



# HOPKINS HOUSE

## POLICY BOOK

### Personnel, Administrative, and Financial Policies & Procedures

**This Policy Book is the sole property of Hopkins House. Recipient is responsible for knowing its contents and updates, for safeguarding it, and for returning it to the Vice President or HR officer upon leaving Hopkins House employment.**

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**Issue Date: July 1, 2011**

## **HOPKINS HOUSE POLICY BOOK**

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### **Headquarters**

**5904 Richmond Highway, Suite 525  
Alexandria, VA 22303  
703/549-4232**

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**HOPKINS HOUSE  
- A Center for Children and Their Families**

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July, 2011

### INTRODUCTION

This Policy Book (sometimes, “Book”) is intended as a reference to the basic personnel, administrative, and financial policies, practices, and procedures for Hopkins House (sometimes, “Organization”). All employees are expected to read this Policy Book, to understand and to adhere to the policies contained herein. It is the responsibility of the employee to seek clarity and a complete understanding of each policy.

This Policy Book and the policies contained herein supersede all previous policy books, policy manuals, and policies.

Nothing in this Policy Book shall alter the at-will nature of employment of any employee.

Hopkins House may add to the policies in the Policy Book or revoke or modify them from time to time. Hopkins House will try to keep the Policy Book current, but there may be times when policies may change before this Policy Book is revised. In such instances, the employee will be notified of new or modified policies through other means.

All copies of the Policy Book are Hopkins House property and are assigned to the job position and not to the individual. The Vice President or HR officer is responsible for distribution of the Policy Book. The Vice President or HR officer is responsible for disseminating new policy information. All Policy Books must be returned to the Vice President or HR officer upon termination of employment.

The words "shall" or "will" shall be construed as mandatory, the word "may" as permissive, and the masculine gender shall be construed to include the feminine gender.

**100 PERSONNEL POLICIES AND PROCEDURES**

Policy: It is the policy of Hopkins House that the Budget & Personnel Policy Committee of the Trustees (“B&PP Committee”), in consultation with the President, shall have responsibility and authority for developing and recommending to the Trustees’ policies and procedures related to the Organization’s personnel, and that the Vice President shall have responsibility and authority for implementing these policies and procedures once they have been adopted by the Trustees. If Hopkins House does not have a Vice President, the President or a President’s designee shall have the responsibilities and authorities given to the Vice President in this Policy Book. The B&PP Committee may, at its discretion, make textual changes to approved policy for purposes of clarification or correction, but may not change the substance of approved policy.

Procedure: The B&PP Committee will meet regularly, but no less than quarterly during the Organization’s fiscal year. The Vice President shall report regularly to the B&PP Committee on all matters related to the administration of the Organization and when desirable and appropriate, in consultation with the President, shall recommend new policies or changes to existing policies and procedures related to the administration of the Organization.

**100.1 Hiring**

Policy: It is the policy of Hopkins House that the Trustees shall hire the President of the Organization.

The President is authorized by the Trustees, subject to their approval, to hire the Vice President and other Executive Officers.

The Vice President is authorized by the Trustees, subject to the approval of the President, to hire and manage the staff of the Organization, except Executive Officers.

The Vice President shall: (1) coordinate the recruitment, hiring, orientation, training and performance assessments of all employees, except Executive Officers; and (2) oversee compliance of the personnel policies of the Organization.

Procedure: All hiring shall be consistent with the personnel and administrative policies of Hopkins House, including those policies pertinent to Equal Opportunity and Fair Hiring practices. Candidates for employment shall not be officially employed until a letter of appointment/hire is signed and issued by an authorized representative of Hopkins House and the candidates have successfully

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completed, in Hopkins House's sole discretion, the following:

- (a) **CRIMINAL AND BACKGROUND CHECKS:** All offers of employment shall be contingent upon receipt by Hopkins House of a completed and cleared criminal and employment history check that is satisfactory to Hopkins House, in its sole discretion.
- (b) **SWORN DISCLOSURE STATEMENT:** All offers of employment shall be contingent upon receipt by Hopkins House of a signed Sworn Disclosure Statement stating that the person has not been convicted of or subject to pending charges of a serious crime.

Consistent with the *Code of Virginia* prohibiting employment by child welfare agencies of persons convicted of or subject to pending charges of certain enumerated crimes ("Prohibited Crimes"), Hopkins House shall not employ a person that it knows is or has been convicted of or subject to pending charges of any Prohibited Crimes. Nothing in this Book shall prohibit Hopkins House from not hiring a candidate who has been convicted of or subject to pending charges of other crimes.

Candidates for employment submitting false, misleading, incomplete or omitted information pertinent to their education, employment history, salary, or other relevant credentials shall not be hired by Hopkins House, or if hired and found to be in violation of this Policy shall be released from employment without benefit of grievance or accrued benefits.

### **100.2 Employment-at-Will**

Policy: It is the policy of Hopkins House that, consistent with the Commonwealth of Virginia law, its employees are employed at the pleasure (i.e., will) of the Trustees for an indefinite period of time and are subject to employment termination at any time, for any reason or no reason, with or without cause or notice.

No employee of Hopkins House is authorized to modify this Policy for any employee or to enter into any agreement, oral or written, contrary to this Policy. No employee of Hopkins House is authorized to make any representation to employees or an applicant concerning the terms or conditions of employment with Hopkins House that is inconsistent with this Policy.

No statements made in pre-hire interviews or discussions, or in recruiting materials of any kind shall alter the at-will nature of employment or imply that discharge will occur only for cause. All such offers or statements are null and void, and of no force or effect.

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Except as indicated in the last paragraph of Section 100.2, any statements contained in this Policy Book or any other employee handbooks, employment applications, recruiting materials, memoranda, or other materials provided to applicants and employees in connection with their employment at Hopkins House, may not modify this Policy. None of these documents, whether singly or combined, are to create neither an express or implied contract of employment for a definite period, nor an express or implied contract concerning any terms or conditions of employment. Similarly, Hopkins House policies and practices with respect to any matter are not to be considered as creating any contractual obligation on Hopkins House's part or as stating in any way that termination will occur only for "just cause". Statements of specific grounds for termination set forth in this Policy Book or in any other Hopkins House documents are informative only, not all-inclusive lists, and do not restrict Hopkins House's right to terminate the employment of employees at-will.

Completion of the Probationary Period, as hereinafter defined, does not change an employee's status as an employee-at-will or in any way restrict Hopkins House's right to terminate such an employee or change the terms or conditions of employment.

Employees of Hopkins House who have received a contract for a term signed by an authorized representative of Hopkins House are exempt from this Policy.

### **100.3 Equal Opportunity and Non-Discrimination**

Policy: It is the policy of Hopkins House to provide equal opportunity in employment to all employees and applicants for employment. No person is to be discriminated against in employment because of race, religion, color, gender or sexual orientation, age, national origin, disability, or veteran status.

Any employee who feels that they are the victim of discrimination has a responsibility to report their concern in writing to their supervisor and/or the Vice President.

Definitions: This Policy applies to all terms, conditions, and privileges of employment including, but not limited to hiring, probation period, training, placement and employee development, promotion, transfer, compensation, benefits, educational assistance, layoff and recall, social and recreational programs, employee facilities, termination, and retirement.

### **100.4 Hours of Work**

Policy: It is the policy of Hopkins House that full-time employees shall be those employees who are regularly scheduled to work a 40-hour work-week and are not in a Probationary Period. Employees

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shall be assigned by their Supervisor to a work shift during the Organization's normal hours of operation: Monday through Saturday, 6:30 am to 7:00 pm. Part-time employees shall work as determined by their supervisor.

Procedure: Full-time employees shall be entitled to a 1 hour lunch break. Part-time employees working more than 6 hours a day are entitled to a minimum of 1/2 hour lunch break. Employees shall be assigned a regular time for lunch by their supervisor. Employees required to eat lunch on site shall have their lunch hour included in their paid working hours.

### **100.5 Excessive Absences and Lateness from Work**

Policy: It is the policy of Hopkins House that employees are required to report to work unless they have an excused absence and to report to work on time.

Definitions: "Late" is defined here to mean reporting to work at anytime after the scheduled start time. "Absent" shall be defined here to mean absence from work without prior permission or for reasons other than a documented emergency.

Procedure: Hopkins House does not have a grace period. Employees reporting to work after their scheduled start time shall be considered late. Employees failing to report to work as scheduled and not showing causal documentation of an emergency shall be considered absent from work. Timesheets shall be kept on all employees and shall be regularly reviewed by management for excessive absences or tardiness.

### **100.6 Job Classification**

Policy It is the policy of Hopkins House that permanent employees performing similar duties and having the same responsibilities will have the same titles and will be paid no less than the minimum allowed in the Schedule of Rank and Salary Ranges, and that all current Hopkins House employees, whether employed full-time or part-time, will be given the opportunity to apply to fill job vacancies prior to a public announcement of vacancies.

Procedure: The job title and rank of all permanent employment positions at Hopkins House will be classified according to a system of equitable ranks indicated in numerical grades. This system shall be called the "Schedule of Rank and Salaries". As part of the annual budgeting process, the Trustees will annually cause the Schedule to be published. The Schedule shall include the title, rank, base educational certification, job grade, base salary and salary step of all employment titles authorized by the Trustees.

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In order to qualify for employment, among other requirements, the candidate must meet the base education certification for the prospective job title.

If a full-time current employee is hired to fill a vacancy, that employee will be promoted or transferred from their current position. If a part-time current employee is hired, the employee will be treated as an employee who is hired for the first time for Probation Period purposes.

If the job vacancy is not filled with a current employee and the vacancy has been posted internally for at least seven days, applications from non-employees may then be considered. Nothing in this Policy shall require Hopkins House to fill a vacant position with an existing employee.

### **100.7 Employment Probation Period**

Policy: It is the policy of Hopkins House that newly hired employees and employees promoted to a new job title or transferred between departments shall have a Probation Period.

Procedure: Newly hired employees and employees promoted to a new job title or transferred between departments shall have a Probation Period of up to 90 days but not less than 30 days. The definite period of time shall be determined at the sole discretion of Hopkins House. During this period, they are not entitled to the employment grievance procedure.

At the end of the period, the supervisor shall evaluate the work performance of the employee in writing. The evaluation shall include a rating of Satisfactory, Noted Deficiency, or Unsatisfactory.

A rating of satisfactory will result in the completion of the probationary status. The President shall have the option of releasing the employee or extending the Probation Period up to an additional three months if the employee receives a rating of Noted Deficiency. An employee receiving a rating of Unsatisfactory shall be terminated from employment prior to or at the end of the Probation Period. Notwithstanding anything in this Book to the contrary, nothing in this Book shall prohibit Hopkins House from terminating employees during the Probation Period.

### **100.8 Employee Benefits**

Policy: Information and summary communications intended to explain Hopkins House's employee benefits will be given to an employee upon completion of his or her Probationary Period. Hopkins House reserves the right to modify, amend, or terminate its benefits as they apply to all current, former, and retired employees.

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Procedure: A copy of the complete list of benefits is on file in the office of the Vice President and may be read by the employee, his or her beneficiaries or legal representatives at any reasonable time, upon advance request. Employees with questions about either the benefits or this Policy should contact the Vice President.

Employees must enroll in the Hopkins House insurance plan within 30 days of the date he/she becomes eligible or must wait until the next open enrollment period to enroll. The only exceptions may be made in the case of a qualifying event which includes marriage, childbirth, adoption, and a documented loss in coverage.

All full-time permanent (salaried) employees are eligible to receive these benefits after successful completion of the employment Probationary Period. Notwithstanding anything in this Book to the contrary, employees who are in a Probationary Period due to a transfer of position or a promotion to a new job title and who were eligible for benefits before such a transfer or promotion will continue to be eligible for benefits.

Hopkins House, at an amount solely determined by Hopkins House, shall contribute monthly toward the premiums paid to insurers for employees benefits. Hopkins House shall pay such premiums to the insurers directly. Employees are required to use a portion of this contribution to pay the full monthly premium for Group Life and Group Disability. Employees may elect to use the remainder of the contribution toward a health premium or other benefit that requires a premium. Hopkins House shall keep any excess, unused monies.

