



Human Resources Policy Manual

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I. WELCOME

We would like to take this opportunity to welcome you to Erikson Institute. Since 1966, Erikson has provided excellent programs and services to children and families in Chicago and the surrounding suburban communities. The Institute is comprised of individuals with various backgrounds and skills, all joined together as a team for the single purpose of providing our students and other constituents with the best possible programs and services. Each of us, as an employee of Erikson, has a significant responsibility towards accomplishing that goal.

We hope that your new position will live up to your expectations and that your stay with us will be a rewarding one. If you have been working for us, we wish to express our sincere appreciation for your valued service. We are pleased to provide you with your Employee Handbook that outlines the current personnel policies and procedures in effect for the Institute. We are sure the Handbook will be a helpful reference during your association with our organization. We encourage you to ask questions freely. By doing so, you will learn your job more quickly.

The information contained in this Handbook does not, and is not intended to, create a contract of employment, and does not create any express or implied contractual rights. Early in your employment with us, you will realize that we have set very high standards for all Erikson employees. These are necessary if we are to sustain our growth and achievement. At the same time, we are committed to providing all Erikson employees with challenges, recognition, appropriate compensation and benefits to help reach their goals and objectives, as well as the goals of Erikson.

Again, welcome to Erikson. By working together, we're confident that the future will be both productive and rewarding for all of us. We feel that when you join our team, you will also join in our efforts to give our students top quality and professional services.

II. INTRODUCTION

The purpose of the Erikson Institute Employee Handbook is to introduce you to the Institute, explain our current policies, practices and benefits, and serve as a reference tool for you in the future. It is very important that you be thoroughly familiar with the policies and practices contained in this Handbook, as well as any additional policies or practices that may be communicated to you, either verbally or in writing.

It is important to understand that you are employed in an "at will" employment relationship, in which either you or the Institute can sever the working relationship at any time for any reason or no reason at all. Please note that only the President has the authority to alter the foregoing or make promises of any kind regarding the conditions or terms of employment for any employee of the Institute.

The information contained in this Handbook does not, and is not intended to, create a contract of employment, and does not create any express or implied contractual rights. The policies contained in this Handbook may be altered, modified or deleted by the President without notice. If there are errors or information subject to interpretation, the President reserves the right to interpret or correct that information. Although we have tried to draft this Handbook with as much attention to detail as possible, some information pertaining to the Institute's policies or practices may have been omitted.

Please read this Handbook in its entirety within five days of receiving it, so that you fully understand its contents. If there is any item that you do not understand, please request clarification from your supervisor. This Handbook supersedes all previous manuals, letters, memoranda or understandings that may have been issued on subjects contained herein.

After completing your review of the Handbook, please acknowledge this by signing the statements on the following pages of the Handbook, returning one page to your supervisor and retaining one page for yourself. The signed acknowledgment will then be placed in your employee file.

This Handbook is the property of Erikson Institute. If you leave the employment of the Institute, this Handbook must be returned to Human Resources.

II.1 Handbook Acknowledgement

The Handbook contains policies and guidelines that apply to me. I have read the Handbook and agree to follow the policies of the Erikson Institute as stated in it, related to my employment with the Institute. Additionally, I agree to observe and abide by all amended or additional guidelines or policies that may be distributed to me during my employment with the Institute.

I understand that this Handbook is for information purposes, in that it illustrates the Institute's policies, procedures, guidelines, and benefits, but that neither the Handbook, nor any other communication, create an employment contract or term, or in any way alter my status as an "at-will" employee. I also understand that only the President is empowered to make any promises or agreements contrary to the information contained in this Handbook, or in any way alter this "at will" relationship. Any such change authorized by the President will be indicated in writing.

I understand that the policies and benefits contained in the Handbook, as well as those communicated to me in any fashion, are subject to interpretation, review and change by Erikson at any time without notice.

I have read and understand the Institute's policy on Harassment, including Sexual Harassment, as well as the reporting procedures, set forth in this Handbook. Any questions that I have regarding this policy may be directed to my supervisor, Human Resources or any other member of management.

I understand that during the course of my employment, I will be working with information that is confidential and proprietary, including, but not limited to, our students, donors, computer systems, software, payroll records, future plans, fee information and other documents and materials. I agree to protect this information by safeguarding it when using it, filing it properly when not using it, and discussing it only with those who have a legitimate business need to know. Furthermore, should I leave the Institute for any reason, I understand that all files, documents and software remain the property of the Institute and may not be duplicated or removed from the Institute. Even after my employment with the Institute has terminated, I agree to maintain strictly confidential all information treated as confidential or proprietary by the Institute.

So long as I am employed by the Institute and for a period of twelve (12) months following my termination of employment with the Institute for any reason, I shall not employ, or entice, encourage, recruit or solicit, any employee of the Institute to terminate his or her business relationship with the Institute.

I acknowledge receipt and retention of a signed copy of this statement and the Institute's Handbook.

Employee Signature

Date

Employee Name (Printed)

Please return this copy of the acknowledgment to Human Resources.

II.2 Mission Statement

Erikson Institute, a graduate school in child development, was founded in 1966 in response to the War on Poverty and the need for highly qualified early childhood professionals to staff the newly created Head Start program. Three prominent child advocates—child psychologist Maria Piers, social worker Lorraine Wallach, and educator and activist Barbara Taylor Bowman—led this effort, assisted by businessman and philanthropist Irving B. Harris, who provided critical financial and intellectual support. The founders named the Institute for lay psychoanalyst Erik Erikson, who was among the first to propose that children are not simply biological organisms but also products of society’s expectations, prejudices, allowances, and prohibitions. Since its beginnings the Institute’s programs and faculty have reflected the interdisciplinary professional expertise of its founders.

Over the years, Erikson has proven a pioneer in the creation of innovative, interdisciplinary programs that respond to the social imperatives of its urban context, and by extension, to the nation as a whole. Today, the Institute provides graduate education and continuing education to child development and family service professionals across a wide spectrum of the human services working with young children and their families. Erikson is unique in emphasizing the first eight years of children’s development. A hallmark of Erikson’s programs—academic, research, and community service—is their commitment to examining child development and family dynamics within social, historical, and cultural contexts. Deeply rooted in Chicago, Erikson’s mission, history, and programs reflect and draw upon the dynamic history and diversity of the greater Chicago metropolitan area.

Mission Statement

Erikson Institute is an independent institution of higher education that prepares child development and family service professionals for leadership. Through its academic programs, applied research, and community service and engagement, Erikson advances the ability of practitioners, researchers, and decision makers to improve life for children and their families. The Institute is a catalyst for discovery and change, continually bringing the newest scientific knowledge and theories of children’s development and learning into its classrooms and out to the community so that professionals serving children and families are informed, inspired, and responsive.

Approved by the Board of Trustees, November 17, 2011

Erikson accomplishes its mission through three parallel activities: (1) educating professionals to work effectively with children and families in diverse and complex settings; (2) conducting applied research to inform policy and practice affecting children and families; and (3) engaging with the community and field to strengthen supports and services for children and families based on developmentally informed early childhood science.

Closely tied to Erikson’s mission is a stable and cohesive set of values that are shared by the Board of Trustees, faculty, staff, and students. These values are infused throughout Erikson’s academic programs, research, and community engagement. They are: freedom of inquiry and freedom of expression; the centrality of relationships in all learning; an emphasis on social justice; a commitment to diversity; an appreciation for complexity; and an adherence to high standards and excellence. Erikson’s success at integrating these values across the Institute is evident in all of its activities.

Erikson’s work is inspired by a single overriding vision:

Vision Statement

Erikson’s vision is that every adult who works with young children will be knowledgeable, aware, skilled, and alive to the possibilities that each child presents. We are passionately committed to helping every child reach his or her potential and supporting children and families in every way possible, and we believe that we are uniquely qualified as educators, researchers, and citizens to realize this vision.

Academic Programs

As of fall 2014, Erikson offers degrees and certificates in the following areas:

Master's Programs

Master of Science in Child Development

Master of Science in Early Childhood Education

Master of Social Work

Graduate Certificate Programs (18-hour non-degree programs):

Infant Specialist Program

Bilingual/English as a Second Language Program

Infant Mental Health Program

Ph.D. Program

Doctor of Philosophy in Child Development (offered in partnership with Loyola University Chicago).

For further information, please visit our website at: www.erikson.ed

III. EMPLOYMENT POLICIES

Erikson is firmly committed to creating and maintaining a workplace in which everyone (including applicants, employees, students, clients, vendors and the general public) is treated with dignity, fairness and respect. Every employee has the right to work in an environment totally free of harassment and discriminatory conduct, joking or epithets. Such behavior is contrary to the Institute's objectives, morally wrong and may subject the Institute to legal exposure. To achieve our objectives, Erikson has established a standard of conduct that is higher than what federal, state and local laws may require. Any employee who engages in conduct that violates this policy will be subject to disciplinary action, up to and including termination.

III.1 Nondiscrimination policy

It is the policy of Erikson Institute not to discriminate against any individual on the basis of race, color, religion, national or ethnic origin, gender, gender identity, gender expression, sexual orientation, marital status, age, disability, veteran status, or any other classes protected by federal, state, or local laws, in matters of admissions, employment, or services or in the educational programs or activities it operates, in accordance with civil rights legislation and institutional commitment. It is also the policy of Erikson not to retaliate against any person for making a complaint in good faith about alleged discrimination or for supporting any other Erikson student, employee, or representative in making such a complaint. Any alleged violations of this policy should be directed to the Vice President for Finance and Operations.

III.2 Equal Opportunity and Affirmative Action Policy

Erikson Institute is an equal opportunity employer with a strong commitment to affirmative action. The Institute is committed to achieving a culture that eliminates discrimination, harassment, and retaliation, and that addresses the underlying conditions in which discrimination may occur. Erikson carefully and systematically examines its admissions, educational, and employment policies and practices to ensure that they do not discriminate against any individual on the basis of race, color, religion, national or ethnic origin, gender, gender identity, gender expression, sexual orientation, marital status, age, disability, veteran status, or any other status protected by federal, state, or local laws. Erikson is committed to ensuring that everyone within our campus community complies with its equal opportunity policies.

Erikson recognizes the important distinction between equal opportunity and affirmative action. Equal opportunity requires that all academic and personnel decisions will be governed by the concept of merit and based on an individual's ability to successfully engage in academic work or perform the essential functions of a position. As an employer committed to affirmative action, however, Erikson is also committed to increasing the heterogeneity of its workforce and student body, believing that increased diversity is essential to the enhancement of student educational experiences and the improvement of society. As such, Erikson Institute makes additional efforts to recruit, enroll or hire, retain, and graduate or promote qualified members of groups historically excluded on the basis of discriminatory factors unrelated to merit. The premise of affirmative action is that positive steps must be taken to overcome the effects of discrimination, consistent with the Institute's obligation to treat all employees and students with fairness and dignity. In this belief, the Institute maintains an affirmative action program to promote and enhance diversity and equal opportunity and throughout its educational programs, activities, and operations.

The goals of affirmative action are to ensure equity of educational and economic opportunity, to increase the diversity of the Erikson community, and to encourage the exchange of values and ideas across cultures and peoples. A commitment to affirmative action is in keeping with Erikson's mission and values, in particular its commitment to social justice and improving the lives of young children and families. Erikson Institute views its commitment to

affirmative action as essential to enhancing the educational experiences and outcomes of its students, who are being prepared to educate children and families in an increasingly diverse society.

The Vice President for Finance and Operations is responsible for overseeing the Institute's compliance with equal opportunity and affirmative action. Every member of the Erikson community, however, is charged with responsibility for implementation of this policy and will be held accountable for any violations.

III.3 Reasonable Accommodation

All employees are encouraged to advise Erikson as to how we can accommodate their disabilities so that they will have equal employment opportunities in the workplace. Employees should also advise Erikson of any facilities that they believe need to be made accessible and usable by individuals with disabilities. An employee may present this information or discuss any issue related to this matter with Human Resources, their Vice President or the President. Erikson will inform the employee of its decisions on accommodation requests.

