



EMPLOYEE HANDBOOK

Updated August 2021

All policies shall prohibit discrimination on the basis of race, color, origin, age, religion, sex, disability, sexual orientation, veteran status or any other characteristic protected under law.

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INTRODUCTION

River Oaks Chamber Orchestra (ROCO) is committed to providing a work environment in which employees can have a productive and satisfying employment experience. Written policies provide employees with essential information regarding personnel policies and practices at ROCO. In general, the purpose of this handbook is to communicate that:

- ROCO has a mission and strategic plan and staff members should be familiar with its goals and principle strategies
- The ROCO culture and values are precious, productive, and ethical and must be respected and protected
- Decision rules follow the lines of authority in the handbook and strive to be both inclusive and responsive to a changing business environment
- ROCO is a high-performance organization and values and rewards commitment, innovation, and effectiveness, consistent with our values and culture
- ROCO hires talented individuals and actively seeks opportunities to help them grow professionally

Policies can change, however, and ROCO must retain the flexibility to deal with specific employment situations as required in the best interests of ROCO. Changes in these policies will be made from time to time and distributed to all employees. Such changes take precedence over the policies then in effect and become a permanent part of this handbook. If you believe a policy has become outdated or is adversely affecting employee performance or company productivity, contact the Managing Director. The Managing Director, with approval from the Board of Directors, has the authority to revise policies in the handbook.

It is the responsibility of all employees to be familiar with the policies and to update their handbooks when changes are made. If an employee is unclear about the intent or interpretation of any particular policy, he/she should ask for clarification from his/her supervisor or the Managing Director.

These policies and procedures are not a contract nor are they intended to guarantee employment for any specific period of time. ROCO is not obligated to continue any policy or practice mentioned herein. Policies and practices may be changed in particular cases at the sole discretion of ROCO without notice. This handbook replaces and supersedes all earlier ROCO personnel practices, policies, and guidelines.

ROCO reserves the right to change, alter, revise, reduce or eliminate, in whole or in part, any of the policies, pay practices, and or benefits described in this manual, with or without notice.

ROCO intends to comply fully with all laws governing employment practices. If any policies or practices outlined herein become illegal for any reason, the applicable law will be followed.

WORKING CONDITIONS

Employment at Will

ROCO anticipates and expects a long and mutually satisfying relationship with each member of its staff. All employees of ROCO are employees at will and are, therefore, free to resign, with or without reason, and with or without advance notice. Likewise, ROCO may terminate the employment of any employee at any time with or without reason, and with or without notice. Written employment policies, notices, or bulletins are provided to employees so that they may be informed of ROCO's current policies with respect to the terms and conditions of employment. No policy is a contract or guarantee that ROCO will continue any practices described in this handbook. ROCO reserves the right to change or vary from these policies at any time without notice.

No officer, supervisor, or employee of ROCO may (i) promise, agree to, or make a contractual commitment or guarantee of permanent or continuing employment to any employee, (ii) promise or agree on behalf of ROCO to any limitation of an employee's right to resign or of ROCO's right to terminate employment at any time with or without reason and with or without advance notice, or (iii) promise or agree on behalf of ROCO to modify or enhance the rights or benefits (including vacation, holidays, personal time off, or other employee benefits) described in this manual. If an employee believes that (i) he/she cannot freely resign from employment with ROCO, or (ii) ROCO may not, because of some written or oral statement, representation, or promise made to the employee, terminate his/her employment without reason or advance notice, he/she should immediately inform the Managing Director or a member of the Executive Committee, who will investigate the matter and clarify the parties' relationship. Failure to provide such notice to ROCO constitutes an employee's acknowledgment of an agreement to employment on terms and conditions stated in this handbook and any other employment policies of ROCO.

Not a Contract

This handbook and the policies, procedures, and/or benefits contained herein do not constitute an employment contract, express or implied, and do not guarantee employment for any particular period of time or duration.

Definitions of Employee Status

All ROCO employees shall be governed by the applicable provisions of the Fair Labor Standards Act of 1938 (FLSA), as amended, and regulations issued by the U.S. Department of Labor. Wages, hours, regular compensation and overtime compensation shall be calculated so as to conform to all applicable provisions of FLSA.

The following definitions of employee status are used to classify employees when determining which employees are eligible for certain employee benefits:

Exempt Employee

An employee who is exempt from the overtime provisions of the Fair Labor Standards Act. Employees in this category are paid on a salaried basis and are not eligible for overtime pay. Exempt employees may work on a full-time or part-time basis. Part-time employees

work a defined schedule that is less than the full-time complement. Full-time, exempt employees are eligible for all employee benefits.

Non-exempt Employee

An employee who is subject to the minimum wage and maximum hours (overtime pay) provisions of the Fair Labor Standards Act. Employees in this category are eligible for overtime pay for any hours worked in excess of 40 hours in one work week and must report all hours worked.

Regular, Full-Time Non-Exempt Employee

An employee, not classified as a temporary worker, who is scheduled to work at least 35 hours per work week on a regular, continuing basis. All regular, full-time non-exempt employees are eligible for all employee benefits.

Regular, Part-Time Non-Exempt Employee

An employee, not classified as a temporary worker, who is scheduled to work less than 35 hours per work week on a regular, continuing basis. Regular, part-time non-exempt employees are eligible for employee benefits only as specified in this handbook.

Temporary Worker

A person engaged directly or through an agency to accomplish a specific job, to work for a specific period of time, or otherwise to work on an as-needed basis. Temporary workers are not eligible for any employee benefits.

Personnel Records

A record of employment is maintained for all employees. The record is confidential and restricted to viewing by the employee's supervisor and ROCO management. Records are not available for review by unauthorized employees or outside parties.

No personnel records of active or inactive employees may be released to third parties or employees without the express written consent of the Managing Director unless otherwise ordered and directed in a *subpoena duces tecum* from a court of competent jurisdiction.

The employee is responsible for reporting changes in address, name, telephone number, emergency notification data, deductions, and any other pertinent information.

Lines of Authority

The Board of Directors provides leadership, strategic input, oversight, and sets a positive environment. The Managing and Artistic Directors report to the board and are responsible for the day-to-day operations and activities. The Board Chair interfaces with the Managing and Artistic Directors between board meetings as well as leading board meetings and ensuring board responsibilities are met.

Organizational Chart

Board Chair → Board of Directors → Managing/Artistic Directors → Staff → Volunteers
(The Board Chair is appointed by the Board of Directors.)

Nondisclosure of Confidential Information

Any information that an employee learns about participants or donors as a result of working at ROCO that is not otherwise public constitutes **confidential information**. It is forbidden to discuss these matters with the community including friends and family.