### **100.9 Vacation Leave**

Policy: It the policy of Hopkins House to enable full-time permanent (salaried) employees to earn paid Vacation Leave time.

**ACCRUAL:**

Full-time permanent (salaried) Executive and Administrative employees will accrue Vacation Leave at a rate of 16 hours (2 days) per month up to the maximum of 160 hours (20 days) during the Organization's fiscal year.

Full-time permanent (salaried) Clerical, Support and Faculty staff will accrue Vacation Leave at the rate of 16 hours (2 days) per month up to the maximum during the Organization's fiscal year as indicated below:

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- 40 hours (5 days) for the first 12 months of full-time employment; and
- 80 hours (10 days) beginning after the 12<sup>th</sup> month of full-time employment and thereafter.

Part-time and hourly employees shall not accrue Vacation Leave.

FISCAL YEAR: The Organization's present fiscal year is from July 1 through June 30.

USE: Hopkins House will attempt to grant employees time off for vacation at the time employees' desire. However, all vacations are subject to the needs of Hopkins House and must be scheduled with and approved by employees' supervisors. Employees failing to give adequate notice, as determined by Hopkins House, of non-emergency absences may not use Vacation Leave for the time not worked.

Upon leaving employment with Hopkins House, employees will be compensated for unused, accrued Vacation Leave as indicated in the Employment Termination Policy. Such employees will only be paid for unused, accrued Vacation Leave for a previous fiscal year if it was carried over to the most recent fiscal year as indicated below.

Any Vacation Leave used but not earned by an employee shall be withheld from the employee's final paycheck upon termination of his/her employment with Hopkins House.

CARRY OVER: Full-time permanent (salaried) employees may carry over a maximum of 5 Vacation Leave days from one fiscal year to the subsequent fiscal year.

PROBATIONARY EMPLOYEES: Subject to the next sentence probationary employees shall not accrue Vacation Leave nor be entitled to such compensation, unless they are hired for a full-time, permanent position at Hopkins House. Upon the expiration of the Probationary Period, employees hired for a full-time, permanent position shall retroactively receive accrued Vacation Leave as prescribed above. Probationary employees terminating or otherwise released from employment with Hopkins House during the Probationary Period will not be compensated for any accrued Vacation Leave. Notwithstanding anything in this Book to the contrary, employees who are in a Probationary Period due to a transfer of position or a promotion to a new job title and who were eligible for Vacation Leave before such a transfer or promotion will continue to be eligible for Vacation Leave in the same manner as before the transfer or promotion.

**100.10      Sick Leave**

Policy: It is the policy of Hopkins House that full-time permanent (salaried) employees, who have successfully completed the Employment Probation Period, shall be entitled to Sick Leave for reasons including, but not limited to, illness, quarantine, or injury of sufficient seriousness to prevent the employee's attendance at work, as well as physical, dental, optical examinations or treatments.

For the purpose of this Policy, "immediate family" shall be defined as spouse, domestic partner, child, parent, or legal guardian.

For the purpose of this Policy, "domestic partner" shall mean a person of the same or opposite sex who is eighteen years of age or older and not related by blood to the employee. The employee and his or her domestic partner must have a close and committed personal and financial relationship, live together, and have been living together on a continuous basis for a period of at least twelve months.

Sick Leave is a benefit granted by Hopkins House and not a right due employees by virtue of their employment with Hopkins House.

Procedure: Full-time permanent (salaried) employees shall have, upon successful completion of the Employee Probationary Period, 7 days of paid Sick Leave annually. Such Sick Leave shall be earned at the beginning of each fiscal year or at the completion of such employees' Probationary Period, if applicable. Notwithstanding anything in this Book to the contrary, employees who are in a Probationary Period due to a transfer of position or a promotion to a new job title and who were eligible for Sick Leave before such a transfer or promotion will continue to be eligible for Sick Leave in the same manner as before the transfer or promotion.

Part-time and hourly employees shall not receive paid Sick Leave. Employees failing to give adequate notice, as determined by Hopkins House, of non-emergency absences attributed to illness may not use Sick Leave for the time not worked. Hopkins House may request a physician's letter for absences due to Sick Leave. For absences of more than 3 days due to illness, the employee is required to provide a letter from the treating physician, certifying his/her ability to return to work and excusing such days required to recover from the illness. Abuse of Sick Leave is grounds for disciplinary action, up to and including termination.

Employees may not accrue or carry-over unused Sick Leave into the next fiscal year. If an employee leaves Hopkins House and has unused Sick Leave time, the employee will not be compensated for

this time.

**100.11      Funeral Leave**

Policy: It is the policy of Hopkins House to provide a period of three (3) working days of Funeral Leave in the event of a death in the immediate family of the employee or his/her spouse's or domestic partner's immediate family.

Definition: "Immediate family" is defined in this Policy only to mean a spouse or domestic partner, child, brother, sister, parent, legal step-parent, legal guardian, grandparent, or parent(s)-in-law. "Domestic partner" is defined as a person of the same or opposite sex who is eighteen years of age or older and not related by blood to the employee. The employee and his or her domestic partner have a close and committed personal and financial relationship with the person, live together, and have been living together on a continuous basis for a period of at least twelve months.

Procedure: Funeral Leave must be taken during the period of time between the date of death and the day following burial. The employee shall provide, upon request, proof of death and family relationship. Leave time in addition to Funeral Leave may be charged to any accrued but unused Vacation Leave or Personal Leave.

Funeral Leave shall not be charged to any accumulated leave. Sick Leave shall not be used as Funeral Leave or as an addition to Funeral Leave.

**100.12      Employment of Education Personnel**

Policy: It is the policy of Hopkins House that persons hired in faculty positions: (a) shall have, at the time of hiring, obtained minimum educational degrees described in the table below; or (b) shall achieve the minimum educational degrees within a time frame established by Hopkins House, at its sole discretion. Employees hired in Faculty positions shall annually complete a specified minimum of continuing education studies. Such minimum educational degrees and continuing education studies are described in the chart below.

Faculty appointments shall be classified in two categories:

- Permanent Appointment – Employment shall continue until ended by resignation, retirement, termination for cause, or other reason. However, such appointment may not be granted except to individuals that meet or exceed the minimum educational requirement for the faculty appointment and to no individual that does not have at least a CDA; or,
- Temporary Appointment Pending Review (TAPR) – Employment shall be at the pleasure of

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the President for an initial period of up to 12 months, and may be extended for an additional 6 months, not to exceed a total of 18 months. However, such appointment may not be extended beyond 12 months to individuals that have not during this period achieved the minimum educational requirement for the appointment or are in imminent receipt of at least a CDA. Employees in this category shall be considered part-time, hourly employees and accorded the benefits, rights, and privileges normally available to part-time, hourly employees.

Employees who have been hired and are required to work towards a minimum educational degree but withdraw from such schooling for a period of more than 90 days in any year shall be subject to demotion and reduction of compensation. An employee who fails to obtain a degree within the prescribed time shall be subject to demotion and reduction of compensation. Notwithstanding anything in this Book to the contrary, no provision in this Book shall prohibit Hopkins House from terminating an employee at any time.

Documentation of education (including copy of degree and transcript), and enrollment in studies (e.g. admissions letter, transcript) satisfactory to the Organization shall be provided to the Organization at the time of employment and after any changes in education or enrollment in studies. The documentation will be placed in the employee's Personnel File.

TITLE	MINIMUM QUALIFICATIONS	RESPONSIBILITIES
<b>MASTER TEACHER</b>	1) Must have a Bachelor's degree or higher in child development, early childhood education, or child and family studies at the time of hiring;  2) Must have at least 12 months of previous experience as a full-time preschool or elementary school educator; and,  3) May be granted this title only by action of the Trustees if recommended by the President.	1) Is chief educator for assigned classroom; and  2) Must complete, by the end of each 12 months of employment, at least 16 hours yearly of staff training and development, including subjects in child development, playground safety, child health and safety, and preventing and reporting child abuse and neglect.
<b>TEACHER</b>	1) Must have a Bachelor's degree or higher in child development, early childhood education, or child and family studies at the time of hiring; or	1) Reports to the Lead Teacher in the classroom; and  2) Must complete, by the end of each 12

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	<p>Must have a Bachelor’s degree and at least 18 months of previous experience as a full-time preschool or elementary school educator at the time of hiring; or</p> <p>Must have an Associate’s degree in child development, early childhood education, or child and family studies and at least 36 months (i.e., 3 years) of previous experience as a full-time preschool or elementary school educator at the time of hiring.</p>	<p>months of employment, at least 16 hours yearly of staff training and development, including subjects in child development, playground safety, child health and safety, and preventing and reporting child abuse and neglect.</p>
<b>ASSISTANT TEACHER</b>	<p>1) Must have an Associate’s degree in child development, early childhood education, or child and family studies and at least 12 months (i.e., 1 year) of previous experience as a full-time preschool or elementary school educator at the time of hiring; or</p> <p>2) Must have a Child Development Associate (CDA) and must be currently enrolled (or enrolled within 90 days of hiring) in a college (i.e., Associate’s or Bachelor’s) degree program of study in child development, early childhood education, or child and family studies at the time of hiring; and,</p> <p>Must have at least 12 months (i.e., 1 year) of previous experience as a full-time preschool or elementary school educator.</p>	<p>1) Reports to Lead/Teacher in the classroom; and</p> <p>2) Must complete, by the end of each 12 months of employment, at least 16 hours of staff training and development, including subjects in child development, playground safety, child health and safety, and preventing and reporting child abuse and neglect; and</p> <p>3) Must obtain college (Associate’s or Bachelor’s) degree by the end of the first year of employment at Hopkins House.</p>
<b>EDUCATION AIDE</b>	<p>1) Must have a Child Development Associate or equivalency; and</p> <p>2) Must have at least 1 year of previous experience in a professional child care setting.</p>	<p>1) Reports to Lead/Teacher in the classroom; and</p> <p>2) Must complete, by the end of each 12 months of employment, at least 16 hours of staff training and development, including subjects in child development, playground safety, child health and safety, and preventing and reporting child abuse and neglect.</p>

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<b>PRE-SCHOOL ASSISTANT PRINCIPAL</b>	<p>1) Must have an Associate’s degree or higher in child development, early childhood education, or child and family studies at the time of hiring; and</p> <p>2) Must have at least 1 year of preschool management experience.</p>	<p>1) Reports to the Preschool Principal.</p> <p>2) Must complete, by the end of each 12 months of employment, at least 16 hours yearly of staff training and development, including subjects in planning, budgeting, evaluation, management, and monitoring.</p>
<b>PRE-SCHOOL PRINCIPAL</b>	<p>1) Must have a Bachelor’s degree or higher in child development, early childhood education, or child and family studies at the time of hiring; and</p> <p>2) Must have at least 1 year of preschool management experience.</p>	<p>1) Reports to the Preschool Principal.</p> <p>2) Must complete, by the end of each 12 months of employment, at least 16 hours yearly of staff training and development, including subjects in planning, budgeting, evaluation, management, and monitoring.</p>

**100.13      Maternity Leave**

Policy: It is the policy of Hopkins House that paid Sick Leave, paid Vacation Leave or paid Personal Leave may be used during Maternity Leave. Absence from work due to pregnancy or the pregnancy of a spouse or domestic partner in excess of Sick, Annual, and Personal Leave time shall be without pay.

A written statement from the employee’s physician shall determine the length of time applicable to Maternity Leave under this Policy. Notwithstanding anything in this Policy to the contrary, Hopkins House reserves the right to terminate an employee on Maternity Leave at any time, for any reason.

**100.14      Pension Plan**

Policy: It is the policy of Hopkins House to make discretionary contribution, up to the maximum amount allowed by the Internal Revenue Service, to the SEP-IRA accounts of employees in the fiscal year following their eligibility for this benefit. Once the Agency makes the contribution, IRA rules govern the employee's retirement account. The employee owns the account and controls the investment. Contributions are always 100% vested immediately, and need not be recognized as income by the employee until distributed from the employee's SEP-IRA. Hopkins House may vary the contribution percentage yearly or may choose not to contribute in any given year. "Eligible"

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employees are defined as those members of the staff who have reached the age of 21, been employed at Hopkins House during at least 2 of the immediately preceding 5 calendar years, and earned at least \$400 in the year they were eligible for inclusion in the Plan.

