wages	2,438	2,040	2,287	2,303	670
Benefits	1,480	1,302	1,418	1,457	422
Legal Fees	275	52	75	100	34
Accounting Fees	23	17	21	21	1
Advisory Fees	60	16	40	50	0
External Relations*	185	106	143	238	34

\* External relations includes media relations, marketing collateral, website, sponsorship and events, advertising and branding, memberships and other

Staff reductions in FY 2011 left the organization short on human resources

# Expenses (cont'd)

(\$ in 000's)



Expenses	FY 2011 Budget	FY 2011 Actual	FY 2012 Budget	FY 2012 Revised Budget	FY 2012 Expenses YTD
Rent and location related	236	231	241	254	71
Office, computer and other	158	103	128	133	35
Temporary Employees	51	49	26	50	26
Directors & officers insurance	27	25	26	56	8
Travel & related	53	36	43	43	13
ARRA indirect expense reimburse	<u>(27)</u>	<u>(41)</u>	<u>(41)</u>	<u>(41)</u>	----
<b>Total Expenses</b>	<b>4,964</b>	<b>3,956</b>	<b>4,407</b>	<b>4,664</b>	<b>1,315</b>

Moved to a location where there was limited room for growth and human resource shortage requires temporary hires to meet work demands

# Personnel

## Organizational Restructuring



1. **Transfers** – transferred CI employees to CEFIA on October 4, 2011
2. **CI Administrative Transfers** – gained 0.4 FTEs in marketing and saved \$55,000 in salary and benefits from reductions in external relations
3. **CCEF Restructuring** – eliminated 5.0 FTEs from old structure and replaced with 4.0 FTEs for new structure and saved \$225,000 in salary and benefits
4. **CCEF Reclassifications** – assigned existing staff with skills and expertise to new areas with greater responsibilities increasing costs \$100,000
5. **New Hires** – hiring new capabilities in EVP-CIO, Chief of Staff, and Associate of Technology Innovation increasing costs \$280,000

Increase in FTE by 2.4 (LBE and Chief of Staff) and budget by \$100,000

# Comparative Analysis of Salaries (2010)

## CEFIA vs. CDA, CHFA, and CI



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	CDA	CI	CHFA	CEFIA
Min	\$4,440	\$20,051	\$35,606	\$ 46,000
Max	\$177,576	\$182,330	\$224,002	\$ 150,000
Mean	\$87,071	\$85,923	\$82,161	\$ 84,679
Data Points	27	30	127	23

\* Salary data provided by the Yankee Institute's [www.ctsunlight.org](http://www.ctsunlight.org) website. CEFIA data is actual as of December 1, 2011

CEFIA average salaries are less than CI and CDA and CDA, CI and CHFA maximum salaries all higher than CEFIA by 20 to 30 percent



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## **Budget & Operations Committee of the Clean Energy Finance and Investment Authority**

### **Agenda Item #6**

Regular Schedule of the Committee for 2012

December 12, 2011

# Budget & Operations Committee

## Regular Meeting Schedule for 2012



**CLEAN ENERGY**  
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Name	Organization
Dan Esty	DEEP
Norma Glover	NJG Associates
Mun Choi	University of Connecticut
TBD	TBD
Catherine Smith	DECD (Chair)

Jan	Feb	Mar	Apr	May	June	July	Aug	Sep	Oct	Nov	Dec
				8 <sup>th</sup>						6 <sup>th</sup>	

CLEAN ENERGY FINANCE AND INVESTMENT AUTHORITY

OPERATING PROCEDURES

PURSUANT TO

Section 16-245n of the  
Connecticut General Statutes

DRAFT

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.

## **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 ~~of~~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 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 polices 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 advisors, 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 ~~fund~~ 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. 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. 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 ~~request for proposals~~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. 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.

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.

\* \* \*



**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](http://www.ctcleanenergy.com).

## 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 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 your department, 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 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.

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 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 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 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 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. 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**

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 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 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 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. No employee shall telecommute more than one (1) day per week;
3. No employee shall telecommute on Mondays or Fridays.
4. No employee shall telecommute during a week where there is a holiday or that employee has a scheduled day off.
5. If an employee would like to telecommute in the case of inclement weather, they must have a signed "inclement weather" telecommuting agreement on file.
6. 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.
7. 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 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 vacation time earned will be based on years of service according to the following formula:

<b>Years of Service</b>	<b>Vacation Earned</b>	<b>Must Use Annually</b>
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 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.

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.

## 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 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 or his/her 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. 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, vacation, personal leave and compensatory time
- the member has not been disciplined for an absence-related reason for the past 12 months
- 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 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:

- 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.
- We will implement a “telephone tree” where we will attempt to contact employees via telephone in the event our offices are closed unexpectedly.
- 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.
- 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**

## **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. 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 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**

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.

## **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. 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. The hotline number is (860) 233-6220.

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 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.



## **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 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.**

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## Computer Use Policy

### Personal Use

Your computer is a CEFIA resource and is subject to the same rules as other CEFIA resources. **Use of your computer for personal business is prohibited.** Personal use includes anything not related to your job at CEFIA. CEFIA 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.

### E-Mail

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 following are misuse of the email system. 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:

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NOTICE TO RECIPIENT: This e-mail, including any files or attachments transmitted with it, is confidential and intended for a specific purpose and 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. Any views or opinions expressed in this e-mail are not necessarily those of The Clean Energy Finance and Investment Authority (CEFIA). E-mail transmission cannot be guaranteed to



be error-free, or secure, or free from viruses, and CEFIA disclaims all liability for any resulting damage, errors, or omissions.

## **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 software that was preinstalled on your computer or use of software later approved and installed on your computer by the Information Technology Department is permissible. 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.

- 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.

### **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.
- 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.
- 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.

### **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 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. 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.

#### **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. 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 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 company data on your own.
- Have 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 company data via e-mail to your or another CEFIA employee's personal email account.
- Access 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.
  - 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 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.
- 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, 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.

**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, 2011  
TO: CEFIA Staff  
FROM: Bryan Garcia, President  
RE: **Workplace Violence Policy**

Attached is a copy of a 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

The State of Connecticut adopts a statewide zero tolerance policy for workplace violence. Therefore, 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 threaten to cause death or physical injury to any individual in a state worksite.

Weapon means any firearm, including a BB gun, whether loaded or unloaded, 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 of the above reasonable work rules shall subject the employee to disciplinary action up to and including discharge.

Any employee, who fears for their personal safety or for the safety of others in situations that require immediate attention, should **call police at 911**.

Contact your supervisor or Human Resources at **ext. 356** for non-emergency situations.