Conflicts of Interest

Purpose and application of policy

The purpose of this Conflicts of Interest Policy is to ensure that the deliberations and decisions of River Oaks Chamber Orchestra (ROCO) are made in the interests of the organization as a whole, and to protect the interests of ROCO at all times, especially when it is contemplating entering into a transaction, contract or arrangement that might benefit the private interest of an interested director, officer or other individual. An interested party (as defined below) may not use his or her position with respect to ROCO, or confidential information obtained by him or her relating to ROCO, in order to achieve a financial or nonfinancial benefit for himself or herself or for a related third party, including another nonprofit or charitable organization.

This policy applies to ROCO's directors, officers, and staff members with decision-making authority ("interested parties"). Potential conflicts of interest, however, may relate to interested parties either directly or indirectly, through their family members, employers, other nonprofit affiliates, entities which they may control or have a material financial interest, or close associates. This policy is intended to supplement but not replace any applicable laws governing conflicts of interest in nonprofit corporations.

Conflict of Interest

A conflict of interest may exist when the interests or concerns of an interested party may be seen as competing with the interests or concerns of ROCO. There are a variety of situations that raise conflict of interest concerns, including, without limitation, the following:

- Financial Interests - A conflict may exist where an interested party directly or indirectly benefits or profits as a result of a decision, policy or transaction by ROCO. Examples include situations where:
 - ROCO contracts to purchase goods, services or properties from an interested party.
 - ROCO offers employment or compensation to an interested party, other than a person already employed by ROCO.
 - An interested party is provided with a gift, gratuity or favor of a substantial nature from a person or entity that does business or seeks to do business with ROCO.
 - An interested party is gratuitously provided use of the facilities, property or services of ROCO.
 - ROCO adopts a policy that financially benefits an interested party.

- Other Interests – A conflict may exist where an interested party obtains a nonfinancial benefit or advantage that he or she would not have obtained absent his or her relationship with ROCO. Examples include situations where:
 - An interested party seeks to obtain preferential treatment by ROCO or recognition for himself/herself or another interested party.
 - An interested party seeks to make use of confidential information obtained from ROCO for his or her own benefit (not necessarily financial) or for the benefit of another interested party (including another nonprofit organization).
 - An interested party sees to take advantage of an opportunity or enables another interested person or other organization to take advantage of an opportunity that he or she has reason to believe would be of interest to ROCO.
 - ROCO adopts a policy that provides a significant nonfinancial benefit to an interested party.

A financial or other interest is not necessarily a conflict of interest. A financial or other conflict of interest exists ONLY when the Board of Directors decides, due to the financial or other interest, that a conflict of interest exists.

Disclosure of potential conflicts of interest

Each of ROCO's directors, officers, and staff members with decision-making authority is under a continuing obligation to disclose any potential conflict of interest as soon as it is known or reasonably should be known.

Such disclosure should identify the relationships, positions or circumstances (which might include service as a director of or consultant to another nonprofit organization, or ownership of a business that might provide goods or services to ROCO) in which the individual is involved that he or she believes could contribute to a potential conflict of interest.

Disclosure involving directors and officers should be made to the Chairman of the Governance Committee (or if he or she is the one with the conflict to the Chairman of the Board), who shall bring the matter to the attention of the Board. Disclosure involving staff members should be made to the Managing Director, who shall bring the matter to the attention of the Board.

Annually, each of ROCO's directors, officers, and staff members with decision-making authority shall be asked to acknowledge in writing that he or she has received and reviewed this policy and understands and agrees to comply with this policy.

Procedures for addressing potential conflicts of interest

Where a potential conflict exists between the interests of ROCO and an interested party with respect to a specific proposed action, policy or transaction, the Board of Directors shall consider the matter during a meeting of the Board. ROCO shall refrain from acting until such time as the proposed action, policy or transaction has been approved by the disinterested members of the Board of Directors.

An interested party who has a potential conflict of interest with respect to a proposed action, policy or transaction shall not participate in any way in, or be present during, the deliberations and decision-making vote of the Board with respect to such action, policy or

transaction. However, the interested party shall have an opportunity to provide factual information about the potential conflict.

The disinterested members of the Board of Directors may approve the proposed action, policy or transaction upon finding that it is in the best interests of ROCO. The Board shall consider whether the terms of the proposed action, transaction or policy are fair and reasonable to ROCO and whether it would be possible to find a more advantageous arrangement with a party that is not an interested party.

Approval by the disinterested members of the Board of Directors shall be by vote of a majority of directors in attendance at a meeting at which a quorum is present. A director who is an interested party shall not be counted for purposes of determining whether a quorum is present, or for purposes of determining what constitutes a majority vote of directors in attendance. The minutes of the meeting shall reflect that the conflict disclosure was made to the board, the vote taken, and where applicable, the abstention from voting and participation by an interested director.

Violations of conflicts of interest policy

If the Board has reason to believe that a covered person has failed to disclose a potential conflict of interest, it shall inform the person of the basis for such belief and allow the person an opportunity to explain the alleged failure to disclose.

If the Board decides that the covered person has in fact failed to disclose a possible conflict of interest, the Board shall take such disciplinary and/or corrective action as the Board shall determine.

Whistleblower Policy

If any member or employee reasonably believes that some policy, practice, or activity of ROCO is in violation of the law, a written complaint may be filed by that member with the Chair of the Board of Directors.

It is the intent of ROCO to adhere to all laws and regulations that apply to the organization, and the underlying purpose of this Policy is to support the organization's goal of legal compliance. The support of all members is necessary to achieving compliance with various laws and regulations.

ROCO will not retaliate against a member who, in good faith, has made a protest or raised a complaint against some practice of ROCO, or of another individual or entity with whom ROCO had a business relationship, on the basis of a reasonable belief that the practice is in violation of law.

ROCO will not retaliate against any member who discloses or threatens to disclose to a supervisor, or a public body, any activity, policy, or practice of ROCO that the member reasonably believes is in violation of a law, or a rule, or regulation mandated pursuant to law.

Standards of Conduct

ROCO expects employees to follow certain standards of conduct that protect the interest and safety of ROCO. It is impossible to list every action that is considered unfavorable. However, employees are expected to represent themselves and the agency in a positive light within the community. Staff members who breach standards of conduct may be subject to disciplinary action, including termination of employment to be handled by the Managing Director or Artistic Director. If the Managing Director or Artistic Director breaches standards of conduct he or she may be subject to disciplinary action including termination of employment to be handled by the Board of Directors.

Drug-free Workplace

ROCO is dedicated to providing its employees with a safe and productive workplace. It is recognized that alcohol, drug, or other substance abuse by employees may impair their ability to perform properly and can have serious adverse effects on safety, efficiency, and productivity of other employees and the organization as a whole.

ROCO explicitly prohibits:

- The use, possession, solicitation for, or sale of narcotics or other illegal drugs, alcohol, or prescription medication without a prescription on ROCO premises, or at ROCO concerts/events (regardless of location), or while performing a work-related assignment at any time.
- Being impaired or under the influence of legal or illegal drugs or alcohol away from ROCO's premises, if such impairment or influence adversely affects the employee's work performance, the safety of the employee or of others, or puts at risk the Company's reputation.
- Possession, use, solicitation for, or sale of legal or illegal drugs or alcohol away from ROCO 's premises, if such activity or involvement adversely affects the employee's work performance, the safety of the employee or of others, or puts at risk the organization's reputation.
- The presence of any detectable amount of prohibited substances in the employee's system while at work, while on the premises of the company or its partners, or while on company business. "Prohibited substances" include illegal drugs, alcohol, or prescription drugs not taken in accordance with a prescription given to the employee.