### **100.15      Holiday Closing**

Policy: It is the policy of Hopkins House to observe the following holidays:

New Year's Eve	Independence Day
New Year's Day	Labor Day
Martin Luther King's Birthday	Thanksgiving Day
President's Day	Day after Thanksgiving
Memorial Day	Christmas Eve
	Christmas Day

Procedure:

**OBSERVANCE:** If a holiday falls on Sunday, it is observed on the following Monday; if the holiday falls on Saturday, it is observed the preceding Friday. If holidays fall on two consecutive days that result in the loss of one holiday, an "H Day" shall be observed.

**OFFICE CLOSING:** Hopkins House offices and facilities are closed on the above named holidays.

**STAFF COMPENSATION:** Full-time employees receive full compensation for all observed holidays. When holidays fall during an employee's approved Vacation Leave time, the employee shall not lose compensation for this holiday.

Part-time and hourly employees are not eligible to receive compensation for holidays.

### **100.16      Disciplinary Sanctions**

Policy: It is the policy of Hopkins House to discipline employees who willfully or negligently fail to comply with its policies, including those in this Book. The President may, at his discretion, apply one or more of the following disciplinary sanctions for violation of Hopkins House policy:

1. Verbal Counseling
2. Letter of Counseling
3. Letter of Warning
4. Administrative Leave without pay (up to 1 month)
5. Termination of employment

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Any violation of an Organization policy including one set forth in this Policy Book may be a cause for discipline, up to and including immediate termination. Such disciplines may be issued in any order.

Any discipline by the Organization will be recorded in the employee's personnel file.

### **100.17      Insubordination**

Policy: It is the policy of Hopkins House that its supervisors and managers shall instruct and direct the other employees of the Organization. When these instructions are lawful, employees shall adhere to them.

Procedure: Supervisors will instruct and direct their staff as appropriate and necessary for the implementation of the Organization's policies, procedures and activities. This instruction, whether given verbally or in writing, shall be clear and concise.

When an employee willfully or negligently fails to comply with this policy, that employee's supervisor will recommend to the President a sanction commensurate with the severity of the act. The President, or the President's designee, shall determine the applicable disciplinary sanction.

### **100.18      Personal Responsibility**

Policy: It is the policy of Hopkins House that each employee will be held accountable for knowing the policies, practices, rules and laws governing the employee's activities, tasks, responsibilities, and assignments with the Organization. Each employee will be held personally accountable for asking questions, seeking clarity, and gaining the needed knowledge to perform appropriately and lawfully the employee's duties with Hopkins House. Each employee will be held personally accountable for conducting himself or herself appropriately and professionally as an employee of Hopkins House.

Procedure: Employees shall, at all times, conduct themselves in a manner becoming a professional responsible for the safety, education and well-being of children, young adults and their families. Examples of acceptable and non-acceptable conduct are listed below:

ETHICS: Employees are expected to represent Hopkins House in an ethical manner. This includes, but is not limited to:

- Employees shall not incite violence or prejudice.

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- Employees shall not steal, lie or deceive.

**MORALS:** Employees are expected to conduct themselves in a moral manner. This includes, but is not limited to:

- Employees shall not socialize with students enrolled in Hopkins House programs.
- Employees shall not create, transmit, convey, foster, insinuate, or infer rumors, untruths, gossip or malicious statements about Hopkins House, its employees, children or families, donors, or volunteers.
- Employees shall not share, convey, foster, insinuate, infer or demonstrate their prejudices in their dealings with other employees, Hopkins House children or families, donors or volunteers.

**CONDUCT:** Employees are expected to conduct themselves in a positive manner. This includes, but is not limited to:

- Employees shall not use illicit drugs.
- Employees shall not smoke or consume alcohol in the presence of Hopkins House children, while on Hopkins House business, on Hopkins House property or other premises loaned to, rented by, or otherwise used by Hopkins House.
- Employees shall not engage in violence or threats of violence.

In addition, employees shall not engage in, directly or indirectly, either on or off the job, any conduct that is disloyal, disruptive, competitive, or damaging to Hopkins House.

Employees shall not disclose any Hopkins House confidential or proprietary information to any person or organization outside Hopkins House.

When an employee willfully or negligently fails to comply with this policy, that employee's supervisor will recommend to the President a sanction commensurate with the severity of the act. The President, or the President's designee, shall determine the applicable disciplinary sanction.

### **100.19      Conflict of Interest**

**Policy:** It is the policy of Hopkins House that no employee should have a personal interest, whether direct or indirect, in transactions involving the Organization unless the employee provides full disclosure of the interest in advance of Organization action and receives special approval by the

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Organization.

### **CONFLICTED INDIVIDUALS**

A conflict of interest may occur when a Hopkins House employee meets any one of the following criteria:

- A. Is an officer, director, trustee, sole proprietor, partner, member, employee, sales representative, agent of, or consultant, independent contractor or advisory board member to an external organization or corporation (“Conflicted Organization”) either seeking to do or doing business with Hopkins House, funding a sponsored project, or providing goods or services under a sponsored project in which the employee, officer or Trustee is participating in any capacity; or
- B. Is the actual or beneficial owner of more than five percent (5%) of the voting stock or controlling interest of a Conflicted Organization, or the market value of her/his stock exceeds \$10,000; or
- C. Has dealings with a Conflicted Organization from which he/she derives income (e.g., royalties, stipends, salary) of more than \$10,000 per year, exclusive of dividends and interest;
- D. Has assets, either directly or through a member of the individual’s family, alone or in combination with the assets of the employee that meet any of the criteria stated in paragraphs A, B, or C above. “Family or household” is defined to include: (i) immediate family (spouse, parents, and children) and (ii) persons living at the same residence as the employee, officer, or Trustee, except as a tenants or employee.

### **USE OF MATERIALS AND EQUIPMENT**

- 1. Any Hopkins House employee who undertakes outside employment or consultation for a fee shall not fulfill their outside business commitments on Organization time or with the use of Organization equipment, supplies, funds or support staff.
- 2. Employees must not use Hopkins House communication systems (e.g., telephones, tele-fax, electronic mail, copy machines) to conduct private business.
- 3. Employees may not list a Hopkins House address, phone number, fax number

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or electronic mail address on stationery, business cards, advertisements, etc. as a contact for their private business.

4. Hopkins House does not consent to the use of work site materials or more costly supplies and services (e.g., computer time, long distance telephone calls, regular use of telephones for local business calls, clerical services, special supplies, photocopying, large amounts of paper) by employees working on private projects, and it does not consent to removal of tools and equipment from the Organization's premises for such projects.

### **USE OF ORGANIZATION NAME AND ENDORSEMENTS**

Hopkins House employees, who operate a private business may not state or imply that their business is operated, endorsed or approved by Hopkins House.

### **RECEIPT OF PERSONAL GIFTS**

1. Subject to the remainder of this Section, Hopkins House employees may not accept gifts or bequests from an individual or organization, which engages in commercial transactions with the Organization. If a gift or bequest is received, it must be returned unless an acceptable statement is filed with the President or his/her designee with a justification of its retention in terms of the Organization's best interests. The Organization recognizes that some employees will receive gifts or bequests from personal friends who also do business with the Organization. These employees shall disclose such gifts or bequests to the President or Executive Committee if the total value of all gifts or bequests received exceeds \$50 during the Organization's fiscal year.

2. A gift or bequest means anything of value except as excluded below. A gift or bequest may be in the form of money, goods, entertainment, services, and price concessions not available to all employees or to the public, or use of property or facilities, or loans except loans upon normal terms from a lending institution or in any other form.

3. A gift or bequest for purposes of this Conflict of Interest Policy does not include advertising items or promotional materials of nominal value or food and beverages consumed at a business meeting. Gifts with a value of less than \$50 may be generally considered nominal. A gift also does not include attendance at professional meetings, which are underwritten in whole or in part by businesses or

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commercial enterprises, so long as attendance is not restricted to potential purchase of a product or service. This Policy is not intended to regulate gifts among members of a family or household.

### DEVELOPMENT AND/OR FUNDRAISING

A. Federal tax laws prohibit Hopkins House from providing charitable gift receipts for monies given to Hopkins House to benefit an individual. Hence, individual employees or members of their family or household shall not receive charitable gift receipts if they give funds to Hopkins House.

B. Similarly, Hopkins House's management should not provide employees, officers or Trustees with monies for personal use that are proportional to the gifts that such individuals have donated to Hopkins House. If Hopkins House management is approached by potential donors who suggest that their gift is contingent on explicit or implicit agreements about services to be provided them by Hopkins House, the management should contact the President before entering into any such agreement. Only the President and the Trustees are authorized to accept gifts to Hopkins House "with strings attached."

This policy is intended to apply to the Trustees of Hopkins House, except where it is clear they only apply to Organization employees or officers. The Executive Committee must approve any exceptions to this policy involving individual Trustees.

When an employee willfully or negligently fails to comply with this policy, that employee's supervisor will recommend to the President a sanction commensurate with the severity of the act. The President, or the President's designee, shall determine the applicable disciplinary sanction.

### **100.20      Harassment**

Policy: It is the policy of Hopkins House that it will not tolerate verbal, physical, or other conduct by any employee who creates or fosters an intimidating, offensive, or hostile working environment, whether sexual in nature or not.

Procedure: No employee is to threaten or insinuate a threat of harm to another employee, create or contribute to the creation of an intimidating, offensive, or hostile working environment, or knowingly and purposely impugn another employee's character by means of gossip, lies, or insinuations, whether verbal, written or otherwise.

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No employee is to threaten or insinuate, either explicitly or implicitly, that an employee's refusal to submit to sexual advances will adversely affect the employee's employment, evaluation, wages, advancement, assigned duties, shifts, or any other condition of employment or career development. No employee is to favor in any way any applicant or employee because that person has performed or shown a willingness to perform sexual favors for the supervisor or violate any applicable law or regulation.

Any Hopkins House employee, full-time or part-time, who believes that the actions or words of a supervisor or fellow employee constitute harassment has the responsibility to report or complain promptly to the appropriate supervisor. Such report shall be made immediately.

Upon receipt of a complaint, the President shall establish a committee of employees that shall be known as the "Grievance Committee"

The Grievance Committee shall be comprised of three members of Hopkins House's staff assembled and charged by the President to hear and investigate harassment complaints.

Any complaint brought against a supervisor or fellow employee must be filed in writing by the alleged victim. A complaint does not constitute a charge of harassment, although inquiries may take place, until the charges have been demonstrated to be valid.

All complaints of harassment will be investigated promptly and in as impartial and confidential a manner as possible by the supervisor or Grievance Committee. Employees should understand that while Hopkins House will attempt to preserve the confidentiality of all employees, the primary goal of Hopkins House is to investigate the alleged claim of harassment. If the employee is not satisfied with the handling of the complaint or the action taken by the Grievance Committee, then the employee may bring the complaint to the attention of the Vice President or the President.

If the allegation is made against an Executive Officer, the employee should bring the complaint to the attention of the Chair of the Executive Committee of the Trustees and the Executive Committee shall take the role of the Grievance Committee.

In all cases, the employee alleging harassment shall be advised of the Grievance Committee's or Executive Committee's findings and conclusions. The employee against whom the complaint is made shall also be advised of the complaint and by whom the complaint was made.

An employee's employment status will not be jeopardized for filing a good faith complaint.

**100.21      Drug Free Workplace**

Policy: It is the policy of Hopkins House to maintain a workplace that is free from drug and alcohol abuse.

Procedure: Employees are prohibited from the consumption, use, sale, dispensing, distribution, possession, or manufacture of illegal drugs and narcotics or alcoholic beverages on Hopkins House premises or work sites or while conducting Hopkins House business at any location. In addition, employees are prohibited from the off-premises use of alcohol when such activities adversely affect job performance, job safety, or Hopkins House's reputation in the community and from the off-premises possession, use, or sale of illegal drugs.