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



## 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 may elect a written reprimand, suspension without pay demotion, disciplinary probation, or dismissal. The President 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, attaching their written records of the meeting. The President 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 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, 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. If the employee's supervisor is the President, 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.**

**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 through out the third floor.** 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 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 Hiv/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	<b>9-911</b> or <b>258-7640</b> (Routine calls)
Rocky Hill Fire	<b>9-911</b> or <b>258-7603</b> (Routine calls)
Health Emergencies	<b>9-911</b> or dial <b>500</b> to <b>page and assemble the first responders team to the announced area.</b>

### 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 1<sup>st</sup> 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. Secure the elevators.
5. Meet and Direct medical personnel to emergency location.
6. Once the Emergency Medical Team (EMT) has arrived the duties and responsibilities will be transferred to them. They may take AED with them.
7. Provide necessary information and any other support needed by the EMT.
8. Contact necessary family member(s) of victim. (List at AED location)
9. See that victim is accompanied to ER when applicable.
10. 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: **865 Brook Street, Rocky Hill.**
  - c. Give CEFIA ' 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 ' PRESIDENT 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**. 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**. 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**. 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**

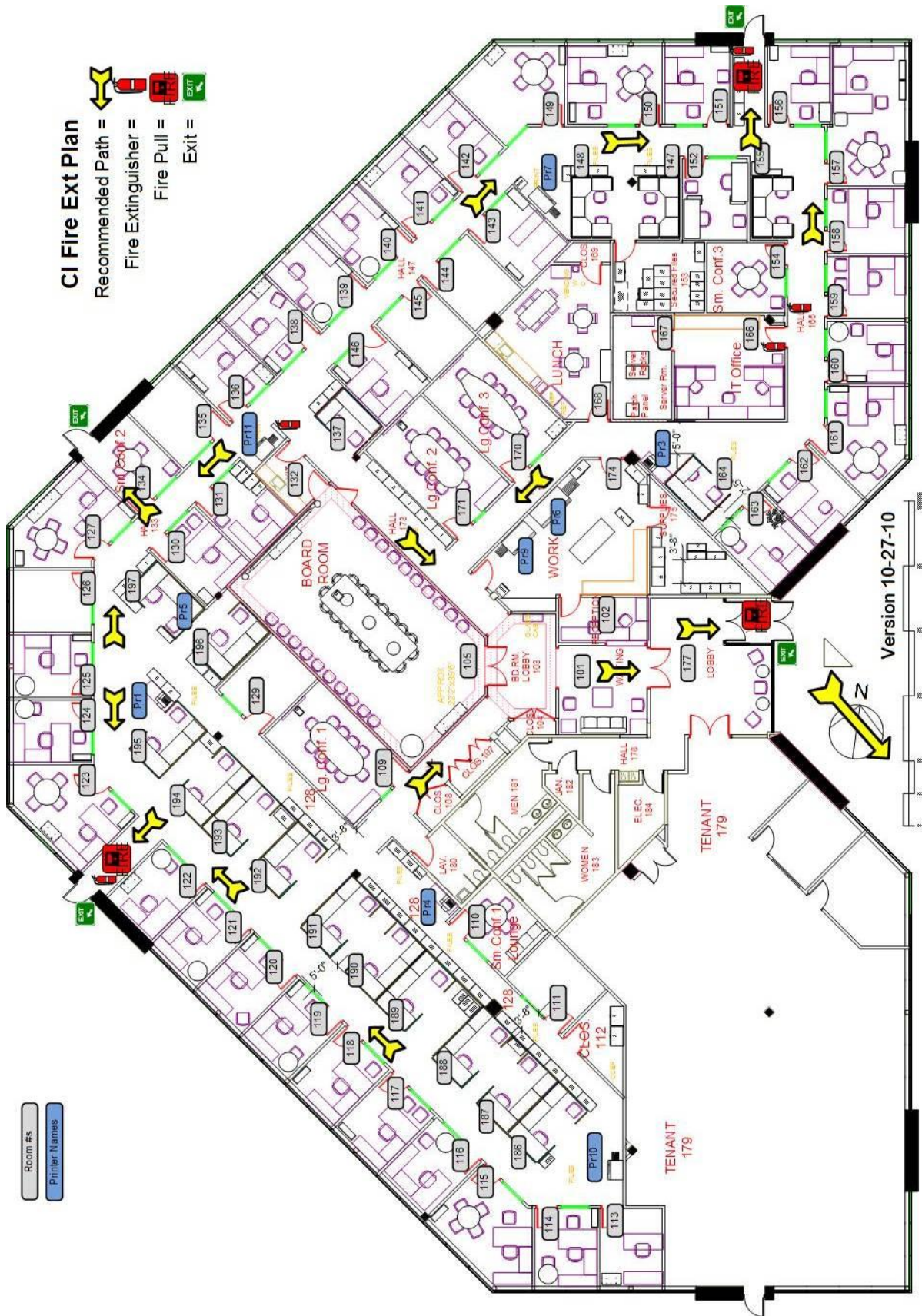
In the event of a bomb threat, evacuating people from the potential danger area is the highest priority. In the event of the receipt of a bomb threat, try to remember as many of the following details as possible:

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



## **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**

## Employee Handbook Acknowledgement

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

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Date

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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.

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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

## Emergency Procedure Policy

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.

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Employee's Signature

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Date

---

Print Employee Name

# 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](http://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](http://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.

**Information Technology Policy**

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

## Request for Training Form

**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, Human Resources**

## Sick Leave Bank Participation Form

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 \_\_\_\_\_

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\_\_\_\_\_ I elect participation in the Connecticut Innovations Sick Leave Bank.

\_\_\_\_\_ I reject participation in the Connecticut Innovations Sick Leave Bank.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

## 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
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(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 \_\_\_\_\_



## Telecommuting Agreement Form

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.

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.

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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:

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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.)

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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.
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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.





**CLEAN ENERGY**  
FINANCE AND INVESTMENT AUTHORITY

**Severance Policy**

- A. Reduction in Force. In the event that The Clean Energy Finance and Investment Authority (CEFIA) permanently eliminates one or more positions from its workforce, CEFIA, with approval of its Board of Directors or of the Budget and Operations Committee of its Board of Directors, is authorized to offer the employees separated by such permanent reduction in force a severance package, as follows:
1. Either a lump sum payment or continuation on the payroll or a combination thereof of six weeks, plus for each full six month period of service, an additional week of salary based on the employee's then current base salary, all subject to a maximum for each employee of 26 weeks;
  2. Outplacement services by a firm or firms selected by CEFIA for a period determined to be reasonable by the Board or the Budget and Operations Committee based upon employment conditions prevailing in the economy;
  3. All benefits, except medical and dental insurance, shall cease as of the date of separation and the Board or Budget and Operations Committee shall determine whether to extend the option to separated employees for medical and/or dental insurance other than as required by COBRA for some or all of the severance payment period;
  4. Such package shall be conditioned upon the employee signing a full waiver and release of claims against, and/or an indemnification of, CEFIA within a time period established by the Board or Operations Committee.

The purpose of this Severance Policy is to recognize the service of employees and mitigate the burden of displacement when a reduction in force is deemed necessary. It is not intended to set a standard for termination of employees under other circumstances.

- B. Other Terminations. In the event that the Board of Directors or the Budget and Operations Committee determines that it is in the best interest of CEFIA to terminate the services of an employee without cause or to request the resignation of an employee, the Board of Directors or the Budget and Operations Committee is authorized, but not required, to offer a severance package. In determining whether to do so and the nature and amount of such package, the Board or the Budget and Operations Committee shall take into account such factors as it may deem relevant, including some or all of the following: the length of service, the performance and contributions of the employee, the circumstances of recruitment and relocation, the circumstances of separation, the employment conditions prevailing in the economy, the impact upon CEFIA and other factors deemed relevant at the time by the Board or the Budget and Operations Committee. In no event shall the continuation of salary following termination or the amount of any lump sum payment in respect of

salary exceed the then current base salary for 26 weeks. The Board or the Budget and Operations Committee shall condition any such package upon the employee signing a full waiver and release of claims against, and/or an indemnification of CEFIA and such other terms and conditions as are deemed necessary or desirable.