ROCO may conduct drug and/or alcohol testing under any of the following circumstances:

- Random Testing: Employees may be selected at random for drug and/or alcohol testing at any interval determined by the organization.
- For-cause Testing: ROCO may ask an employee to submit to a drug and/or alcohol test at any time it feels that the employee may be under the influence of drugs or alcohol, including, but not limited to, the following circumstances: evidence of drugs or alcohol on or about the employee's person or in the employee's vicinity, unusual conduct on the employee's part that suggests impairment or influence of drugs or alcohol, negative performance patterns, or excessive and unexplained absenteeism or tardiness.

- **Post-accident Testing:** Any employee involved in an on-the-job accident or injury under circumstances that suggest possible use or influence of drugs or alcohol in the accident or injury event may be asked to submit to a drug and/or alcohol test. "Involved in an on-the-job accident or injury" means not only the one who was or could have been injured, but also any employee who potentially contributed to the accident or injury event in any way.

If an employee is tested for drugs or alcohol outside of the employment context and the results indicate a violation of this policy, or if an employee refuses a request to submit to testing under this policy, the employee may be subject to appropriate disciplinary action, up to and possibly including discharge from employment. In such a case, the employee will be given an opportunity to explain the circumstances prior to any final employment action becoming effective.

Weapon-free Workplace

It is the policy of ROCO to maintain a work environment that is safe for all persons, including the community, and conducive to attaining high work standards. To achieve these objectives, the company is committed to a strong stance against weapons, including firearms and knives, in the work environment.

It is the organization's policy to maintain a firearm and weapon free workplace and prohibit the possession of firearms and weapons by employees, regardless of any license or permit that an individual may have which would otherwise authorize the individual to carry firearms or weapons, on ROCO's premises.

Smoke-free Workplace

To promote the health and safety of all employees and visitors, smoking by ROCO employees is not permitted on ROCO's premises or at ROCO concerts/events (regardless of location) at any time.

Life-Threatening or Communicable Diseases

We recognize that employees with life-threatening and/or communicable illnesses, including but not limited to cancer, heart disease, hepatitis, and AIDS/HIV can continue in their normal pursuits, including employment. All employees, however, must be able to meet the expected performance standards, with or without reasonable accommodation. Depending on the circumstances of any particular case, ROCO may instruct an employee to go home or to secure a doctor's clearance to remain on the job. If an employee is instructed to go home the employee will be placed on paid time off.

Likewise, where an employee is capable of continuing employment as outlined above, all other employees and managers are expected to demonstrate sensitivity towards the affected employee and to perform their job duties as directed. Personal concerns may not excuse any employee from fulfilling the responsibilities of their position. Information concerning an employee's life-threatening or communicable illness shall be treated as confidential.

Effective August 25, 2021, all ROCO employees are required to be vaccinated against COVID-19. Someone is considered to be fully vaccinated 2 weeks following the final dose of a given manufacturer of the vaccine (i.e. 2 doses of the Pfizer or Moderna or 1 dose of the Johnson & Johnson vaccines).

Royalties, Patents, and Copyright

Unless specifically agreed to otherwise in writing by the ROCO Board, ROCO owns all royalties, patent rights and copyrights for publications, films, videotapes, and other such materials produced or developed as a direct result or in conjunction with an employee's assigned duties.

EQUAL EMPLOYMENT OPPORTUNITY

ROCO is an equal employment opportunity employer recognizing its responsibility to volunteers, staff, and the community it serves; ROCO reaffirms its policy to assure fair and equal treatment in all its employment practices, for all persons regardless of race, color, religion, sex, national origin, ancestry, marital status, age, disability, veteran status, or sexual orientation.

Every employee and manager/supervisor has the responsibility to uphold this policy. In carrying out this responsibility, ROCO will (i) recruit, hire, train, and promote for all job classifications without regard to race, color, religion, sex, national origin, ancestry, genetic information, marital status, age, disability of otherwise qualified individuals, veteran status, or sexual orientation; (ii) make employment and promotion decisions based solely on an individual's qualifications for the position available, thereby furthering the principle of equal employment opportunity; and (iii) assure that all other personnel actions and programs including, but not limited to, compensation, benefits, training, education, layoffs, recalls, and social and recreational programs, will be administered without regard to race, color, religion, sex, age, national origin, marital status, disability, veteran status or sexual orientation. Derogatory remarks centering on racial, religious, ethnic, sexual characteristics or sexual orientation are explicitly forbidden. Additionally, it is the responsibility of all employees to work to assure a continuation of ROCO's policy on equal employment opportunity for all persons on the basis of individual merit.

Harassment

Harassment on the basis of race, sex, religion, national origin, age, disability, genetic information, or sexual orientation will not be permitted or condoned. Racial; sexual; religion, age, or disability-related; or ethnic slurs and insults are wholly inappropriate and violate ROCO's equal employment opportunity policy and may also violate Title VII of the Civil Rights Act, the Texas Commission of Human Rights Act, the American with Disabilities Act, and/or other applicable laws.

Certain types of conduct which might be intended to be inoffensive social exchanges, but that might be perceived as offensive, may be used as a basis for harassment claims on any of the above grounds. Such conduct is not necessarily a violation of the law or this policy. Rather, employees should be aware that certain conduct holds the potential for supporting claims of harassment even though no offense was intended.

Sexual Harassment

Harassment on the basis of sex is a violation of Sec. 703 of Title VII. ROCO is committed to the right of all employees to work in an environment free of sexual harassment. Sexual harassment is strictly forbidden and will not be tolerated in the ROCO workplace.

Sexual harassment is a form of misconduct that undermines the workplace, violates the respect for fellow workers, lowers morale and productivity, and causes absenteeism. In general, sexual harassment is behavior that is not welcome and is offensive to others. Sexual harassment may occur between members of the same gender or between members of the opposite gender. A worker determined to exhibit behavior contributing to sexual harassment of anyone in the workplace will be subject to disciplinary action, including termination, with or without notice.

Sexual harassment includes conduct of a sexual nature (1) whereby submission to such conduct is clearly stated or implied as being a term or condition of an individual's employment; (2) whereby the submission to, or rejection of, such conduct by an individual is used as the basis of an employment decision affecting an individual's employment, assignment, compensation, advancement, career development, or any other condition of employment; or (3) which is sufficiently severe or pervasive to alter the conditions of an employee's employment and create an abusive or hostile working environment.