Hopkins House will not hire, unless state or local law provides otherwise, persons whose current use of alcohol or illegal substances prevents them from performing their jobs or would constitute a direct threat to the property or safety of others.

When an employee willfully or negligently fails to comply with this policy, that employee's supervisor will recommend to the President a sanction commensurate with the severity of the act. The President, or the President's designee, shall determine the applicable disciplinary sanction.

**100.22      Smoke Free Workplace**

Policy: It is the policy of Hopkins House that lighted cigarettes, cigars, pipes, or other activity commonly referred to as "smoking" shall not be permitted in facilities or on grounds owned or otherwise controlled by Hopkins House.

When an employee willfully or negligently fails to comply with this policy, that employee's supervisor will recommend to the President a sanction commensurate with the severity of the act. The President, or the President's designee, shall determine the applicable disciplinary sanction.

**100.23      Trustee Relations**

Policy: It is the policy of Hopkins House that all communications between the Trustees and employees of the Organization shall be conducted through the office of the President.

Procedure: All written correspondence to the Trustees will bear the signature of the President. Other communications to the Board (e.g. oral) from employees will be conducted with the authorization of the President. Written correspondence from Trustees to employees or individual employees will be

through the President.

Notwithstanding the previous paragraph, an employee may bring complaints of harassment against Hopkins House executives directly to the Chair of the Board or its Executive Committee.

When an employee willfully or negligently fails to comply with this policy, that employee's supervisor will recommend to the President a sanction commensurate with the severity of the act. The President, or the President's designee, shall determine the applicable disciplinary sanction.

#### **100.24      Use of Cell Phones and Pagers**

Policy: It is the policy of Hopkins House that employees shall not use personal cell phones, pagers and telephones during working hours, except in emergencies.

Procedure: Employees shall mute or turn off their personal cell phones and pagers during working hours. Employees shall not use Hopkins House telephones for personal calls, except those designated for such use by the Vice President. Employees shall not use personal cell phones or pagers in classrooms, inside or outside Hopkins House facilities while working, supervising or transporting children. Employees shall not use cell phones while driving a vehicle owned, leased or rented by Hopkins House. Employees may not leave classrooms or children unsupervised for the purpose of using a cell phone, pager or telephone to make or receive a personal call. Employees may use their personal cell phones, pagers and designated Hopkins House telephone for personal use during designated breaks and lunch outside the presence of the Organization's children.

When an employee willfully or negligently fails to comply with this policy, that employee's supervisor will recommend to the President a sanction commensurate with the severity of the act. The President, or the President's designee, shall determine the applicable disciplinary sanction.

#### **100.25      Cellular Telephone & Blackberry Issuance and Use**

Policy: It is the policy of Hopkins that as a condition of employment, certain employees may be required to carry a personal cell phone to help ensure that necessary communications will take place between staff members in the following situations:

1. During emergencies;
2. Where the employee is off-site, out of state, and/or conventional phones are not readily available or are impractical;

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3. When the employee needs to be readily and consistently accessible both on and off duty.

Procedure: The Department Director or Vice President has the responsibility to determine when it is in the best interest of Hopkins House to provide cellular equipment and services to an employee. That determination is accompanied with the responsibility to review the continued necessity of cellular services, all cellular charges, and to assure collection of cellular equipment when the employee terminates employment or transfers to another department within Hopkins House.

Employees will sign the Cellular Telephone Use Agreement, indicating the appropriate option as required by their Department Director and approved by the Vice President.

Safe use of cell phones (and direct connect radios) is of the utmost importance. Precautionary measures should be used if it is necessary to use the cell phone while driving. It is suggested that the speakerphone be utilized or a hands-free device be purchased. Under no circumstances are employees allowed to place themselves and others at risk to fulfill Hopkins House business needs. Employees who are charged with traffic violations resulting from the use of a cell phone while operating a motor vehicle will be solely responsible for all liabilities that result from such action. Cellular phones may not be used to defame, harass, intimidate or threaten any other person or persons. Employees are prohibited from using their cell phones in any illegal, illicit or offensive manner.

Cell phones are assigned to Hopkins House employees based on a business need as determined by an employee's Department Director. A Hopkins House issued cell phone should primarily be used for conducting Hopkins House related business. However, the Organization recognizes that sometimes a Hopkins House issued cell phone may be used for personal reasons. If the personal use of a Hopkins House issued cell phone does not result in charges that exceed the monthly minutes/cost of that user's plan, then there is no charge to that user. When an individual's monthly charges exceed the monthly plan allocation, then all personal calls for that month must be reimbursed to Hopkins House. It is the responsibility of each individual who has been issued a Hopkins House cell phone to review his or her monthly cell phone statement and reimburse the Organization as appropriate. It is the responsibility of the Department Director to work with their respective employees who have been issued cell phones to assure compliance with this policy.

Reimbursements for personal calls made on a Hopkins House issued cell phone should be remitted to the Finance Office. Checks are to be made payable to "Hopkins House". A receipt for payments made should be retained for one year.

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Department Directors may select one of the following options for each employee for which cell phone communications is deemed necessary. The Cellular Telephone Use Agreement, which includes the following options, must be approved by the Vice President. Employees are required to complete and sign the Cellular Telephone Use Agreement.

*Option #1: ALLOWANCE FOR BUSINESS USE OF A PERSONAL CELL PHONE*

The employee will provide a personal cell phone that would be available for business use both during and after normal business hours. The employee is eligible for an allowance that will cover the business-related usage of their cell phones. By choosing this option, the employee agrees to allow Hopkins House to publish their cell phone number. The Department Director will be responsible for determining the appropriate allowance. The following allowances are available:

Allowance A: \$15 per month (basic cell service for up to approximately 200 business minutes per month).

Allowance B: \$20 per month (basic cell service for over approximately 200 business minutes per month).

Allowance C: \$10 per month (business data services, Treo or BlackBerry). This allowance is in addition to allowances A or B.

It is anticipated that most employees authorized for cell phone allowances will be authorized for Allowance A. An authorization for Allowance B should be based upon an extraordinary need by the employee for cell phone use, as determined by the applicable Director. The allowances will be paid monthly (one time per month) over the employee's employment contract. The allowances (A, B, and C) are subject to the applicable Federal taxes (FICA/Medicare and Withholding).

Each department, office or cost center budget will be charged for all the cell phone allowances paid for their employees. The allowance will be charged to account #4108. Benefits for the allowance (7.65% for FICA/Medicare) will be charged to account #6080. Under these guidelines, a log documenting the business use of each employee's cell phone is NOT necessary. Hopkins House accepts no responsibility for each employee's cell phone (or data) equipment, cell phone charges, or any charges for contract cancellations or delinquent payments to a cell phone provider. Each employee agrees that the cell phone service shall be in their name and accepts sole responsibility for paying for such service. The President is authorized to grant larger allowances to certain employees based upon extraordinary need for cell phone communications at his discretion.

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### *Option 2: EMPLOYEE OWNED CELL PHONES AND REIMBURSEMENT*

The employee will provide a personal cell phone that would be available for business use both during and after normal business hours. The employee may submit a log of business related calls made through their employee-owned cell phone in lieu of receiving an allowance. By choosing this option, the employee agrees to allow Hopkins House to publish their cell phone number. It will be up to the employee to monitor and list all business calls made. This must be done by maintaining a log of all business calls, matching them with their monthly billing and submitting their billing statement and the log to their supervisor for verification and approval for reimbursement. Reimbursement will be paid only for verified and documented business calls made on an employee's personal cell phone. Each department, office or cost center budget will be charged for the cell phone reimbursements for their employees (account #8130). Reimbursements paid to employees under this option are NOT subject to Federal taxes.

Under Option 2, reimbursements are made to employees for the business use of their cell phones. Should a reimbursement be required, then a ratio formula should be used. This formula will allocate the cost based on the number of minutes used for business compared to the total number of minutes used. So, if the employee used his or her phone for a total of 400 minutes, of which 40 minutes were business calls, and the cost of the service was \$40.00 per month, the formula would be  $40/400 \times \$40.00 = \$4.00$ . His or her reimbursement would be \$4.00. The main idea is that the cost is based on the minutes used, not the total minutes available. Additionally, the business calls that the employee wishes to be reimbursed must be approved, verified and documented business calls and must be approved by the employee's Department Director.

### **100.26      Use of Email and other Electronic Communications**

Policy: It is the policy of Hopkins House that:

- A. E-mail facilities for activities and associated administrative functions support its mission of learning, discovery, and engagement;
- B. The use of its e-mail facilities, like the use of any other Organization-provided resource and like any other Organization-related activity, is subject to the normal requirements of legal and ethical behavior;
- C. Except as otherwise described in this Policy, policies and regulations that apply to other forms of communications at Hopkins House also apply to e-mail and other forms of electronic communications;
- D. There should be no expectations of privacy with respect to any e-mail sent from users at Hopkins House or residing on the Hopkins House e-mail facility;

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E. Hopkins House reserves the right to inspect, copy, store, or disclose the contents of electronic mail messages at any time and at its sole discretion; and,

F. Any use of Hopkins House e-mail facilities that interferes with the Organization's activities and functions or does not respect the image and reputation of Hopkins House is improper and expressly prohibited by this Policy Book.

In addition, the following specific uses of Hopkins House e-mail facilities are among some, but not all, improper uses:

1. Concealment or misrepresentation of names or affiliations in e-mail messages.
2. Alteration of the source or destination address of e-mail.
3. Use of e-mail for commercial or private business purposes that have not been approved by the Trustees or President of Hopkins House.
4. Use of e-mail for organized political activity or political solicitation.
5. Use of e-mail to harass or threaten other individuals.
6. Use of e-mail that degrades or demeans other individuals.

Procedure: This Policy covers all uses and users of Hopkins House e-mail facilities. By the use of Hopkins House e-mail facilities, any user of Hopkins House e-mail facilities consents to all provisions of this Policy and agrees to comply with all of the terms and conditions set forth herein, all other applicable Organization policies, regulations, and procedures, and with applicable local, state, and federal laws and regulations.

Users are expected to read, and shall be presumed to have received and read, all official Hopkins House e-mail messages sent to their official Hopkins House e-mail accounts.

Although modest personal use of Hopkins House e-mail facilities is allowed, the Organization's e-mail facilities should be used for Hopkins House-related educational and administrative purposes. Hopkins House, at its sole discretion, shall determine what is considered modest personal use of its e-mail facilities.

E-mail transmissions may not be secure, and contents that are expected to remain confidential should not be communicated via e-mail. Common examples of confidential contents include: personnel records, individual donor gift records, and data which is confidential.

Only the President and his designees are authorized to broadcast staff wide e-mails using Hopkins House e-mail facilities. The author of any such e-mails assumes responsibility for assuring that the e-mail content does not violate any Hopkins House policies, regulations, or procedures. Disclaimers of confidentiality included in e-mail messages may not protect the sender if confidential information

is shared or disclosed inappropriately.

When an employee willfully or negligently fails to comply with this policy, that employee's supervisor will recommend to the President a sanction commensurate with the severity of the act. The President, or the President's designee, shall determine the applicable disciplinary sanction.

### **100.27 Computer and Internet Use**

Policy: It is the policy of Hopkins House that the computer provided to employees by Hopkins House is an asset of Hopkins House to assist employees in carrying out their responsibilities on the job. This means that employees should have no expectations of privacy with respect to use of the internet.

Hopkins House reserves the right, at any time, to trace employees' use of the internet as well as website use in order to ensure that these systems are being used properly and legally.

Examples of improper or illegal uses include, but are not limited to, using the systems to harass, sexually or otherwise, a co-worker or to operate another business on Organization time, viewing pornographic websites, or for excessive personal use of the systems.

When an employee willfully or negligently fails to comply with this policy, that employee's supervisor will recommend to the President a sanction commensurate with the severity of the act. The President, or the President's designee, shall determine the applicable disciplinary sanction.