C. Miscellaneous Considerations.

1. Severance pay under this Policy is in addition to any accrued vacation due to the employee upon termination.
2. Regular deductions, including contributions for medical and dental insurance, if any, will be made from any severance payments made pursuant to this Policy.
3. If an employee does not sign a full waiver and release of claims and/or an indemnification of CEFIA under this Policy, the employee will not receive any of the benefits set forth in this Policy, with the possible exception of a brief period of continued health and dental insurance resulting from the time period required for the signing of the waiver and release. In lieu of the receipt of severance benefits under this Policy, the employee will only receive payment of two weeks of base salary at the then current rate plus any accrued vacation.



**CLEAN ENERGY**  
FINANCE AND INVESTMENT AUTHORITY

## Memo

To: Members of the Budget & Operations Committee of the CEFIA Board  
From: George Bellas  
Date: December 6, 2011  
Re: Internal Control Procedures

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I am requesting that the Committee approve the following accounting internal control procedures for CEFIA. These procedures are modeled after internal control procedures used by Connecticut Innovations. These procedures will be incorporated into the accounting internal control manual and become part of the internal control environment that is reviewed during the annual independent audit of both CEFIA and CI.

CEFIA 101 – Purchasing and Accounts Payable

CEFIA 102 – Contracts

CEFIA 103 – Credit Cards

CEFIA 104 – Mobile Communications

CEFIA 104A – Mobile Communications Pre Approval Form



## **Purchasing and Accounts Payable Policies and Procedures**

**I. Purpose:** To provide procedures for procurement methods and completion of related documents.

**II. Scope:** This procedure applies to the purchase of supplies, materials, services, sponsorships, memberships, software and capital assets for all departments within the Company, whether operating or programmatic in nature.

**III. Responsibility:**

Procurement of supplies will be facilitated through the finance and administrative department. Procurement of services will be facilitated by the person requiring the services. Subscriptions will be facilitated by the marketing and outreach department. All named parties are responsible for using good purchasing methods for optimizing price savings, quality and value of products, vendor working relationships, and for assuring proper control and inspection as required by Company policies. All named parties will utilize purchase orders or such other purchasing documents that are developed and revised from time to time as necessary by the finance and administrative department.

**IV. Procedure:**

**A. ORDER PLACEMENT AND APPROVALS**

1. Office supplies - and other goods and services used in the normal course of business are approved by the VP, Finance and Administration.
2. Office furniture, fixtures and equipment - must be approved by the President&CEO.
3. Subscriptions and Reference Materials – Subscriptions to magazines, newspapers, on-line reference and search services, etc. must be approved by the President and CEO.
4. Computer Equipment and Software - All purchases of computer equipment, software and related items must be in writing and approved by the President&CEO and the VP Finance and Administration.
5. Travel and Entertainment – All business travel and entertainment must be approved by the employee's immediate supervisor. All requests for reimbursement of T&E expenses greater than \$1,000 must follow the approval guidelines set forth in Section B below. All international travel

must be pre- approved by the President &CEO. All international travel by the President & CEO must be pre approved by the Chairperson of the CEFIA Board. See the Company Travel and Entertainment Policy for guidelines on business expenditures that will be reimbursed.

6. Financial Assistance- The process of approving financial assistance consisting of grants, loans or loan guarantees, debt and equity investments is outlined in the bylaws and operating procedures of the Authority.
7. Sponsorships and Memberships – All CEFIA sponsorships and memberships must be approved by Director level or above and if greater than \$10,000 the President &CEO.
8. Consulting and Advisory Services – See CEFIA – 102 for procedures related to internal management of consulting and advisory services.
9. Legal Fees – Due to the nature of legal fees, approval for fees is obtained when the invoice is received. The CEFIA party who is responsible for the matter described in the invoice will review the fees incurred. Once reviewed, this invoice will be forwarded to the General Counsel and President & CEO for their approvals before payment is made.

## B. PROCESSING OF VENDOR INVOICES FOR GOODS AND SERVICES

1. Approval of Invoices – must be obtained prior to sending to Accounts Payable for payment processing.
  - a. Goods and Services –
    - Invoice < \$1000 – requires signature of project/department manager level or higher.
    - Invoice equal to or greater than \$1,000 –requires the signature of one of the following: VP, Finance and Administration; Chief of Staff; General Counsel; President & CEO; EVP and Chief Investment Officer; Director Renewable Energy Deployment; collectively named “ Management”.
    - Invoice equal to or greater than \$5,000 – requires 2 signatures from Management.
    - Invoice equal to or greater than \$25,000 – requires 2 signatures from. Management, one of which must be the President and CEO.
    - Non-budgeted items –requires signature of VP of Finance and Administration as well as approval according to \$ limit approval procedures noted above.
    - Finance Assistance – requires 2 signatures from Management, one of which must be the President & CEO or in his or her absence the VP Finance and Administration.
    - Consulting and Advisory Services – See CEFIA – 102
    - Re-occurring charges – for items that occur monthly (rent, utilities, etc), the VP Finance and Administration must



approve the invoice. A second signature from a member of senior management is not required.

2. Approval in the absence of the President &CEO – If the President & CEO , is unavailable for a period of time to approve invoices, he/she may delegate his/her authority to approve purchases to the VP of Finance and Administration in writing. The VP of Finance must then review all items with the President & CEO upon his/her return to the office and obtain approval from the President & CEO at that time.
3. Payment of invoices –
  - a. Accounts Payable will process invoices for payment when all approvals are obtained by requestor.
  - b. Payment of invoices will be made based on vendor terms.
  - c. Check signing:
    - Invoice and all related documents are submitted to Accounts Payable.
    - Check amounts equal to or greater than \$5,000 require 2 signatures
    - The Board of Directors will authorize specific senior level positions to sign checks on behalf of the Company. This authorization will be documented in the Board meeting minutes.
4. Check requests
  - a. Check request should be completed for items of urgency for payment and when no formal invoice is available. Check request may be used as approval documentation for invoices. Invoices may be signed directly as well. The finance and administrative department will develop and maintain check request forms.
5. Wire transfers
  - a. The processing of wire transfers will follow the same process for checks as documented in section 3c. above.
  - b. Financial Assistance – No wire will be initiated until all legal documents are signed and the General Counsel directs the finance department to fund the transaction.



## **Consulting and Advisory Services**

- I Purpose:** Pursuant operating procedures adopted by the Board of Directors of the Clean Energy Finance and Investment Authority (CEFIA) on December 16, 2011; CEFIA may engage consulting and advisory services as part of its operations and programs.
- II. Scope:** These services may include expertise or specialized advice, training, research or analysis, special projects or other work where the (a) appropriate experience, skills or expertise is not then available among the staff because of workload or other constraints, (b) the time duration, frequency of need or other nature of the services does not justify employing staff to provide such services, or (c) Board of Directors (for unbudgeted items) or the President & CEO (within budgeted expenditures) otherwise determines that the use of such services is warranted and in the best interest of CEFIA.
- III. Responsibility:** All parties engaging consulting and advisory services must follow this procedure.
- IV. Procedure:**
- A. Request for Services - All such services will be requested through the use of the Company's standard PSA form as developed and revised from time to time as necessary by the finance and administrative department.
  - B. Approval for service requests:
    1. Total fees and expenses less than or equal to \$10,000 –President & CEO; General Counsel; Director of Government and External Relations; EVP & CIO; Chief of Staff; Director of Marketing and Outreach; Director of Technology Innovation; Director of Renewable Energy Deployment;VP Finance & Administration and Director of Energy Efficiency Deployment, collectively “ Sr. Management”. .
    2. Total fees and expenses greater than \$10,000 up to \$75,000 – two signatures from Sr. management one of which must be the President and CEO.

