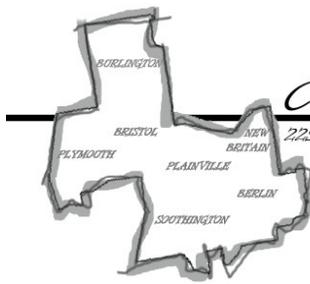


September 2012
CENTRAL CONNECTICUT REGIONAL PLANNING AGENCY
FINANCIAL REPORT AND CASH FLOW STATEMENT

REVENUES	Budget	Current Month	Year To Date	Balance	% Received
Municipal Contributions	91,500	0	71,496	20,004	78.14%
Transportation Planning Grant	728,318	32,666	108,225	620,093	14.86%
Paratransit Admin./Contractor	1,665,069	137,697	447,521	1,217,548	26.88%
Paratransit System Advertising	2,000	0	1,900	100	95.00%
SGIA	12,541	12,517	12,517	24	99.81%
R5EPT	3,000	0	543	2,457	18.10%
CEDS-Municipality	20,000	0	13,083	6,917	65.42%
Pequabuck River Dam	82,250	0	0	82,250	0.00%
CERT Administrative	8,000	0	0	8,000	0.00%
Sustainable Communities	15,000	0	0	15,000	0.00%
DEEP - Urban Forestry	8,000	0	0	8,000	0.00%
Miscellaneous Revenues	1,000	56	244	756	24.40%
Budgeted Revenues	2,636,678	182,936	655,529	1,981,149	
25.00 % completed					
EXPENDITURES	Budget	Current Month	Year To Date	Balance	% Used
Salaries/Payroll Taxes/Workers Comp.	593,342	35,421	124,370	468,972	20.96%
Retirement/Administration	18,533	954	2,549	15,984	13.76%
Health/Life & STD Insurance	156,101	5,105	22,883	133,218	14.66%
Directors & Officers/Liability/Bonding Ins.	7,000	1,779	5,739	1,261	81.99%
Accounting/Legal	17,500	52	52	17,448	0.30%
Paratransit Contractor	1,545,069	127,359	413,936	1,131,133	26.79%
Equipment Service Contracts/Maintenance	5,000	0	107	4,893	2.14%
Equipment/Software Purchases	30,300	214	1,392	28,908	4.59%
Rent	30,180	2,515	7,545	22,635	25.00%
Office Cleaning	5,200	0	1,321	3,879	25.40%
Telephone/Postage	4,500	111	950	3,550	21.11%
Supplies	3,800	187	479	3,321	12.61%
Training/Workshops/Seminars/Conf.	18,000	295	1,695	16,305	9.42%
Travel in State/Meetings/Forums	20,000	1,195	2,501	17,499	12.51%
Dues/Subscriptions	11,446	0	3,921	7,525	34.26%
Publications	400	0	0	400	0.00%
CPC Referral Consultant	2,000	0	0	2,000	0.00%
Advertising	3,000	0	0	3,000	0.00%
Special Projects/Consultants	75,132	0	0	75,132	0.00%
Pequabuck River Dam	82,250	2,358	5,782	76,468	7.03%
Miscellaneous Expenditures	7,925	254	967	6,958	12.20%
Budgeted Expenses	2,636,678	177,799	596,189	2,040,489	
CASH ON HAND					
Checking Acct. Balance - BOA				176,472	
CT State Treas.Short-Term Investment Fund				4,160	
Money Market - BOA				139,964	
CD - Thomaston Savings Bank				101,009	
CD - Webster Savings Bank				49,789	
	TOTAL CASH ON HAND			471,394	



MEMORANDUM

TO: Program, Finance and Personnel Committee
FROM: Carl J. Stephani, Executive Director

DATE: October 25, 2012

FOR AGENDA: November 1, 2012

SUBJECT: Recommendation to the Agency Board - New Employee Handbook

At your regular meeting on September 6, 2012, you reviewed proposed revisions to the Personnel Policy, recommended some of them to the Agency Board for approval, and referred others back to staff for further analysis. Since that time sought legal counsel regarding the proposed policies from the labor law firm of Kainen, Escalera & McHale, P.C..

As a result, Mr. Shel Myers, an attorney for the firm, sent us the attached document indicating various proposed revisions to our Personnel Policy. Among those, he recommended changing the title of the document to "Employee Handbook." He also recommended removing the classification descriptions from the document and having those adopted separately. Further, he recommended having a separate set of policies on the Family Medical Leave Act because of the complexity of that subject.

On the basis of Mr. Myers' comments the Deputy Director, Office and Finance Administrator and I prepared the attached draft Employee Handbook which is intended to replace our current Personnel Policy. There are few substantive changes in the Handbook, most of the changes relate to proper legal language. All employees have had an opportunity to review the document and are supportive of it.

To provide you with an in-depth background to this document I am also attaching a copy of the edit copy provided to us by Mr. Myers, and a copy of the draft Personnel Policy Revisions provided to you at the September meeting. This Employee Handbook would be a significant improvement over our existing Personnel Policies in case of an employee problem. On that basis, it is my

RECOMMENDATION

that your Committee
Recommend that the Agency Board Approve the attached Proposed Employee Handbook effective immediately.

cc: Agency Board, Myers

Attachment(s): Proposed Employee Handbook
Employee Handbook Mark-up Version from Mr. Myers
September 6, 2012, draft Personnel Policy Revisions

EMPLOYEE HANDBOOK

- I. INTRODUCTION AND CONTRACT DISCLAIMER - This Handbook is intended to serve as a practical guide to Central Connecticut Regional Planning Agency's ("the Agency") current personnel policies and to serve as your personal reference in answering questions that you may have about your job. These policies are intended to cover the most common situations and replace in their entirety prior policies contained in the Personnel Policy. The policies and procedures in this Handbook are guidelines only and are not to be construed as an expressed or implied contract of employment, a promise of employment for any specified time, or a guarantee of benefits or working conditions between any employee and the Agency. Moreover, in order to adapt to its changing needs and to respond to specific situations as they may arise, these policies may change from time to time. The Agency's actions, from time to time, may also vary from the attached policies and procedures, or any subsequent policies and procedures that may be implemented. The Agency's supervisors and employees shall use their respective best judgment in responding to situations not specifically covered. As illustrated in this Handbook, the Agency expects that you will conform to certain rules and requirements consistent with maintaining a professional working environment. In addition, employment with the Agency is at-will, which means that either you or the Agency may terminate the employment relationship at any time, with or without notice or cause. Finally, this Handbook replaces (supersedes) any or all other previous Agency employee manuals and/or personnel policies or practices, whether written or oral, which are contrary to the policies contained herein.

- II. DEFINITIONS
 - A. Day - this means seven hours when the term is used in relation to leave accrual and holidays; otherwise it refers to a calendar day.
 - B. Fiscal Year - July 1 through June 30.

- III. POSITIONS - All employees are classified as either "exempt" or "non-exempt" in accordance with state and federal wage and hour laws. These classifications govern wage and salary procedures. All employees are further classified as either Full-time, Part-time, Probationary, which classifications govern eligibility for, among other things, participation in the Agency's benefit programs, in accordance with the terms and conditions outlined in this Handbook.
 - A. Non-Exempt and Exempt
 1. Individuals who are paid an hourly rate for regular hours worked and at the rate of one-and-one-half times their base rate for all overtime hours worked. Overtime is any period of time actually worked in excess of forty (40) hours in any one-payroll week. Paid-time off provided in a given payroll work does not count towards the determination of overtime.