### **100.28 Uniforms and Proper Dress**

Policy: It is the policy of Hopkins House that employees shall be required to dress appropriately, as determined by Hopkins House, when working at or representing the Organization; that such dress shall not distract from the educational mission of Hopkins House; and, that Hopkins House educators and other employees directly responsible for the supervision and care of children, at the discretion of the President, may be required to wear smocks or other attire easily identifiable to students and the public in the event of an emergency or safety incident.

Procedure: All employees are expected to dress appropriately for an educational and business environment. Any clothing that interferes with or disrupts the educational environment is unacceptable and prohibited. Examples of inappropriate clothing include: clothing with language or images that are vulgar, discriminatory, or obscene or clothing that promotes illegal or violent conduct, such as the unlawful use of weapons, drugs, alcohol, tobacco, or drug paraphernalia, or

clothing that contains threats such as gang symbols. Clothing should fit, be neat and clean, and conform to standards of safety, good taste, and decency. Clothing that exposes cleavage, private parts, the midriff, or undergarments or that is torn, soiled or sexually provocative is prohibited. Hopkins House shall, at its sole discretion, determine what clothing is appropriate.

When an employee willfully or negligently fails to comply with this policy, that employee's supervisor will recommend to the President a sanction commensurate with the severity of the act. The President, or the President's designee, shall determine the applicable disciplinary sanction.

### **100.29      Employee Performance Review**

Policy: It is the policy of Hopkins House that all employees of Hopkins House, upon completion of the Employment Probation Period and annually thereafter on the anniversary date of the employee's hiring or promotion, will be given a performance review ("Review").

Procedure:      Only full-time employees are included in this formal evaluation process.

Each employee receiving a review will receive the Review during a private employee review meeting. The Review will be discussed with the employee. At the end of the meeting, the employee will be informed that: (a) the employee has the option to submit a written response to the Review; (b) the employee has five days to review the Review, after which time the employee is expected to provide any written response and sign the Review form acknowledging that the employee has had an opportunity to review the Review and that the supervisor has discussed the Review with the employee; and (c) the Review, including any written response that the employee provides, will be placed in the employee's Personnel File.

Employees must sign their Review. The signature does not mean that the employee agrees with every the observations or judgments in the Review, but rather acknowledges that the employee has reviewed the Review and discussed it with the employee's supervisor. If the employee fails to sign the Review, such refusal shall be noted on the Review and the employee will be subject to discipline.

In the event the employee files a written response to the Review, the written response will be noted in a conspicuous place on the Review. The written response will be attached to the Review and considered in any subsequent review.

The signed Review and the employee's response, if given, must be submitted for filing in the employee's Personnel File. Once filed, no changes to the form can be made.

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A copy of the final Review form will be given to the employee.

Contract employees of Hopkins House are exempt from this Policy and will be evaluated in accordance with the provisions of the particular contract. The President and other appointees of the Trustees are evaluated by procedures established by the Board.

### **100.30      Employee Promotion**

Policy: It is the policy of Hopkins House to hire employees for entry level positions, to provide training and development when deemed necessary, and to offer employees promotions to higher level positions when deemed appropriate.

Procedure: An employee's basic eligibility for promotion will be determined by the requirements of the new job. In addition, the employee must have held the employee's current position for at least six months and have had both a satisfactory performance record and no adverse disciplinary actions taken against him or her during the same period.

All job openings and promotions are announced in Hopkins House's Job Openings memorandum distributed to all employees. Employees interested in an announced position:

- A.      Should inform their supervisor of their interest and intention to apply; and
- B.      Must apply within the prescribed "Internal Posting" period.

Current employees applying for job openings and promotions will be considered and processed as outlined in Hopkins House's Hiring Policy. Selection determinations will be made on the basis of attendance and work records, performance appraisals and job-related qualifications.

Promoted employees will be placed on probationary status in accordance with Hopkins House's policies.

Salary determinations will be limited to the amount permitted under Hopkins House's Hiring and Compensation policies.

Employees receiving promotions in a given fiscal year shall not be eligible for merit or other salary adjustments sooner than 12 months from the effective date of the promotion.

**100.31      Employment Separation & Termination**

Policy: It is the policy of Hopkins House that adequate notice of resignation shall be given to Hopkins House by the employee.

Procedure:

RESIGNATIONS: It is the policy of Hopkins House that a full-time employee who resigns from Hopkins House shall give adequate notice of such resignation.

- A. Adequate notice from an executive or administrative staff member shall be 20 business days or more.
  
- B. Adequate notice from a non-management staff member shall be 10 business days or more.

Subject to the carry over rules in the Vacation Leave Policy, full-time employees giving adequate notice shall receive payment for the full amount of unused accrued Vacation Leave after providing written closing summaries of all activities outstanding, returning agency property in their possession or control, and completing an Exit Interview form, if requested . Employees failing to give adequate notice shall forfeit unused accrued Vacation Leave.

All departing employees shall provide written closing summaries of all activities outstanding, return agency property in their possession or control, and complete an Exit Interview form, if requested.

Hopkins House reserves the right to terminate any employee any time before the employee’s stated notice date.

REDUCTION OF STAFF: Hopkins House may be required to reduce staff (“Reduction in Staff”), for reasons not limited to a lack of funds, a decrease in work, a change of program, or reorganization . During a Reduction in Staff, subject to the carry over rules in the Vacation Leave Policy, terminated full-time employees with at least one year of service shall receive payment for the full amount of unused accrued Vacation Leave after providing written closing summaries of all activities outstanding, returning agency property in their possession or control, and completing an Exit Interview form, if requested.

TERMINATION OF EMPLOYMENT: Hopkins House may terminate the employment of an individual employee for cause. Such termination will be by written recommendation of the Supervisor to the President. Subject to the carry over rules in the Vacation Leave Policy, full-time

employees with at least one year of service shall receive payment for the full amount of unused accrued Vacation Leave if they are not terminated for disciplinary reasons after providing written closing summaries of all activities outstanding, returning agency property in their possession or control, and completing an Exit Interview form, if requested.

### **100.32      Employee Grievance**

**Policy:** It is the policy of Hopkins House that employees are entitled to appeal disciplinary actions by their supervisor within five business days of the date the employee is advised of the disciplinary action.

**Procedure:** The procedure for appealing a disciplinary action is as follows:

**First Level Grievance:** If the discipline has been imposed by an employee's supervisor, within five business days of the date the employee is advised of the disciplinary action, the employee shall notify the employee's supervisor in writing of the grievance and request a meeting to discuss the matter. The supervisor shall conduct such a meeting within five business days following the request from the employee.

If the matter is not resolved during the meeting with the employee's supervisor, the employee shall have five business days in which to request a preliminary hearing from the Grievance Committee. The Grievance Committee shall meet within ten days of the request. The Grievance Committee will seek to adjudicate the grievance and render a judgment promptly.

**Second Level Grievance:** If the matter is not resolved to the employee's satisfaction, the employee shall have five business days in which to request a hearing before the Executive Committee of the Trustees. Such a request must be sent to the Vice President in writing who shall have the option of: (a) making a ruling on the matter; or (b) forwarding the request to the Trustee's Executive Committee within 5 business days.

**Third Level Grievance:** If the Vice President does not resolve the matter to the employee's satisfaction, the employee may appeal the Vice President's ruling in writing within five business days. The Vice President shall forward appeals to the Trustee's Executive Committee within five business days.

**Appeals:** The Trustee's Executive Committee shall set a hearing date within thirty days of receiving the appeal. The decision of the Trustee's Executive Committee shall be final.

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If the grievance is related to a disciplinary action instituted by the President, the employee may appeal in writing directly to the Executive Committee but shall be required to make such appeal within five business days of the disciplinary notice.

### **100.33      Inspection of Records**

Employees have a responsibility to make sure their personnel records are up to date. Any changes that occur in the following areas must be reported to the Vice President or HR officer within three (3) business day of the change:

- (a) Name;
- (b) Address;
- (c) Marital status (for benefits and tax withholding purposes only);
- (d) Number of dependents;
- (e) Address and telephone numbers of dependents and spouse or former spouse (for insurance purposes only);
- (f) Beneficiary designations for any of Hopkins House's insurance, disability, or pension plans;
- (g) Persons to be notified in case of emergency; and
- (h) Licensure Information.

In addition, employees who have a change in the number of dependents or marital status must complete a new Form W-4 for income tax withholding purposes within ten days of the change, if the change results in a decrease in the number of dependents.

**INSPECTION OF FILES:** Employees must make arrangements with the Vice President or HR officer to view their own personnel file. There may be certain information in an Employee's personnel file that is not available to the Employee. Employees may not remove documents in the Personnel File. All inspections must be conducted in the presence of the Vice President or HR officer.

Employees who feel that any materials contained in their personnel file are incomplete, inaccurate, or irrelevant may submit a written request to the Vice President that the files be revised accordingly. If such a request is not granted, the employee may place a written statement of disagreement in the file and file a grievance.

**REQUESTS FOR EMPLOYMENT VERIFICATION:** Employees are to refer all requests for

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personnel information to the Vice President or HR officer. The Vice President or HR officer will verify only the following information contained in an employee's personnel file:

- (a) Verification of employment dates; and,
- (b) Verification of job title.

### **100.34 First Aid**

Policy: It is the policy of Hopkins House that when employees get hurt or ill, they must contact their supervisor for assistance immediately. When employees fail to report an injury, such employees may jeopardize their rights to collect workers' compensation payments as well as health benefits.

### **100.35 Visitors**

Policy: It is the policy of Hopkins House that visitors are not permitted on Hopkins House property without prior permission from the Vice President. No visitors are permitted around the children without prior permission from the Vice President.

### **100.36 Emergency Preparedness**

Policy: It is the policy of Hopkins House that when the federal government's Homeland Security Advisory System issues an orange or red alert it means there is a high or very high risk of terrorist attacks and in such instances, Hopkins House Preschool Academy will implement the emergency preparedness procedures below.

The Principal is the designated official in charge during such an emergency unless the President or Trustees so designate another person.

#### **PREPARATION**

The Principal will, in advance:

- A. Designate a teacher to be in charge of implementing this procedure if the Principal is away from the school during an emergency.
- B. Maintain a supply of water and food, a portable battery-powered radio, flash lights for each classroom, fully stocked first aid kits, and a cell phone in the particular school building at all times during this period of heightened security. These supplies shall be stored in a suitcase with wheels are marked with large letters, "Emergency Bag."

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- C. Designate a teacher to be responsible for transporting the Emergency Bag during an emergency.
- D. Collect from the Registrar, updated emergency contact information for all the children at the preschool.
- E. Designate a teacher to be responsible for contacting the parents of the preschool children using the updated emergency contact information provided by the Registrar.

### EMERGENCY CONTACT INFORMATION

The Preschool Principal will frequently and regularly update all emergency contact information for all students and all Hopkins House staff. Duplicates of this emergency contact information will be maintained at each preschool and at the offsite office of the Chairman of the Board of Trustees.

### STAFF

Under the direction of the President or, in his absence, the Vice President, the Hopkins House administration shall man the central telephones, coordinate between the preschools, remain in contact with public safety officials, and contact the families of employees. During orange and red alerts, there will be at least two central administrators on-site at all times during school hours.

### HOPKINS HOUSE PRESCHOOL ACADEMY AS A SAFE-HAVEN

Based on news reports and public safety advisements, if the Principal determines that the emergency requires sequestering children and staff indoors, Hopkins House facilities shall immediately become “safe haven” and:

- A. The Principal shall immediately close and lock all exterior doors.
- B. Teachers shall immediately draw curtains, and close and lock all exterior windows.
- C. Teachers shall remain away from doors and windows and keep the children from doors and windows.
- D. Teachers shall calmly collect the children in the hallway (or other designated safety location) and attempt to keep them comfortable.
- E. Teachers shall immediately turn off all air-conditioning and other ventilation systems.