III.4 Harassment, Including Sexual Harassment

It is Erikson policy that all employees have a right to work in an environment free of harassment, either verbal or physical, that is based on race, religion, color, age, sex, national origin, citizenship, ancestry, marital or parental status, sexual orientation including gender identity, gender expression, military discharge status, physical or mental disability unrelated to your ability to perform the essential functions of your job, or any other protected status or characteristic. In keeping with this commitment, we will not tolerate harassment of employees by anyone, including any manager, coworker, vendor, faculty, student, or staff member of Erikson, based on these characteristics. Such conduct, or interference with the investigation of an alleged incident, may result in disciplinary action, up to and including termination.

Sexual harassment deserves special mention. Sexual harassment includes, but is not limited to:

- 1) Unwelcome sexual advances, requests for sexual acts or favors, or other verbal or physical conduct of a sexual nature;
- 2) Any statement or implication that an individual's submission to or rejection of such sexual conduct could be used as a condition of employment, or as the basis for any employment decision affecting such individual; and
- 3) Any conduct, whether physical or verbal, which has the purpose or effect of substantially interfering with an individual's work performance or creating an intimidating, hostile or offensive work environment. This includes, but is not limited to, slurs, jokes or degrading comments of a sexual nature; offensive sexual flirtation, sexual advances or propositions; abuse of a sexual nature; graphic verbal comments about an individual's body; sexual innuendo or suggestive comments; sexually oriented "kidding" or "teasing"; unwanted physical touching, such as patting or pinching another's body; and the display in the workplace of sexually suggestive printed or visual materials, clothing, objects or pictures.

Every employee must avoid any conduct that reasonably could be interpreted as discrimination or harassment under this policy even if such conduct was not intended as offensive. Conversely, employees are expected and encouraged to inform others in the workplace whenever conduct is unwelcome, offensive or in poor taste. Only through such open communication can we maintain the type of workplace where everyone has an equal opportunity to flourish. Any questions that you have regarding this policy may be directed to your supervisor, Human Resources or any other member of management.

Reporting Procedures

All employees are responsible for helping to ensure that we avoid harassment. If you feel you have experienced or witnessed discrimination or harassment, you should immediately report the incident(s) to your supervisor, or if the complaint involves your supervisor, immediately contact the Chief Human Resources Officer, the President, a Vice President or the Internal Review Committee Chair of the Board of Trustees. Every complaint will be forwarded promptly to either an internal investigator or an outside investigation consultant, who will then conduct a complete and thorough examination of the situation, including interviewing witnesses and participants. All efforts will be made to ensure the confidentiality of the complaint; however, information, including the identity of the individual lodging the complaint, may be divulged where necessary to fully investigate the matter or comply with applicable law. If an investigation concludes that harassment or other inappropriate behavior has occurred, Erikson will take disciplinary action, up to and including termination, as may be appropriate.

Prohibition on Retaliation

There will be no retaliation or discrimination against any employee who submits a complaint, reports an incident witnessed, or participates in any way with the investigation of a harassment claim. Thus, a supervisor is prohibited from making any personnel decision or taking any other adverse action against any employee because the employee complained or cooperated in good faith with an investigation of alleged conduct prohibited by this policy. Any acts of retaliation will be considered a violation of this policy and corrective action will be taken immediately.

III.5 Conflict of Interest

Purpose

Erikson Institute is committed to avoiding any actual, potential, or apparent conflicts between the interests of the Institute and any personal interest of trustees, officers, and key employees of the Institute. Trustees, officers, and key employees of Erikson Institute have a variety of talents, interests, and loyalties, which bring substantial value to the Institute. Indeed, potential trustees, officers, and key employees are selected specifically because of their talents, interests, or standing within the community. Because of the wide variety of their activities, Erikson Institute needs a procedure to protect its interests when it is contemplating entering into a transaction or arrangement that might benefit the private interest of a trustee, officer, or key employee. The purpose of this policy is to set forth such a procedure, which supplements but does not replace any applicable state laws governing conflicts of interest applicable to nonprofit organizations.

Policy

A trustee, officer, or key employee has a duty to exercise his or her independent judgment in the best interests of Erikson Institute. A "conflict" is a personal interest – material, professional, or familial – that impairs or reasonably appears to impair a trustee, officer, or employee's independent judgment. A "potential" conflict, as used in this Policy, is a personal interest that could possibly impair or reasonably appear to impair the interested individual's independent judgment in a matter likely to come before the Board or Institute. A conflict of interest or potential conflict of interest does not prevent a person from becoming a trustee, officer, or key employee. Some conflicts of interest are natural and unavoidable, and not all conflicting interests are impermissible. But conflicting interests involving the individual's self-gain or gain by a third party to whom the individual is related may compromise his or her obligations to the Institute.

The key to handling a potential conflict of interest is for the trustee, officer, or key employee to acknowledge and disclose any relationship that might raise an issue of conflict of interest, so that the Board and Institute can determine before entering into a transaction whether the interested individual's abstention from voting or discussion of the matter at issue is warranted or whether a transaction may be inadvisable because of the individual's interests. In all cases, an Erikson trustee, officer, or key employee must therefore:

- Disclose significant financial interests or relationships, direct or indirect, through business, investment, or family, as defined below:
 - Any ownership or investment interest in any entity with which the Institute has a transaction or arrangement; or
 - Any compensation arrangement with the Institute or with any entity or individual with which the Institute has a transaction or arrangement; or
 - Any potential ownership or investment interest in, or compensation arrangement with, any entity or individual with which the Institute is negotiating a transaction or arrangement.

“Compensation” includes direct and indirect remuneration as well as gifts or favors that are substantial in nature. Examples of interests that should be disclosed include, but are not limited to, ownership interests or partnership interests in corporations or professional service firms doing business with the Institute.
- Disclose significant professional and close family relationships that the trustee, officer, or key employee reasonably believes would impair or materially affect his or her participation on the Board or employment at the Institute. Family relationships include spouse, ancestors, children and their spouses, grandchildren and their spouses, and siblings and their spouses;
- Disclose any known competition with Erikson Institute for the same funding for a specific project, program, or activity;
- Abstain from participation in decision-making related to a matter that could give rise to a conflict of interest (due to material, professional, or family interests or relationships);
- Abstain from participation in a discussion about a proposed activity (e.g., grant application, real estate transaction) if the trustee, officer, or key employee and the Institute might be in competition for that activity;
- Abstain from exercising undue influence over the admission of candidates to the Institute’s academic programs.

Not every conflict requires that the Institute refrain from working with a vendor or firm in which a trustee, officer, or key employee may have an interest. When determining whether to do business with a firm or entity in which a trustee, officer, or key employee has an interest, however, the Board will need to ensure that the interested individual abstains from discussing or voting upon the transaction and that the price or arrangement negotiated reflects the fair market value of the goods or services and is in the best interests of the Institute, consistent with the requirements of federal and state law governing such transactions. Critical to the working of this process is the willingness of all trustees, officers, and key employees to (1) disclose potential conflicts as soon as those conflicts become known, so that the Board members can determine how to handle the situation, and (2) abstain, where appropriate, from discussion or voting upon a conflicted transaction.

Procedures for implementation of this policy

- The Chairperson of the Board will distribute this Conflict of Interest policy to every trustee, officer, and key employee on an annual basis, as well as to prospective trustees, officers, and key employees before they join the Board or Institute. This policy will be accompanied by an annual disclosure statement in which a trustee, officer, or key employee must disclose all interests and relationships that may hold the potential for raising conflict issues. Completed disclosure statements will be submitted annually to the Chairperson of the Trusteeship Committee. Trustees, officers, and key employees must promptly report material changes in their interests or relationships to the Chairperson of the Trusteeship Committee on their own initiative.
- Prospective trustees, officers, and key employees will be asked to review the policy and complete a disclosure statement as part of the candidacy process.

- The Chairperson of the Trusteeship Committee will review all disclosure statements and communicate all potential conflicts with the Board Chair. The Chairperson of the Trusteeship Committee will speak with each individual who has identified a potential conflict of interest. In addition, if any matter coming before the Board appears in the view of a trustee, officer, or key employee to hold the potential for a conflict, this issue shall be brought to the immediate attention of the Chairperson of the Trusteeship Committee, who shall promptly confer with the individual having the potential conflict. In assessing potential conflicts, the Chairperson may seek necessary information from other trustees, officers, or key employees but should strictly limit all such consultations in the interests of maintaining confidentiality.
- The Chairperson of the Trusteeship Committee will share with the committee members any disclosure statement identifying a potential conflict and any other conflict issues brought to the Chairperson's attention. The committee members will determine whether a conflict of interest exists with respect to a particular transaction or issue and will maintain a record of any such determination.
- If a potential conflict is found to exist, the Trusteeship Committee will prepare a written recommendation for the Executive Committee on how best to minimize the effect of the conflict upon the activities of the Institute and the trustee, officer, or key employee. The Chair of the Trusteeship Committee shall first discuss this recommendation with the interested individual and Board Chair. In formulating this recommendation, the Committee shall seek to ensure that a trustee, officer, or key employee with a conflict is exempted from participating in discussions and decision-making involving the conflicted transaction or issue and that the remaining trustees, officers, and key employees use their independent judgment to make a decision in the best interests of the Institute. The Executive Committee will make a final, written determination as to the handling of the conflict issue.
- If the Trusteeship Committee determines that any trustee, officer, or key employee has failed to disclose a current or potential conflict of interest, has voted upon or participated in a matter in which he or she had a conflict, or has otherwise failed to comply with this Policy, the Board or President and CEO, upon the Trusteeship Committee's recommendation, may take appropriate corrective action, up to and including, in rare instances, removal of the trustee from the Board or officer or key employee from the Institute.

Record of proceedings

The minutes of the Trusteeship Committee shall contain (1) the names of the persons who disclosed or otherwise were found to have an interest in connection with an actual or possible conflict of interest; (2) the nature of the conflict; (3) any action taken to determine whether a conflict of interest in fact existed; (5) the names of the persons who were present for discussions and votes relating to the transaction or arrangement; (6) the content of the discussion, including any alternatives to the proposed transaction or arrangement; and (7) a record of any votes taken in connection therewith. Whenever any discussion of a conflict or potential conflict occurs during a meeting of the full Board or of any other Committee of the Board, the same such information shall be contained in the minutes of that meeting.

Confidentiality of proceedings

All of the disclosure statements referenced in this Policy, as well as any communications or documents reflecting discussion or consideration of conflict issues by the Committees or full Board shall be maintained as strictly confidential. Disclosure statements and all documents relating to, reflecting, or referencing Committees or Board consideration of potential conflict issues shall be maintained in secure files for a period of at least seven years after such documents are created.

III.6 Ethics Statement

Honesty and integrity are basic business principles at Erikson. The Institute strives to maintain a reputation of which all employees can be proud. You also have a responsibility to adhere to these principles. Employees of the Institute are expected to conform to the highest standards of ethical behavior. The success of the Institute, while important to its owners and employees, should never be achieved through unethical behavior.

Employees should report any known or suspected violation of this policy to the President or their supervisor. Any questions you may have regarding the Ethics Statement and its effect on your behavior should be directed to your supervisor.

III.7 Confidentiality

During the course of your employment, you will be working with information that is confidential and proprietary, including, but not limited to, our students, donors, client files, computer systems, software, payroll records, future plans, fee information and other documents and materials. Maintaining this confidentiality is important to our integrity. You must protect this information by safeguarding it when in use, filing it properly when not in use, and discussing it only with those who have a legitimate business need to know. Upon beginning employment with Erikson, you will be required to sign the Handbook Acknowledgment, indicating that you understand and intend to comply with the provisions for maintaining the confidentiality of Institute information. Any employee who discloses confidential or proprietary information to anyone outside the office will be subject to discipline, up to and including immediate termination. As indicated in the acknowledgement you will sign upon receipt of this handbook, should your employment at Erikson be terminated for any reason, all files, documents and software remain the property of the Institute and cannot be duplicated or removed without the approval of the President. You may not duplicate or remove any of these materials or any other confidential information from the Institute upon your separation.