2. Individuals who are paid based upon an annualized salary which is intended as full compensation for all hours worked, and therefore, exempt employees are not eligible to receive overtime pay for hours worked beyond forty hours in any one-payroll week.
- B. Full-time, Part-time, Probationary, and Temporary/intern
1. Full-time - employees who regularly work 35 or more hours per week and who are eligible for all employee benefits.
 2. Part-time - employees who regularly work fewer than 35 hours a week, and who are only eligible for vacation, sick and holiday time benefits on a pro-rated basis. Part-time employees who are not temporary employees, working more than 20 hours weekly are eligible for health insurance benefits for themselves but must pay the total cost, including what would otherwise be the "Agency share" of any spouse or dependent coverage.
 3. Probationary - non-temporary employees who are hired, or promoted to a new position, and whom the Agency is evaluating for suitability for the position for a period of six (6) months, or longer, if necessary. Probationary period employees are eligible for all full-time employee benefits.
 4. Temporary and Intern - employees who are hired as fill in or on an as-needed basis to temporarily supplement the work force, or to assist in the completion of a specific project. Employment assignments in this category may be of limited and specified duration, typically up to 6 months. Employment beyond any initially stated period of time does not in any way imply a change in employment status. Temporary employees retain that status unless and until notified, in writing, of a change. While temporary employees receive all legally mandated benefits, they are ineligible for any of the Agency's other benefits.
- IV. SUPERVISION - The Program, Finance and Personnel Committee supervises the Executive Director. The Executive Director has the authority to review, discipline, and discharge staff. During the absence of the Executive Director, the Deputy Director supervises the staff and has the authority to review, and discipline staff. The Executive Director may assign supervisory authority to other staff members, as necessary.
- V. BENEFITS - below is a general description of the employee benefits currently offered by the Agency to eligible employees. Because the exact provisions of these benefits, particularly insurance coverage, change from time to time, the detailed description of each benefit and the conditions of enrollment and specific benefit plan terms are set forth in specific plan documents that are available upon request from the Executive Director or his/her designee. The Agency reserves the right to

change or discontinue any of its insurance benefits as well as the conditions for participation in such benefits plans in the sole discretion of the Agency. Furthermore, where the terms of this Handbook are inconsistent with the terms of any benefit plans maintained by the Agency, the terms of the more specific benefit plans shall control.

- A. Health Insurance - Health Insurance -The Agency pays ninety-five percent (95%) of the cost of physician, hospitalization (semi-private), major medical, and dental insurance for an individual employees as provided by a company selected by the Agency, with the other five percent (5%) being paid by the employee. The Agency will pay ninety percent (90%) of the additional cost of doctor, dentist, and hospitalization insurance for employees who choose an employee-plus-spouse, or a family plan, with the other ten percent (10%) being paid by the employee. Employees who have coverage thru a spouse, and who choose not to enroll in the Agency sponsored health insurance program, may be given an allowance of up to \$2,000 per year (for savings that accrue to the Agency as a result of their non participation) to be awarded proportionally with the issuance of each paycheck, but not considered salary in relation to annual salary increases. Employees and dependents who elect coverage thru Medicare will be provided coverage under a Medicare supplemental plan, and will be reimbursed by the Agency up to \$2,000 each annually for out of pocket medical expenses which would have been covered by the Agency's regular employee health insurance policy but are not covered by Medicare, nor by their Medicare supplements coverage.
- B. Holidays - Each full-time and Probationary employee shall be entitled to the following annual holidays: one half day before New Year's Day and New Year's Day; Martin Luther King Day; Presidents' Day; Columbus Day; Memorial Day; Independence Day; Labor Day, Thanksgiving Day and the Friday after Thanksgiving Day; one-half day before Christmas Day, and Christmas Day. When a holiday occurs on a Saturday, the preceding Friday shall be taken as the holiday. When a holiday occurs on a Sunday, the following Monday shall be taken as the holiday. Part- time employees do not receive this benefit.
- C. Leave and Earned Days
 - 1. Bereavement - The Executive Director may grant an employee up to three bereavement days in any fiscal year for the death of an immediate family member. The timing of bereavement leave days shall be granted relative to the staff member's family responsibilities. The term "immediate family member" is defined as a spouse, child, step-child, parent, step-parent, sibling, in-law, grandparent, grandchild, or any member of the same household. One day per fiscal year may be granted for all other funerals. "Fiscal year" is defined as the period beginning July 1 and ending June 30 of the

succeeding year. Employees may use any paid vacation time or take additional unpaid time off for bereavement upon the approval of the Executive Director. The Agency reserves the right to request verification of the death and the relationship of the deceased to the employee.

2. Earned Days - Full- time and probationary employees earn a vacation day (7 hours) for taking no sick time for three consecutive months.
3. Jury - Employees will be granted a leave of absence for serving on a jury. Any employee who is selected for jury duty must notify the Executive Director as soon as s/he receives notice from the court. Employees are expected to report for work during scheduled hours whenever jury services are not required. The Agency shall compensate employees for time lost on regularly scheduled working days for the first five days, or part thereof, of juror service. Certificates from the court must be obtained from the clerk and given to the Executive Director to obtain compensation from the Agency. The difference between the employee's salary and the jury fees will be paid by the Agency for any time off for jury service beyond the first five days, if prior approval is obtained from the Executive Director.
4. Military Training/Leave - An employee who is a member of the National Guard, or organized military reserves of the United States, and who is ordered to attend a period of active duty training shall be allowed two (2) calendar weeks' paid leave for such purpose. During such leave, employees shall be paid the difference between their regular pay and their military base and longevity pay, if any, so that they will continue to take home the same in pay that they would if they were not on military training leave. Such military leave shall not be deducted from vacation leave or in any other way result in loss of privileges or compensation. Any leave required beyond two weeks per calendar shall be provided in accordance with any applicable military leave laws but will be without pay from the Agency (unless the employee chooses to use any accrued paid vacation or personal time). Military orders shall be presented to the Executive Director with as much advance notice as possible. Employees will be allowed to return to work from military leave in accordance with the requirements of the law.
5. Sickness - For full-time and probationary employees, sick leave begins to accrue at the rate of 3.25 hours per pay period the first full pay period after 30 days from the date of an employee's start date, and employees may accrue up to a maximum of 490 hours. Sick leave for part-time employees who are not temporary will accrue on

a pro-rated basis. Employees may use sick leave for their illnesses or medical needs, or to take care of the medical needs of a family member. The Agency requires medical verification that an absence in excess of three consecutive regular work days was due to an illness or other emergency medical reason. Sick time may be taken in one-hour increments up to a full-day's absence. Employees will not be compensated for any amount of accrued but unused sick days upon termination of employment at any time for any reason. If The Executive Director believes that an employee is not medically fit for duty, the Executive Director may direct the employee to leave work and provide medical verification of his/her ability to work, and/or send the employee for a fitness for duty exam before allowing the employee to return to work.

6. Family and Medical Leave - In accordance with the Federal Family and Medical Leave Act (hereinafter referred to as "FMLA"), eligible employees may take a leave of absence for certain designated reasons. In general, employees who have worked at least 1,250 hours in the 12 month period preceding any request to take FMLA may be granted an unpaid leave of up to 12 weeks within the 12 month period following the first day of FMLA taken for the following purposes: (1) The serious health condition of the employee or their child, parent or spouse; (2) the birth or adoption of a child by the employee, or the foster care placement of a child with the employee; (3) to serve as an organ or bone marrow donor; or (4) because of a "qualifying exigency" due to certain events related to the employee's spouse, child or parent on active duty. Employees may further be eligible for up to 26 weeks of leave in the 12 month period following the first day of FMLA taken due to the serious injury or illness of a covered service member. Full details of an employee's rights and obligations when requesting and taking FMLA leave are contained in the Agency's detailed FMLA policy.
7. Family Violence Victim Leave - Employees who are victims of family violence will be permitted to take up to twelve (12) days of leave during any calendar year in which the leave is reasonably needed for one or more of the following reasons: (1) to seek medical care or counseling for physical or psychological injury or disability; (2) to obtain services from a victim services organization; (3) to relocate due to the family violence; or (4) to participate in any civil or criminal proceeding related to or resulting from such family violence. Such leave will be unpaid, unless the employee chooses to use any available accrued paid time off for such leave or the Agency is otherwise required by law to pay for such leave. Employees who seek such leave will need to provide at least seven (7) days notice of

the need for such leave if foreseeable, or notice as soon as practicable if the need for such leave is not foreseeable. The Agency may require appropriate certification of the need for any such leave. Any such certification provided will be maintained in a confidential manner and will be only disclosed as required by law or to protect the employee's safety in the workplace, provided that the employee is given notice prior to any such disclosure. The Agency will further not discriminate or take adverse actions against any employee for being a victim of family violence or for having to attend or participate in a court proceeding related to a civil case in which the employee is a family violence victim.