Examples of such conduct include repeated offensive or unwelcome flirtations, advances or propositions; continued or repeated verbal abuse of a sexual nature; graphic or degrading verbal comments about an individual or an individual's appearance; the display of sexually suggestive objects or pictures; or any other sexually offensive or abusive physical contact or gestures. Such conduct, whether committed by supervisory or non-supervisory personnel, is specifically prohibited.

Racial Harassment

ROCO is committed to the right of all employees to work in an environment free of harassment based on race. Racial harassment is strictly forbidden and will not be tolerated in the ROCO workplace.

Racial harassment is a form of misconduct that undermines the workplace, violates the respect for fellow workers, lowers morale and productivity, and causes absenteeism. Racial harassment is behavior that is not welcome and is offensive to others. Racial harassment may occur between members of the same race or between members of different races. Behaviors including epithets, slurs, derogatory remarks based on race, demeaning stereotyping, pranks or jokes based on race, or other similar acts are unacceptable and will not be tolerated. Anyone determined to be engaged in racial harassment will be subject to disciplinary action, including termination, with or without notice.

Investigation of Complaints

ROCO promptly and thoroughly investigates all complaints of harassment or other violations of this policy to determine whether improper conduct has occurred. All employees are expected to cooperate fully in any investigation. The confidentiality of all complaints will be maintained to the extent possible while allowing ROCO to conduct a full and fair

investigation. ROCO will take all reasonable steps during the investigation to protect the privacy of, and minimize suspicion toward, all parties concerned.

Disciplinary Action

It is the responsibility of each employee to assure adherence to ROCO's policy of equal employment opportunity for all individuals. Any employee found to have violated ROCO's policy against equal opportunity employment, harassment, sexual harassment, or racial harassment will be subject to appropriate disciplinary action, up to and including termination of employment. Standards of discipline will be imposed equally on any employee who violates company policy, and no special treatment will be bestowed based on the rank of the alleged harasser.

Complaint Procedure

Complaints of any violation of this policy should be reported **immediately**. Any employee who feels that he or she is the victim of a violation of this policy is urged to contact the Managing Director. If the complaint is against the Managing Director or the employee does not feel comfortable confiding in the Managing Director for any reason, the employee should contact either the Artistic Director or a member of the Executive Committee. ROCO's leadership will investigate the complaints and anyone who is found to have engaged in behavior violating this policy will be subject to corrective action up to and including termination of employment.

ROCO's policy protects anyone who makes a complaint under this policy in good faith from retaliation. Employees who report a bona fide alleged violation of this policy in an appropriate manner or who assist or participate in complaint investigation will not be subjected to adverse employment action or retaliation because of the complaint. However, ROCO recognizes that false accusations of harassment or other unlawful behavior can be damaging to an accused employee and disruptive to the operations of ROCO; thus, knowingly made false accusations or provision of false information will constitute misconduct for which disciplinary action will be imposed.

Nepotism

ROCO will employ the most qualified individuals for available positions. Relatives of employees may apply and shall be treated as any other applicant to ROCO employment, without any special consideration. ROCO's preference is to limit the employment of relatives to a minimum.

In the event that the relative of an employee is considered the most qualified person for a position at ROCO, this person may be hired only for a position where one does not directly supervise the other. ROCO reserves the right to make changes, including reassignment or termination, if the simultaneous employment of relatives creates disharmony in the workplace.

PERFORMANCE MANAGEMENT

Probationary Period

The first 90-days of employment are considered a probationary period. This time allows the employee and ROCO to determine if the employee's talents are suitable for the organization and gives the employee the opportunity to discover whether he/she enjoys working with ROCO. During the probationary period, the employee may be subject to discipline and/or termination. Continued employment after the probationary period is at the sole discretion of ROCO.

Generally, at the conclusion of the 90-day probationary period, the supervisor will conduct a performance review of the employee and will discuss it with the employee. This review may be used, at the discretion of ROCO, to determine whether the employment relationship should continue.

Performance Reviews

The performance review system is an integral part of ROCO's human resources policies and the organization's business planning process. It is designed to focus on goal setting by the supervisor and the employee. Reviews are intended to help employees set personal work goals, identify career paths, and recognize strengths and areas needing improvement. The Executive Committee will conduct an evaluation with the Managing Director and Artistic Director annually. All other staff will be granted a review annually by their direct supervisor, Managing Director, and/or Artistic Director that becomes part of the employee's file.

Employees may be eligible for salary increases. A consideration of pay increases is based on merit and performance as well as annual budget opportunities and constraints. There are no automatic increases provided.

Conduct and Work Performance

It is ROCO's intention to take a constructive approach to disciplinary matters and performance problems. Where appropriate, ROCO will endeavor to counsel an employee to correct any disciplinary or performance problems. However, ROCO reserves the right to impose immediate disciplinary action, including termination of employment, without prior notice or counseling.

In order that employees are aware of their responsibilities to ROCO and to their fellow employees, the following list sets forth, by way of example and without limitation, conduct which may result in disciplinary action up to and including termination of employment:

- Any conduct contrary to ROCO's equal employment opportunity policy, including verbal or physical conduct constituting sexual or other prohibited harassment.
- Dishonest or fraudulent conduct, including but not limited to fraud, theft, misappropriation of, or unauthorized removal of ROCO's or fellow employees' funds or property. ROCO reserves the right to search an employee's office, including private property such as a purse or briefcase, desk, or car if reasonable suspicion of theft, fraud, or unauthorized use of ROCO property exists.

- Falsification of an application for employment or documents submitted in connection therewith.
- Falsification of ROCO's business records, including but not limited to employee time records, expense reports, and requests for reimbursements.
- Insubordination, the refusal to comply with instructions, or the failure or refusal to perform assigned duties.
- Unsatisfactory job performance.
- Violation of ROCO's drug-free workplace policy.
- Failure to observe health and safety rules.
- Excessive absenteeism or tardiness.
- Physical violence or threats of violence, or insulting, intimidating, coercive, abusive, or obscene language or gestures.
- Inability or unwillingness to cooperate with other employees when performing assigned tasks or any interference with the performance of job duties by fellow employees.
- Disorderly conduct, such as "horseplay" or practical jokes, which may endanger ROCO's operations or the well-being of any employee or visitor.
- False, vicious, or malicious statements regarding ROCO, its employees, board members, clients, volunteers, or its services that interfere with productivity and job performance or with harmonious public or employee relations.
- Abuse of any leave policy.
- Violation of ROCO's policies regarding confidential information and conflicts of interest or any conduct which is in conflict with ROCO's standards of appropriate business and professional ethics.
- Failure to adhere to rules of operation and conduct established by ROCO, including, but not limited to, those practices and procedures set forth in this handbook and any other employment policies. Possession of a weapon on or in any company premises.
- Any other practice, whether or not mentioned in this handbook, that may be inconsistent with the ordinary and reasonable rules of conduct necessary to the welfare of ROCO, its employees, board members, and patrons.

Progressive Discipline

All employees of ROCO are employees at will and are, therefore, free to resign with or without reason and with or without advance notice. Likewise, ROCO may terminate the employment of any employee at any time or without reason and with or without notice.