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- F. The Principal and Teachers shall admit neither parents nor other individuals into the secured building. No member of the staff may leave the secured building.
- G. The Principal shall carry a company issued cell-phone or private cell-phonod used for emergencies.
- H. The Principal shall have a portable, battery powered radio tuned to a local news station.
- I. The designated Teacher shall answer the preschool telephones and call parents. Parents and visitors shall be discouraged from traveling to the preschool.
- J. The Principal shall keep the building secured until instructed to do otherwise by local public safety officials.

### EVACUATION OF THE HOPKINS HOUSE PRESCHOOL ACADEMY

If the Principal determines that the emergency requires the evacuation of the school building, the Principal and Teachers will evacuate the building.

- Under the direction of the Principal, teachers shall immediately escort the children out of the building in accordance with the standard evacuation procedures to the designated emergency center.
- The designated teacher shall carry the Emergency Bag.
- The Principal shall carry a cell phone or private cell phone used for emergencies.
- The Principal shall carry the list of Emergency Contact Information for children and staff.
- The Principal shall have a portable, battery powered radio tuned to a local news station.
- The Principal shall not return to the building until instructed to do so either by local public safety officials or the Hopkins House President.

## **200 ADMINISTRATIVE POLICIES AND PROCEDURES**

Policy: It is the policy of Hopkins House that the Budget & Personnel Policy Committee of the Trustees shall have responsibility and authority for developing and recommending to the Trustees policies and procedures related to the Organization's administration and that the Vice President shall have responsibility and authority for the implementation of policies and procedures once they have been adopted by the Trustees. The Committee may, at its discretion, make textual changes to approved policy for purposes of clarification or correction, but may not change the substance of approved policy.

Procedure: The Budget & Personnel Policy Committee will meet regularly, but no less than quarterly during the Organization's fiscal year. The Vice President shall report regularly to the Committee on all matters related to the administration of the Organization and, when desirable and appropriate, shall recommend new policies or changes to existing policies and procedures related to the administration of the Organization.

### **200.1 Overtime**

Policy: It is the policy of Hopkins House to compensate non-exempt employees for time worked beyond the normal workweek.

Definitions: The "normal work week" is defined for purposes of this Policy to mean Sunday through Saturday, beginning on Sunday at 12:00 a.m. and ending at 11:59 p.m. on Saturday, and consisting of forty hours. The "normal workday" will consist of eight consecutive hours of work, with at least one unpaid hour for lunch.

Supervisors may schedule overtime for non-exempt employees when it is deemed necessary. Employees are not permitted to work overtime without the prior written approval of their supervisor.

Overtime compensation for non-exempt employees shall be given in the form of additional pay. Compensation given hours worked over forty hours shall be calculated at a rate equal to one and one-half times the employee's regular compensation.

### **200.2 Time Cards/Records**

An employee's time card is the only way the Hopkins House knows how many hours the employee worked and how much to pay non-exempt employees. Employees are responsible for their own time

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cards. In the event of an error in recording an employee's time, the error should be reported to an employee's supervisor immediately.

Any employee found to be engaged in the forging of time cards/records, whether his own or that of another employee, shall be subject to disciplinary action, up to and including termination.

### **200.3 Media Relations**

Policy: It is the policy of Hopkins House that all press releases and media relations activities, including but not limited to press inquiries, and interviews, shall be conducted by the President or his designee.

Procedure: Hopkins House employees will refer all inquiries from the news media to the President.

### **200.4 Local Emergency**

Policy: It is the policy of Hopkins House that when weather conditions and other emergency situations make it unsafe for employees, volunteers, students or their parents to travel, Hopkins House will follow an Emergency Closing Schedule ("ECS").

Procedure: In the event of an actual or forecast weather or other emergency, typically Hopkins House will follow the same ECS as the public schools in the areas where Hopkins House has a Preschool Academy or office. However, in certain instances, the Vice President, in consultation with the respective Preschool Academy Principal and Parents Council, may decide to open or close a facility in the interest of the safety of students, their parents, and our staff.

#### *Media*

**EMAIL** – As soon as a decision is made, emails will be sent to all email addresses on file at Hopkins House. Employees should check their emails often if inclement weather or other emergency is anticipated or has occurred.

**WEBSITE** – As soon as a decision is made, a notice will be placed on the homepage of the Hopkins House website ([www.HopkinsHouse.org](http://www.HopkinsHouse.org)). Employees should check the website often if inclement weather or other emergency is anticipated or has occurred.

**TELEPHONE** – As soon as a decision is made, a notice will be posted on the Hopkins House telephone alert line. Employees should check the telephone alert line often if inclement weather or other emergency is anticipated or has occurred.

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eHOPKINSNEWS - As soon as a decision is made, a notice will be sent to mobile devices using the eHopkinsNews alert. Employees should check their cell phone often if inclement weather or other emergency is anticipated or has occurred.

BROADCAST MEDIA – If inclement weather or other emergency is anticipated or has occurred, employees should tune to WTOP Radio or Channel 8 TV news:

### *Employee Compensation*

If Hopkins House opens late, is closed, or closes early, the President may require employees to make up the time through work on alternate days, including if necessary scheduled holidays, evenings, extended days, weekends, or the use of Annual Leave. If an employee does not have Annual Leave available, that employee shall not be compensated for time Hopkins House follows the ECS.

Employees may not be required to report to work if they feel their safety is at risk. In such instances, the employee may use unscheduled Annual Leave time if available or forfeit pay.

## **200.5 Fundraising**

Policy: It is the policy of Hopkins House that the Trustees shall solicit funds on behalf of Hopkins House and, that certain authority and responsibility shall be delegated, as appropriate, to the President. It is also the policy of Hopkins House that no other employees, except the President as delegated, or paid agents of Hopkins House shall be authorized to solicit for or accept donations in behalf of Hopkins House.

### Procedure:

**SOLICITING GIFTS:** The Trustees or the President shall make solicitation of funds on behalf of Hopkins House. No other employees of Hopkins House shall be authorized to solicit for funds or gifts in behalf of Hopkins House. All solicitations shall be executed generally in writing or properly documented and such records shall be maintained by the President. Hopkins House shall not use paid agents to solicit on its behalf.

**RECEIVING GIFTS:** Only the Trustees or the President may accept gifts on behalf of Hopkins House. No other employees shall be authorized to accept gifts in behalf of Hopkins House. Receipt of gifts to Hopkins House shall, in all cases, be documented and acknowledged by the President.

**200.6 Computer Backup**

Policy: It is the policy of Hopkins House that all data contained on computer(s) used by the Organization be regularly backed up and stored in a safe location.

Procedure: The Vice President, or a designee of the Vice President, shall back-up the Organization's data according to the following schedule:

A. FULL BACKUPS of all designated data shall be performed monthly. The data shall be backed up on media properly identified and clearly marked with the date or period of the backup. The data on the backup media will be verified and the media stored in a safety deposit vault at a designated bank or financial institution, or on the Internet.

B. INCREMENTAL BACKUPS of all designated data shall be performed weekly. The data shall be backed up on media properly identified and clearly marked with the date or period of the backup. The data on the backup media will be verified and the media stored in a designated location outside the Organization's headquarters or on the Internet.

Log Book: The Vice President or designee shall record the date and time of each backup, media name, type of backup (full or incremental), list of data backed up, and the source computer in "backup log book." The backup log shall be stored in a designated location at the Organization's headquarters or on the Internet.

Retention Period: Full backup media shall be retained for a period of not less than 18 months. Incremental backup media shall be retained for a period of not less than 90 days.

**200.7 Mail**

It is the policy of Hopkins House that all mail shall be forwarded to the Office of the president for distribution. No employee outside the Office and President, without prior approval or instruction of the President, shall open or distribute mail received by the Hopkins House.

**300 FINANCIAL POLICIES AND PROCEDURES**

Policy: It is the policy of Hopkins House that the Budget & Personnel Policy Committee of the Trustees (“Committee”) shall have responsibility and authority for developing and recommending to the Trustees policies and procedures related to the Organization’s budget, finances, investments and fiscal transactions, that the Secretary/Treasurer, assisted by the Assistant Secretary/Treasurer, shall have responsibility and authority for the oversight of said policies and procedures once they have been adopted by the Trustees, and that the Vice President shall have responsibility and authority for the implementation of said policies and procedures once they have been adopted by the Trustees. The Committee may, at its discretion, make textual changes to approved policy for purposes of clarification or correction, but may not change the substance of approved policy.

Procedure: The Committee will meet regularly, but no less than quarterly during the Organization’s fiscal year. Within 30 days of the end of each fiscal quarter, the Committee shall receive the following reports, at minimum, from the Secretary/Treasurer:

- A. Balance Sheet with prior year comparison
- B. Income and Expense Statement with prior year comparison
- C. Investment Statement
- D. Cash Flow Analysis Report
- E. Budget to Actual Statement
- F. Profit & Loss Statement by Department (i.e., Class)

The Committee shall review these reports and forward them, with comment, to the Trustees at their next regularly scheduled meeting. The comments to the Trustees shall include notice of any matters that have a material financial impact on the Organization.

On the basis of the spending plan submitted by the President by January of each year, upon approval by the Committee, the President shall annually recommend a General Fund Budget to the Trustees by the June meeting for the coming fiscal year. This Budget shall in all years be a balanced budget.

The Committee shall have the authority to engage the services of an independent Certified Public Accountant (“CPA”) or accounting firm to prepare the annual financial audit and management letter for the Organization. On the basis of the annual financial audit and management letter prepared by the CPA or accounting firm, the Committee may recommend new policies and procedures, and/or changes to existing policies and procedures.

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The Secretary/Treasurer shall have authority to engage the services of an independent CPA or accounting firm in the preparation and presentation of reports, the annual financial audit, and such other tasks as may, from time-to-time, be assigned to the Secretary/Treasurer by the Committee.

The Vice President shall hire and supervise staff to implement these policies and procedures.

### **300.1 Petty Cash**

Policy: It is the policy of Hopkins House to maintain a reserve of cash on hand, known as the "petty cash fund", to reimburse employees for small expenses incurred in the regular course of business.

Procedure: Properly approved reimbursement requests should be submitted to the Vice President or HR officer for cash.

**LIMITS TO REIMBURSEMENTS:** Reimbursements from the petty cash fund shall be at limits established by the Vice President. Reimbursements from the petty cash fund shall not be a reimbursement for expenses that occur on a regular schedule or for purchases ordinarily handled through Check Requests.

**REIMBURSEMENTS FOR FINES:** Reimbursements shall not be given for sales taxes, legal penalties or fines.

**REQUIRED DOCUMENTATION & APPROVALS:** Prior to the disbursement of petty cash, a receipt must be stapled to the back of a completed and signed Petty Cash Form. The Petty Cash Form must be approved by the employee's supervisor.

**SIGNATURES:** Department Directors may sign reimbursements requests of their staff. The Vice President may sign reimbursement requests for Department Directors. The President may sign reimbursement requests for the Vice President.

Exceptions to the requirement for receipts may be made in the case of: (a) public transportation fares, however the Petty Cash form must include information on destination and purpose; and (b) amounts of \$10 or less in instances when receipts may not ordinarily be given.

### **300.2 Pay Periods**

Policy: It is the policy of Hopkins House that full-time and part-time employees shall be paid on a

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semi-monthly basis, on the sixteenth of the month and the first day of the month. If such a day falls on a Friday holiday or a Saturday, employees shall be paid on the preceding business day. If such a day falls on a Sunday or a Monday holiday, employees shall be paid on the succeeding business day.

### **300.3 Automobile Use**

**Policy:** It is the policy of Hopkins House that employees shall drive without impairment and to reimburse employees for Hopkins House business use of their personal vehicles.

**Procedure:** Employees who drive a vehicle on Hopkins House business, in addition to meeting the approval requirements stated above, must exercise due diligence to drive safely and to maintain the security of the vehicle and its contents. In addition, such drivers must make sure that the vehicle meets any Hopkins House or legal standards for insurance, maintenance, and drivability.

Employees are personally responsible for any driving infractions or fines as a result of their driving. This includes parking violations.

Employees are not permitted, under any circumstances, to operate a Hopkins House vehicle, or a personal vehicle for Hopkins House business, when any physical or mental impairment causes the employee to be unable to drive safely. This prohibition includes, but is not limited to, circumstances in which the employee is temporarily unable to operate a vehicle safely or legally because of illness, medication, or intoxication.