8. Leave Without Pay (LWOP) - The Executive Director, in his sole discretion, may grant a leave without pay for up to ten (10) working days in any fiscal year to eligible employees who need to take time off from work duties to fulfill personal obligations that are not covered under the FMLA. Full-time and probationary employees are eligible to request LWOP as described in this policy. Since the purpose of an unpaid leave is to enable an employee to maintain his or her ability to continue employment with the Agency, such an employee may not work elsewhere during their regular working hours while on LWOP. Employees may only be granted LWOP only after having completed one year of service. As soon as an eligible employee becomes aware of the need for LWOP, he/she should request the leave from the Executive Director. Requests for LWOP will be evaluated based on a number of factors, including anticipated workload requirements and staffing considerations during the proposed absence. The Agency reserves the right to request any applicable documentation of the need for the leave. Unpaid leaves will be considered only after all earned but not taken time off has been exhausted, except in cases qualifying as short-term disability. Subject to the terms, conditions, and limitations of the applicable insurance plans, the Agency will continue to provide health insurance benefits for the full period of the approved leave. requests for unpaid leave exceeding 10 days may only be approved by the PFP. An employee's anniversary date will be re-set for any LWOP taken.
9. Pregnancy Disability Leave - The Agency will provide any pregnant employee with a reasonable leave of absence during any period of time when she has been certified by her health care provider as being disabled from the pregnancy. While the length of any such pregnancy disability leave may vary depending on individual circumstances, it is generally expected to be no longer than six (6) weeks. Pregnancy disability leaves of absence will be without pay,

unless the employee chooses to use any available paid accrued paid time off for such leave. The Agency will continue to provide health insurance benefits coverage (if applicable) during a pregnancy disability leave of absence. Employees are expected to provide the Executive Director with at least two week's advance notice of their intent to return to work following their pregnancy leave (or of their intent not to return to work) so that appropriate staffing decisions can be made. Any leave time allotted under this policy runs concurrently with any leave time afforded under any of the Agency's other policies for which the employee may be eligible.

10. Vacation - For full-time and probationary employees, annual vacation begins to accrue at the rate of 3.51 hours per pay period the first full pay period after 30 days from the date of a new employee's start date. Employees with five (5) years, but less than ten (10) years, continuous full-time employment accrue vacation time at the rate of 5.11 hours per pay period commencing at the pay period closest to the employee's fifth (5) anniversary date. Employees with more than ten (10) years of continuous full-time employment accrue annual vacation at the rate of 5.80 hours per pay period commencing at the pay period closest to their tenth (10) anniversary. Vacation for part-time employees who are not temporary will accrue on a pro-rated basis. Employees may accrue up to a maximum of 179 hours of vacation time (which accrual hours include earned personal days that an employee has accrued), except that the Executive Director may accrue up to 214 hours. Employees must provide at least thirty (30) days notice to the Executive Director to take more than three consecutive vacation days off so coverage arrangements may be made. For one to three days off, two weeks' notice to the Executive Director is required (absent unexpected circumstances in which case the Executive Director may waive the two week notice requirement). Vacation time shall only be taken as approved by the Executive Director in accordance with Agency needs. The Executive Director may not take more than three consecutive weeks of vacation without approval of the Chairman of the Agency Board. Vacation time may only be taken in ½ day or full day increments. An employee whose employment terminates shall accrue vacation time to the last day of the preceding full pay period. Accrued vacation, not to exceed the allowable accrued time, shall be paid upon termination of employment, unless the employee resigns without providing ten (10) working days' notice or is terminated for what the Agency in its sole discretion deems to be "for cause." A termination "for cause" for purposes of determining payment of vacation time upon

termination includes (without limitation) misconduct based terminations (such as terminations due to insubordination, theft, harassment, discrimination etc.).

11. Voting - All employees will be permitted time-off to vote in accordance with any requirements of applicable state law. Non-exempt employees will not be paid for any such time-off.
 12. Witness and Crime Victim Leave - Employees who are crime victims or witnesses will be permitted reasonable time off to attend a court proceeding or participate in a police investigation relating to their criminal cases. Witness and crime victim leave will be unpaid, unless the employee chooses to use any available accrued paid time off for such leave or the Agency is otherwise required by law to pay for such leave. A crime victim is defined as an employee who: (a) suffers direct or threatened physical, emotional or financial harm as a result of a crime; or (b) is an immediate family member or guardian of a homicide victim or a minor, or a physically disabled or incompetent person who suffers such harm. In addition, the Agency will not take adverse actions against any employee for having a restraining order issued on the employee's behalf in a domestic violence case or having a protective order issued on the employee's behalf by a court of any state. Further, the Agency will not take any adverse action against any employee because he/she obeys a legal subpoena to appear in court as a witness in any criminal proceeding. Any leave time allotted under this policy runs concurrently with any leave time afforded under any of the Agency's other policies for which the employee may be eligible.
- D. Life Insurance - The Agency will provide life insurance for full-time and promoted probationary employees for an amount based on their fiscal year salary, not to exceed \$50,000, or to such an amount as the PFP shall determine from time to time. Employees become eligible for coverage on the first day of the month following the satisfactory completion of their probationary period.
- E. Overtime - Non-exempt employees are not permitted to work overtime (i.e., more than 40 hours per payroll week) unless authorized in advance by the Executive Director. If the Office and Finance Administrator works overtime, the Executive Director, in his sole discretion, may pay for any overtime hours worked at one and one-half times the regular hourly rate or may grant compensatory time off at the rate of one and one-half hours for each overtime hour worked. No more than 35 hours of such compensatory time may be accrued at any time.
- F. Compensatory ("comp") time - Exempt employees (excluding the Executive

Director), may be awarded accrue comp time for any substantial amount of work undertaken, including meetings attended, beyond their regular working hours. The Executive Director, in his/her sole discretion, shall determine the appropriate amount of any such compensatory time to be awarded and shall determine dates and duration of such time off to ensure that there are no adverse effects on Agency operations. No more than 35 hours of such compensatory time may be accrued at any time.

- G. Retirement - The PFP may recommend, and the Agency may, from time to time, adopt and/or change the employees' Retirement Program.
- H. Salaries and Wages - Salaries and wages will be reviewed and determined at least annually as part of the budget process. Salaries and wages for new hires, promotions, and changes in work hours may be reviewed and determined during the year. Unless specifically otherwise approved, all salary changes will be effective the first pay period in July. Salaries shall be paid on alternate Thursdays. When a payday falls during an employee's vacation, or on a holiday, upon request, the employee's paycheck may be issued on the last working day preceding vacation or holiday. Employees working on an hourly basis will be paid on a regular payday for the actual hours worked or paid time off taken as shown on their time sheets as approved by the Executive Director.
- I. H. Travel and Conferences - The Executive Director may approve conference attendance for a conference, workshop, training course, or special seminar, which an employee asks to attend, and which is undertaken for the enhancement of on the job skills or in service to the Agency and its member municipalities. Non-exempt employees attending such conferences will be paid as though they were working normal hours. Employee expenses for evening or weekend time participating in such activities will be reimbursed. All travel and conference expenses must be supported by appropriate documentation, and shall be presented in an itemized manner on a travel reimbursement form. When required to be out of town overnight on Agency business the traveling staff or Agency Board Member may request an advance of expense money. If the sum of money advanced to the individual exceeds actual reimbursement expenses, the excess shall be returned to the Agency; if the amount advanced was not sufficient to cover reimbursable expenses, the Agency shall reimburse the difference. The requirement for utilizing Agency forms and documenting expenses applies both to advance payment and retroactive payment.
 - 1. Conference Costs - Agency staff and Board members may be reimbursed for expenses associated with attendance at conferences. Reimbursable expenses for conferences and meetings include reasonable lodging charges, meals and related living expenses. Estimated conference expenses must be approved in advance in writing by the Executive Director before conference attendance. The

PPF may approve reimbursement of actual expenses if they exceed the estimated expenses by more than 10%.