Where possible *and at its sole discretion*, ROCO will endeavor to correct minor performance or discipline problems by bringing the problem to the employee's attention through verbal counseling.

When verbal reminders are insufficient to bring about improvement in an employee's performance, or the nature of the conduct involved warrants more formal intervention, a written warning may be issued to the employee.

If the above steps do not result in significant and lasting improvement in an employee's job performance, the employee may be discharged from employment. Obviously, some misconduct is so serious in nature as to warrant immediate termination of employment.

ROCO reserves the right to terminate employment with or without the application of progressive discipline when it deems doing so is in the best interest of the agency. Even where progressive discipline is initiated, ROCO is not bound to each step prior to termination of an individual's employment.

Open Door Policy

ROCO expects that every decision made in the management of its affairs and the administration of its human resources policies will consider the individual interests of ROCO's employees. All management representatives of ROCO are expected to treat those under their direction as they themselves, under the same circumstances, would rightfully expect to be treated.

All ROCO employees are free to seek information from their immediate supervisor on any matter that is troubling them or call attention to any condition which may appear to be operating to their disadvantage or the disadvantage of the organization. Candid discussions between an employee and his or her immediate supervisor when a problem first develops can enable many problems to be resolved without delay.

Some misunderstandings are inevitable, and every real or imagined cause of an employee's personal dissatisfaction may not be removed by discussions with his or her immediate supervisor. In such circumstances, the following steps are suggested for employees in resolving their problems or concerns:

- Initiate a discussion with the immediate supervisor to see if a resolution can be found to the problem or concern.
- If the first step is not appropriate or fails to resolve the matter, visit with the Managing Director or Artistic Director to determine what additional solutions can be developed to obtain a satisfactory solution.
- It is understood that an employee's standing at ROCO shall not be adversely affected in any way by his or her use of the Open-Door Policy. ROCO will not condone retaliation of any type for use of the Open-Door Policy.

Separations from Employment

Following are explanations of terms for separation from employment with ROCO:

Resignation

ROCO requests that departing employees give at least two (2) weeks' notice of resignation. Once the employee submits his/her resignation, PTO leave shall not be taken unless expressly authorized by the Managing Director or was authorized prior to resignation.

Termination

Employment is solely on an at-will basis. Just as any employee has the right to terminate his/her employment at will, ROCO reserves the right to sever the employment relationship at will. Employment with ROCO is for no specified period of time and can be terminated at any time or for any reason by either ROCO or the employee with or without notice. If an

employee is given advance notice of termination, no PTO leave may be taken unless expressly authorized by the Managing Director or was authorized prior to termination.

Abandonment

An employee who is absent for more than three consecutive scheduled workdays without approval and without notification to ROCO is considered to have abandoned his/her employment. This applies to an employee during the normal course of employment as well as the scheduled return from PTO or leaves of absence. On the fourth consecutive day of absence from scheduled work, ROCO will notify the employee by certified mail that employment has been terminated as of the first day of the unauthorized absence. An employee terminated due to employment abandonment is not entitled to severance pay.

Employees who are absent without approval but who make reasonable attempts to notify ROCO of their interest in retaining employment will not be terminated under the employment abandonment provisions. Rather, the unexcused absences may be the basis for disciplinary action, up to and including discharge. Employment termination under this provision will not be retracted except for circumstances where the employee can substantiate that he/she could not notify ROCO as required.

All employees who end employment with ROCO are required to return all ROCO property prior to receiving the final paycheck.

Any right to insurance continuation upon termination from employment with ROCO is covered by the plan document(s) and applicable laws.

The employee's termination date is the last day worked. The termination date may not be extended by use of leave time as approved by the Managing Director.

Death

In the event of an employee's death, any unpaid, earned salary shall be paid to the estate of the deceased. ROCO will assist the family of the deceased, executor, or designated beneficiary to expedite processing of ROCO's provided life insurance benefits or pension plan payments, if any.

Exit Interviews

Whenever possible, an exit interview will be completed by the Managing Director and/or Artistic Director to determine the following: confirmation of the termination date, review of benefits at termination, calculation of final pay, return of keys and/or ROCO property, settlement of accounts, verification of address, employee assessment of ROCO operations, and administration and transmittal of final paycheck.

Promotion Decisions

ROCO encourages its employees to improve their skills and knowledge. Employees should understand that the completion of a program or course of study, even one paid for by ROCO, does not assure that the employee will be given preferential consideration for promotion. Promotion decisions are based on merit, ability, and qualifications other than the length of service.

COMPENSATION

It is ROCO's policy to maintain fair and competitive salary ranges consistent with the economic requirements of our organization, the community in which we operate, national standards for the field, and to reward staff on the basis of their performance and professional capabilities.

Pay Schedule and Time Tracking

All employees are paid via direct deposit on the 15th and last day of each month unless the pay date is a weekend or holiday, when pay will be deposited on the Friday prior. ROCO's pay period runs is as follows:

- The paycheck on the 15th of the month includes hours/services from the 25th of the previous month through the 9th of the current month
- The paycheck on the last day of the month includes hours/services from the 10th through the 25th of the current month

Non-exempt employees are required to track their hours via ADP's Time & Attendance portal. All hours/timesheets are due to the Managing Director no later than 5:00 pm on the 11th and 25th of each month for approval. Exempt employees may be asked from time to time to track their hours for audit purposes.

Overtime

Nonexempt staff members (hourly employees) are subject to the provisions of the Fair Labor Standards Act and are paid overtime, or time-and-a-half, for hours worked in excess of 40 hours per workweek. The normal workweek for the calculation of overtime begins on Sunday and ends on Saturday. Holiday hours, vacation hours, personal hours, sick leave hours, or any other type of hours for time not actually worked will not be counted in the computation of overtime.

Overtime must be approved in advance by the employee's immediate supervisor and/or the Managing Director.

Merit & Bonus Salary Increases

A merit increase or bonus is based on the achievement of performance goals and standards in relation to the accountabilities of the job description and ROCO's goals, objectives, and salary policy. A bonus is a one-time compensation that may or may not be provided in the future and must be authorized by ROCO's board of directors prior to distribution or announcement to the employee. A cost of living increase or decrease may be provided as a salary adjustment to reflect economic conditions and/or available funds. At no time shall an employee assume or expect an increase.

Deductions from Pay Check

Deductions from an employee's pay will be made if deductions are authorized by law (such as FIT and FICA), ordered by a court (such as child support payments), or authorized for a lawful purpose in writing by the employee (such as dependent health insurance).

LEAVES AND OFFICE CLOSURES

All exempt, non-exempt, regular full-time and part-time employees are eligible to utilize leave as specified herein.

Holiday Leave

ROCO office is closed in observance of the following holidays. These dates are paid holidays for all employees, regardless of exemption status.