3. Total fees and expenses greater than \$75,000 to \$150,000 must be approved in writing by the Chairperson of the Board prior to execution of PSA under B2 above.
4. Total fees and expenses greater than \$150,000 must follow the RFP requirements in section C prior to execution of PSA under B2 above.
5. Approval in the absence of the President and CEO – If the President and CEO is unavailable for a period of time to approve PSAs, he/she may delegate his/her authority to approve purchases to the VP of Finance and Administration in writing. The VP of Finance must then review all items with the President & CEO upon his/her return to the office and obtain approval from the President and CEO at that time.
6. All Contracts - All PSAs will be sent to the Finance Department prior to execution. The Vice President Finance & Administration will review the contract for compliance with procedures, internal management practices, and to determine that the expenditure is within the annual budget for consulting and advisory services or within programmatic budgets. **The contract cannot be executed without the review and signoff by the Vice President Finance & Administration.**

C. PSA duration and RFP requirements

1. Duration - The duration of PSAs for consulting or advisory services will generally not exceed one year without prior written approval of the President and CEO.
2. RFP required if > \$150,000 in any one fiscal year or if the Board of Directors directs CEFIA to do so. An RFP is to be completed prior to entering into any contract for consulting or advisory services in an amount over \$150,000 in any one fiscal year.
3. Contractors with multiple contracts - CEFIA may engage the same contractor for several different projects or for continuations of a single project during a fiscal year. A PSA which will, if executed, result in cumulative expenditures to the contractor exceeding \$150,000 in any one fiscal year will require that an RFP be completed prior to the execution of the PSA.

D. Recordkeeping

1. The Finance Department will prepare and maintain a summary of all outstanding contracts. The summary will include the name of the contractor, a brief description of the services/project, the total amount of the contract and actual amount paid to date.

2. The Vice President, Finance & Administration will be responsible for monitoring the status of approved contracts and ensuring that all contracts are in compliance with these operating procedures.



## **Company Credit Card Policy and Procedures**

### **I. Purpose:**

To provide procedures for the use of Company owned credit cards by authorized employees of the Company.

### **II. Policy/Scope:**

Company owned credit cards will be issued to those employees who are designated as purchasing agents for the Company by the President and CEO. Company owned credit cards will be used for official Company business to purchase goods and services on behalf of the Company or to make travel arrangements on behalf of Company employees who are traveling on Company business. Company owned credit cards shall not be used for personal or private business. Intentional misuse or fraudulent abuse of any company owned credit card may result in disciplinary action, up to and including dismissal. In addition, the authorized holder of the company owned credit card shall promptly reimburse the Company for any unacceptable purchases.

### **III. Responsibility:**

The Vice President, Finance and Administration shall be responsible for the administration of the Company credit card account.

### **IV. Procedures:**

1. The President and CEO (CEO) shall provide the VP Finance & Administration (VPF) with a list of employees who are authorized purchasing agents for the Company. This list will be updated from time to time by the CEO as circumstances warrant. A monthly credit card dollar limit will be approved by the CEO for each authorized purchasing agent.
2. The VPF as administrator of the Company credit card account will approve and submit an application to the credit card issuer requesting that a card be issued (with the authorized dollar limit) to the Company purchasing agent.
3. Once the Company credit card is issued to the authorized purchasing agent, the purchasing agent will be responsible for maintaining adequate documentation supporting all purchases made with the credit card. This documentation shall be attached to the monthly credit card invoice and submitted to the VPF for review and

approval. The VPF will review the documentation submitted to determine that the expenditure was for an appropriate business purpose. The credit card invoice will be approved by the VPF and the CEO.

4. Periodically during the month the VPF will access the Company credit card account via the internet and review credit card activity. All unauthorized activity will be immediately reported to the Credit card issuer by the VPF for appropriate action.

5. Purchasing agents who have been issued a Company owned card will be responsible for safeguarding the card at all times. The purchasing agent is responsible for immediately and properly reporting a lost or stolen card to the Credit card issuer and the VPF.

6. A copy of this policy will be provided to each purchasing agent. The purchasing agent will be required to acknowledge receipt of the policy.



## **Mobile Communications**

### Policy

The Clean Energy Finance and Investment Authority (the “Company”) often must have immediate access to key employees. Accordingly, the Company will provide cellular phone access to an employee if the employee’s responsibilities require the employee to be traveling on Company business and the employee needs to be in contact by phone with the Company or its customers during that time.

Cell phones capable of sending and receiving e-mails will be approved only if the employee can demonstrate that his or her responsibilities are such that immediate access to e-mails is essential to conducting business.

### Procedure

All cellular phone plans have a fixed number of “anytime minutes” for a flat monthly fee. In addition, the plans have an unlimited number of night and weekend minutes within the home calling area.

Employees will be reimbursed for the purchase of a cell phone and the associated voice and data charges by submitting an approved employee expense report to the accounting department on a monthly basis. All purchases of cell phones and associated voice and data plans must be pre approved and within dollar limits set by the Company in order to receive reimbursement. Dollar limits will be reviewed and adjusted periodically by the Company. Pre Approval forms may be obtained from the accounting department. All requests for mobile communications devices and associated voice/data plans must be approved by the President & CEO. ***Charges incurred that were not pre approved or above the pre approved limits will be the responsibility of the employee.*** Employees may use a company cellular phone for personal calls as long as there is no additional cost incurred by the Company.

On occasion, employees who do not qualify for a company cellular phone will use their own personal cellular phone for business related calls. Employees will be reimbursed for the cost of business related phone calls made on personal cellular phones. The cost of business related calls made on a personal cellular phone must be submitted on an expense report. A copy of the phone bill with an explanation of the business purpose of each call must be attached to the expense report.

In order to prevent and detect instances of abuse the accounting department may periodically audit employee cell phone invoices submitted for reimbursement. Instances

of possible abuse will be reported to the employee's department head and may result in termination of reimbursement privileges.





**MOBILE COMMUNICATIONS REIMBURSEMENT PRE-APPROVAL FORM**

Date: \_\_\_\_\_  
Name: \_\_\_\_\_  
Title: \_\_\_\_\_  
Department: \_\_\_\_\_

Description of Pre-Approval Request:

	Requested Price:	Request Limit:
Equipment:	\$	
\$150		<u>Total</u>
Equipment:	\$	\$150
Monthly Voice:	\$	\$ 80
Monthly Data:	\$	
\$ 60		Other Monthly Fees/Services: \$
		(Enter description for "other monthly fees/services")
Total Monthly Fees:	\$	\$140

- Describe Business Reason(s) Supporting Above Request:

\_\_\_\_\_  
\_\_\_\_\_

APPROVALS: Up to pre-approved limits and for other pre-approved fees

Supervisor's Signature: _____	Date: _____
Name: _____ Title: _____	
<i>Please Print</i>	

Department Head's Signature: _____	Date: _____
Name: _____ Title: _____	
<i>Please Print</i>	

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Bryan T. Garcia, President and CEO

*Please Print*

- Cell phone invoice must be attached to Expense Report as a condition of reimbursement.
- Cell phone invoices will be reviewed on a periodic basis by Finance Department Staff. Instances of abuse will be reported to Department Head and may result in termination of reimbursement approval.
- Employee will be reimbursed on a monthly basis through Employee Expense Report.