2. Meals - An employee who is required to attend a meeting or to perform other Agency duties outside regular working hours may be reimbursed for meals - excluding alcoholic beverages - by providing appropriate receipts. The Executive Director will determine appropriate amounts for such reimbursements.
 3. Travel/Mileage - Travel costs incurred by Agency Board or staff members on approved Agency business will be reimbursed at the IRS allowed travel reimbursement rate, as adjusted from time to time, plus parking charges and highway tolls. Reimbursement requests shall be submitted no more often than monthly. Such travel costs may include, but are not limited to: (1) automobile travel during regular working hours from the Agency office to meetings, data collection sites, field inspection areas, etc., and return travel to the Agency office; (2) automobile travel outside regular working hours from an employee's home to a meeting, etc., and return to home; (3) commercial transportation (bus, train, air, etc.) as necessary in conjunction with approved meetings, conferences, workshops, etcetera.
- J. Tuition Reimbursement - Subject to a recommendation by the Executive Director with approval by the PFP, the Agency may reimburse employees for relevant academic training which is not eligible for other reimbursement under the following conditions: a) the staff member attains a grade of at least "B" or higher per course; b) the total course amount payable by the Agency, shall be 60% of the tuition cost, and shall not exceed \$500; c) the reimbursement will not be made until 60 days after the course grade is received by the Agency, provided the staff employee is still employed by the Agency at the end of the 60 day period; and, d) each staff member is restricted to one course per semester or two courses per school year. Employees may not take courses during normal working hours, (absent unusual circumstances in which case the Executive Director may waive this prohibition).
- K. J. Voluntary Pre-Tax Investment Plan - the Agency will provide its regular full-time and regular part-time staff an opportunity to voluntarily contribute to a pre-tax investment plan which will provide for deferral of payment of a portion of their current compensation until death, retirement, termination of employment, or other event, in accordance with the provisions of Section 457(b) of the Internal Revenue Code of 1986, with other applicable provisions of such code, and in accordance with the General Statutes of the State of Connecticut. The Agency will not make matching contributions to this plan. Plans may be entered January 1 to July 1 following the satisfactory completion of the new hire probationary

period.

- L. Workers' Compensation Insurance - In accordance with statutory requirements, the Agency provides workers' compensation insurance for all employees. Generally, workers' compensation provides payment for medical expenses related to an injury or illness sustained while performing an employee's job duties and replaces a portion of lost wages. Any on-the-job injury (regardless of whether the employee considers it to be minor or serious or whether the employee feels s/he is in need of medical attention) must be reported immediately to the employee's supervisor. The employee's supervisor must complete a Workers' Compensation Report for any on-the job injury that will be submitted to the Agency's insurance carrier within 24 hours of the injury reported by the employee.

VI. REGULATIONS AND PROCEDURES

- A. Alcohol and Drug Possession, Use and Testing - Substance abuse (alcohol and drugs) poses safety and health risks not only to the abusers, but to all employees who work with abusers and to Agency property, equipment, operations, and reputation. It is the intent of the Agency to maintain a safe and healthy work environment for all its employees and to operate an efficient workplace and protect Agency property, equipment, operations, and its reputation. It is a standard of conduct for employees of the Agency not to use illegal drugs and not to abuse alcohol or legal drugs. No employees may use, sell, manufacture, receive, distribute, dispense, possess alcohol or any illegal drug or drug paraphernalia or equipment, or abuse prescription or over the counter drugs, while on Agency property, while performing work for the Agency, while operating vehicles on Agency business, or while off-premises where such behavior compromises the Agency's business interests or undermines the public confidence in or harms the reputation of the Agency, or adversely affects the employee's job performance, job safety and/or ability to fulfill Agency responsibilities. Being under the influence of alcohol or an illegal drug, or abuse of any prescribed or over the counter drugs on Agency premises or while conducting Agency business or during working hours is absolutely prohibited and may result in discipline, up to and including termination of employment. This policy applies to all employees of the Agency and to others doing business with the Agency on the Agency's premises.
 - 1. Pre-Employment Testing - All prospective employees must have a pre-employment drug screen prior to employment. Prospective employees who refuse to be tested, or who test positive, will not be considered for employment. Urine samples will be required and such samples will be split for potential additional analyses. At least the "DOT 10" screening for common street drugs will be done. The Agency may also request the use of a "10 panel test" by the

laboratory (i.e., chromatography/mass spectrometry analysis) specifically to identify substances provided by prescription versus "street" drugs. An applicant may be denied employment on the basis of a positive drug test, which has been confirmed by an independent laboratory test. The applicant will be provided a copy of the positive test result.

2. Testing During Employment

- a. The Agency may test employees for drug and alcohol use when the Agency has reasonable suspicion to believe that an employee is unable to perform or is deficient in performing his/her job responsibilities due to the influence of drugs or alcohol. Generally, reasonable suspicion means, but is not limited to, direct, individualized observation by a representative of the Agency of: employee use, possession, sale or distribution of controlled substances, drug paraphernalia or alcohol; aberrant behavior by an employee while at work; a noticeable or substantial change in work performance; or physical symptoms or manifestations of being under the influence of controlled substances or alcohol. Testing for the presence of alcohol will be conducted by analysis of breath. Testing for the presence of the metabolites of drugs will be conducted by the analysis of urine.
- b. If a supervisor or an Agency Board member has a reasonable suspicion to believe that an employee is under the influence of alcohol or drugs, or in any way appears impaired, that person should attempt to get another supervisor (if available) to confirm this suspicion. The time, date, and name of the employee and observable facts should be documented and signed by the observing supervisor(s).
- c. If an employee is suspected of being under the influence, the employee will be referred to an Agency-approved testing facility for an evaluation, including an alcohol and drug screen. During normal office hours, the Employee Assistance Program (EA.) Director (i.e., the Agency Executive Director or the PFP [regarding the Executive Director]) should be contacted to coordinate and facilitate the evaluation. The employee will be asked to sign a "consent to testing form". Arrangements will be made by the supervisor(s) to have the employee transported to the facility for the evaluation.
- d. If the employee refuses to go to an Agency-approved facility or refuses to sign the consent to testing form, this behavior will be treated as insubordination. The employee will be suspended without pay as lawfully permitted pending further

- investigation.
- e. Short of physical restraint, the employee should not be allowed to leave the Agency office without transportation assistance. If the employee insists on leaving the office with the intent of driving a vehicle, the supervisor should notify the local police to warn them of the employee's suspected condition and refusal of assistance. This should be done before the employee leaves the Agency, whenever possible.
 - f. If the testing facility determines that the employee is not under the influence of alcohol or drugs, then the employee will be allowed to return to work.
 - g. If the testing facility determines that the employee is under the influence of alcohol, drugs or both, the employee will remain suspended and may face additional disciplinary action(s), up to, and including, termination.
 - h. Should the Agency decide not to terminate the employee for testing positive, the employee's return to work will be contingent on passing an evaluation which shall, at a minimum, include successfully passing alcohol and drug detection tests of blood and urine samples, and a thorough evaluation by a qualified medical doctor, or employee assistance program counselor, who determines the extent of all past and present substance abuse(s), treatment program(s) and potential suitability for return to work.
 - i. Confidentiality: drug/alcohol test results will be confidential, and reported initially to the EA. Director (i.e., the Executive Director) and the PFP Chair.
 - j. Failure or refusal of an employee (or applicant) to cooperate fully with any portion of this policy, or to submit to or comply with any drug or alcohol testing as may be lawfully required or requested, will be grounds for disciplinary action up to and including termination (or denial of employment).
- B. Attendance and Punctuality - Attendance and punctuality are important factors for your success on the job. We work as a team and this requires that each person be in the right place at the right time. If you are going to be late for work or absent, you must notify your supervisor or the Executive Director at least 30 minutes before the start of your workday. This procedure should be utilized for each day of absence or tardiness, unless otherwise directed. When there is no notification, the absence or lateness will be considered unexcused. Personal issues requiring time away from your work, such as doctors' appointments or other matters, should be scheduled during your non-working hours if possible. An employee who has been absent for three (3) consecutive days without authorized approval

shall be deemed to have resigned. The Agency reserves the right to request medical verification of any absence due to illness in excess of three consecutive days, and/or verification of the employee's fitness for return to duty following any absence at any time. Any deviation from this policy and/or repeated occurrences of unscheduled time off or unexcused absences could lead to disciplinary action, up to and including termination of employment.