New Year's Day	Memorial Day	Thanksgiving Day & following Friday
MLK Birthday, observed	Independence Day	Christmas Eve & Christmas Day
Good Friday	Labor Day	

Winter Break

ROCO's offices are closed from Christmas Eve (December 24) through New Year's Day (January 1).

If a holiday falls on a weekend, the office will close either the Friday before or the Monday following the holiday. Employees requiring days off in observance of religious holidays not covered in the above list may use paid time off for those days (see Paid Time Off policy below).

Weather Related Office Closing

If staff cannot safely get to the office due inclement weather, they may work remotely or use paid time off. The Managing Director will be responsible for decisions regarding weather-related closures and will contact employees via email and text as soon as possible after a closure decision.

Additional Office Closures

The Monday following an *In Concert* performance may be considered a "Bare Minimum Work Day," in which the office is unofficially closed, and employees are allowed to work from home and encouraged to only perform essential and time-sensitive functions. If the office will not be closed and all employees are expected to report to work as normal, employees will be notified at least 7 days in advance.

Paid Time Off

ROCO recognizes that taking vacations and time away from the office is vital for employee's personal well-being and productivity. As such, ROCO has established an "unlimited" paid time off (PTO) plan to provide employees a period of rest and relaxation without loss of pay. PTO is intended to be used for vacations, illness, bereavement, or time needed away from the office that is not included another office closure or leave policy detailed elsewhere in this handbook.

This unlimited PTO allowance is based on mutual trust between ROCO and employees. Employees may take as much time off as they would like, as long as they fulfill their job duties. While there is no limit on how much PTO is used each year, full-time employees

must take a minimum of at least ten (10) and part-time employees must take five (5) days off per year to avoid exhaustion and to have a work/life balance.

ROCO will track all employee PTO to ensure employees take the required minimum number of days off. Since employees do not accrue PTO, the company will not compensate unused PTO. The unlimited PTO policy does not interfere with employees who are on family and medical or military leave as described below.

Employees who abuse unlimited PTO by taking excess time off that negatively impacts their job and the company are subject to discipline, up to and including termination. Employees must communicate with their team to ensure everyone takes time off without disrupting job duties and company operations.

PTO Requests

In order to ensure that employees are taking the required amount of time off and there is adequate coverage in the office, employees must submit a PTO Request Form for approval at least two weeks in advance to their immediate supervisor or Managing Director. In the case of illness or an emergency, employees must notify their immediate supervisor or the Managing Director of their absence as soon as possible, preferably before the start of the business day.

PTO requests will only be denied if:

- Other employees with similar or complementary duties have already asked for leave during the same time
- The time in question is too busy, includes an important deadline, or is too close to a performance date for the employee requesting leave
- An employee is abusing the policy and their supervisor, or the Managing Director can prove that excessive amounts of PTO have been requested and the employee's productivity has been negatively impacted

PTO requests will *never* be denied for any of the following reasons:

- To discipline an employee
- To force an employee to fulfill duties that are not urgent
- To approve leave for another employee who made a later request

PTO Black-out Days

In order to meet the needs of a small, busy performing arts organization employees (based on category) are encouraged to not take time off, with the exception of illness, emergencies, bereavement, jury duty, or religious holidays, on the following days (see table on following page):

Administrative Staff	Production/Artistic Staff
The two business days prior to an <i>In Concert</i> performance	The business day prior to the start of rehearsals and all rehearsal days for an <i>In Concert</i> performance
The business day prior to an <i>Unchambered</i> performance	The two business days prior to an <i>Unchambered</i> performance
Day of <i>Connections</i> , salon, or other performance (or business day prior if the event falls on a weekend)	The business day prior to and day of a <i>Connections</i> , Salon, or other performance

PTO for Non-Exempt Employees

Non-exempt employees are also eligible for ROCO’s “unlimited” PTO policy to encourage all employees to take time off without the consequence of losing compensation. Requests should only be made for actual time off for vacation, illness, bereavement, etc. and not to cover hours that the employee may not be working for other reasons (i.e. a schedule conflict).

All PTO is paid at the employee’s standard hourly rate and the number of hours is determined by the average number of hours per week the employee works, as noted in their hiring paperwork/job description. (i.e. an employee who works an average of 15 hours per week will be paid for 3 hours for each PTO day requested). Unless pre-approved, the combined number of hours worked and PTO in a given week should not exceed the average number of hours worked in a normal week.

Jury Duty

ROCO considers jury service as a civic obligation. In the event an employee is called for jury duty, ROCO will grant leave with pay for the term of jury service. Employees are entitled to retain all juror fees received for jury service.

An employee receiving a jury summons is expected to notify his/her supervisor as soon as possible of the planned absence. A copy of the summons is to be provided to the supervisor.

An employee who is dismissed early by the court is expected to report to work for the remainder of the workday, if practical. If requested by the supervisor, staff called for jury duty must provide ROCO with a copy of the notice of completion of jury service and/or any jury duty work excuse form provided by the court.

Family & Medical Leave

ROCO is not required to follow practices of the Federal Family & Medical Leave Act (FMLA) but recognizes the importance of allowing employees to care for themselves and their families in times of change or crisis. To the best of its abilities, ROCO shall make every effort to follow FMLA best practices and guidelines.

Eligible employees may take up to a total of 12 weeks leave (8 weeks of paid and 4 weeks of unpaid) on an intermittent or consecutive basis during a rolling 12-month period applicable under the following qualifying situations (medical certification may be required):

- In preparation of or following the birth of a baby or legal placement for adoption or fostering of a minor in the employee's care.
- The need to care for a dependent, spouse, or parent with a serious medical health condition.
- The serious health condition of the requesting employee, rendering the employee unable to perform the essential functions of their position. Documentation from a physician should be provided for an illness requiring a leave of absence.

Military Leave

Authorized leave is provided each year to employees who are required to fulfill their military obligations. A military leave will be granted for inactive or active duty for training in accordance with applicable state and federal laws. Employees preparing to take authorized military leave will furnish their supervisor with a copy of the military orders or appropriate certification as far in advance of the leave as possible. Employees taking annual military leave for training will be paid the difference between their military pay during training and their salary, if the military pay during training is less than their salary. Such compensation will be paid for no more than 10 work days in each calendar year.

BENEFITS

In addition to the various leave benefits previously described, ROCO provides standard and non-standard fringe benefits, as specified below. ROCO reserves the right to change vendors or to revise benefits plans at its discretion. Specific information regarding these plans is contained in the plan documents available from the Managing Director.

Health Reimbursement Agreement¹

All full-time employees are eligible to participate in ROCO's health reimbursement agreement, starting on their first day of employment. Currently, ROCO participates in a qualified small employer health reimbursement agreement (QSEHRA) to help employees and their families cover out of pocket medical expenses including but not limited to: healthcare premiums, deductibles, copays, and prescriptions on a pre-tax basis². Qualifying employees are eligible to receive \$████ per month (\$████ annually) to reimburse approved medical expenses. Accrued balances roll over from month-to-month but expire at the end of the calendar year. If a qualifying employee would like to request a reimbursement in any given month that is great than \$████ or the employee's current accrued balance, decision on advances will be made on a case-by-case basis depending on the availability of funds from ROCO, but no employee will receive more than \$████ in any calendar year (prorated from their start date).