III.8 Solicitation and Distribution

Distributing literature and circulating petitions during work time, or in work areas at any time, is prohibited. Soliciting or distributing literature by anyone not employed by the Institute is prohibited on our premises at all times. Bulletin board postings are limited to work-related issues and must be approved by the President or the President's designated representative. No other postings are permitted on Erikson property.

III.9 Professional Licensing Requirements

Current certification, registration or licensing, whenever applicable, in the professional fields related to the work an employee performs for the Institute is encouraged, and may in some cases be required. If there is a licensing requirement, it will be so indicated in your Position Description. If licensing is required for the position for which you have been hired, a current copy of your license documentation must be submitted to the Institute by your first day of work. Any updates, renewals or other changes affecting your license or registration must be submitted to your supervisor within thirty (30) days of receipt. If authorized by your supervisor, Erikson will reimburse an employee for initial and renewal fees associated with a required license or registration.

III.10 Complaint Handling Procedure

One of the major objectives of our Institute is to maintain effective understanding, close cooperation and harmonious working relationships between management and employees. Erikson values the input of our employees

and is committed to maintaining a work environment in which everyone can communicate openly and without fear of retaliation or discrimination. In working together each day, it is normal for employees to have misunderstandings, differences of opinion and other problems related to their working relationships. In order to provide a process for amicably resolving such work-related issues, Erikson Institute has established this exclusive *Problem Resolution Policy*.

This Policy is designed to provide employees with a process to resolve issues related to misinterpretation or misapplication of any written Institute policy or issues related to hours or working conditions at the Institute. Complaints of discrimination, harassment or retaliation should follow the Institute's *Harassment, Including Sexual Harassment Policy* (and not this Policy). Similarly, issues regarding salary levels, performance improvement plans, work assignments and staffing levels are not subject to review under this Policy. When a dispute involves a termination of employment, the notice of termination is regarded as a final decision under Step 2 of this Policy.

In most cases, the employee should first attempt to resolve any misunderstanding, difference of opinion or other problem informally by discussing it with his or her immediate supervisor. If the matter is not informally resolved to the employee's satisfaction, then the following steps must be followed in resolving any matter raised under this Policy.

Step 1: The employee should submit a written description of the problem to the employee's immediate supervisor. That written description should include an explanation of the matter, a list of all facts related to it, a summary of any action or attempted resolution undertaken by the employee, and a description of the desired resolution. The written description should be presented to the employee's immediate supervisor with a copy to the Chief Human Resources Officer within ten (10) working days since the last occurrence of the matter submitted. The supervisor or his/her designee should respond orally or in writing within five (5) working days to the Employee (with a copy to the Chief Human Resources Officer), unless more time is needed.

Step 2: If the matter is not resolved to the employee's satisfaction at Step 1, or if the employee believes that it would be inappropriate to raise the matter with his or her immediate supervisor, the employee may proceed to the second step by submitting a written description of the matter and the reason(s) the Step 1 decision should be reversed to the Chief Human Resources Officer within ten (10) working days after the receipt of the response from the immediate supervisor or his/her designee or the last occurrence of the problem (if Step 1 was skipped). The Chief Human Resources Officer or his/her designee may make inquiries as necessary to obtain a full understanding of the facts. The Chief Human Resources Officer or his/her designee should respond in writing to the employee within five (5) working days after notification by the employee of his/her desire to proceed to Step 2. In some cases, it may be necessary to extend the time frame in which the Chief Human Resources Officer or his/her designee may respond in order to thoroughly investigate the facts pertaining to the matter submitted. In such a case, the employee should be notified in writing of this extension.

Step 3: If the matter is not resolved to the employee's satisfaction at Step 2, the employee may take the matter to the third and final step: review by the Institute's President. The employee should notify the President in writing of his/her intention to proceed to Step 3 of the problem resolution process within five (5) working days after the receipt of the Step 2 determination from the Chief Human Resources Officer or his/her designee. The employee should submit a written description of the matter and the reason(s) the Step 2 decision should be reversed. The Chief Human Resources Officer should also receive a copy of such notification from the employee. The Chief Human Resources Officer will then provide the President with a copy of the employee's written description of the matter submitted at Step 2 and the Director's written resolution. The President or his/her designee may make inquiries as necessary to obtain a full understanding of the facts surrounding the matter submitted. The President or his/her designee should give

a written decision within fifteen (15) working days following notification to proceed to Step 3 unless more time is needed. In some cases, it may be necessary to extend the time frame in which the President or his/her designee may reply in order to thoroughly investigate the facts pertaining to the matter submitted. In such a case, the employee should be notified in writing of the extension. Once the President issues his/her decision, that decision shall be final and binding on all parties.

If an employee fails to initiate the problem resolution procedure or advance the matter through the steps within the specified time limits, s/he forfeits the problem resolution process and the original determination of the matter by the Institute will be final. The employee will be required to fully cooperate with the Institute at all stages of the problem resolution policy. Failure to do so will also be considered a forfeiture of the problem resolution process.

No employee shall be subject to any form of retaliation for proceeding in good faith under this Policy.

Any questions regarding this Policy should be directed to the Chief Human Resources Officer.

III.11 Dress and Personal Appearance

Erikson requires all campus staff employees to maintain a neat and clean appearance and attire that is appropriate for the workplace setting. Business casual attire is preferred, except for Fridays when jeans (no rips or tears) are allowed. Examples of appropriate attire. Examples of inappropriate or unacceptable attire include, but is not limited to: athletic or sports wear and gear, shorts, shirts with writing (except Erikson logo), t-shirts, beachwear, etc. Good personal hygiene habits must be maintained.

III.12 HIPAA Privacy

The Erikson Institute Group Health Plan will not retaliate against any participant or beneficiary who chooses to exercise his or her individual privacy rights, including the right to access protected health information, the right to request amendment of protected health information, the right to an accounting of disclosures, and the right to request certain privacy restrictions. The Erikson Institute Group Health Plan also will not intimidate any participant or beneficiary who seeks to exercise those rights. Further, the Erikson Institute Group Health Plan will not retaliate against or intimidate any person or organization that files a complaint regarding the Erikson Institute Group Health Plan's privacy practices with the United States Department of Health & Human Services, that participates in any investigation of the Erikson Institute Group Health Plan's privacy practices, or that opposes any act of the Erikson Institute Group Health Plan that allegedly violates the Privacy Rule.

The Erikson Institute Group Health Plan will not require participants or beneficiaries to waive any rights under the Privacy Rule in order to enroll in the Erikson Institute Group Health Plan or in order to receive the provision or payment of benefits under the Erikson Institute Group Health Plan.

HIPAA rules and regulations do not apply to our administration of time off from work policies, which include paid time off days and Family Medical Leave. Health information is always necessary for purposes of approving a Family Medical Leave request. Nonetheless, Erikson Institute will protect said health information and will disseminate it only on a strict need-to-know basis.

III.13 Employment of Members of Immediate Family or Household

We seek to hire the best person for each position at the Institute. The basic criteria for appointment and promotion of all Institute staff and faculty shall be appropriate qualifications and performance. Relationship to another

individual employed by the Institute or to a Board member shall constitute neither an advantage nor a deterrent to appointment and promotion by the Institute.

In order to reduce the potential for, or the appearance of, conflicts of interest or favoritism, persons should not be employed in positions where they will be in the supervisory chain of command of a member of their Immediate Family or Household, or where a member of their Immediate Family or Household, in the ordinary course of business, makes decisions or plays a significant role in making decisions concerning their direct benefits. Other than in exceptional cases, applicants will not be considered for employment in a position in which they would be in the supervisory chain of command of a member of their Immediate Family or Household.

If an individual already assigned to a position becomes an Immediate Family member or member of a Household of a person in their supervisory chain of command, the reporting structure will be reviewed and appropriate steps taken to avoid conflict of interest. The Institute reserves the right to remove any reporting relationship between members of an Immediate Family or Household. An employee must notify the Chief Human Resources Officer if his/her relationship to another employee changes to meet the definition of an Immediate Family or Household member.

Institute administrators, board members, faculty, and staff members should not participate in, directly or indirectly, decisions involving a direct benefit (e.g., initial employment or appointment, retention, promotion, salary, hours, course or work assignments, research funds, leave of absences, etc.) to members of their Immediate Family or Household.

In exceptional cases in which the Immediate Family member or Household member is clearly demonstrated to have unique and unusual skills necessary for the position and these skills are not readily available in the labor market, a waiver to this policy may be sought. Exceptions to this policy require the written approval of the president and vice presidents. Such approval must be secured prior to making an employment offer.

For the purpose of this policy statement:

1. "Immediate Family" includes husband and wife; domestic partner; son and daughter (including stepchildren); grandchildren; nieces and nephews; son- and daughter-in-law; parents (including stepparents); grandparents, father- and mother-in-law; brother and sister (including stepbrother and stepsister); and brother- and sister-in-law.
2. "Household" includes individuals regularly sharing the staff member's residence.

Questions on the interpretation of this policy should be referred to the Chief Human Resources Officer or the Vice President for Administration and Enrollment.

III.14 Whistleblower Policy

- a) Purpose. Erikson Institute encourages all Erikson representatives, including trustees, faculty, staff, students, alumni, and volunteers ("Individuals"), acting in good faith, to report serious violations of Institute policy or violations of State, Federal or local law or use of Institute property or authority for personal gain. The Institute is committed to protecting Individuals from interference with making a disclosure under this policy ("Disclosure") and from retaliation as a result of it.
- b) Policy statement. Erikson Institute prohibits retaliation against any Individual who has, in good faith, made a Disclosure or participated in investigation of a Disclosure. Representatives of Erikson Institute may not

use or attempt to use the authority or influence related to their Institute positions to interfere with another Individual's rights to make a Disclosure as provided for in this Policy.

- c) Policy intent. This Policy is intended to encourage the disclosure of violations to the appropriate Erikson officer so that prompt and appropriate corrective action can be taken.
- d) Scope of this policy. The procedure set forth in this policy applies to legal concerns or complaints about issues other than discrimination, harassment, or retaliation in violation of the civil rights laws, which are separately addressed in the Institute's Human Resources Policy Manual, Policies III.1 – III.3 and the Academic Bulletin, "Discrimination and harassment, including sexual harassment." Those policies also fully protect from retaliation an Individual who, acting in good faith, reports alleged violations or participates in an investigation. However, any Individual wishing to make a complaint about potential EEO violations should refer to those policies for appropriate complaint, investigation, and resolution procedures.
- e) Policy guidelines.
 - a. Confidentiality –Disclosures may be made on a confidential basis by an Individual or may be submitted anonymously. Disclosures will be kept confidential to the extent possible, consistent with the need to investigate and applicable law.
 - b. Administration – Disclosures should be made to the appropriate Erikson officer listed in Article V below. The Institute will acknowledge receipt of the Disclosure and investigate it as soon as possible. Except in unusual circumstances, investigations will be concluded, and the disclosing Individual (if not anonymous) will be notified in writing of the results of the investigation, within 60 days after the Institute acknowledges receipt.
 - c. Retaliation prohibited – no Individual making a good faith Disclosure or participating in good faith in an investigation of a Disclosure will suffer retaliation. Any Individual who retaliates against another Individual as a result of a Disclosure is subject to appropriate disciplinary action.
 - d. False allegation – any Individual who knowingly or with reckless disregard for the truth gives false information (either when making a Disclosure or during investigation of a Disclosure), or who knowingly makes a false report of violations or of retaliation, will be subject to appropriate disciplinary action. Disclosures made pursuant to this Policy that are made in good faith but are not eventually substantiated will not subject the disclosing Individual to such disciplinary action.

Reporting alleged violations. All Disclosures must be reported using the "Disclosure of Alleged Violations" form. Individuals should report serious violations under this Policy to an Erikson officer who can address them properly. Disclosures should be submitted to the officer below charged with handling the particular subject matter of the complaint (or, in unusual situations, to any of the officers identified below). All of the officers identified below have the responsibility to make sure that Disclosures are investigated and concerns are addressed appropriately.