**CLEAN ENERGY**  
FINANCE AND INVESTMENT AUTHORITY

**Program Name**  
Program Plan

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## **Section 1 - Program Summary**

### **1.1. Executive Summary and Funding Request**

Provide general overview of the program and costs associated. (Note: Section 1 will be provided to the Board of Directors as background information for their program approval process.)

### **1.2. Background**

Include a brief description of the background that explains the reason for the program or how this program came about? Is this program part of another program? Describe any relevant history. Who are the stakeholders, who requested this program and who are the customers who will benefit (i.e. end-users, contractors, capital providers, etc.)?

### **1.3. Stakeholders**

Identify the people and organizations that will be impacted by the implementation of this program? Who are the staff that will be involved in this program and responsible for its outcomes? Who are the partners? Who are the users that are impacted by this program? Who are the customers?

### **1.4. Program Goals**

Program initiatives are justified by tying them to strategic, tactical and/or operational goals. In some cases there may also be statutory, regulatory, or board considerations that must be taken into account. What are the 3-5 goals you are trying to achieve with the program?

### **1.5. Organizational Goals**

How does this program meet the following organizational goals:

- Attract and deploy capital to finance the clean energy goals for Connecticut
  - ✓ [Describe here...]
- Become the most energy efficient state in the nation
  - ✓ [Describe here...]
- Scale-up the deployment of renewable energy in the state
  - ✓ [Describe here...]
- Support the infrastructure needed to lead the clean energy economy
  - ✓ [Describe here...]

**1.6. Measures of Success**

Success factors are those things that the program needs to do (or achieve) in order to support its organizational goals. List 5-10 measurable factors, in order of importance, that when present are most conducive to the achievement of a successful program.

Also, please address the following measures of success:

- Expectation of the amount of clean energy (i.e. energy efficiency and renewable energy) deployed (i.e. kW installed, kWh produced or saved, MMBtu saved, etc.)
- Deploy X amount of private capital leveraged by Y amount of public funds by Year Z
- Estimate of the total dollars of investment in clean energy
- Target ratio of private capital to public dollars

**1.7. Opportunity for Financial Innovation**

What is the finance innovation opportunity presented by this program? What needs to be done? When does it need to be done?

**1.8. Prior Programs**

**1.8.1. Similar or Related CEFIA Programs**

Describe the program, when the funding was approved and the lessons learned.

**1.8.2. Benchmarking Leaders**

	State W	State X	State Y	State Z	CT
<b>Program Size</b> (i.e. public funds)					
<b># of Eligible Customers</b> (i.e. residential, C&I)					
<b>Resource Potential</b> (i.e. capacity factor, per capita usage)					

<b>Energy Price by Customer</b> (i.e. \$/kWh)					
<b>Funding Structure</b> (i.e. grants, finance, etc.)					
<b>Rebate or Incentives</b> (i.e. \$/kW or \$/kWh)					
<b>Estimated % of Public Funds to Private Capital</b>					

## **Section 2 - Program Structure**

### **2.1. Program Scope**

Provide a brief description of the scope of this program. What is the scope of the program? Is this program associated with other existing programs? Who are the business areas and/or external audiences that may be impacted by this program? What are the major additions and/or changes required for this program? What are the program time constraints? Will this program be delivered in phases? Information to include in this section; re-state in summary form the program objectives, define the deliverables, and define the functionality that will be delivered as a result of the program.

### **2.2. Program Objectives**

List the 3-5 program specific objectives:

- Objective 1
- Objective 2
- Objective 3
- Objective 4
- Objective 5

### **2.3. Assumptions**

All programs operate in a less-than-perfect world. Not everything can be officially verified as existing or available ahead of time. These “unknowns” are documented in program assumptions. In addition any key “knowns” that the program is based upon should also be documented here. Discuss assumptions relative to the success of the program (i.e. market conditions, hardware costs, resource availability, etc).

### **2.4. Dependencies**

This includes, but is not limited to, the availability of resources, applications and interfacing systems, hardware, facilities, equipment, business processes, other projects or programs, and regulatory approvals.

### **2.5. Constraints**

Define in this section the regulatory or business realities that legitimately constrain development. Caution should be used when defining constraints since they then become requirements. Constraints may include, but are not limited to: financial, personnel, time/schedule, training/certification, organizational flexibility/adaptability, policy/standards constraints, security constraints, legal constraints, privacy constraints, accessibility constraints, other resource constraints.



## **Section 3 - Implementation Considerations**

### **3.1. Target Market**

Discuss the attributes of the intended audience for this program.

### **3.2. Eligibility Criteria**

List specific eligibility requirements for this program:

- Requirement 1
- Requirement 2
- Requirement 3
- Requirement 4
- Requirement 5

### **3.3. Partners and Leverage**

Describe the anticipated and required partners and their roles and funding commitments (as applicable).

### **3.4. Law and Policy**

Include any reference number, target dates, text and describe how this program supports the law or regulation within the prescribed timelines.

#### **3.4.1. Local Laws and/or Regulations**

Insert text here.

#### **3.4.2. State Laws and/or Regulations**

Insert text here.

#### **3.4.3. Federal Laws and/or Regulations**

Insert text here.

### **3.5. Marketing and Outreach**

Insert text here.

#### **3.5.1. Research**

Will research be conducted in a particular area or focus on a particular arena (i.e. customers, contractors, financing, etc)?

#### **3.5.2. Promotion**

Describe how this program will be announced and what media outlets will be used as vehicles. Include any milestone achievements or successes that will be publicized (i.e. ribbon cuttings, X number of installations, acquisition costs, sign-ups, etc).

### **3.5.3. Customer Acquisition**

Describe any methods being used to acquire customers (i.e. performance-based incentives, aggregations, etc.) that will be used to scale-up demand for the program.

### **3.5.4. Other Programs**

Insert text here.

### **3.6. Operational Impacts**

Identify the impacted operational areas and the changes that need to be planned for relative to the activities that those areas perform. What changes must be implemented to support the new workflows associated with this effort? Are there resource shifts or additional positions that need to be added to support the new business functionality defined in this document? Will there be any new policies and procedures that need to be developed in support of this program? Will customer notifications need to be sent relative to the changes being implemented? Are there manual business set-up activities that need to occur before this functionality can be implemented?

### **3.7. Documentation Plan**

Define the operational documentation that will be created and updated in support of the implementation of the program. A list of pertinent documents that describe how the program will operate must be provided. Examples of the documentation that must be defined/updated include: RFPs, contracts, guidelines, policies and procedures, on-line documentation, etc.

### **3.8. Workforce Development Impact**

Overview and detailed workforce development requirements may be needed to implement this change to all groups identified in the Stakeholders section. Define the mechanism for training and training documentation requirements. Who will deliver the training and the timing required. Consider training and documentation for new business processes, reading and using new reports.

### **3.9. Deployment Considerations**

Identify any activities or dependencies that need to be taken into account for the deployment plan. Are there any special system/web activities required to support this program? Are there any external parties that need to be included in the deployment considerations?

## **Section 4 - Funding Structure and Amounts**

### **4.1. Funding Level and Type**

Discuss the total amount of funding to be committed by CEFIA for this program and describe the investment type – strategic, programmatic or competitive

### **4.2. Level of Support for Individual Awards**

Provide the level of support for individual awards, capped or ranges, potential for flexibility.