C. Disciplinary Actions and Complaints

1. Conduct or Actions Provoking Disciplinary Action - Disciplinary action, up to and including discharge may be imposed upon an employee at any time for conduct or actions which interfere with or prevent the Agency from effectively or efficiently engaging in its business. Any employee who engages in the following activities shall be subject to disciplinary action; however, the list is meant to be illustrative only and should not be considered to include all reasons for which disciplinary action may be imposed by the Agency:
 - a. Theft or complicity in the theft of Agency or another employee's money or property; dishonesty; unauthorized private use of Agency services, facilities, equipment, or resources.
 - b. Refusal to obey orders or to follow the direction of a supervisor pertaining to work (insubordination).
 - c. The use, possession, sale, or transfer of any illegal substances of any kind on Agency premises or during work hours or meal times and breaks. This includes using or being under the influence of alcohol or illegal drugs.
 - d. Falsification or unauthorized alteration of Agency records, including employment applications, payroll records, or other official Agency documents.
 - e. Unauthorized review of and/or release of confidential information.
 - f. Threatening, coercing or intimidating employees or others associated with the Agency.
 - g. Leaving work premises during working hours (excluding break or meal times) for non-work related activities without authorization of your supervisor.
 - h. Failing to report for work for 3 consecutive days without notification (job abandonment).
 - i. Gambling on Agency premises.
 - j. Employee carelessness, recklessness, or negligence which contributes to or may contribute to the injury of a person or damage to or loss of Agency property or funds.
 - k. Possession of unauthorized firearms, explosives, or any lethal

- weapon on Agency property.
 - l. Conviction of any felony criminal offense while employed by the Agency.
 - m. Activities prohibited by Agency policies.
 - n. Refusal or failure to satisfy performance requirements, including inefficient, unproductive, or otherwise poor job performance.
 - o. The use of rude or abusive language toward a superior, a co-worker or the public.
 - p. Unauthorized absences or abuse of leave privileges.
 - q. Tardiness or absenteeism.
 - r. Performing services for others during working hours.
 - s. Sexual or other unlawful harassment or discrimination.
 - t. Action or conduct affecting or impairing the efficiency of the Agency or that may bring the Agency into disrepute.
 - u. Any other conduct that the Agency deems is adverse to the best interests of the Agency.
2. Discipline Actions - It is the responsibility of all employees to observe the policies, rules and regulations necessary for the proper operation of the Agency. Whenever an employee's performance, attitude, work habits or personal conduct at any time fall below an acceptable level, supervisors shall promptly notify and counsel the employee. If appropriate and justified, a reasonable period of time for improvement may be allowed before initiating a disciplinary action. In some instances, a specific incident may justify immediate disciplinary action, up to and including discharge. The action to be taken generally depends on the seriousness of the incident and the pattern of the employee's past performance and conduct. The Agency reserves the right to determine the appropriate disciplinary action based on individual circumstances. Types of disciplinary actions may include the following:
- a. Written warning. In situations where an oral counseling has not resulted in expected improvements or where more severe initial action is warranted, a written warning shall be given to an employee, and a copy shall be placed in the employee's personnel folder.
 - b. Suspension. An employee may be suspended with or without pay for reasons of misconduct, negligence, inefficiency, insubordination, unauthorized absence or other reasons deemed appropriate by the Agency.
 - c. Demotion. An employee may be demoted to a position of a lower grade for which he/she is qualified.
 - d. Discharge. If, after remedial and/or other disciplinary

measures have been tried, an employee's performance, conduct or other unsatisfactory behavior does not improve, it may be necessary to discharge the employee. From time to time, certain offenses or circumstances may occur which are of such seriousness that immediate dismissal of an employee may be necessary. The Agency reserves the right to discharge any employee for any legitimate reason, regardless of whether remedial and/or disciplinary measures have been tried, consistent with the "at-will" employment relationship that exists at the Agency

3. Appeals of Disciplinary Actions - An employee (other than an employee who is in their probationary period following hire) appeal any disciplinary action taken against them to the Executive Director; those taken by the Executive Director may be appealed to the PFP whose decisions on such matters are final. The PFP may take disciplinary action against the Executive Director; appeals of such actions may be taken to the full Agency Board. Performance evaluations or any issues pertaining to work assignments are not disciplinary actions and may not be appealed. Nothing about the existence or implementation of this appeal process alters the "at-will" employment relationship that exists at the Agency.
4. Complaints - If an employee has a work-related complaint, the employee should discuss the complaint with his/her supervisor. If the matter is not resolved by the supervisor to the employee's satisfaction, the employee may appeal in writing to the Executive Director citing specifically the person(s), act(s) or condition(s) against whom or which the complaint is directed, and the grounds on which the written appeal is taken. The Executive Director will meet with the employee and any other person(s) deemed appropriate by the Executive Director to hear and discuss the appeal. The Executive Director, shall render decisions on such appeals in writing within ten (10) working days, unless operating conditions otherwise necessitate a longer response period. If the matter is not resolved to the employee's satisfaction by the Executive Director, the employee may appeal the Executive Director's decision within ten (10) working days to the PFP which shall meet to hear the appeal with the employee, a representative, if any, or such other persons as the PFP Chair shall deem appropriate. The PFP shall render a decision in writing to the employee within forty (40) working days of the meeting. If the grievance alleges acts or conditions initiated by the Executive Director, the employee shall communicate with the Chair of the PFP in writing or verbally without the presence of the Executive Director. Any decision or action taken by the PFP shall be final for the

Agency. Nothing about the existence or implementation of this complaint process alters the "at-will" employment relationship that exists at the Agency.

D. Hiring, Evaluation and Separation

1. Equal Employment Opportunity - It is Agency policy that no employee or applicant will be discriminated against because of race, color, religion, gender, national origin, age, marital status, disability, veteran status, sexual orientation, genetic information, pregnancy, gender identity/expression or any other legally protected status. The Agency will consider all individuals for any position for which they are qualified and able to perform. It is also Agency policy to administer all phases of its personnel activity, including recruitment, hiring, training, promotion, transfer, discipline, compensation and benefits and all other conditions or privileges of employment without regard to any legally protected status. The Agency expects the support of all employees in accomplishing equal employment opportunity and complying with non-discrimination laws.
2. Workplace Accommodations -- It is Agency policy not to discriminate against any qualified employee or applicant with regard to any terms or conditions of employment because of such individual's disability or perceived disability so long as the individual can perform the essential functions of the job with or without a reasonable accommodation. Consistent with this policy of nondiscrimination, the Agency will provide reasonable accommodations to a qualified individual with a disability, as defined under applicable law, who has made the Agency aware of his or her disability, provided that such accommodation does not constitute an undue hardship on the Agency. Applicants or employees with a disability who believe they need a reasonable accommodation to perform the essential functions of their job should inform the Executive Director. Upon receipt of a request for an accommodation, the Agency will review the potential reasonable accommodation(s) that the Agency might make to enable the individual to perform the essential functions of the job. As part of this process, an employee or applicant may be required to provide authorization for the Agency to communicate with and obtain documentation from his or her doctors regarding the medical condition(s) for which reasonable accommodation is sought, and may further be required to be evaluated by a doctor of the Agency's choice. All such medical information discussed and received will be treated as confidential to the extent required and permissible by law.
3. Offer of Employment - Each prospective Agency employee who is selected for hire shall receive an offer of employment in writing

- together with a copy of this Handbook. The written notice shall include information pertaining to compensation and other specific conditions of employment. Upon receipt the prospective staff member must reply in writing, accepting the position and the personnel policies governing employment within five working days.
4. Employee Evaluation - The PFP shall conduct an annual evaluation of the Executive Director. The Executive Director will evaluate each supervisor's performance, and each supervisor will evaluate the performance of each employee they supervise with the concurrence of the Executive Director, using the Agency Employee Evaluation Procedure approved by the PFP. Performance evaluations will be done at least annually in April, and more frequently when deemed necessary. A written record of this each evaluation shall be placed in the employee's personnel file. While satisfactory reviews are necessary for consideration of any pay raises and bonuses, and while performance reviews, in general, may be relied upon for other decisions relating to employment, nothing about the existence or implementation of the performance appraisal process alters the "at-will" employment relationship that exists at the Agency.
 5. Probationary Period - The conditions that apply to new hires during their probationary period also apply to promoted employees during their probationary period with the following exceptions:
 - a. The Probationary period shall be six (6) months and may be extended an additional six (6) months by the Executive Director;
 - b. Three (3) months after the beginning of a Probationary period, the Executive Director will complete a performance evaluation of a promoted employee.
 - c. During the Probationary period, a promoted employee may be returned to a previous position, or terminated, by the Executive Director.
 - d. A promoted employee who is returned to a previously held position during the Probationary period shall also be returned to the previous salary; although such employee shall be eligible for applicable merit and/or cost of living salary increases pertaining to their original position which have been granted during the period of probation
 6. Resignation - An employee wishing to terminate service with the Agency shall submit a written resignation to the Executive Director or the PFP. Such written notice shall be included in the employee's service records. Failure to give at least ten (10) working days notice before the final working day will result in the forfeiture of accrued leaves, except under extenuating circumstances accepted by the PFP