- a) **Academic misconduct**
 - 1. **Faculty related** – Senior VP of Academic Affairs/Dean of Faculty
 - 2. **Student related** – Dean of Students
- b) **Criminal matters** – Chief Human Resources Officer
- c) **Employment matters** – Chief Human Resources Officer
- d) **Financial matters** – VP for Finance & Operations / CFO
- e) **Legal matters** – VP for Finance & Operations / CFO
- f) **Student matters (other than academic misconduct and employment)** – Dean of Enrollment Management
- g) **Matters relating to the executive officers** – President

- h) **Matters relating to the President** – Chair of the Board of Trustees or Chair of the Internal Review Committee
- i) **All other matters** – Chief Human Resources Officer

IV. EMPLOYMENT STATUS & RECORDS

IV.1 Definition of Employment Status

The following terms will be used to describe the classification of employees and their employment status:

1. **Exempt.** Employees whose positions are designated as executive, administrative, professional, or other such category, as prescribed by federal and state wage and hour laws. These employees are exempt from overtime pay requirements.
2. **Non-exempt.** Employees whose positions are not designated as exempt, as prescribed by federal and state wage and hour laws. These employees are paid time and one half of their regular rate of pay for hours worked in excess of 40 hours per week.
3. **Full-time.** Employees regularly scheduled to work thirty (30) hours or more per week. Full-time employees qualify for group benefits, providing they meet eligibility requirements. Please refer to the Benefits section on page 20 for details.
4. **Part-time.** Employees regularly scheduled to work less than thirty (30) hours per week. Part-time employees may be eligible for Institute benefits.
5. **Temporary.** Temporary employees are hired for a pre-established, limited period, usually during peak workloads or for vacation relief. They may work a full-time or part-time schedule. Temporary employees are not eligible for Institute benefits. They are expected to comply with all Institute policies and rules governing employee conduct.
6. **Seasonal.** Seasonal employees are hired for a pre-established period of time during a specific season (i.e. summer). They may work a full-time or part-time schedule. Seasonal employees are not eligible for Institute benefits. They are expected to comply with all Institute policies and rules governing employee conduct.

You will be informed of your employment classification and status when you begin your employment. Any questions regarding your employment classification or status should be directed to Human Resources or the President.

IV.2 External Background Checks

1. PURPOSE OF BACKGROUND CHECKS

Erikson Institute believes that hiring, promoting, and retaining qualified individuals to fill positions contributes to the overall strategic success of Erikson Institute. Background checks serve as an important part of the selection process at Erikson Institute. This type of information is collected as a means of promoting a safe work environment for current and future Erikson Institute employees. In the case of new hires, background checks help Erikson Institute obtain additional applicant-related information that helps determine the applicant's overall employability, ensuring the protection of the current people, property, and information of the organization. Background checks may also be used for other employment purposes, including evaluating a current employee for promotion, reassignment, or retention.

2. POLICY

At Erikson Institute background checks are conducted on job applicants after an offer has been extended and accepted, but prior to start date—whether potential new hires or internal candidates. As of January 1, 2004, Erikson Institute will conduct background checks on all new hires. Erikson Institute will use a third party agency to

conduct the background checks. The type of information that can be collected by this agency includes, but is not limited to, an individual's collective past employment, education, character, finances, reputation, criminal record, etc.

Erikson Institute will ensure that all background checks are conducted in compliance with all federal and state statutes. For applicants (internal or potential new hires) to positions with financial responsibilities, Erikson Institute will collect credit information consistent with the guidelines set forth by the Fair Credit Reporting Act.

In the unlikely event that information discovered from a background check is negative, the Institute will first inform the applicant/employee that it is considering taking adverse action and will provide the applicant/employee with a Statement of Consumer Rights under the Fair Credit Reporting Act and the opportunity to review a copy of his/her credit report.

3. RECORDKEEPING

Erikson Institute represents that all information obtained from the reference and background check process will only be used as part of the employment process and will be kept strictly confidential. If hired, the background report will be kept in the employee's personnel file for up to one year from date of separation of employment. If not hired, the background report will be kept for a minimum of one year.

IV.3 Commencement of Employment

Your employment commencement date is the first day on which you report for work and are entered on our payroll records. Each completed year following your employment commencement date will be your anniversary date. If you begin at Erikson on a part-time basis and accept full-time employment, your anniversary date and year will be the date upon which you commenced full-time employment.

Please refer to the plan materials and corresponding sections of this Handbook for more detailed information about eligibility requirements for Institute benefits, such as Vacation and Group Insurance.

IV.4 Performance Assessments

Erikson Institute is committed to the continuous improvement of the quality of work and the performance of its employees through a five step process:

Step 1: Defining the tasks and skills required for each position

Step 2: Setting goals and standards for each position

Step 3: Providing employees with the tools, time and training needed to achieve goals and meet standards

Step 4: Monitoring performance and counseling employees to achieve goals and meet standards

Step 5: Assessing, documenting and communicating performance to each employee no less frequently than annually

Erikson Institute believes that effective performance management is a collaborative process, requiring open, accurate, and frequent communication between supervisors and employees.

IV.5 Personnel Records

Important events in each employee's history with the Institute will be recorded and kept in the employee's personnel file. Performance reviews, change of status records, commendations and disciplinary notices are examples of records maintained. You are responsible for notifying your supervisor and Human Resources of changes in address, telephone number, and/or family status (births, marriage, death, divorce, legal separation, etc.), as income tax status and group insurance may be affected by these changes. Employees may review parts of their personnel file upon request and may make a copy of those sections of their personnel file.

Access to personnel files is restricted to the President, designated representatives, and managers on a "need to know" basis. An employee may view his or her own file by submitting a request to Human Resources, who will then determine an appropriate time and location during office hours. An employee may make a copy of the file at his or her own expense. If an employee disagrees with any information contained in the personnel record, he or she may submit a written statement explaining the employee's position. This review may take place only with an Institute representative present. All employment references, pre-employment interview evaluations, legal documents, and investigation notes will be removed before an employee may review the file. Personnel files are the property of the Institute and may not be removed from the record area. Erikson does not release any directories or other listings of employees, their addresses, or telephone numbers to any outside sources.

IV.6 Hours of Work/Flextime

All full-time employees are expected to work a minimum of 35 hours a week, consisting of five eight-hour days with one hour of unpaid lunch/break time. Standard operating hours at the Institute are Monday through Friday, 8:00 a.m.-5:00 p.m. Employees are expected to work their eight hours during the standard operating hours, unless they have been approved for a flextime schedule. The Institute reserves the right to change schedules to meet our service needs. If you are a non-exempt employee, your supervisor must give prior approval for any overtime worked.

Flextime at the Institute is a work schedule with time of arrival and departure that differs from the standard operating hours. Morning arrival times are between 8:00 a.m. and 10:00 a.m. with corresponding evening departure times between 4:00 p.m. and 6:00 p.m. For example, a flextime arrangement may be arrival at 9:30 a.m. and departure at 5:30 p.m. with a one-hour lunch break. During summer months, as determined annually by the President, employees may opt to work longer days Monday through Thursday in exchange for an abbreviated Friday workday.

Supervisors approve flextime schedules on a case-by-case basis. The employee must first discuss possible flextime arrangements with his/her supervisor. The supervisor will approve or deny the flextime request based on staffing needs, the employee's job duties, and the employee's work record. Once a flextime schedule has been approved, the employee is expected to adhere to it unless a new request is submitted for review and approval.

The supervisor may suspend or cancel a flextime arrangement at any time. Exempt employees are expected to depart from their flextime schedule as job duties require. Non-exempt employees may be asked to work overtime regardless of a flextime schedule. Department managers may require employees to stagger their lunch/break time schedules to ensure departmental coverage. If you have any questions regarding your schedule, please see your supervisor.

IV.7 Information Requests

Requests from outside the Institute for employee information, including requests for references on current or former employees, should be directed to Human Resources. Employees are prohibited from providing personal or employment references on current or former employees. Employees who violate this policy may be subject to disciplinary action, up to and including termination. Information requests for current and former employees will be provided as follows, except where otherwise required by law:

- **Written Information Requests:** Confirmation of a current or former employee's salary history, as well as his/her dates of employment and positions held, may be released when requested in writing and signed by the current or former employee. This information will be released in writing by Human Resources and a copy retained in the employee's personnel file.
- **Telephone Inquiries:** Confirmation of a current or former employee's dates of employment and positions held will be verified by phone by Human Resources after a reasonable caller identification.

IV.8 Termination of Employment

All employees of Erikson are employed "at-will." Both the employee and the Institute have the right to sever the employment relationship at any time for any reason or no reason at all. All benefits terminate on the last day worked. If you decide to leave the Institute, please advise your supervisor in writing at least two (2) weeks prior to your date of departure so that an orderly transition can be made. This process includes turning in all Institute property, such as keys and equipment, if applicable. Additionally, all employees must complete certain required forms prior to separation from the Institute. You will be paid for any unused, earned vacation time in accordance with state and federal law.

V. EMPLOYEE CONDUCT

V.1 Performance Standards

We are each responsible for performing our duties adequately and properly. Personnel policies and procedures must be followed. You are expected to establish rapport with your co-workers and display mutual respect, common courtesy and a professional demeanor. You should not behave in a manner that obstructs or hinders other employees from completing their duties. The Institute expects that every employee will operate in a manner that is safe for themselves, their co-workers and our students, as well as follow the Institute's safety procedures at all times. Erikson expects all employees to uphold certain standards of conduct within the Institute and in their dealings with students, other constituents and the general public. In order to maintain these principles, you should:

- Meet your commitments.
- Respond truthfully to all job-related inquiries and be honest in all business relationships.
- Exercise common sense.
- Utilize sound judgment.
- Be imaginative in striving for improvement.
- Gain the respect of clients and co-workers.
- Be accountable for your own work.
- Work with your co-workers and supervisor to make constructive suggestions for change.
- Strive to bring out the best in your co-workers.
- Use tact and courtesy in your dealings with co-workers and others.
- Broaden your outlook -- take responsibility for your own development.
- Develop your ability to communicate, both written and verbal.

V.2 Standards of Conduct

In order to maintain a safe and productive work environment, certain guidelines pertaining to our conduct and relationships must be followed. We strive to take a constructive approach to discipline ensuring that actions, which would interfere with job performance or the Institute's operations, are not continued. Violations of our standards will be taken seriously. The Institute reserves the right to take any disciplinary action, including termination, for violation of our standards. In order to protect our employees and the Institute, employees witnessing a rule violation are required to immediately report such an incident to a supervisor. Although there is no way to identify every possible violation of standards of conduct, the following is a partial list of infractions that will result in disciplinary action, up to and including termination. This list is intended to be representative of the types of activities which may result in disciplinary action. It is not intended to be comprehensive and does not alter the employment-at-will relationship between you and the Institute.

- Violation of the Institute's Attendance, Time Records, Overtime, Confidentiality, Conflict of Interest, Harassment, Workplace Violence, Substance Abuse, Smoking, Equipment, Telephone and Computer Usage or other disciplinary policies included in this Handbook or otherwise communicated to employees.
- Engaging in acts of gambling, dishonesty, fraud, theft, or sabotage. Unauthorized possession of property belonging to the Institute or another employee.
- Fighting, horseplay, practical jokes or other conduct which may endanger anyone on our premises.
- Refusing to cooperate with Institute investigations, or providing false information or otherwise interfering with or obstructing an Institute investigation.
- Violating criminal laws on Institute premises or while performing Institute business.
- Threatening, intimidating, coercing, harming or interfering with the performance of employees or supervisors.