### **4.3. Financial Structure of Awards**

Discuss the financial structure of awards under the program in each section below.

#### **4.3.1. Sources of Capital**

Banks, Public benefit charge or added to rate base, Utility/State/Municipal general funds, Municipal Bonds, Manufactures, Pension funds, Housing or economic development finance agency, Settlement revolving fund, Other 3<sup>rd</sup> party

#### **4.3.2. Financing Mechanism**

Personal (secured/unsecured) loan, Mortgage/Home equity (secured to real estate), Lind of credit (secured or unsecured), Lease, Retail installment contract, Special municipal tax or fee levied, Tariffed installation program, Performance Contract, Power purchase agreement

#### **4.3.3. Collection Mechanism**

Amortized payment bill, Lease payment, On utility bill, On property tax bill, Performance contract bill, Buy kWh/therms, other.

#### **4.3.4. Enhancements**

Reduced interest rates, Stretched underwriting criteria, Guarantees & Reserves, Rebates, Subsidized transaction costs, Aggregation or Environmental/carbon credits

#### **4.3.5. Eligible Measures**

Energy efficiency, Renewables, Other home improvements

#### **4.3.6. Underwriting Criteria**

Debt to income ratio, FICO score, Utility bill or Tax payment history, Other

#### **4.3.7. Security Interests**

Unsecured, UCC fixture filing, Mechanics Lien, Other lien on real estate, Lien on other property (car, boat, etc), Disconnection for nonpayment

### **4.4. Key Terms of Award**

Provide the key terms and conditions including co-funding requirements.

## **Section 5 - Process and Timeline**

Describe the application (non-competitive) or RFP (competitive) process, any advisory or review committees including roles and responsibilities and program schedule including key milestones.

### **5.1. Evaluation Criteria**

Discuss the intended method and criteria for application evaluation including any weighting factors

### **5.2. Risk Analysis**

Discuss any risks to the program success and plans for mitigation.

### **5.3. Resolution**

Insert resolution here.

## Section 6 - Evaluation, Measurement and Verification

### 6.1. Data Format and Collection

List all data fields that will be collected, the method of collection and the frequency of any updates. Examples are provided below.

Field Name	Method	Frequency
Project Name	Manual Data Entry on Application Intake	Once
Monthly Electric Bill	PDF via email, automatic submission, etc.	Monthly
Technology or Project Performance (i.e. kWh consumed or produced)	Automated Web Based Platform	Daily
Loan Performance (i.e. timely repayment)	Automated Web Based Platform	Monthly
Hardware Cost	Automated Feed from Application Submission	Twice
Non-Hardware Costs	Automated Feed from Application Submission	Twice

### 6.2. Data Analysis

Describe how the collected data will be used, what types of reports will be available and who will receive the data/reports.

### 6.3. Metrics

Define the current (if applicable) and target metrics/measurements that will indicate success for the program using quality indicators and quantifiers. Quality indicators are the items to be measured that will signify success. Quantifiers are methods of measurement for the quality indicators. Examples of measurement criteria are provided below:

Metric	Current	Target
% of public funds leveraged by private capital	50%	10%
Install # Solar PV Systems	N/A	X # of systems totaling X kW by 2020
Reduce Solar PV Installation Costs	N/A	5% reduction by 2014
Increase Clean Energy Options Signups	20,000 per year	25,000 per year

**Clean Energy Finance and Investment Authority**  
**FY 2012 Operating Budget**  
**Detail Statement of Revenues and Expenditures**  
**(000's)**

	<b>FY2011 Budget</b>	<b>FY 2011 Actual</b>	<b>FY 2012 CCEF Budget</b>	<b>FY 2012 Revised Budget</b>	<b>FY 2012 Revised to FY 2011 Budget Variance</b>	<b>FY 2012 Revised to FY 2011 Budget % Variance</b>
<b>Revenues</b>						
Utility customer assessments	\$ 26,975	\$ 28,444	\$ 27,515	\$ 27,515	\$ 540	2%
Interest on deposits	\$ 127	\$ 117	\$ 118	\$ 118	\$ (9)	-7%
Renewable energy certificates, net	\$ 500	\$ 53	\$ 100	\$ 100	\$ (400)	-80%
Interest Income - Solar Lease Notes, net	\$ 90	\$ 90	\$ 120	\$ 120	\$ 30	33%
RGGI Auction Proceeds	\$ 4,000	\$ 3,383	\$ 3,500	\$ 1,100	\$ (2,900)	-73%
RPS compliance penalty payments	\$ 100	\$ 104	\$ 100	\$ 100	\$ -	0%
Other Income	\$ 40	\$ 62	\$ 60	\$ 60	\$ 20	50%
<b>Total revenues:</b>	<b>\$ 31,832</b>	<b>\$ 32,254</b>	<b>\$ 31,513</b>	<b>\$ 29,113</b>	<b>\$ (2,719)</b>	<b>-9%</b>
<b>Expenditures and Expenses</b>						
<b>Compensation</b>						
-Salaries & Wages	\$ 2,511	\$ 2,239	\$ 2,515	\$ 2,578	\$ 67	3%
-ARRA Salary Reimbursements	\$ (150)	\$ (200)	\$ (228)	\$ (228)	\$ (78)	52%
-Private Foundation Salary Reimbursements	\$ -	\$ -	\$ -	\$ (47)	\$ (47)	
-Bonus pool	\$ 51	\$ -	\$ -	\$ -	\$ (51)	-100%
-Benefits	\$ 1,572	\$ 1,427	\$ 1,559	\$ 1,598	\$ 26	2%
-ARRA Benefit Reimbursements	\$ (93)	\$ (125)	\$ (141)	\$ (141)	\$ (48)	52%
<b>Consulting and professional fees:</b>						
- Legal	\$ 275	\$ 52	\$ 75	\$ 100	\$ (175)	-64%
- Accounting	\$ 23	\$ 17	\$ 21	\$ 21	\$ (2)	-9%
- Advisory fees	\$ 60	\$ 16	\$ 40	\$ 50	\$ (10)	-17%
External relations	\$ 185	\$ 106	\$ 143	\$ 238	\$ 53	29%
<b>Rent and location related expenses:</b>						
-Rent/Utilities	\$ 138	\$ 165	\$ 151	\$ 165	\$ 27	19%
-General Liability/P&C Insurance	\$ 8	\$ 8	\$ 8	\$ 8	\$ 0	5%
-Telephone/Communications	\$ 44	\$ 22	\$ 30	\$ 30	\$ (14)	-33%
-Equipment & storage space rental	\$ 46	\$ 36	\$ 52	\$ 52	\$ 6	12%
<b>Office, computer &amp; other expenses:</b>						
-Office expense	\$ 62	\$ 45	\$ 44	\$ 44	\$ (18)	-30%
-Computer operations	\$ 35	\$ 27	\$ 32	\$ 32	\$ (3)	-9%
-Subscriptions	\$ 24	\$ 12	\$ 24	\$ 24	\$ 0	1%
-Training and education	\$ 37	\$ 19	\$ 28	\$ 33	\$ (4)	-11%
Temporary employees	\$ 51	\$ 49	\$ 26	\$ 50	\$ (1)	-2%
Directors & officers insurance	\$ 27	\$ 25	\$ 26	\$ 54	\$ 27	100%
Travel & related expenses	\$ 53	\$ 36	\$ 43	\$ 43	\$ (10)	-19%
Move expenses	\$ 32	\$ 21	\$ -	\$ -	\$ (32)	-100%
ARRA indirect expense reimbursement	\$ (27)	\$ (41)	\$ (41)	\$ (41)	\$ (14)	52%
<b>Total operating expenses:</b>	<b>\$ 4,964</b>	<b>\$ 3,956</b>	<b>\$ 4,407</b>	<b>\$ 4,662</b>	<b>\$ (302)</b>	<b>-6%</b>
<b>Change in net assets before program expenditures:</b>	<b>\$ 26,868</b>	<b>\$ 28,298</b>	<b>\$ 27,106</b>	<b>\$ 24,451</b>	<b>\$ (2,417)</b>	<b>-9%</b>