- Committee.
7. Exit Interview - After submission of a resignation, but prior to an employee's final working day, an exit interview shall be conducted by the PFP Chair and/or a designee. The Executive Director may be present, if requested by the PFP Chair, or a designee. Statements presented by the employee at the exit interview shall be reported by the exit interview team to the Agency Board.
 8. References - All requests for personnel information about current or former employees shall be referred to the Executive Director. Unless the Agency receives a written authorization from a current or former employee to release personnel information about that individual to a third party, or is otherwise legally obligated to release personnel information, the Agency will only confirm in writing the employee's dates of employment, salary history, and job title, in response to any request for personnel information or for a reference.
- E. Energy Conservation - Staff shall cooperate by reducing electricity consumption when requested by power generating utilities. Whenever possible, telephone calls and other communication methods will substitute for travel. To the extent possible, multi-purpose visits should be made when travel is necessary.
- F. Use and Treatment of Agency Property In the conduct of daily business, staff utilizes a variety of Agency owned equipment including pocket PCs, laptops, cell phones, portable video projectors and DVD recorders. The Agency has an interest in the staff's ability to efficiently and effectively utilize such equipment. Staff is encouraged to become as familiar as possible with the functioning of this equipment during regular working hours. Furthermore, where Agency staff training related purposes can be achieved, the Executive Director may authorize temporary use of such equipment for private personal use. Otherwise, the Agency's property is to be used only to conduct the Agency's business. Employees are further responsible for protecting and exercising care with respect to Agency property and/or equipment at all times. All records, files, documents, equipment, work product, passwords, and other materials, or copies thereof, relating to the Agency's business, shall be and remain the sole property of the Agency, including all electronic versions of these items regardless of the location in which they are stored. These materials shall not be removed from the Agency except when required in connection with the performance of an employee's duties, and shall not be retained by any employee and shall be promptly returned upon request at any time and upon termination of employment with the Agency.
- G. Ethics - Employees are expected to familiarize themselves with and abide by Chapter 10 of the General Statutes of Connecticut, "Code of Ethics,"

including Part I, the Code of Ethics for Public Officials, and, for employees whose duties involve the disposition of State contracts, Part IV, Ethical Considerations Concerning Bidding and State Contracts. Failure to abide by the Code shall result in action pursuant to the Code and may result in disciplinary action in accordance with these personnel policies, up to, and including, termination.

- H. Inclement Weather - Agency staff members shall be provided inclement weather leave, with pay, for time during which the Governor closes state offices and excuses state workers. Staff members may be called, if weather conditions are sufficiently severe to warrant an inclement weather leave, or they may rely upon television or radio announcements during significant storm conditions. During lesser inclement weather conditions, staff members shall make every effort to reach the office at the earliest possible time. Each employee shall make personal decisions regarding travel in these conditions, those individual decisions shall give proper recognition to the individual's personal safety. The office shall be staffed to the maximum extent feasible during inclement weather. Employees shall call the office to provide an estimated time of arrival, if they expect to arrive later than their regular schedule requires. The Executive Director, or the next most senior employee in the office during an inclement weather condition, may advise other staff members whether to attempt travel to the office.
- I. Off Duty Work - staff members shall secure approval from the PFP prior to working in the planning field for compensation during off-duty time. The PFP shall consider each request for such approval on an individual basis and act in the best interest of the Region, and provide its decision in writing to the staff member. No one associated with the Agency may have an outside business, any outside financial interest, or perform any outside work, including "moonlighting" which conflicts in any way with his/her responsibilities to the Agency. Outside employment may only be permitted with the PFP's approval if it: (a) will not interfere with company-related work assignments or performance; (b) will not involve the possibility of adverse publicity to the Agency; (c) does not imply sponsorship by the Agency; and (d) is not otherwise prohibited by law.
- J. Office Hours - Office hours shall be 8:30 a.m. to 4:30 p.m. and full-time non-exempt staff will be allowed up to a one hour unpaid lunch time. The regular work week is Monday through Friday for a total of 35 hours. Staff shall cover the office during the lunch period to the extent possible. The Executive Director may approve flexible working hours for individual staff members, provided the office is adequately staffed.
- K. Personnel Handbook Revisions - The PFP Committee, will review and update these policies as necessary, in consultation with the Executive Director. Revisions and amendments shall take effect upon approval by the PFP, and remain effective until they are ratified or revised by the

Agency Board. Upon approval by the PFP, each employee will receive notice of revisions and will be required to acknowledge receipt of the notice, and of having read and understood the revisions, and agreeing to abide by them.

- L. Unlawful Harassment or Discrimination - The Agency will not tolerate verbal, graphic or physical conduct by anyone that discriminates against any employees or other individuals in the workplace on the basis of any applicable legally protected status, or which harasses, disrupts or interferes with an employee's work performance or which creates an intimidating, offensive or hostile working environment, including but not limited to any form of discrimination or harassment based on race, color, religion, national origin, sex, age, disability, pregnancy, marital status, veteran status, sexual orientation, genetic information or gender identity/expression. Discrimination or harassment can take many forms. It may be, but is not limited to: words, conduct, adverse job action, intimidation or physical contact/violence. While all forms of discrimination and harassment based on an individual's legally protected characteristic are prohibited, it is the Agency's policy to emphasize that sexual harassment is illegal. Sexual harassment includes, but is not limited to the following:

1. Making unwelcome sexual conduct or requests for sexual favors as a condition of an employee's continued employment; or
2. Using an employee's submission to or rejection of such conduct as the basis for making employment decisions (e.g., promotions, raises); or
3. Creating a work environment in which conduct of a sexual nature interferes with an individual's work performance or creates an atmosphere that is intimidating, hostile or offensive to employees, contractors or other members of the public.

Although not an inclusive list, the following are examples of the type of conduct prohibited by the policy against sexual harassment:

Unwelcome sexual advances, propositions or flirtations;

Unwelcome attention of a sexual nature such as degrading comments, suggestive or lewd remarks, jokes, tricks or noises;

Unwanted hugs, touches, kisses;

Cartoons, photos, e-mails, etc. of a sexual nature.

The threat or suggestion that continued employment, advancement, assignment or earnings depend on whether or not the employee will submit to or tolerate harassment;

Retaliation for rejecting and/or complaining about sexual harassment;

Harassment is not limited to conduct occurring solely during regular business hours or at the work site. Instances in which it can occur may include during work-related meetings out of the office, social events, or

other non-work related occasions. Behavior defined in this policy as sexual harassment may occur between people of the opposite or the same gender.

All employees are further advised that sexually oriented, explicit or offensive materials may not be posted, displayed, shared or even possessed within Agency facilities.

Any employee who believes that the actions or words of an individual in the workplace constitute any type of unwelcome harassment or unlawful discrimination has a responsibility to report such conduct to his/her immediate supervisor if the employee is unable to make a direct request that the conduct cease or if any such direct request made is ignored. If an employee is uncomfortable raising his/her complaint with someone to whom he/she reports, or if the complaint involves someone in his/her direct line of command, then that employee should bring the complaint to the Executive Director and/or the PFP or any Board member.

The Agency will take prompt action upon the receipt of a complaint of unlawful harassment or discrimination. All allegations of unlawful harassment or discrimination will be investigated promptly. Confidentiality of the individual reporting the incident and of the investigation process itself will be preserved to the extent possible in accordance with applicable law. In this regard, the reporting individual, the alleged harasser or discriminator and any other individuals aware of the incident are required to treat this information in a confidential manner.