- Falsifying employment applications, timecards, personnel documents or other records belonging or relating to the Institute, or intentionally giving false information to anyone who makes such records.
- Insubordination, including refusal to work on an assigned job, refusal to comply with instructions, refusal to comply with Institute promotions or programs and refusal to work overtime.
- Inability to establish sound relationships with students, supervisors, other Erikson staff or the Board of Trustees.
- Unauthorized, willful or careless waste, damage, removal or destruction of Institute materials, property, equipment or supplies.
- Reselling of supplies or purchasing of supplies on behalf of clients, co-workers or anyone other than the Institute.
- Unauthorized distribution of literature or posting of notices, signs or writing in any form on Erikson premises in violation of Erikson policy.
- Conduct which, in management's opinion, reflects adversely on the Institute.
- Sleeping or loitering during working hours.
- Performance which, in management's opinion, does not meet the requirements of the position.
- Engaging in activities that the Institute determines may be inconsistent with the ordinary and reasonable rules of conduct or safety necessary to the welfare or interests of the Institute, its employees or students.
- Failing to immediately report any accident, incident, suspicious persons, work-related injury, fire or other emergency to the proper authorities and your supervisor.

V.3 Attendance Standards

Punctuality and regular attendance are essential to the proper operation of our Institute. Excessive employee absence or lateness are undesirable performance factors for all employees, and those found to be in violation of the Institute's standards will be subject to disciplinary action, up to and including termination. If you will be arriving late, leaving early, or not reporting to work for any reason, you must inform your supervisor, by telephone, no later than the start of the work day. If you cannot reach your supervisor, leave a message for him/her on his/her voice mail or with Human Resources. Failure to call in properly will be considered an unreported absence, which may result in disciplinary action. If an employee is absent from work for three (3) or more consecutive scheduled workdays without calling in, it will be assumed that the employee has voluntarily terminated his or her employment. Additionally, you must maintain contact with your supervisor throughout any absence extending beyond one day, notifying them daily whether and when you will be returning to work.

Excessive absence or lateness, other than for approved Vacation, Sick Leave, Jury Duty, Military Leave or other approved absence, will be considered unauthorized and may subject the employee to a pay deduction and/or disciplinary action, up to and including termination.

V.4 Workplace Violence

This policy is intended to ensure the highest standard of health and safety for all Erikson employees and the general public. Under no circumstances are the following items permitted on Institute property: any type of firearm or ammunition; dangerous chemicals; knives, explosives, blasting caps or any ingredient of an explosive or incendiary nature; or other objects or weapons carried for the purpose of injury or intimidation. Use of chemicals, knives or other items, according to the Institute's safety guidelines, is not a violation of this policy. If you are aware of a violation of this policy, witness strange or unusual behavior by an employee or visitor, or are involved in an incident in which you feel threatened, even if no injury results, you should immediately report the occurrence to your supervisor and the Chief Human Resources Officer. If any infraction of this policy is confirmed, appropriate disciplinary action will be taken, up to and including termination.

V.5 Smoking

For the health and safety of all employees, no smoking will be allowed anywhere in our facilities. Smoking or the display of smoking paraphernalia is prohibited when children are present. Employees may smoke in designated smoking areas outside the facilities during their non-working hours (i.e. before work, during lunch breaks and after work). Employees who violate this policy and/or disarm any Institute fire protection equipment will be subject to disciplinary action, up to and including termination.

V.6 Substance Abuse

The Institute recognizes that alcohol and drug abuse in the workplace has become a major concern. The Institute has an obligation to its employees, students and the general public to reasonably ensure safety in our workplace, comply with federal and state health and safety regulations and prevent accidents. We also believe that by following this policy, we will improve the safety, health and productivity of employees.

The use, possession, sale, transfer, purchase or being under the influence of illegal drugs or other intoxicants by employees at any time, on our premises or while involved in any business relating to our Institute, is prohibited. The illegal use of any drug, narcotic or controlled substance is prohibited. Employees must not report for duty or be on our property while under the influence of, or in the possession of, any intoxicating liquor, marijuana, narcotic or other illegal or illegally obtained substance except as otherwise described below:

If the Institute, as part of a social function, provides alcoholic beverages, employees choosing to consume such beverages must do so responsibly. Additionally, employees are reminded that Institute Standard of Conduct rules are still in effect for such functions and that violations of these rules may result in disciplinary action, up to and including termination. These Institute sponsored or approved functions are the only times that consumption of alcoholic beverages on Institute time or premises is acceptable.

If any infraction of this policy is confirmed, appropriate disciplinary action will be taken, up to and including termination. Individuals who appear to be unfit for work may be subject to a fitness for duty examination at a designated medical facility. When necessary, the Institute reserves the right to inspect and/or search all Institute property, as well as any employee's personal property on Institute premises, for intoxicating liquor, controlled or illegal substances, or any other substances which impair job performance. Refusal to submit to any such inspection or refusal to cooperate in any investigation will result in disciplinary action, up to and including termination. Any illegal substances discovered on our premises will be turned over to the appropriate law enforcement agency and may result in criminal prosecution.

V.7 Partisan Political Activity

Erikson Institute, as a tax-exempt organization under Section 501(c)(3) of the Internal Revenue Code, is prohibited from participating or intervening in any political campaign on behalf of or in opposition to any candidate for public office. Political intervention includes not only making financial contributions but also the publication or distribution of written or oral statements on behalf of or in opposition to a particular candidate. There are no exceptions to this prohibition. Even an insubstantial violation may lead to monetary fines and exposes the Institute to the possibility of revocation of its tax-exempt status.

Nonetheless, the Institute is dedicated to the free expression of ideas. It encourages students, faculty, and other employees, in their individual capacities, to participate fully in the political process during campaigns by candidates for public office as long as they do not-either overtly or implicitly-involve the Institute.

Thus, in accordance with both the law and stated Institute policy, everyone connected with the Institute must observe the following rules with respect to his or her participation in national, state, or local partisan political campaign activities:

1. When endorsing or opposing a candidate for political office or taking a position on an issue for the purpose of assisting or opposing a candidate, individuals and groups within Erikson Institute should undertake to make it clear that they are speaking only for themselves and that they are not stating a Institute position. This is particularly important for those who in their official capacity frequently speak for the Institute.
2. Faculty and other employees may take part in partisan political activities freely on their own time, but they must not do so at the expense of their regular responsibilities to the Institute and its students.
3. Erikson Institute's name or insignia cannot be used on stationery or other documents intended for political purposes, including soliciting funds for political support or carrying on a political campaign.
4. Funds or other contributions may not be solicited in the name of Erikson Institute for political support or carrying on a political campaign.
5. Erikson employees may not-and should not be asked to-perform tasks related to partisan political activities during working hours.
6. The following may not under any circumstances be used for political campaign purposes:
 - a. The Institute's bulk-mailing privilege;
 - b. Institute mailing lists-including the addresses and e-mail addresses of departmental offices or the offices of faculty or other employees;
 - c. Institute-provided office supplies, telephones, facsimile machines, copiers, etc.;
 - d. The Institute's sales tax exemption for purchases of goods and services.
7. Any communication disseminated through the Erikson e-mail system that could be construed as relating to political activity must include a clear statement that such communication represents the personal position of the author.

As noted above, these policies are not intended to infringe in any way your individual right to support a particular candidate or participate in a political campaign. You remain entirely free to become involved in the election process as you choose, so long as you do so in a way that does not-either overtly or impliedly-involve the Institute.

VI. COMPENSATION

VI.1 General Compensation Policy

Erikson's compensation program is designed to support the Institute's mission by attracting, retaining, and rewarding a highly qualified and diverse workforce. The total compensation program consists of both direct and indirect compensation, including base pay and a range of benefits. The program seeks to be internally equitable and, within the limits of the Institute's financial resources, externally competitive. The program:

- Ensures compliance with applicable laws and regulations.
- Provides a clearly articulated structure for managing base pay within established salary grades for administrative staff.
- Provides equitable compensation for comparable work and qualifications.
- Establishes salary ranges that are comparable to relevant labor markets, as determined by periodic market surveys.
- Recognizes and rewards individual performance, based on the results of the Institute's performance management process.

VI.2 Paydays

Unless otherwise designated, employees will receive their payroll checks on the 15th and 30th of each month. When a payday occurs on a weekend or holiday, checks will be issued on the last workday prior. Paychecks are distributed by the Finance department. We will make the required legal deductions based on information supplied by you.

VI.3 Payroll Deductions

Each new hire must complete a W-4 form declaring dependents. The number of exemptions you claim on the W-4 tax form and your total salary determine the amount withheld from each paycheck. Various payroll deductions are made each payday to comply with federal and state laws pertaining to taxes and insurance. Deductions will be made for the following:

- Federal and State Income Tax Withholding
- Social Security (FICA) / Medicare
- Other Items Designated by the Employee

At the end of each calendar year, you will receive with your Wage and Tax Statement (W-2) form. This statement summarizes your income and deductions for the year. If you have any questions regarding these deductions, please contact Human Resources. Any change in your name, address, marital status or number of dependents must be reported immediately to your supervisor and Human Resources.

VI.4 Overtime Pay for Non-Exempt Employees

The Institute's overtime pay policy conforms to the provisions of the federal Fair Labor Standards Act and applicable state laws. Exempt employees are not eligible for overtime pay. The overtime pay policy includes the following principle elements:

- Non-exempt employees will be paid straight time for all weekday hours worked through forty (40) in one week.
- Non-exempt employees will be paid time-and-one-half their regular rate for hours worked in excess of forty (40) in one week.
- Only hours actually worked will be used to calculate overtime pay. Paid time off for Jury Duty and Vacation will not be considered "hours worked."
- Employees must work overtime when necessary. Overtime worked by non-exempt employees must be authorized in advance by your supervisor. Please note that overtime is never at the employee's discretion. Failure to receive approval for overtime may result in disciplinary action, up to and including termination.

VI.5 Expense Reimbursement

Your supervisor must approve all business expenses. Employees with reimbursable expenses should obtain a reimbursement form from the Finance and Administration Department. To be reimbursed, attach the original dated receipts to the reimbursement form and submit them to your supervisor for approval. For mileage reimbursement, a report of reimbursable miles should be submitted to your supervisor for approval and will be reimbursed at the rate authorized by the Internal Revenue Service (IRS). Expense policies are set in accordance with applicable law and, accordingly, expense reimbursements are not considered compensation in any way.

VII. EMPLOYEE BENEFITS AND SERVICES

The Institute provides a package of benefits for its eligible employees. The descriptions in this Handbook are only brief summaries for your general information. Contact the Human Resources Department for more information on benefits. The existence of these employee benefits and plans, in and of themselves, does not signify that you will be employed for the requisite time necessary to qualify for these benefits and plans. The Institute reserves the right to change, modify or discontinue these benefits at any time.

VII.1 Group Insurance

The Institute makes available medical and dental insurance for eligible employees who work at least thirty (30) hours per week. Refer to the plan materials to determine the Institute's eligibility requirements and enrollment waiting periods. The Institute and the employee will share the cost of the insurance premiums according to a schedule established annually by the Institute. Erikson's share of health and dental premiums will only be applied toward the cost of health and dental coverage elected by the employee from Erikson's group insurance plans and will not be reimbursed or refunded to the employee if he/she does not elect coverage.

The Institute provides life, accidental death and dismemberment, short-term and long-term disability insurance for eligible employees who work at least thirty (30) hours per week. The Institute reserves the right to modify these benefits at any time. The Institute may elect to pay all or some of the employee's premiums. An employee is responsible for 100% of coverage for any dependent(s). Enrollment forms should be completed as soon as possible and returned to Human Resources. Claim forms may be obtained from the Human Resources Department, which may assist in clarifying coverage or claim processing procedures.

VII.2 403(b) Retirement Plan

Employees who are at least 21 years of age and have completed one year of service are eligible to participate in the Institute's 403(b) plan. Participation in the plan is completely voluntary, and changes to your contribution elections may be made at anytime. For more information about the Institute's 403(b) plan, please refer to your plan materials or see Human Resources. As with all Institute benefits, Erikson reserves the right to modify this benefit at any time.