**Clean Energy Finance and Investment Authority  
Support for FY 12 Operating Budget**

**Note 1 - Proposed Adjustments to CEFIA Budget for Salaries, Wages and Employee Benefits**

	<u>FTE</u>	<u>Base</u>	<u>Hire/Transfer Date</u>	<u>Budget Impact Salaries and Wages</u>	<u>Budget Impact Employee Benefits</u>
<b><u>New Hires:</u></b>					
Associate of Technology Innovation	1.0	\$ 62,106	2/1/2012	\$ 25,878	\$ 16,044
Chief of Staff	1.0	\$ 140,562	1/1/2012	\$ 70,281	\$ 43,574
Executive Vice President and Chief Investment Officer	1.0	\$ 154,961	1/1/2011	\$ 77,481	\$ 48,038
	<u>3.0</u>	<u>\$ 357,629</u>		<u>\$ 173,639</u>	<u>\$ 107,656</u>
<b><u>Adjustments to Budgeted Salaries</u></b>					
CCEF-Managing Counsel & Director, Regulatory Policy	(1.0)	\$ (110,000)		\$ (110,000)	\$ (68,200)
Counsel	(1.0)	\$ (93,275)		\$ (78,925)	\$ (48,934)
Administrative Assistant Goal 2	(1.0)	\$ (46,000)		\$ (46,000)	\$ (28,520)
Project Associate Goal 3	(1.0)	\$ (55,100)		\$ (55,100)	\$ (34,162)
Project Assistant Goal 3	(1.0)	\$ (46,000)		\$ (38,823)	\$ (24,070)
General Counsel	1.0	\$ 155,000	12/12/2011	\$ 85,418	\$ 52,959
Associate of Marketing and Outreach	1.0	\$ 55,100	1/1/2011	\$ 27,550	\$ 17,081
Project Manager - Lead by Example	1.0	\$ 78,000	11/4/2011	\$ 51,000	\$ 31,620
Administrative Assistant	1.0	\$ 42,000	11/1/2011	\$ 28,000	\$ 17,360
	<u>(1.0)</u>	<u>\$ (20,275)</u>		<u>\$ (136,880)</u>	<u>\$ (84,866)</u>
<b><u>Employee Transfers:</u></b>					
<b><u>Employees Transferred to CEFIA:</u></b>					
Gladys Rivera/Senior Manager of Marketing & Outreach	0.7		10/1/2011	\$ 26,439	\$ 16,392
John Murphy/Manager of Marketing & Outreach	1.0		10/1/2011	\$ 31,869	\$ 19,759
<b><u>Employees no longer shared with CEFIA</u></b>					
Emily Smith/Chief of Staff & Managing Director, External Relations	(0.5)		10/1/2011	\$ (53,600)	\$ (33,232)
Pam Hartley /Marketing Manager	(0.4)		10/1/2011	\$ (26,110)	\$ (16,188)
Chelsey Sarnecky/External Relations Coordinator	(0.4)		10/1/2011	\$ (12,615)	\$ (7,821)
	<u>0.4</u>			<u>\$ (34,017)</u>	<u>\$ (21,091)</u>
<b><u>Reclassifications of Existing Staff with Increasing Roles and Responsibilities</u></b>					
				\$ 60,000	\$ 37,200
<b>Total FTE Adjustment:</b>	<u>2.40</u>			<u>\$ 62,742</u>	<u>\$ 38,900</u>
			<b>Total Budget Adjustment:</b>	<u>\$ 62,742</u>	<u>\$ 101,642</u>

**Clean Energy Finance and Investment Authority  
Support for FY 12 Operating Budget Revisions**

**Note 2 - CI Employees transferred to CEFIA**

	Name	Position	Current CI Budget Allocation		New Budget Allocation	
			CI	CEFIA	CI	CEFIA
1	Garcia,Bryan	President, CEFIA	0%	100%		
2	Samuels,Cheryl	Administrative Assistant	0%	100%		
3	Goldberg,David	Director,Strategic Initiatives	0%	100%		
4	Hedman,Dale	Director Project Development	0%	100%		
5	Ljungquist,David	Associate Director, Project Development	0%	100%		
6	Ross,Rick	Senior Program Manager	0%	100%		
7	Cifaldi,Christin	Program Manager	0%	100%		
8	Olney,Elizabeth	Project Associate	0%	100%		
9	Vigil,Marycruz	Project Assistant	0%	100%		
10	Colonis,William	Program Manager	0%	100%		
11	McCarthu,Neil	Project Associate	0%	100%		
12	Lewis,Lynne	Project Assistant	0%	100%		
13	Sullivan,Lucy	Contract Administrator	0%	100%		
14	French,Loyola	Paralegal	0%	100%		
15	Frame,Keith	Director, New Technologies.	0%	100%		
16	Stevenson,Kim	Manager, New Technologies	0%	100%		
17	Price,Selya	Associate, New Technologies	0%	100%		
18	Wall,Robert	Director,Energy Market Initiatives	0%	100%		
19	Anastasiou,Jocelyn	Project Associate	0%	100%		
20	Kranich,Edward	Intern	0%	100%		
21	Brian Farnen	General Counsel	0%	100%		
22	Vacant	Project Associate	0%	100%		
23	Andrea Mancini	Administrative Assistant	0%	100%		
24	Rivera,Gladys	Senior Marketing Manager	70%	30%	30%	70%
25	Murphy,John	Marketing Manager	55%	45%	0%	100%



**Clean Energy Finance and Investment Authority  
FY 2012 Budget  
Consulting and Professional Fees**

**Note 3 - Support for Revisions to Consulting & Legal Expenses**

	<b><u>Budget</u></b>	<b><u>FY 2012</u></b>	<b><u>FY 2012</u></b>
	<b><u>FY11</u></b>	<b><u>Budget</u></b>	<b><u>Budget</u></b>
			<b><u>Increase</u></b>
			<b><u>(Decrease)</u></b>
<b>Summary:</b>			
Legal	275.00	100.00	(175.00)
Accounting	22.50	21.00	(1.50)
Advisory fees	60.00	50.00	(10.00)
	<u>357.50</u>	<u>171.00</u>	<u>(186.50)</u>
<b>Detail:</b>			
<b><u>Legal</u></b>			
CEFIA Board of Directors	175.00	10.00	(165.00)
Comprehensive Plan	25.00	15.00	(10.00)
Other legal matters	75.00	75.00	-
	<u>275.00</u>	<u>100.00</u>	<u>(175.00)</u>
<b><u>Accounting</u></b>			
Annual Audit	15.00	16.00	1.00
Other matters	7.50	5.00	(2.50)
	<u>22.50</u>	<u>21.00</u>	<u>(1.50)</u>
<b><u>Advisory Fees</u></b>			
Consultants:			
New Program Development	10.00	10.00	-
Recruiting Efforts	10.00	10.00	-
Management Development	5.00	5.00	-
Strategic Plan/Process Improvement Consulting	15.00	10.00	(5.00)
IT Systems Engineer (as needed)	-	10.00	10.00
Other	20.00	5.00	(15.00)
	<u>60.00</u>	<u>50.00</u>	<u>(10.00)</u>