All employees shall agree to hold harmless and indemnify Hopkins House, its successors and assigns and its Trustees, officers, employees and agents, and their heirs, legal representatives and assigns, from and against any and all liabilities, costs, damages, expenses and attorney's fees resulting from or attributable to any and all acts and/or omissions by the employee, whether intentional or caused by negligence, arising while the employee is operating a vehicle owned by Hopkins House or their personal vehicle for work purposes. Each employee certified to drive on Hopkins House business shall obtain and pay for their own automobile insurance and shall, upon request, provide Hopkins House with a current copy of the policy, evidence of the then current premium payments, and any notice of cancellation of such insurance.

**REIMBURSEMENT ALLOWANCE:** Employees who use their personal vehicle for approved Hopkins House business purposes will receive for such use a mileage allowance equal to the Internal Revenue Service mileage allowance applicable to Virginia. This allowance is to compensate for the cost of gasoline, oil, depreciation, and insurance. In addition, employees driving on Hopkins House business may claim reimbursement for parking fees and tolls actually incurred.

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Requests for reimbursements should be submitted to the Vice President on a Check Request, signed by the employee's supervisor and Department Director. The Check Request must include documentation of the time, place, and purpose of the travel.

**CAR ALLOWANCE:** For certain Hopkins House employees, extensive or regular use of their personal automobile is expected as an implied or stated condition of their employment with Hopkins House. For these designated employees, the Vice President may authorize a monthly car allowance in lieu of a "Reimbursement Allowance" described above. This allowance is to compensate for the cost of gasoline, oil, depreciation, and insurance.

The Department Director will submit a Check Request, signed by the Vice President, to the Vice President. The Check Request will include among the required documentation, authority by the Vice President for the car allowance.

Consistent with Hopkins House policy, use of personal vehicles for Hopkins House business without prior approval is prohibited. Employees incurring the travel expense should not approve their own expense voucher. The Secretary/Treasurer must authorize the amount of a car allowance designated for the President; the President must authorize the amount of a car allowance designated for the Vice President.

### **300.4 Cash/Travel Advance**

**Policy:** It is the policy of Hopkins House that cash advances shall be given to employees as needed for approved business travel or for the purchase of materials or services which cannot otherwise be procured through a Check Request.

**Procedure:**

**CASH ADVANCE:** Cash advances shall be given only for the purchase of materials in excess of \$25 that cannot be procured through a Check Request or petty cash. Cash advances shall not exceed \$500.

Outstanding advances must be reconciled prior to the approval of a second advance. No employee may have more than one cash advance outstanding at any one time.

A Check Request, signed by the supervisor and Department Director, and including information about the purpose of the advance shall be submitted to the Vice President. The Check Request should be clearly marked with the word "Advance" in capital letters in the address space

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under the employee's name. A check will be processed for the indicated employee.

Cash Advances must be reconciled within five business days. The employee shall submit a memorandum, with receipts attached, documenting the approved use of the advance and any unused portion of the advance (submitted in cash, by personal check, or money order).

**TRAVEL ADVANCE:** Travel advances shall be given only for approved business travel, and shall not include related expenses such as the purchase of fares (air, bus, train) or lodging which can be paid by Hopkins House credit card or Check Request, but may include expenses for purposes such as taxi fares, meals, or tips.

Travel advances shall not exceed \$50/day of anticipated travel.

Outstanding Travel Advances must be reconciled prior to the approval of a second advance. No employee may have more than one travel advance outstanding at any one time.

A Check Request, signed by the supervisor and Department Director, and including itinerary and other pertinent information about the purpose of the travel shall be submitted to the Vice President. The Check request should be clearly marked with the word "Travel" in capital letters in the address space under the employee's name. A check will be processed for the indicated employee.

Travel Advances must be reconciled within five business days after return from the trip. The employee shall submit a memorandum, with receipts attached, documenting the approved use of the advance and any unused portion of the advance (submitted in cash, by personal check, or money order).

Neither Travel Advances nor Organization funds shall be used for items including, but not limited to, payment of fines, PAY-TV, valet (except if the trip exceeds 3 days), hair cutters, gym use, massages, or other personal expenses.

### **300.5 Travel Compensation**

**Policy:** It is the policy of Hopkins House that employee travel performed in the course of conducting Hopkins House business, and for which the employee expects compensation or reimbursement must be approved in advance and that such travel, when approved and appropriate, should be compensated or reimbursed.

**Definitions:** Travel is defined in this policy to mean trips taken on behalf of Hopkins House beyond

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a sixty mile radius of the Hopkins House facility that serves as the employee's base office.

Procedure: All such travel must be approved in writing in advance by the employee's supervisor.

Employees holding jobs that are designated in their job descriptions as requiring regular travel will be expected to travel as a condition of employment. Personal compensation, in the form of Overtime Compensation for such travel time, including overnight or time away from home which extends beyond the normal work day will not be provided. For all other jobs, travel is considered only an incidental function of the position, but may be required.

Time spent by non-exempt employees in traveling away from home on Hopkins House business during normal working hours is considered hours worked for pay.

Employees must provide their supervisor with a written copy of their itinerary before leaving on business travel.

Employee expenses for approved travel will be reimbursed on a per diem basis when properly documented by the employee and approved by the supervisor. The per diem schedule shall be determined each year by the Vice President on the basis of per diem schedules published by the Commonwealth of Virginia. Any travel expenses deemed unreasonable relative to the circumstances will not be paid or reimbursed and are the employee's personal responsibility.

Under normal circumstances, employees are to use the most expedient mode of transportation available, to book the cheapest fares, and to stay in and eat at moderately priced establishments. Any exceptions to this rule must be approved by the Vice President.

Employees may, at the discretion of the Vice President, be reimbursed for the travel expenses of their spouse or domestic partner if their presence is deemed by management to have a bona fide business purpose.

### **300.6 Bank Accounts and Signature Authority**

Policy: It is the policy of the Hopkins House that (a) the Organization shall have one or more bank accounts for the purpose of managing its cash assets; (b) the President, Board Chair, Secretary/Treasurer and Assistant Secretary/Treasurer shall be authorized to sign checks and other financial instruments in behalf of Hopkins House. ; and (c) the Organization may have on deposit no more than \$100,000 at any given time in a single account, at a single, federally insured banking institution.

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Procedure: Bank accounts may be opened by the Vice President, with the consent of the Committee. In requesting authority to open accounts, the Vice President must provide the Committee with a written description of the purpose of the account, the type of account, the name of the financial institution, and the account terms (i.e., maturity, charges and fees, interest rate, etc.). Only the Trustees, upon recommendation of the Budget & Personnel Policy Committee, may close bank accounts.

Once established, these accounts will be subject, in all instances, to existing policies governing the transaction of Organization finances and bank accounts.

The signature of one of the following Hopkins House officers shall be required to sign checks and/or authorize bank transactions for amounts up to \$2,000; and, the signatures of two of the following Hopkins House officers shall be required to sign checks and/or authorize bank transactions for amounts of \$2,000.01 and above:

- A. Board Chair
- B. President
- C. Secretary/Treasurer
- D. Assistant Secretary/Treasurer

### **300.7 Investments**

Policy: It is the policy of Hopkins House that the Organization shall collect, hold and invest endowment funds. Endowment funds may consist of one or more funds, each separately named and with different investment objectives. At the discretion of the Trustees and consistent with the wishes of the donor(s), the Organization's endowment funds may be commingled for investment purposes but shall be kept separate for accounting purposes. The purpose for all of the Organization's endowment funds shall be to:

- A. Generate earnings to enrich Hopkins House programs by funding activities that cannot be otherwise provided by public appropriations, tuition and fees, contracts and grants, or other income.
- B. Provide revenue to fund those projects that have been endowed for specific purposes, i.e., scholarships, programs, program enhancements, etc.

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- C. Provide monies for various capital requirements and projects of the Organization.
- D. Provide funding for such contingencies, as the Trustees may consider appropriate.

This policy reflects the investment policy, objectives, and constraints set by the Trustees regarding the management of Hopkins House's endowment fund assets. The Trustees set forth this Policy in order to:

1. Define and assign the responsibilities of all involved parties.
2. Establish a clear understanding of all involved parties of the investment goals and objectives of endowment fund assets.
3. Offer guidance and limitations regarding the investment of the endowment fund assets.
4. Establish a basis for evaluating investment results.
5. Manage endowment fund assets according to prudent standards as established in the laws of the Commonwealth of Virginia.
6. Establish the relevant investment horizon for which the endowment fund assets will be managed.

Procedure: The Hopkins House Trustees are responsible for the security and prudent management of all of the Organization's endowment funds.

### **VOLATILITY OF RETURNS**

The Trustees understand that in order to achieve its objectives for Endowment Fund assets, the Endowment Fund will likely experience volatility of returns and fluctuations of market value. The Trustees will tolerate volatility as measured against the risk/return analysis of the appropriate market indices. The indices used as a measure of an Investment Manager's performance will also be used to measure the allowable volatility, i.e., risk.

### **LIQUIDITY**

To minimize the possibility of loss occasioned by the sale of a security forced by the need to

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meet a required payment, the President will periodically provide to the Committee an estimate of expected net cash flow. The Committee will notify the Investment Manager(s) in sufficient time to allow for the accumulation of necessary liquid reserves.

Because of the infrequency of cash outflows and the marketability of all Endowment Fund assets, the Trustees do not require the maintenance of cash or cash equivalent reserve.

### **MARKETABILITY OF ASSETS**

The Trustees require that all Endowment Fund assets be invested in liquid securities, defined as securities that can be transacted quickly and efficiently for the Endowment Fund with minimal impact on market price.

### **INVESTMENT GUIDELINES**

#### **A. Allowable Assets:**

1. Cash Equivalents
  - i. Treasury Bills
  - ii. Money Market Funds
  - iii. Insured Certificates of Deposit
  - iv. Repurchase Agreements
  
2. Fixed Income Securities
  - i. U.S. Government and Agency Securities
  - ii. Corporate Notes and Bonds
  - iii. Mortgage Backed Bonds
  - iv. Collateralized Mortgage Obligations
  
3. Equity Securities
  - i. Common Stocks
  - ii. Convertible Notes and Bonds
  - iii. Convertible Preferred Stocks
  - iv. American Depository Receipts (ADRs) of non-U.S. Companies
  
4. Mutual Funds
  - i. Mutual Funds that invest in securities as allows in this policy section.

#### **B. Unallowable Assets and Transactions:**

1. Derivative Securities: options and future contracts (except covered call writing)
2. Real Estate Investment Trust
3. Short Selling
4. Margin Purchases

C. Guidelines for Fixed Income Investments and Cash Equivalents:

1. Investment of Endowment Fund assets in fixed income securities shall be restricted to only investment grade bonds A-rated or higher.

**INVESTMENT PERFORMANCE STANDARDS AND REVIEW**

The performance of the Endowment Fund, including Subordinate Endowments and Categories, shall be monitored at least quarterly by the Committee, or its Investment Subcommittee, and reviewed over a full market cycle. Performance shall be measured against the following peer groups: S&P 500, Lehman Intermediate Govt/Corp, and 3-Month Treasury Notes. The Committee shall report the findings of its quarterly performance review to the Trustees at least annually.

**DELEGATION OF AUTHORITY**

*Budget & Personnel Policy Committee*

The Trustees shall delegate certain specific responsibilities for the management of the Endowment Fund to the Committee. The Committee will:

1. Recommend investment policy, objectives and guidelines to the Trustees, will recommend one or more Investment Managers to the Trustees, and will periodically review such managers and will measure and evaluate investment performance.
2. Adhere to guidelines as defined in applicable regulations.
3. Project any change in the Endowment Fund's financial needs (including estimates of cash flow needs) and communicate such needs to the Investment Manager(s) on a timely basis.
4. Determine any change in the Endowment Fund risk tolerance and investment time horizon and communicate these to the appropriate parties.