VII.3 Tuition Reimbursement

In an effort to promote the professional development of our staff and encourage our employees to further their education, effective July 1, 1999, Erikson Institute will begin implementing a Tuition Reimbursement Policy for employees. In order to be eligible for reimbursement, you must meet the following criteria:

1. The course(s) must be geared towards subject matter that will enhance your performance as an Erikson Institute employee. Erikson will grant reimbursements to individuals seeking to complete their undergraduate degree if the tuition review panel approves it.
2. The courses must be taken for credit in pursuit of a degree or certification.
3. The employee must be on staff for at least one year and may not be a member of either the faculty or senior management.
4. The employee must receive a grade of "C" or higher if an undergraduate and a "B" or higher if pursuing an advanced degree and must provide such evidence that the course was successfully completed.
5. The employee can only receive reimbursement for one (1) course per grading period.

As funds are limited, the maximum reimbursement an employee can get in a given fiscal year can be no greater than \$1,500. The size of the awards will be dependent on the number of applicants and the dollars available in the budget per fiscal year.

In addition, the tuition reimbursement policy will be reevaluated on a yearly basis and employees will be notified of its status after the annual meeting of the Board of Trustees.

As previously stated, you are encouraged to take an active role in your own development with the Institute. Employees are encouraged to continue their education when feasible. Erikson may, in its discretion, reimburse, in part or total, expenses related to continuing education. Courses for which tuition reimbursement is sought must be job related and approved in advance, in writing, by supervisory or executive personnel. If you are interested in this program, contact your supervisor or Human Resources for a reimbursement form and more information.

VII.5 Sick Leave

Full-time employees who work thirty (30) hours or more per week are eligible to receive one (1) sick day per month. Sick time may be used for your doctor visits, illness, or FMLA leave or for the illnesses of your immediate family. Immediate family is described as spouse or domestic partner, children and stepchildren, parents, stepparents, grandchildren, and siblings. Sick time is accruable up to 30 days. Unused sick leave is not payable upon termination of employment.

If you are sick, prior notice should be given to your supervisor no later than the start of the business day. If you cannot reach your supervisor, leave a message for him/her on his/her voice mail and with Human Resources. Failure to call in properly will be considered an unreported absence, which may result in disciplinary action. Additionally, you must maintain contact with your supervisor throughout any absence extending beyond one day, notifying him/her daily whether and when you will be returning to work. The Institute reserves the right to request medical certification for these absences.

VII.6 Vacation

Our vacation plan is designed to provide you with the opportunity to rest and get away from the everyday routine. For that reason, Erikson believes it is important to take vacation when it is earned, and encourages its employees to do so. Full-time employees who work thirty (30) hours or more per week are eligible to receive vacation time. Vacation time is accrued on a fiscal year basis (July 1 to June 30). If an employee starts at any time during the fiscal year, other than the beginning of the fiscal year, the employee's vacation will be prorated accordingly.

Core Administrative Staff (**Salary Grade Levels A through C**) Vacation is provided as follows:

- Vacation will accrue at the rate of fourteen (14) days per fiscal year. Vacation will be prorated for those who are hired after the first month of the fiscal year. For each additional year of employment through five (5) years of service, an employee is entitled to fourteen (14) days of earned vacation each fiscal year.
- Over Five Years of Service. After five (5) years of continuous employment, employees will receive nineteen (19) days of vacation per fiscal year. The increase in vacation will become effective on July 1 following the employee's anniversary date.
- Over Ten Calendar Years of Service. After ten (10) years of continuous employment, employees will receive twenty-four (24) days of vacation per fiscal year. The increase in vacation will become effective on July 1 following the employee's anniversary date.

Departmental Supervisors(**Salary Grade Levels D through F**) Vacation is provided as follows:

- First 5 years – receive nineteen (19) days per fiscal year.
- Over Five Years of Service – receive twenty-four (24) days per fiscal year.

Senior Management (**Salary Grade Levels G and H**) – receive twenty-four (24) days per fiscal year.

Vacation time earned during a fiscal year is forfeited if it is not taken by the last day of the fiscal year.

At least ten (10) working days prior to an intended vacation, an eligible employee must notify, and obtain the approval of, his or her supervisor. In reviewing an employee's vacation request, the supervisor shall take into consideration staffing requirements, administrative deadlines and student needs. While every effort will be made to accommodate vacation requests, the requirements of the position may mandate certain periods when requests cannot be honored, and other periods when vacations can be scheduled. Should numerous employees request the same or overlapping vacation dates, requests will be granted based on seniority. Employees are urged, and may be required, to take their vacation time during the slowest period of work.

VII.7 Holidays

Full-time employees are eligible for paid holidays in each calendar year. The President will approve a list of the holidays at the beginning of each fiscal year to be distributed to the staff and the Board of Trustees. Paid holidays that fall during an employee's scheduled vacation will not be counted against the individual's vacation allotment. In order to be paid for a holiday, you must work the day before and the day after the holiday, unless the holiday is taken as part of a scheduled vacation or otherwise approved in advance by your supervisor.

Employees required to work on a designated holiday can, with prior supervisor approval, substitute another day off in its place. Employees desiring to observe additional religious holidays may request time off, with such time charged to personal days or vacation, or the time may be taken without pay.

VII.8 Family and Medical Leave Policy

PURPOSE:

To give Erikson employees up to twelve weeks away from the Institute, to attend to specified family and medical needs, with job protection and no loss of accumulated service.. The amount of leave available to an employee at any given time will be calculated by looking backward at the amount of leave taken within the twelve-month period immediately preceding the requested leave.

SCOPE:

This policy applies to all employees who have worked at this Institute for at least twelve months and worked at least 1,250 hours during the twelve months preceding the leave.

POLICY:

Eligible employees may be granted up to twelve weeks of unpaid leave per year for:

- Newborns newly-adopted children or newly-placed foster children. Eligible employees may request a leave of absence to provide care for a child following the child's birth, adoption, or foster placement in the employee's home. This leave must be taken within a year after the child is born, adopted or placed in your home.

- Serious health condition of a family member. Eligible employees may request a leave of absence to provide care for a child, parent, spouse or domestic partner who has a serious health condition. The Institute requires certification of the family member's serious health condition, both before the leave begins and on a periodic basis thereafter, by the family member's health care provider.
- Serious health condition of an employee. Eligible employees may also request a leave of absence if they are unable to work due to their own serious health condition. The Institute requires certification of your need for a leave of absence, both before the leave begins and on a periodic basis thereafter, by your health care provider.

While any earned paid time off, such as Vacation and Sick Leave benefits, must be used to supplement your income should you take a Family and Medical leave, the twelve (12) week FMLA period will begin upon commencement of the approved leave. No loss of seniority will occur while you are on this leave of absence. The amount of leave available to an employee at any given time will be calculated by looking backward at the amount of leave taken within the twelve-month period immediately preceding the requested leave. An employee who fails to return to work immediately following expiration of the authorized leave period is subject to termination. All leave taken under this policy and leave for any other reason which could qualify under FMLA, e.g. worker's compensation leave, will be counted against the employee's leave entitlement under FMLA.

During your family or medical leave of absence, the Institute will continue to provide your health insurance coverage. If you are eligible for paid time off, your portion of the insurance premium will be deducted from your paycheck in the usual manner. If you are on an unpaid leave, however, you will remain personally responsible for paying your portion of the insurance premium. Such payments may be made prior to the leave and must be submitted directly to Human Resources. Failure to pay premiums in a timely manner may result in a lapse of coverage.

You must make arrangements to pay all other benefits during a period of unpaid leave. If you do not make such payments, you will nevertheless be restored to the plan with no break in service upon return from leave; however, you must repay the Institute for any additional expense incurred by the Institute for reinstating your coverage. If you do not return to the Institute following the leave period, you will be required to repay any insurance premiums paid by the Institute during your leave. If you have any questions about the application of this policy to your particular situation, contact Human Resources.

PROCEDURE FOR OBTAINING FAMILY AND MEDICAL LEAVE

Application and Commencement.

- A Family and Medical Leave form must be completed requesting family and medical leave and submitted to the Supervisor thirty (30) days prior to the commencement date, except when medical conditions make such a requirement impossible. The Institute may request you delay your leave if you fail to provide thirty (30) days notice for a planned leave. When medical conditions make such a requirement impossible, you should notify your supervisor of your need for extended leave as soon as is practicable. Requests to extend a leave must also be submitted in this manner. Employees on approved leave are expected to report, to their supervisor, any change of status in their need for leave or their intention to return to work.
- If you are requesting leave to care for a sick child, parent or spouse, you must submit a letter signed by a physician that states: (a) the date the illness or condition began; (b) the probable duration of the condition; (c) the estimated time you will need to care for the family member; and (d) a statement that the illness or condition requires the participation of a family member.
- When the leave is for planned medical treatment, you must, where possible, attempt to schedule the treatment so as not to disrupt Institute operations.

- When the leave is for your own serious medical condition, you must submit the completed medical certification form, including prognosis and expected date of return. Failure to submit the form or submission of an incomplete form may be grounds for delay or denial of leave. If you are requesting Vacation or Sick Leave for this condition, the Institute will determine how much paid leave time is available for you to use.
- The Institute reserves the right to require an examination by a physician of its choice if there is a question regarding the employee's physical ability to start or remain on a medical leave status. If a conflict arises, the Institute and employee must select a third physician and that opinion is final and binding on the employee and the Institute.
- Employees on an approved FMLA leave of absence may not perform work for any other employer during that leave.

Reinstatement.

- Upon return from a family and medical leave of absence, you will be reinstated in the following priority of position reassignment:
 - First: prior position, If available.
 - Next: an equivalent position for which you are qualified.
- You must notify your supervisor at least two weeks prior to the end of your leave of your availability to return to work. The Institute may require appropriate medical certification before allowing you to return to work.
- If you fail to return from leave, or fail to contact your immediate Supervisor or the Human Resources Coordinator by your scheduled date of return, the Institute may consider you voluntarily resigned.

Exception: If the employee on leave of absence is a salaried employee and is among the highest paid ten percent of Erikson employees living within 75 miles of the Institute, and keeping the job open for the employee would result in substantial economic injury to the Institute, reinstatement to the position may be denied. The employee will be given an opportunity to return to work in a different job.

VII.9 Extended Leave of Absence

Leaves of absence beyond three working days are considered Extended Leaves of Absence. Extended Leaves of Absence may be granted at the Institute's discretion to eligible full-time employees who have completed one year of service, where circumstances require an absence not covered under the Sick Leave, Vacation, Jury Duty, Military Leave or other leave policies. Occupational injuries not otherwise covered under the preceding policies would be covered by the Extended Leave of Absence policy.

For you to take such leave without pay, you must have no remaining Sick Leave, Vacation, or Jury Duty leave available. (See the Sick Leave policy on page 21, the Vacation policy on page 21 and the Jury Duty policy on page 25 for information on paid leave options) Benefits may be continued if you elect to pay 100% of the insurance premiums during the absence.

A Leave of Absence letter must be submitted requesting the leave and must be submitted to the supervisor thirty (30) days prior to the leave commencement date, except where conditions make meeting such a requirement impossible. Only the President may approve Extended Leave of Absence requests, and only when the President determines it is in the best interest of both the employee and the Institute.

Due to the nature and size of our Institute, reinstatement to any position at the end of an extended leave is subject to the availability of position openings and, as such, may not be guaranteed. The duration of such leaves will be no longer than ninety (90) calendar days.

VII.10 First Year Leave of Absence

PURPOSE:

To give eligible full-time Erikson employees up to a total of 30 working days of leave from the Institute, to attend to specified child related and medical needs, with job protection and no loss of accumulated service. The amount of leave available to an employee at any given time will be calculated by looking backward at the amount of leave taken beginning from his/her 91st day of employment up to immediately preceding the requested leave commencement date.

SCOPE:

This policy applies to all full-time employees who have worked at the Institute for at least ninety days, but less than one year. Any full-time eligible employee who has met or exceeded one year of full-time service may qualify for an FMLA leave (please see policy #VII.9).

POLICY:

Eligible employees may be granted up to a total of 30 working days of leave during their first year of employment for:

- Newborns, newly-adopted children or newly-placed foster children. Eligible employees may request a medical leave of absence to provide care for a child following the child's birth, adoption, or foster placement in the employee's home. This leave must be taken within a year after the child is born, adopted or placed in your home.
- Serious health condition of an employee. Eligible employees may also request a medical leave of absence if they are unable to work due to their own serious health condition. The Institute requires certification of your need for a leave of absence, both before the leave begins and on a periodic basis thereafter, by your health care provider.