Any employee determined to have committed unlawful harassment or discrimination will be subject to appropriate disciplinary action, up to and including termination of employment. Moreover, any individual who makes unwelcome advances, threatens, in any way discriminates, or harasses another individual based on a legally protected characteristic may be personally liable for monetary damages for such actions and their consequences. The Agency will not tolerate the taking of any reprisal against an employee who in good faith files a complaint of unlawful harassment or discrimination or who participates in the investigation of such a complaint. However, any individual who knowingly makes a false complaint or knowingly provides false information during the course of any investigation of unlawful harassment or discrimination will be subject to appropriate disciplinary action, up to and including termination of employment.

- M. Soliciting - Solicitation by one employee of another, either in person or via the Agency's electronic communications systems, is prohibited while either is

on working time. An employee may engage in solicitation and distribution activities outside of the work area during non-working periods (such as rest and meal periods). The Agency prohibits all solicitation activities for the purpose of financial gain, lotteries or charities on the Agency premises. Trespassing, soliciting or distributing literature by anyone not employed by the Agency is strictly prohibited on the Agency's premises.

- N. Time Accounting - Each employee shall enter an accurate accounting of time worked on a bi-weekly time sheet which shall be approved by the Executive Director. Included shall be time worked, vacation time, sick leave, holidays, bereavement leave, earned personal days, compensatory time earned and taken, etc. Such time worked shall be allocated to the appropriate funding program(s) as approved by the Executive Director. It is the responsibility of each employee to assure the correctness of their time sheet; of the supervisor to verify correctness; and of the Office and Finance Administrator and Executive Director to confirm the accuracy of each time sheet.
- O. Personal Appearance - All employees are representatives of the Agency and are expected to project a professional image of the Agency to clients, visitors and to anyone associated with the Agency. As such, employees are expected to wear appropriate attire when at work that presents a neat and professional appearance. All employees are further expected to present a neat and professional appearance with respect to their jewelry, tattoos, makeup, perfume/cologne, hats/head coverings, grooming and hygiene.
- P. Workplace Privacy, Monitoring and Internet Use Policy - The Agency's primary goal is to effectively and efficiently conduct its business and meet or exceed expectations of those who we service. In order to do this, we must be able to: (a) access business information at all times; (b) provide a safe, productive work environment; and (c) supervise our employees to be sure that they are acting consistently with our business objectives. To fulfill these goals, every employee should be aware of the following policies on privacy, monitoring and internet use in the workplace so that they can conduct themselves in a professional manner at all times:
 - 1. The Agency provides telephones and computers and other forms of electronic communications (including but not limited to voice mail, e-mail, fax machines, the internet and the world wide web) to employees to facilitate efficient and effective business operations. As such, employees shall use these communications systems for Agency business, except that incidental personal use of these electronic communications systems is permitted, involving for example occasional personal phone calls, e-mails or web access, to the extent that such incidental use does not affect work productivity or job performance, does not cause the Agency to incur any additional expenses, and does not violate any policies or procedures of the

- Agency or applicable laws.
2. The Agency's policy prohibiting harassment and discrimination applies to the use of these systems. Therefore, the creation, transmission, receipt or downloading of inappropriate or offensive comments or other images or information, such as disparaging comments or pictures based on race, color, religion, , ancestry, gender, national origin, age, disability, marital status, veteran status, sexual orientation, pregnancy, genetic information, gender identity/expression or any other protected category, over any of the Agency's systems, is prohibited.
 3. World Wide Web access and use of the Internet is allowed where such use is appropriate for business and professional objectives and is conducted lawfully and authorized by management. Web access or internet use through the Agency's electronic communications systems should not be for purposes of personal gain, solicitation of non-Agency business or advancement of individual views. Nor should use of the Internet disrupt the operation of the Agency's electronic communications systems or the networks of other users. In addition, each employee is responsible for the content of all text, audio or images that s/he places, sends, downloads or receives over the Internet. Accordingly, web access or internet use through the Agency's electronic communications systems may not involve the transmission, receipt or use of fraudulent, harassing or obscene information, or be contrary to the Agency's legitimate interests.
 4. Software programs and materials, other than those that have been properly licensed by the Agency, may not be installed or downloaded on the Agency's computers. In addition, theft of software is a crime, and is punishable by law. Users are not permitted to copy, transfer, rename, add or delete information on programs belonging or licensed to others unless given express permission to do so. No employee may use the Agency's electronic communications systems in ways that are inconsistent with licenses or copyrights, or to download or distribute pirated software or data. Furthermore, no employee may use the Agency's electronic communications systems to propagate any virus, worm or trap-door program code, or to otherwise disable or overload any computer system or network, or to circumvent any system intended to protect the privacy or security of another user.
 5. Employees are expressly encouraged to access information or files from each others' workstations to facilitate collaboration, unless specifically prohibited by a supervisor in relation to files such as those that contain confidential personnel information. Employees are encouraged to take photographs of all staff and work areas for

- their personal journals and other remembrance documentation.
6. The Agency reserves the right to review, access, and intercept all messages created, received, or sent over its electronic communications systems at any time, without advance notice, for such reasons as, without limitation: ensuring that the systems are being used solely to conduct the Agency's business; assisting in the evaluation of employee work performance; maintaining the system; preventing or investigating allegations of system abuse or misuse; assuring compliance with software copyright laws; complying with legal and regulatory requests for information; and ensuring that the Agency's operations continue appropriately. The Agency may also monitor or review employee work performance at any time, without advance notice, through the use of mechanical or electronic devices, or other methods, including the use of telephone or video monitoring. An employee's use of the Agency's communication systems constitutes consent to the Agency's conduct.
 7. Employees are encouraged to know how to gain access to other employee's computer and other electronic communications and passwords. Employees are encouraged to take advantage of open access to files and all information stored on the Agency's e-mail, voice-mail, and computer systems to facilitate collaboration. Employees should not create their own computer, voice-mail or other electronic communications system passwords unless permitted to do so by the Executive Director or his/her designee. Employees must provide all personal passwords to the Agency as requested, so that the Agency may effectively conduct business at all times.
 8. Public records retention and Freedom of Information requirements must be satisfied in the use of the Agency's electronic communications systems in accordance with the Agency's policies and applicable law.
 9. Any employee who violates the Agency's privacy, monitoring and internet use policy shall be subject to disciplinary action, up to and including termination of employment. In addition, criminal penalties and fines may apply where the employee's conduct violates applicable state or federal laws.

Q. Cell Phones - While at work, employees must exercise discretion in using personal (and/or Agency issued) cell phones. A cell phone is defined to include any mobile phone, personal digital assistant, iPad or tablet, or other portable electronic communications device. Personal calls during work hours, regardless of the phone used, can interfere with employee productivity and can be distracting to others. Cell phones are permissible within the workplace, however all employees are required to use them and/or to make personal calls during breaks and meal periods and to

ensure that friends and family members are aware of this policy. The Agency will not be liable for the loss of personal cell phones brought into the workplace.

When business needs demand immediate employee access, a business cell phone may be issued. The Agency reserves the right to monitor all business cell phone activity. Employees in possession of Agency cell phones are expected to protect them from loss, damage or theft and to not use such them for personal reasons. Upon resignation or termination of employment, or at any time upon request, the employee must return the cell phone.

Employees whose job responsibilities include driving and who must use a cell phone for business use are expected to refrain from using their phone while driving. Safety must come before all other concerns. Regardless of the circumstances, including slow or stopped traffic, employees are required to pull off to the side of the road and safely stop the vehicle before placing or accepting a call. If acceptance of a call is unavoidable and pulling over is not a safe option, a hands-free device must be used. Do not take notes, text message or e-mail while driving. In situations where employees drive and accept phone calls, state law, as well as this policy, requires the use of "hands-free" equipment. Under no circumstances are employees allowed to place themselves at risk to fulfill business needs. Employees who are charged with traffic violations resulting from the use of their phone while driving will be solely responsible for all liabilities that result from such actions.