Clean Energy Finance and Investment Authority  
 FY 2012 Operating Budget  
 External Relations

**Note 4 - Support for Revisions to External Relations Expense**

	FY 2011 Budget	Proposed FY 2012 Budget	FY 2012 Budget Increase (Decrease)
<u>Media Relations</u>	15.0	15.0	-
Public relations consultants	5.0	-	
Creative writing	3.0	10.0	
Media tracking/distribution	2.0	-	
Miscellaneous	5.0	5.0	
<u>Marketing Collateral</u>	15.0	18.0	3.0
Annual report design & printing	5.0	5.0	
Program collateral	10.0	10.0	
Promotional items	-	3.0	
<u>Website</u>	20.0	35.0	15.0
Website design	4.0	25.0	
Website maintenance	16.0	10.0	
<u>Sponsorship &amp; Event Expenses</u>	40.5	45.5	5.0
CEFIA Annual Awards Event	15.0	15.0	
CPES WTD Conference	2.0	2.0	
NESEA	4.0	4.0	
New Haven Green Expo	2.5	2.5	
CCM Annual Event	2.0	7.0	
Miscellaneous Events	15.0	15.0	
<u>Advertising &amp; Branding</u>	5.0	20.0	15.0
General	5.0	5.0	
Branding	-	15.0	
<u>Memberships</u>	86.9	89.4	2.5
CESA	70.0	65.0	
USFCC	6.0	6.0	
CDFA	-	0.8	
CPES	0.5	0.5	
Clean Tech	2.0	4.0	
CCM	0.8	0.8	
Council of Small Towns	0.2	0.2	
CBIA	0.7	0.7	
CT Green Building Council	0.1	0.1	
Misc Memberships	6.7	11.3	
<u>Other - General</u>	3.0	15.0	12.0
Misc.	3.0	15.0	
	<u>185</u>	<u>238</u>	<u>52</u>

**Clean Energy Finance & Investment Authority**  
**FY 12 Operating Budget**  
**Occupancy Costs**

Note 5 - Estimated additional rent expense - Office Space Expansion

Additional RSF:	3,626
SF Charge Year 1, per month	\$ 1.40
Rent per month	<u>\$ 5,062</u>
CEFIA Allocation (based on current budget):	52%
Monthly CEFIA Expense	\$ 2,632
FY 12 months (March-June 2012)	<u>4</u>
FY 12 Budget Adjustment	<u><u>\$ 10,529</u></u>

Above adjustment may be subject to change based on CEFIA/CI allocation adjustments.

Current Rent Budget	\$ 151,000
Additional Rent Expense	<u>\$ 10,529</u>
	<u><u>\$ 161,529</u></u>

Additional Furniture & Improvements	\$ 50,000
Five year depreciation & amortization	<u>60 months</u>
Monthly depreciation & amortization	\$ 833.33
FY 12 months (March-June 2012)	<u>4</u>
FY 12 Budget Adjustment	<u><u>\$ 3,333</u></u>

Total FY12 Budget Adjustment for Office:	<u><u>\$ 13,862</u></u>
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**Clean Energy Finance & Investment Authority  
 FY 12 Operating Budget  
 Miscellaneous Expense Categories**

Note 6 - Training & Education, Temporary Employees, D&O Insurance

<u>Description</u>	FY12 CCEF <u>Budget</u>	FY12 Revised <u>Budget</u>	<u>Increase</u>
<b><i>Training &amp; Education</i></b>	\$ 28	\$ 33	\$ 5
<b><i>Temporary Employees</i></b>	\$ 26	\$ 50	\$ 24
To reflect increased use of temporary administrative assistants for Goal 2.			
<b><i>D &amp; O Insurance</i></b>	\$ 26	\$ 54	\$ 28

To reflect increase in premiums for EPL and tail policy for CCEF.



**Clean Energy Finance and Investment Authority  
Commitment Analysis  
As of October 31, 2011**

Unrestricted cash balance as of October 31, 2011  
 Unfunded commitments as of 10/31/2011 ( see analysis below ):  
 Cash available as of 10/31/2011 to fund future programs and fund operations:

	<u>General</u>	<u>RGGI</u>	<u>RGGI-CMEEC</u>	<u>Total</u>
Unrestricted cash balance as of October 31, 2011	\$ 52,244,042	\$ 8,190,636	\$ 564,600	\$ 60,999,278
Unfunded commitments as of 10/31/2011 ( see analysis below ):	\$ (25,470,971)	\$ (3,418,032)	\$ -	\$ (28,889,003)
Cash available as of 10/31/2011 to fund future programs and fund operations:	\$ 26,773,071	\$ 4,772,604	\$ 564,600	\$ 32,110,275

**Unfunded grant & financial assistance programs commitments  
as of October 31, 2011:**

Project 150 & Pre-Development Program				
Project 150	\$ 10,244,289	\$ -	\$ -	
Predevelopment program	\$ 458,603	\$ -	\$ -	
Strategic Investment Program	\$ 340,000	\$ -	\$ -	
CI&I On Site Generation Program - Solar				
Commercial solar program	\$ 1,485,901	\$ -	\$ -	
Not for Profit/Municipal solar program	\$ 758,538	\$ 3,418,032	\$ -	
Residential (Small Solar) rebate program	\$ 1,336,255	\$ -	\$ -	
Affordable housing solar program	\$ -	\$ -	\$ -	
Solar Lease Program rebates&notes not funded	\$ 3,831,758	\$ -	\$ -	
CI&I On Site Generation Program - Fuel Cell	\$ 4,185,125	\$ -	\$ -	
CI&I On Site Generation Program - Wind	\$ 82,250	\$ -	\$ -	
CI&I On Site Generation Program - Other	\$ 432,785	\$ -	\$ -	
Operational Demonstration Program	\$ 1,318,181	\$ -	\$ -	
Education & Outreach	\$ 274,086	\$ -	\$ -	
Education & Outreach-Communities Program Earned not Contracted	\$ 723,200	\$ -	\$ -	
CMEEC RGGI projects	\$ -	\$ -	\$ -	
	<u>\$ 25,470,971</u>	<u>\$ 3,418,032</u>	<u>\$ -</u>	
		<u>\$ 28,889,003</u>	<u>\$ 28,889,003</u>	



**CLEAN ENERGY**  
FINANCE AND INVESTMENT AUTHORITY

**BUDGET AND OPERATIONS COMMITTEE  
REGULAR MEETING SCHEDULE FOR 2012**

The following is a list of dates and times for regular meetings of the Clean Energy Finance and Investment Authority's Budget and Operations Committee through 2012.

- Tuesday, May 8, 2012 – Regular Meeting from 9:00 to 10:00 a.m.
- Tuesday, November 6, 2012 – Regular Meeting from 9:00 to 10:00 a.m.

All regular meetings will take place at:

Clean Energy Finance and Investment Authority  
865 Brook Street  
Rocky Hill, CT 06067