To the extent applicable, leave may consist of appropriate paid and unpaid leave. Any earned paid time off, such as Vacation, Personal and Sick Leave benefits, must be first used. Once such earned paid time off has been exhausted, the remainder of the leave will be unpaid.

The 30 day period will begin upon commencement of the approved leave. No loss of seniority will occur while you are on this medical leave of absence. All leave, taken under this policy, must be completed prior to the end of the first year of employment.

During your leave, the Institute will continue to provide your health and dental insurance coverage and pay the Institute's share of premiums as described in the annual premium sharing schedule. You will be invoiced by the Finance department for your share of the medical and dental premiums.

APPLICATION AND COMMENCEMENT:

- A Leave of Absence form must be completed requesting a medical leave of absence and submitted to the Chief Human Resources Officer thirty (30) days prior to the commencement date, except when medical conditions make such a requirement impossible. The Institute may request that you

delay your leave if you fail to provide thirty (30) days notice for a planned leave. When medical conditions make such a requirement impossible, you should notify the Chief Human Resources Officer of your need for a medical leave as soon as is practicable. Employees on approved leave are expected to report to their supervisor any change of status in their need for leave or their intention to return to work.

- When the leave is for planned non-emergency medical treatment, you must, where possible, attempt to schedule the treatment so as not to disrupt Institute operations.
- When the leave is for your own serious medical condition, you must submit the completed medical certification form, including prognosis and expected date of return, to the Chief Human Resources Officer. Failure to submit the form or submission of an incomplete form may be grounds for delay or denial of leave.
- The Institute reserves the right to require an examination by a physician of its choice if there is a question regarding the employee's ability to commence or remain on leave status. If a conflict arises, the Institute and employee must select a third physician and that opinion is final and binding on the employee and the Institute.
- Employees on an approved leave may not perform work for any other employer during that leave.

REINSTATEMENT:

- Upon return from a leave of absence, you will be reinstated to your prior position, if available, or to an equivalent position for which you are qualified, if available.
- You must notify your supervisor at least two weeks prior to the end of your leave of your availability to return to work. The Institute may require appropriate medical certification before allowing you to return to work.
- If you fail to return from leave, or fail to contact your immediate Supervisor or the Chief Human Resources Officer by your scheduled date of return, the Institute may consider you voluntarily resigned.

The Institute, at its sole discretion, will determine eligibility and all other issues arising under this policy. The Institute reserves the right to change, modify or discontinue this leave policy at any time.

VII.11 Jury or Witness Duty

If you are called for jury or witness duty, the Institute will pay your normal earnings for up to five (5) business days within a twelve (12) month period. For jury service beyond five (5) business days, you will be granted an Extended Leave of Absence without pay for the remainder of your term of service (See *Extended Leave of Absence policy* on page 24). You may substitute Vacation time available, if you so desire. If you are excused or dismissed from jury or witness duty before the close of business hours, you are expected to return to work at that time. Please contact your supervisor promptly after receiving notification to appear, and present the subpoena or jury summons. You should also notify your supervisor of your selection to serve on a jury as soon as possible.

If you require time off to appear in Court for personal matters, such as traffic violations, arrests and non-work-related accidents, you will not be paid for that time under the Jury Duty policy.

VII.12 Voting

The Institute supports and encourages the participation of its employees in the democratic process. If you are a registered voter, you may take up to two hours of time off to vote. You must request time off to vote at least one

day prior to election day from your direct supervisor. This two hour allotment must be taken either at the beginning or end of your standard work day; your supervisor will determine which time frame will minimize work disruption.

VII.13 Bereavement

The Institute understands that employees may need time away from work because of a death in their family. If you suffer the loss of a spouse, domestic partner, parent, stepparent, parent-in-law, grandparent, child, step-child, grandchild or sibling, you may take up to three (3) days paid leave to attend the funeral and related matters. If additional time off is required, you may also use available vacation or personal days. It is important to notify your supervisor as soon as possible. Additional time may be granted on a case-by-case basis. In addition, additional time may be granted to attend funerals of other relatives or friends on a case-by-case basis. Documentation of the circumstances for bereavement leave may be required.

VII.14 Military Leave

You may take time off work to fulfill your annual training obligation or, if required, to report for extended active duty. An employee on active or inactive duty with an armed forces regular or reserve unit will be returned to his or her former position or to one of like status and pay to the extent required by law. An employee taking military leave must provide a copy of the order verifying the entry date (See *Extended Leave of Absence policy* on page 24). Up to ten (10) business days of military leave may be paid. However, the Institute will only pay the difference between what the employee would have earned from the Erikson and what he or she is paid for the military service. Otherwise, you should use accumulated Vacation in lieu of unpaid leave.

VII.15 Statutory Benefits

Unemployment insurance is designed to provide economic protection for employees who are between jobs. This program is funded entirely by employers in this state. The program provides weekly benefits if you become unemployed through no fault of your own or due to other circumstances described in the law.

The Federal Insurance Contributions Act (FICA) directs employers and employees to contribute a percentage of the employee's wages to Social Security. These funds provide retirement and long-term disability benefits. The employee's share of these taxes is deducted from the employee's paycheck and is sent with the employer's portion to the appropriate government agency.

Workers' Compensation benefits are intended to compensate workers with job-related injuries or illnesses. If you are injured on the job, no matter how minor the injury, or become ill with a job-related illness, you should notify Human Resources immediately. Failure to immediately report an injury or job-related illness occurring while on the job, in accordance with this policy, is considered a violation of the Institute's safety policy and may result in disciplinary action.

VII.16 Commuter Stipend Policy

PURPOSE:

To encourage responsible environmental citizenship for all eligible Erikson faculty and staff by subsidizing the utilization of public and mass transit systems for employment-related transportation or parking.

SCOPE:

This policy applies to all full-time eligible employees who have worked at the Institute for at least thirty days. Any full-time eligible employee may apply for and receive the "Commuter Stipend Benefit" on the first day of the month following 30 days of employment at full-time status.

POLICY:

Eligible employees may be granted a stipend, up to a maximum of \$75 dollars per month, for ONE of the following options as provided for under **IRS Section 132(a)(5): Qualified Transportation Fringe**. Qualified Transportation Fringe is defined in Section 132(f) as (1) (A) transportation in a commuter highway vehicle between the employee's residence and place of employment, (B) any transit pass, or (C) qualified parking.

Eligible Erikson employees may enroll in one of the three following options:

- A. An RTA transit check to be issued after presentation of proof of purchase equal to or exceeding the monthly stipend amount, for the immediate prior month of transit services, from an authorized transit provider (i.e. RTA, Metra, Pace);
- B. Enrollment in the Chicago Transit Authority (CTA) Chicago Plus Card program;
- C. Application for a monthly parking pass, at Erikson's discounted rate, with the local parking garage. The difference between the monthly parking rate and the stipend will be deducted from the employee's paycheck on a pre-tax basis not to exceed the IRS allowance.

APPLICATION AND COMMENCEMENT:

- Employees must apply for one of the three transit benefit options through Human Resources.
- Employees will forfeit the commuter stipend for a particular month if they fail to apply for one of these options or provide proper documentation of the purchase of transit services for the prior month.
- Employees will have 30 days after the end of the month to claim a monthly stipend, regardless of the payment method chosen above.
- If an employee's account exceeds the CTA account balance maximum, Erikson will no longer be able to deposit additional funds until the balance is below the CTA established maximum. It is the employee's responsibility to notify Human Resources when their account has been released by the CTA to accept additional funding.
- The Institute will not retroactively pay for any transit services beyond the aforementioned 30-day limit.
- If an employee wants to change from one benefit option to another, he or she must give a minimum required 60-day notice to Human Resources prior to the effective date of change.
- Employees on an approved leave will not be entitled to the Commuter Stipend Benefit. The stipend will be discontinued effective on the next disbursement cycle. Employees on an approved leave must apply for reinstatement of the Commuter Stipend Benefit by notifying Human Resources upon their return to full-time work status.
- This policy will be effective as of Friday, August 1, 2008.

The Institute, at its sole discretion, will determine eligibility and all other issues arising under this policy. The Institute reserves the right to change, modify or discontinue this policy at any time.

VII.17 Educational Assistance

Erikson Institute encourages full-time faculty and staff to further their education. Educational assistance benefits for Erikson Institute classes are available to eligible full-time employees, during the course of their employment, as herein defined.

1. Erikson will cover 75 percent of the cost of tuition for full-time eligible employees enrolled in Erikson courses. If the course is a requirement of employment, the Institute will pay 100 percent of the cost of tuition.
2. Employees who wish to pursue an Erikson degree, certificate program or take an individual course as a student-at-large, must first request and receive written approval from their supervisor and Vice President. If approved, the supervisor must then approve a course load consistent with the employee's job position responsibilities.
3. A maximum limit of one class per semester will be subsidized under this policy; any classes taken in excess of this limit must be paid 100 percent by the employee.
4. Employees who apply to take course work or pursue a degree or certificate program, must apply and meet all qualifications required for admission and are subject to all academic regulations. Employees must meet qualifications for course work, including prerequisites.
5. Educational assistance benefits commence at the beginning of the term following six months of employment, or the beginning of the term after a move to full-time eligible status.
6. If a course is scheduled during normal working hours, the employee must make up the missed time through flexible scheduling (please see policy #IV.6).
7. Enrollment in a particular class is contingent upon the availability of class space, without depriving a tuition-paying student from taking a class in accordance with Section 132 of the IRS code.
8. Course-related expenses and services such as fees, books and other materials, and tutoring are not covered under this benefit. It is the responsibility of the employee to note special charges and pay in accordance with Institute payment guidelines.
9. Educational assistance benefits will be prorated if the employee terminates or moves to ineligible status during the term in which he/she was receiving benefits.
10. Employees must maintain full-time regular status prior to the start and throughout the course work to receive educational assistance benefits for courses.
11. Employees who are enrolled must remain in good academic standing to continue to receive this benefit.
12. Educational assistance benefits are contingent on the limits of the Institute's resources and will be granted on a first-come, first-eligible basis.
 - *Funding for core staff.* Erikson will set aside a budgeted amount each year for core staff. Educational benefits will be awarded on a first-come, first-eligible basis.
 - *Funding for project staff.* Educational assistance benefits for project staff must be funded by the project.
13. Applications for educational assistance benefits are available in the Human Resources Department and online.

Please contact the Chief Human Resources Officer for any additional questions you may have regarding this policy. The Institute, at its sole discretion, will determine eligibility and all other issues arising under this policy. The Institute reserves the right to change, modify or discontinue this benefit at any time.

VIII. WORK ENVIRONMENT AND CONDITIONS

VIII.1 Fires & Emergencies

IN CASE OF EMERGENCY, DIAL 911.

The emergency procedures are posted on the bulletin boards. Exits, fire extinguishers and first-aid kits are located throughout the facility. Exits and areas around fire extinguishers must be kept clear at all times.

VIII.2 Workplace Safety

In compliance with the Occupational Safety and Health Act, Erikson strives to furnish a workplace free of recognized hazards that could cause physical harm to its employees. Every employee is responsible for reporting any unsafe conditions or circumstances to the President and/or Center Director to prevent accidents. Serious or recurring problems involving safety, equipment maintenance or procedural problems that have an adverse effect on an individual's or the Institute's well being should be reported to the President.

Job-related injuries and illnesses, regardless of severity, should be reported immediately to your supervisor and Human Resources to provide prompt and trained evaluation and obtain medical attention, if necessary. If medical treatment is not immediately available, telephone the paramedics promptly at 911. If medical attention is not needed, you must report the accident to your supervisor for evaluation and appropriate documentation. If you are injured or become ill due to a work-related condition, you must submit Worker's Compensation Report Forms as soon as possible and no later than forty-five (45) days after the incident. Failure to immediately report an unsafe condition, injury or job-related illness occurring while on the job, in accordance with this policy, is considered a violation of the Institute's safety policy and may result in disciplinary action.