¹ Effective January 1, 2020.

² If an eligible employee chooses to use their QSEHRA benefits to reimburse expenses for their spouse's employer provided healthcare plan the income received through ROCO for this reimbursement would be subject to income tax at the employee's standard tax bracket, per IRS regulations. All other expenses, including premiums on an individual healthcare plan purchased through the Marketplace or acquired independently and not through another employer's group plan, will remain untaxed.

Employees will submit reimbursement requests to ROCO's QSEHRA plan administrator, once approved the reimbursement will be made on the employee's next paycheck. Requests submitted by the 8th of the month will be paid on the paycheck on the 15th of the month and requests submitted by the 22nd of the month will be paid on the paycheck on the last day of the month.

ROCO may add or change benefits at any time, handbook shall be amended to reflect any such changes or additions.

Flexible Office Hours

ROCO business hours are generally Monday through Friday from 9:00 am to 4:00 pm with time for lunch. ROCO values a flexible work environment which allows for employees to set their own schedules. However, the majority of one's work should be conducted during ROCO's business hours and within the office, unless other arrangements have been made in advance [see Remote Working below].

Full-time employees are expected to work a minimum of 35 hours per week. Part-time employees' minimum/maximum hours will be determined by their job description and outlined in their hiring paperwork and annual reviews.

If an employee will be coming into the office later or leaving earlier than is part of their normal routine, the employee is encouraged to notify their supervisor or the Managing Director in advance of this change to prevent any undue worrying and to ensure adequate coverage in the office.

In general, all employees should expect to attend all evening or weekend performances/events, unless other arrangements or approvals have been made in advance.

Remote Working

Working from a location other than ROCO's office such as an employee's home or another alternative location is permitted on a case-by-case basis. When working remotely, it is expected that the employee dedicates the same level of attention and time on tasks as they would when working in the office, participate in meetings either in person or via phone/video when needed, and be in communication with managers and colleagues.

For short-term requests, an employee should seek approval from their supervisor at least 24 hours in advance of the day(s) they wish to work remotely. In the event of an emergency or last-minute need, the employee should seek approval from their supervisor as soon as possible, preferably before the start of the business day.

Long-term requests (greater than 10 consecutive days) to work remotely will be handled on a case-by-case basis and are contingent on the requesting employee's duties and the impact of their physical absence on workflow and communications within the office. If granted, the employee's timeliness and quality of work along with continued communication and collaboration with colleagues will be monitored. An employee may be asked to return

to work in the office at any time, at the discretion of the employee's supervisor or the Managing Director.

In order to focus on wellness and recovery, if an employee is too ill to come to the office they are encouraged to take PTO until they are well enough to return to work rather than working remotely. Long-term illness may be handled on a case-by-case basis.

Family Friendly Workplace

ROCO recognizes the value of parents being able to bring their child to the workplace. As such, ROCO has developed this policy to promote and maintain a safe, productive, and inclusive work environment, while accommodating family and childcare needs.

In recognition of the safety concerns that may arise with family members or children in the workplace, ROCO has developed the following guidelines:

- Children up to six months of age may generally be brought into the office.
- Employees should seek approval from their supervisor or the Managing Director if they wish to bring a child older than six months of age into the office. The supervisor will consider the age of the child, how long the child might be present, the work environment in the employee's area, any possible disruption to the parent employee and co-workers' productivity, and any other relevant factors.
- A child brought to the workplace will be the responsibility of the employee parent and must be under the direct supervision of the employee parent at all times.
- Employee parents are expected to care for the child in a responsible way that ensures the safety of those in the workplace, as well as the safety of the child.
- Employee parents are expected to take the necessary measures to prevent undue distraction or disruption to business operations.
- In order to preserve a productive work environment for all employees, ROCO cannot guarantee a private, quiet space for children to nap or rest without interruption.
- To ensure a safe and healthy working environment for the whole team, please do not bring a child into the office if they are sick with a contagious illness.
- Employees may be asked to discontinue bringing their child to the workplace if the relevant policy and procedures are not upheld.

Professional Development

ROCO has limited financial resources to support employee education and training. Funds that ROCO may make available, as financial circumstances allow, for educational support will be most effectively utilized if the professional career interest of an employee is coordinated with the current and future operational needs of ROCO. This can best be accomplished through a mutually acceptable educational plan developed by the employee and his/her supervisor.

Workshops, Seminars, and Conferences

ROCO will support professional and career development through employee attendance at appropriate workshops, seminars, conferences, and short courses. Requests for approval must include full disclosure of registration fees, meals and hotel fees, and travel costs. In approving such requests, the following factors will be considered:

- a) Registration/travel costs and the availability of funds
- b) Program content must be relevant to the employee's duties
- c) The impact of the employee's absence upon the operational needs of ROCO.

Materials received during, or in connection with the workshop, seminar or conference should be shared with ROCO.

Advancement

The successful completion of a course of study or attendance at professional career development programs, paid for by ROCO or the employee independently, does not in and of itself guarantee promotion or advancement. However, such accomplishments will be among the factors considered in decisions regarding staffing.

SAFETY

Workplace safety is everyone's responsibility, and all employees must conduct themselves in a manner that is safe to themselves and their coworkers. Employees are expected to report any unsafe practices or unsafe conditions in their work areas. All accidents or injuries in the workplace are to be reported immediately to the employee's supervisor or Managing Director.

Management Responsibilities

ROCO is responsible for providing a safe work environment. To that end, ROCO will do the following:

- Communicate safety and health rules and procedures as appropriate
- Provide appropriate training
- Investigate all accidents and injuries
- Conduct drug prevention programs as appropriate
- Provide proper safety equipment and tools
- Maintain a clean and safe work environment

Medical Services

In the event of an injury or accident to an employee or visitor that is of an emergent nature, City of Houston emergency services are to be called by dialing 911. The caller will be asked to provide the exact address and describe the nature of the injury/accident. The caller should remain with the injured person until emergency personnel arrive and then direct the emergency personnel to the injured person.

ADA Policy / Reasonable Accommodations

ROCO's policy is to comply with all applicable laws regarding disabilities and requests for reasonable accommodations. If an employee or an applicant is in need of a reasonable accommodation due to a qualified disability, the individual involved should notify ROCO of the need for a reasonable accommodation. ROCO will review each request in accordance with applicable local, state and federal laws. The individual requesting the reasonable accommodation is responsible for engaging in the process, where appropriate.

Workplace Violence

It is ROCO's aim to provide a safe work environment. Violence or threats of violence against other employees, visitors, or customers/clients will not be tolerated. Such behavior or suspicion of such behavior must be reported immediately to the employee's immediate supervisor or Managing Director. Any employee who contributes to any form of violence will be subject to disciplinary action, including termination, with or without notice.