- R. Workplace Violence - The Agency has a ZERO TOLERANCE policy against any form of intimidation, threats or violence in the workplace. Violations of this policy include but are not limited to: participating in, provoking or otherwise contributing to any threat or violent act in the workplace; abuse, assault, battery, oral or written threats, intimidation, and harassment; and possession of any firearm(s) or any other type of weapon on Agency property or work location(s). Any employee who makes a threat, whether express or implicit, exhibits threatening behavior, or engages in any violent act or other violation of this policy on Agency property or otherwise in the course of their employment with us, shall be removed from the premises as quickly as safety permits, and shall remain out of work pending the outcome of an investigation. Depending on the circumstances involved, the Agency's response may include, but is not limited to, reassignment of job duties, discipline up to and including suspension and termination of employment, and/or criminal prosecution of the person(s) involved. All employees are responsible for notifying their supervisors and/or the Executive Director of any violation of this policy, including but not limited

to, any threats they have witnessed, received, or have been told that another person witnessed or received. If there is an immediate risk of harm, contact the local police department. All reports will be investigated fully and promptly. The Agency's premises are restricted to individuals with a legitimate business purpose. Any employee who observes any individual (including current or former employees) loitering, or present on the premises without an apparent business need to be there or otherwise interfering with operations should contact their supervisors immediately to report the circumstance.

- S. Confidentiality Obligations - Violating confidentiality as it pertains to the Agency's internal affairs or the affairs of those served by the Agency, either during the course of employment or thereafter, except as may be required in connection with job duties, is strictly prohibited. All Agency records must be kept secured and confidential and not discussed with or released to anyone inside or outside the Agency who does not have a business need to know such information. In addition, all Agency information pertaining to its employees, the Agency's fiscal and legal matters, should be treated as confidential to the extent permissible by law, and should not be discussed with or disclosed to anyone inside or outside the Agency who does not have a business need to know such information.

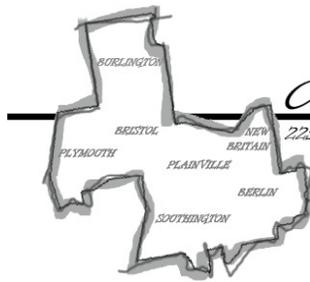
ACKNOWLEDGMENT OF RECEIPT OF EMPLOYEE HANDBOOK

I acknowledge that I have received and reviewed a copy of Central Connecticut Regional Planning Agency's Employee Handbook. I understand that it is my obligation to familiarize myself with it, and to abide by all of the policies and procedures set forth in it. I have been advised that the policies and procedures in this Handbook are guidelines only and are not to be construed as an expressed or implied contract of employment, a promise of employment for any specified time, or a guarantee of benefits or working conditions between any employee and the Agency. Further, I understand that the Agency follows a policy of at-will employment, which means that either the employee or the Agency can terminate the employment relationship with or without cause for any lawful reason at any time.

Printed Name:

Signature:

Date:



CENTRAL CONNECTICUT REGIONAL PLANNING AGENCY

225 N MAIN STREET, SUITE 304, BRISTOL CT 06010 • WWW.CCRPA.ORG • 860.589.7820(f) • 860.589.6950(f)

MEMORANDUM

TO: Agency Board
FROM: Carl J. Stephani, Executive Director
DATE: October 25, 2012
FOR AGENDA: November 1, 2012

SUBJECT: Endorsement Letter for Middle Street Dam Removal Project

The Middle Street Dam, also known as the Bristol Brass Dam, is a 7 foot high concrete ogee spillway located just upstream of the Middle Street Bridge on the Pequabuck River in Bristol, CT. It was constructed in 1968-69 by ConnDOT in conjunction with improvements made to abutting roads. Today, the dam serves no economically beneficial purpose, is a barrier to fish passage, fragments habitat, and requires ConnDOT to conduct periodic inspections and maintenance.

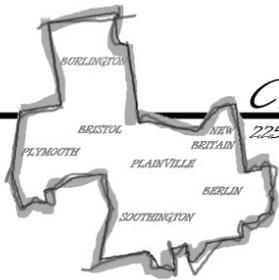
Efforts by the Agency to remove the dam have been ongoing for years. In 2010, an engineering firm conducted a thorough investigation of the dam site to analyze the project's feasibility. They determined that the complete removal of the dam would create the conditions needed for successful fish passage upstream. Engineering design plans for the dam removal have been prepared and are in the final round of review by ConnDOT. Upon approval, we will seek a formal letter of consent from ConnDOT, the owner of the dam, to move ahead with the removal of the dam.

The primary purpose of the dam removal project is to restore fish passage up the river and open 8.5 miles of upstream habitat to valuable species such as, Atlantic salmon, American shad, alewife, blueback herring, and resident trout. Several other downstream dam removal projects on the Farmington River will boost the benefits of this project because more fish from Long Island Sound will be able to reach the base of the Middle Street Dam. Additionally, the City of Bristol plans to transform the parcel abutting the dam to the south into a public park once the dam is removed. This park will link Memorial Boulevard Park to the west with the Tunxis Trail hiking path to the south and the Casey Field town sports fields to the southeast. This park would give pedestrians and cyclists who currently pass through the area safe alternatives to the local roadways, which are highly congested and lack sidewalks and bike lanes.

Staff has worked with local stakeholders throughout this process and received numerous endorsements for the dam removal. This project has letters of support from the Mayor of Bristol, the Connecticut Department of Energy and Environmental Protection - Inland Water Resources Division, Trout Unlimited, the Pequabuck River Watershed Association, the Farmington River Watershed Association, the Lower Farmington River and Salmon Brook Wild and Scenic Committee, and the American Rivers River Restoration Program. Also, the Agency has received over \$200,000 in grant funds to support this project and is currently applying for additional grants to fund the final phase of the project - removing the dam and restoring the stream bank. The staff is also in the process of securing all necessary permits.

On that basis, it is my
RECOMMENDATION
that your Board
Approve the attached letter of support for this project to be used to promote the project to potential funding organizations.

Attachment: Draft Support letter



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RE: Bristol Middle Street Dam Removal Project

To Whom it May Concern:

This letter has been prepared to express the Central Connecticut Regional Planning Agency's unqualified support for the removal of the Middle Street Dam from the Pequabuck River in Bristol, CT.

Removing this dam has been a long-term goal for the Agency and its partners, and is deemed to be a very high priority project for the restoration of the river under the Pequabuck River Management Plan.

With the removal of this dam, fish species such as Atlantic salmon, American shad, alewife, blueback herring, and resident trout will be able to access 8.5 additional miles of habitat upstream. A feasibility study has shown that the complete removal of the dam is the best action for promoting fish passage beyond the current dam location.

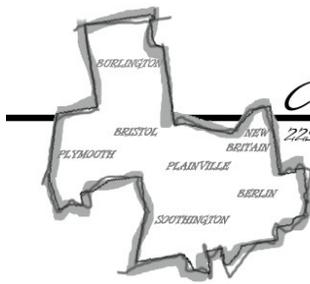
With the recent removal of the Spoonville Dam from the Farmington River, and other planned projects to remove fish passage barriers downstream, the benefits of this project will be amplified as more fish from Long Island Sound will be able to reach the Pequabuck River and access its valuable upstream habitat.

This project will also directly benefit the residents of the City of Bristol. The City plans to add a new park alongside the current dam site, which will enhance connectivity between several nearby city parks. The new park would provide a safe alternative for pedestrians and cyclists transiting through this dangerous, high-traffic area. Additionally, removing the Middle Street Dam will improve recreational fishing opportunities as more fish will be able to travel farther up the Pequabuck River.

The benefits of this project are many and there are no advantages to leaving the dam in place as it no longer serves any purpose. We express our complete support of all efforts to complete this critical project.

Yours very truly,

Dennis Kern
Governing Board Chairman



MEMORANDUM

TO: Agency Board
FROM: Carl J. Stephani, Executive Director
DATE: October 11, 2012
FOR AGENDA: November 1, 2012
SUBJECT: Parameters for Paratransit Service RFP to be published in early 2014

At your October 4, 2012, meeting, you discussed the contract we have for the operation of our paratransit bus service. At that time you discussed the disadvantages of “breaking up” the system we currently have in place to allow different providers to serve different parts of the Region. During your discussion there seemed to be consensus that the system operates well as a single system serving the entire Region. Agency staff is totally supportive of that approach.

On that basis, it is my
RECOMMENDATION
that your Board
Direct staff in FY2013-2014 to advertise for proposals to provide paratransit service to the Region without the option to submit proposals for serving only a portion, or portions, of the Region.

Discussion

Staff would like to have this recommendation approved by your Board now so that next year when we publish a Request for Proposals (RFP) for regional paratransit service for FY2014-2015 and beyond, we can be clear with proposers that we are only accepting proposals for providing the service to the entire Region.