VIII.3 Life-Threatening Illnesses

We are committed to providing equal opportunity to all employees, including those who have a life-threatening illness (cancer, HIV, cardio-pulmonary diseases, etc.). We are also committed to providing a safe work environment that meets or exceeds State and Federal regulations. Consequently, if you have a life-threatening illness, you will be treated like other employees, as long as you meet performance standards, and medical and other evidence indicates that your condition is not a threat to yourself, staff, students or others. We also believe all information regarding your medical history or requirements should remain private and confidential.

VIII.4 Security

Security is everyone's responsibility. Report any suspicious people in or around our facilities to the Assistant Director of Facilities, Chief Human Resources Officer or any Vice President. Keep the front door closed and locked at all times when there is no receptionist on duty. We have taken precautions to ensure your safety and the safety of your personal property; however, we cannot accept responsibility for personal articles that may be stolen. Be sure to take precautions with your personal property, i.e., do not leave purses in plain sight and do not leave wallets in coat jackets hanging on doors. Let your supervisor know immediately of any incidence of theft.

VIII.5 Concealed Carry Policy

Purpose

Erikson is committed to providing a safe and secure environment for its community and guests.

In support of this commitment, Erikson will establish restrictions on carrying firearms or weapons on the Erikson campus in accordance with the 2013 Illinois Firearm Concealed Carry Act, Section 65.

Scope

This policy applies to all employees, students, visitors and individuals conducting business on the Erikson campus. Campus includes, but is not limited to, the LaSalle Street campus and field placement sites whether owned, leased or controlled by Erikson, where Erikson programs, activities and classes are held.

Policy

Erikson maintains a Firearms and Weapons Free Campus. No person covered by this policy, regardless of whether that person has a valid federal or state license to possess a firearm or weapon, is authorized to possess a firearm or weapon while engaged in Erikson related business or activities.

Exceptions

The provisions of this policy do not apply to the possession of firearms or weapons on the Erikson campus, or at any Erikson sponsored activity if the firearm or weapon is carried by a full-time law enforcement officer required to carry a firearm or weapon as a condition of his or her employment, the firearm or weapon is carried by an enforcement officer from an external agency conducting official business at Erikson or any other exception that is deemed necessary as determined by the Chief Facilities Officer. The exceptions to the prohibitions of concealed carry do not apply to off-duty law enforcement officers on campus including off-duty law enforcement officers attending classes as students.

Enforcement

Any of the aforementioned individuals who violate this policy, which means he or she is found to have carried a firearm or weapon onto the Erikson campus knowingly or is found to have carried a firearm or weapon under circumstances in which the individual should have known that he or she was in possession of a firearm or weapon will face the following disciplinary actions:

- Employees may be subject to discipline up to and including immediate termination;
- Students may be subject to discipline up to and including immediate expulsion;
- Individuals visiting or conducting business on the Erikson campus may be banned and/or referred to an external law enforcement agency, which may lead to arrest and prosecution.

Erikson's Facilities and Enrollment Departments, in consultation with other relevant departments and executive management, shall be responsible for the development and distribution of information regarding this policy to the Erikson campus community; shall be responsible for the development and promulgation of procedures and protocols for confiscation of weapons; shall promulgate policies and procedures to be used in determining whether any exceptions to this policy are necessary and shall be responsible for determining the clear and conspicuous posting of signage at all entrances stating that concealed firearms are prohibited. Signs shall be in accordance with the design approved by the Illinois State Police.

The Chief Facilities Officer and Dean of Enrollment Management shall be the designees of the President of Erikson responsible for reporting any employee, student or visitor who is determined to pose a clear and present danger to the Chicago Police Department and the Illinois State Police.

Definitions

- A. "firearm" is defined as: loaded or unloaded handgun. A "handgun" is defined as any device which is designed to expel a projectile or projectiles by the action of an explosion, expansion of gas, or escape of gas that is designed to be held and fired by the use of a single hand.
- B. "weapon" is defined as: Any device, whether loaded or unloaded, that shoots a bullet, pellet, flare or any other projectile including those powered by CO2. This includes, but is not limited to, machine guns, rifles, shotguns, handguns or other firearm, BB/pellet gun, spring gun, paint ball gun, flare gun, stun gun, taser or dart gun and any ammunition for any such device. Any replica of the foregoing is also prohibited. Any explosive device including, but not limited to, firecrackers and black powder. Any device that is designed or traditionally used to inflict harm including, but not limited to, bows and arrows, any knife with a blade longer than three inches, hunting knife, fixed blade knife, throwing knives, dagger, razor or other cutting instrument the blade of which is exposed.

VIII.6 Housekeeping

Cleanliness is essential for the safety and comfort of our staff. Therefore, you are expected to keep our facilities clean and in good working order at all times. You should notify the President or Center Director if any damage occurs to building property, such as chairs, windows, carpeting, furniture and equipment, so that immediate repairs or replacement can take place.

You are also expected to keep classrooms, work areas, kitchens, conference rooms and the reception area free of trash and clutter. Please be respectful of your fellow employees by disposing of trash, wiping up spills, washing dirty dishes and keeping microwave ovens clean.

VIII.7 Use of Equipment

To ensure the proper use and care of our equipment, you must be given permission by the President or a Vice President to remove Institute property from the premises. Employees who fail to return Institute equipment are liable for its replacement. You may not take furniture or equipment for use in your work area or office without the authorization of your supervisor. Employees found to have violated this policy will be subject to disciplinary action, up to and including termination.

VIII.8 Telecommunication Networks and Information Resources

Purpose

Erikson provides its staff, students, and guests with a wide array of information technology and resources. As with all Institute assets, our campus-wide telecommunications, including phones, voicemail, computer network, workstations, laptops, servers, software, printers, mobile devices, and collaboration tools, are intended for authorized business use. Members of the Erikson community are expected to use these resources in a responsible, professional way. Users shall use these resources in a manner that is honest and ethical and in accordance with the standards for honest and ethical behavior outlined in Erikson's Human Resources Policy Manual. The following guidelines will help users understand their responsibility to protect the integrity of these resources, to properly use and protect information, and to respect the rights and privacy of other users. The rules apply equally to users who connect their own devices to Erikson's network.

Please note that the policy guidelines described below will not be enforced so as to interfere with or restrict an employee's legal rights, including rights under the National Labor Relations Act, or to proscribe or prohibit any lawfully protected employee communications, including but not limited to the right to discuss wages, hours and working conditions, terms and conditions of employment and the

existence of certain labor practices or the right to identify Erikson by name or logo or in certain cases to use photos or images in connection with a protest relating to any such practices.

Policy guidelines

The purpose of Erikson's computer network and information resources is to support its mission of teaching, research, and community engagement. The guidelines below are meant to help us avoid compromising Erikson's mission as well as resources.

- 1. Access**—Users must refrain from seeking to gain unauthorized access to information resources or enabling unauthorized access by others. Inappropriate uses include, but are not limited to:
 - Sharing your username and passwords and permitting other individuals to access your accounts;
 - Accessing another user's files or directories without authorization;
 - Attempting to capture or crack passwords or encryption to access another user's accounts or network files;
 - Intercepting or monitoring any network communication not explicitly intended for you without authorization;
 - Impersonating another individual in communication (e.g., forged email, texts, IMs, social media postings);
 - Restricting or denying access to the system by legitimate users.

- 2. Usage**—Use of Erikson's information resources must comply with Institute policies and legal obligations, including licenses and contracts, and all federal and state laws. Inappropriate uses include, but are not limited to:
 - Using Erikson's resources for private financial gain (e.g., running a private business);
 - Using Erikson's resources to conduct partisan political activities (e.g., lobbying or campaigning) where prohibited by federal, state, or other applicable laws;
 - Copying and using Institute purchased/leased software contrary to the provisions of the contract;
 - Consuming an unauthorized, disproportionate share of networking resources;
 - Downloading, viewing, or transmitting fraudulent, harassing, pornographic, or threatening messages or materials or materials containing ethnic slurs, racial epithets, or other content that may be construed as harassment or disparagement of others based on their race, color, religion, national or ethnic origin, gender, gender identity, gender expression, sexual orientation, marital status, age, disability, veteran status, or any other status protected by federal, state, or local laws;
 - Using copyrighted or licensed digital resources without appropriate permission and/or attribution (e.g., journals, movies, music, software, games, data, etc.). (See *Erikson's Intellectual Property Policy* and the *Peer-to-Peer File-Sharing policy* for more information);
 - Violating the terms of use of online media forums, including social networking websites, mailing lists, chat rooms, and blogs.

Please note that Erikson acknowledges that there may be a legitimate academic or scholarly reason for downloading, viewing or transmitting certain content that in most other contexts would be violative of this policy. If such circumstances arise, please use appropriate discretion in processing such materials.

- 3. Integrity and security of information**—Users must respect and protect the integrity of information and information resources and preserve the rights and privacy of individuals. Inappropriate activities include, but are not limited to:
 - Deploying software programs that secretly collect information about individual users;
 - Destroying or altering data or programs belonging to other users;

- Storing, sending or otherwise processing sensitive personal information about individuals without express authorization and proper security protections or in violation of applicable law. Examples of such information include: financial information, social security numbers, driver's license numbers, state ID numbers, and health information;
- Transmitting sensitive or proprietary information to unauthorized persons or organizations;
- Sending unsolicited messages without authorization to a large number of recipients, including staff and students;
- Transmitting confidential, personally-identifiable information, or information otherwise protected by law, over the network without proper safeguards, which in some instances, such as in the case of transmitting sensitive personal information, may require encryption.

"Personally identifiable information" means information that is identifiable to an individual or reasonably identifiable to a specific device.

- 4. Personal use of Institute-owned networks and information resources**—Erikson acknowledges that a certain amount of incidental personal use of Institute-owned information resources may occur during work time. Erikson further acknowledges that a certain amount of such use on personally-owned devices during work time may also occur. As general rule, Erikson does not object to such periodic incidental use so long as it is:
- Reasonable and limited;
 - Creates efficiencies that allow better use of time at work;
 - Does not interfere with work commitments;
 - Does not adversely affect or burden Erikson's information systems, the work environment generally, or other users.
- 5. Erikson's right to access information resources for legal and Institute purposes**—Users should have no expectation of privacy when using Erikson's telecommunication networks and information resources for any form of activity, including but not limited to email (personal and business), messaging, accessing the Internet, or engaging in social media. Erikson may monitor communications and other activities taking place on its information systems and reserves the right at its discretion to access, and in some circumstances disclose to third parties, any records, messages, or communications sent, received, or stored on its information systems, without the knowledge and consent of the users who have custody of them, subject to applicable law. Examples of circumstances in which representatives of the Institute may need to access and/or disclose electronic or other records to third parties (including paper records) include:
- In response to investigations, subpoenas, or lawsuits. Erikson may be required by law to provide electronic or other records, or information related to those records, to third parties;
 - In connection with Erikson's own investigations;
 - To ensure the proper functioning of the Institute;
 - To protect the safety of individuals or the Erikson community;
 - To provide, maintain, or improve services; and, in that connection Erikson may also permit reasonable access to data by third-party service providers.

Procedures

Reporting concerns about or possible misuse of information resources

Users should report any system defects and concerns with system security to the Information Technology staff. If you receive "spam" or unsolicited email, you can forward it to SPAM REPORTING so that it can be blocked in future. To report suspected misuse of Erikson's computer telecommunications resources, users should follow the procedures outlined in the Whistleblower Policy.

Consequences of misuse of information resources

Inappropriate use of these resources may result in loss of access and disciplinary action, up to and including termination or dismissal or, in some cases, in civil or criminal prosecution.

VIII.9 Personal Mail

Erikson receives and sends a large volume of mail each day. Please have personal mail addressed to your home. The Institute will not assume responsibility for any personal mail directed to individual employees. Likewise, Institute postage may not be used for personal mail without reimbursing the Institute.