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5. Articulate the allocation of assets among major asset classes, including equities, fixed income and cash, individually, for the Endowment Fund.
6. Regularly evaluate the performance of managers to assure adherence to policy guidelines and to monitor investment objective progress. The Committee will share these evaluations with the Trustees no less than quarterly during the year.
7. Develop and implement proper control procedures, e.g. replacing advisors due to fundamental changes in investment management process or failure to comply with established guidelines.

### *Investment Sub-Committee*

The Committee may, at its discretion, establish an Investment Sub-Committee (Sub-Committee”) as a sub-committee of the Committee with authority to carryout these responsibilities on its behalf.

If the Committee elects to establish a Sub-committee, the Committee may appoint as members to the Sub-committee representatives from other Hopkins House committees, programs or outside groups directly affected by the performance of the Organization’s endowments. The chair of the Sub-committee must be a Trustee member of the Committee.

### *Investment Manager*

The Budget & Personnel Policy Committee is authorized to engage the expert services of an Investment Manager who possesses the necessary specialized research facilities and skilled manpower to meet the investment objectives set forth by the Committee. More than one Investment Manager may be retained.

A. While the investment assets are not held in trust, the Trustees and the Committee expect of themselves and the Investment Manager(s) to adhere to the same standards of prudence as the Prudent Man Rule. The Prudent Man Rule directs a fiduciary to discharge his or her duties with respect to Trusts and Public Pension Plans with the care, skill, prudence and diligence under the circumstances then prevailing that a prudent man or woman, acting in a like capacity and familiar with such matters, would use in the conduct of any enterprise of a like character and with like aims.

B. The Investment Manager(s) will have discretion to purchase, sell or hold the

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specific securities that will be used to meet the Endowment Fund's investment objectives. The Investment Manager(s) will be held responsible for making all investment decisions regarding the assets in the Endowment Fund and will be accountable for meeting the Endowment Fund's objectives subject to: (i) the specific limitations set forth in this policy and ii) the guidelines and philosophies stated herein.

C. A custodian will physically maintain possession of securities owned by the Endowment Fund, collect diligent interest payments, redeem maturing securities, and effect receipt and delivery following purchases and sales.

### ENDOWMENTS

In order to expedite the wishes of donors, and recognizing that the Trustees meet quarterly during the year, the Committee is authorized to establish endowments under this policy and to set the investment objectives for the established endowments, provided such investment objectives are not inconsistent with the Investment Policy then current.

Endowments established by the Committee should be consistent with the wishes of the donor provided they are not inconsistent with established Hopkins House policies, the code and regulations of the Commonwealth of Virginia or the laws of the United States.

The establishment of endowments by the Committee shall be reported to the Trustees at their next regularly scheduled meeting.

### **300.8 Voiding Checks**

Policy: It is the policy of Hopkins House that misprinted, cancelled, damaged, or otherwise unused checks shall be voided.

Procedure: The Vice President, or a designee, shall mark the word "VOID" in large block letters across the face of each voided check and cut away the area of the check usually reserved for signatures. Voided checks shall not be discarded or otherwise destroyed.

### **300.9 Board Officers' Expenses**

Policy: It is the policy of Hopkins House that requests from Officers of the Board (i.e., Chair, Vice Chair, President, Secretary/Treasurer, Assistant Secretary/Treasurer) or Chairs of Committees for reimbursements or other expenses shall be approved prior to payment as prescribed below.

1. The Secretary/Treasurer shall approve expenses for the Chair, Vice Chair, and Committee Chairs.
2. The Chair shall approve expenses for the President, Secretary/Treasurer and Assistant Secretary/Treasurer.

### **300.10 Segregation of Accounting Duties**

Policy: It is the policy of Hopkins House that the conduct of the Organization's financial affairs will be assigned to specific members of the Organization's Administration & General Services ("A&GS") Office.

Procedure: The Organization's A&GS Office is responsible for the financial and administrative operations of the Organization, including but not limited to accounting, human resources and facilities management. The A&GS Office shall be supervised by a Manager who shall report to the Vice President.

The Manager shall implement effective procedures, consistent with Hopkins House financial policy and with the authority granted by the Vice President, as will ensure the appropriate handling of the Organization's funds and accounts. The Manager shall oversee the hiring and supervising of staff to process and post the Organization's expenses and revenues, to secure the handling of cash and bank deposits, and to maintain records documenting all financial transactions of the Organization.

**REQUIRED SEPARATION OF DUTIES:** The Vice President shall require that the employee assigned to make bank deposits shall not also be assigned to any of the following tasks: Collecting cash and receivables, posting accounts receivables, making general ledger adjustments or opening correspondence received through the U.S. Postal or other mail delivery service.

No member of the A&GS Office staff shall be assigned to open correspondence from the Organization's bank, government tax or legal authorities. No member of the A&GS Office staff shall sign for receipt of certified mail and/or registered mail deliveries.

The Vice President shall submit to the Secretary/Treasurer and Committee on a timely basis, all requested financial reports.

The Vice President shall ensure that the Organization's bank statements are reconciled monthly; shall review the financial statements and general ledger postings to the Organization's financial books at least monthly; and, shall prepare the work papers and other documents for the annual

financial audit.

### **300.11 Reserve Funds**

Policy: It is the policy of Hopkins House that the Organization shall have a Reserve Fund, and that monies from this Fund may be used to cover short-term cash flow needs on a temporary basis.

Procedure: The Organization shall hold Reserve Funds in a bank account separate from other bank accounts held by Hopkins House. The President is authorized to transfer up to 95% of the funds held in this account into the operating account, for a period not to exceed 30 calendar days, to cover cash flow needs of the Organization. All such transfers shall be collateralized by a specified cash receivable.

Endowment Funds shall not be used to replenish the Reserve Fund.

### **300.12 Accepting Cash Payments**

Policy: It is the policy of Hopkins House that the Organization shall not accept cash for payment of tuition or fees.

Procedure: The Organization shall accept for payment of tuition and fees, money orders, checks, credit cards, debit cards, bank transfers, and cashier checks.

### **300.13 Accepting Credit Card Payments**

Policy: It is the policy of Hopkins House that the Organization shall accept payment of tuition and fees by credit card; and, that all departments that process, store or transmit credit card data shall remain in compliance with the Payment Card Industry Data Security Standard (PCI DSS).

Procedure: The Organization may accept credit cards for payment of tuition and fees. The Administration & General Services (A&GS) Office is responsible for the control and management of credit card transactions and data. The A&GS is responsible for annually completing the Self-Assessment Questionnaire (SAQ).

The SAQ is a validation tool used to demonstrate compliance with the PCI DSS. If there is a significant change to business process or system application then a new SAQ must be submitted. All individuals involved in processing, storing or transmitting credit card data must sign a PCI Confidentiality Statement.

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The A&GS Office will reconcile the monthly statement of credit activity received from the credit card provider.

Files with credit card information shall be stored in a secure area by the A&GS for 18 months to 3 years. Any paper containing credit card data must be shredded before disposal.

Computer media, including tape backups, shall be disposed of in such a manner as to permanently erase all credit card data.

**Charge Backs** - The credit card vendor will notify Hopkins House of a disputed charge. The A&GS Office is responsible for providing to the bank written proof that the transaction was authorized by the customer. If frequent charge back complaints are received or there is the suspicion of fraud, the bank should be immediately notified.

**Refunds** - When a credit card refund is necessary, the refund must be credited only to the same credit card account from which the payment was originally made. In addition, under no circumstances is it permissible to issue a cash refund.

To protect credit card data:

1. No credit card numbers, cardholder names, or other information is to be downloaded or stored on USB flash drives, compact disks, personal digital assistants, laptops and/or personal computers.
2. No credit card numbers, card holder names, or other information is to be transmitted by e-mail or fax.
3. No credit card numbers, cardholder names or other information is to be stored for repeat customers on paper in an unsecured area.
4. The credit card PIN or CVV2/CVC2/CID number is not to be stored or saved in any form.
5. Unencrypted credit card data is not to be stored electronically.
6. The computer username and password of individuals who process credit cards may not be shared and the password must be changed at least every 90 days.
7. A cardholder's data must not be acquired or disclosed without the cardholder's consent.
8. All physical documents containing credit card data is to be stored in a locked drawer, locked file cabinet, or locked office.
9. Only the persons responsible for processing credit card payments are to be given access to credit card data.
10. If an unencrypted email is received from customer with credit card data, that customer is to be notified s/he should no longer send this information via email and delete email

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immediately.

11. Email should not be used to transmit credit card or personal payment information. If it should be necessary to transmit credit card information, only the first and last four digits of the credit card number can be displayed.
12. Fax transmissions (both sending and receiving) of credit card and electronic payment information should occur only on those fax machines whose access is restricted to just those individuals who must have contact with payment card information in order to do their jobs.
13. The full contents of any track from the magnetic stripe (on the back of a credit card, in a chip, etc.) are never to be stored in any form.
14. All but the first and last four digits of any credit card account number are always to be masked, should it be necessary to display credit card data.
15. No Hopkins House employee, contractor or agent who obtains access to payment card or other personal payment information in the course of conducting business on behalf of Hopkins House may sell, purchase, provide, or exchange said information in any form including but not limited to imprinted sales slips, carbon copies of imprinted sales slips, mailing lists, tapes, or other media obtained by reason of a card transaction to any third party other than to Hopkins House's acquiring bank, depository bank, Visa, MasterCard or other credit card company, or pursuant to a government request. All requests to provide information to any party outside of Hopkins House must be approved in advance by the A&GS Office.

**Security Breach** - In the event of a breach or suspected breach of security, the A&GS Office must immediately execute each of the following relevant steps:

1. Any individual suspecting a security breach must immediately notify the A&GS Office of an actual breach or suspected breach of credit card information. Email should be used for initial notification and to provide a telephone number for the A&GS Office to call in response. Details of the breach should not be disclosed in email correspondence.
2. Any individual suspecting a security breach involving eCommerce also must immediately ensure that the following steps, where relevant, are taken to contain and limit the exposure of the breach:
  - Prevent any further access to or alteration of the compromised system(s). (i.e., do not log on at all to the machine and/or change passwords; do not log in with ROOT or Administrative authority.)
  - Do not switch off the compromised machine; instead, isolate the compromised system(s) from the network by unplugging the network connection cable.
  - Preserve logs and electronic evidence.
  - Log all actions taken.

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- If using a wireless network, the A&GS will contact computer system administrator and request a change to the SSID on the wireless device and other machines that may be using this connection. (No changes should be made to any systems believed to be compromised, however.)
  - Be on HIGH alert and monitor all eCommerce applications.
3. The A&GS shall alert the merchant bank, payment card associations, FBI, United States Secret Service, and other relevant regulatory agencies of the suspected breach.
  4. Where an actual breach of credit card data is confirmed, the A&GS will ensure that compromised credit card account information is securely sent to the appropriate Fraud Control Groups and affected credit card associations.
  5. Within 48 hours of the breach, the A&GS Office shall provide the affected credit card associations with proof of PCI DSS compliance.
  6. Within 4 business days of the breach, the A&GS Office shall provide the affected credit card associations with an incident report.
  7. At the relevant credit card associations' request and depending on the level of risk and data elements compromised, the A&GS Office shall, within 4 business days of the event:
    - Arrange for an independent forensic review.
    - Arrange for a network and system vulnerability scan.
    - Complete a compliance questionnaire and submit it to relevant card association(s).
  8. Within 48 hours, the A&GS Office shall notify the Budget & Personnel Policy Committee of said breach and provide a memorandum, signed by the President, confirming compliance with this policy.

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**POLICY BOOK**

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\_\_\_\_\_  
**Issued To:** \_\_\_\_\_

**This Policy Book is intended solely as a guide for employees during employment.  
Nothing in this Policy Book shall be construed to abrogate the employment at-will relationship in any way  
and an employee at-will may be terminated at any time for any reason or no reason.**

**By affixing my signature below, I acknowledge receipt of this Policy Book,  
that I have read and understand it,  
and that I acknowledge and expressly agree to be bound by the policies contained herein.**

**Signed Receipt:** \_\_\_\_\_

**Date Issued:** \_\_\_\_\_