Violation of Policy

- Employees found in violation of this policy will be subject to immediate discharge.
- Volunteers and visitors will be asked to leave the premises.

Office Keys

Employees will be issued keys for the office, located at 1934 West Gray #311, Houston, TX, and electronic key cards for after-hours access to the building. The Office Manager and Managing Director will receive keys to the off- and on-site post office boxes. The Production Manager, Managing Director, and Artistic Director will receive keys to the off-site production storage room. These keys belong to ROCO and should not be duplicated without the permission of the Managing Director. All keys and key cards will be returned at the end of employment.

ELECTRONIC MAIL

All electronic and telephonic communication systems and all communications and information transmitted by, received from, or stored in these systems are the property of ROCO and as such are to be used solely for job-related purposes. The use of any software and business equipment including, but not limited to, facsimiles, computers, ROCO's E-mail system, the Internet, and copy machines for private purposes is prohibited.

Employees using this equipment for personal purposes do so at their own risk with no expectation of privacy. All pass codes are the property of ROCO; no employee may use a passcode or voice-mail access code that has not been issued to that employee or that is unknown to ROCO. Further, improper use of the E-mail system (e.g., spreading offensive jokes or remarks), including the Internet, will not be tolerated.

To assure that the use of electronic and telephonic communications systems and business equipment is consistent with ROCO's legitimate business interests, authorized representatives of ROCO may monitor the use of such equipment from time to time. This includes monitoring Internet usage of any kind. This may also include listening to stored voice-mail messages.

ROCO computers must be used solely in furtherance of ROCO business affairs. Only ROCO authorized and properly licensed software may be loaded on ROCO computers. Use of personal software and unlicensed software is strictly prohibited.

ROCO provides access to the Internet. The Internet represents a useful tool for ROCO in conducting its business, but like any other tool, it must be used properly. For purposes of this policy, Internet includes any public electronic data communications network.

Use of the Internet includes all restrictions, which apply generally to the use of ROCO's E-mail and other electronic and telephonic equipment, as noted above. In addition, the following rules apply with respect to Internet usage:

- No browsing of restricted content websites.
- No downloading of non-business-related data. ROCO allows the download of files from the Internet. However, downloading files should be limited to those files that directly relate to ROCO business.
- No violation of copyright. Many of the materials on the Internet are protected by copyright. Even though they may seem to be freely accessible, many of the intellectual property laws which apply to print media still apply to software and material published on the Internet. Employees are permitted to print out Web pages and to download material from the Internet for informational purposes as long as the purpose for such copying falls into the category of "fair use". Please do not copy or disseminate material that is copyrighted. Employees having any questions regarding such materials should seek guidance from their supervisor.

PROTOCOLS & PROCEDURES

Company Purchases & Reimbursements

Credit Cards

The use of a company credit card is a privilege and convenience. It is to be used only for ROCO business purposes, and its use must be supported by receipts and itemized description for documentation. All purchases over \$150 must be pre-approved by the Managing Director. Unbudgeted expenses over \$5,000 must be pre-approved by the Executive Committee. **Reports must be submitted to the Office Manager on time.** A late submission may result in the close of the credit card account. Any use outside of the policy may result in disciplinary action, up to and including discharge from employment.

Company Accounts

Whenever possible, company accounts should be utilized (check with the Office Manager for current list). ROCO is registered as a tax-exempt organization with these companies and will be billed. If you are unaware of how to purchase from these vendors, please see Administration.

Tax-Free Purchases

ROCO is a 501(c)3 and is exempt from paying sales tax. When possible make prior arrangements for purchases so sales tax is not charged. It is *not always* possible to avoid paying sales tax for ROCO purchases, but excessive payment of sales tax may result in loss of your credit card privileges.

Expense Reimbursement

If asked to use a personal vehicle for business, the employee may be reimbursed based on the current IRS allowance by completing a Mileage Reimbursement Request. If an employee uses their personal funds to pay for approved expenses, such as supplies, he/she can be reimbursed using a Reimbursement Request. The original receipt must be attached to the request and signed off by the Managing Director or Artistic Director.

Please see the Health Reimbursement Agreement section for details on requesting reimbursements for qualified employees.

Travel Expenses

All travel must be in the budget and pre-approved by the Managing Director. Under normal conditions employees must request travel a minimum of 14 days prior to your departure date. The requesting employee shall be responsible for researching and booking their own travel arrangements and must submit expenses for travel and lodging for approval before purchase/reservation. Employees are required to purchase the least expensive travel options possible that will meet the schedule, location, and safety needs of the trip. Based on the travel schedule employees will be reimbursed for up to three meals a day using the US Government Per Diem standard rates (provided they are not included in the conference or meeting the employee will be attending). Additionally, reimbursement is provided for business telephone expense, computer/fax expenses and all shuttle and cab fares. Receipts for all expenses other than food require detailed backup and must be submitted with the appropriate expense report.

Business Related Meetings & Entertainment

Professional Events/Meetings

Employees may use organizational funds to attend breakfasts, lunches, or dinners that are business-related, provided the expense is included in the budget and has been approved in advance (if cost is expected to be greater than \$150).

Cost

For approved entertainment appropriate business atmosphere and reasonable cost is expected. A cost will be considered reasonable if, in its nature or amount, it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the costs. All expenses will be reviewed and subject to reasonableness. Excessive costs and expensive meals are not permissible and will not be reimbursed.

Alcohol Purchases

Purchase of wine, beer, or liquor after hours is allowed when hosting others within reason and within budget, provided that it is a benefit to ROCO and the cost of the meal and/or beverages is reasonable. Wine by the glass (or bottle for groups larger than 4) and other individual drinks are permissible; however shots/shooters are not.

Employees are always encouraged to drink responsibly. When representing ROCO, employees should take precautions as to not become intoxicated. Employees who chose to drive after drinking at a ROCO related event or meeting assume responsibilities for their actions and ROCO cannot be held liable for any consequences of an employee driving while intoxicated. When purchasing alcohol for others with ROCO funds, employees should also be mindful of the guests' drinking and intoxication level and take steps to encourage the guest to engage in safe behaviors.

Professional Attire & Behavior

ROCO is a professional organization and its employees are expected to meet certain dress standards. The accepted attire for day-to-day wear in ROCO's offices is business casual. For meetings with donors/board members or for concerts/events it is encouraged that employees dress more business professional. Individuals should be neatly dressed, well put together, and professional looking at all times and clothing should always be clean and free of rips/tears or large stains.

Employees are expected to conduct themselves with courtesy and consideration with both employees and visitors, to represent ROCO professionally to the external community, and to conduct all ROCO business in an ethical manner.

If an employee is found to be wearing clothing or presenting themselves in such a way that is not consistent with ROCO's standards, this may be addressed in a one-on-one conversation with the employee and their supervisor or Managing Director.

Off-duty Activities

ROCO staff is encouraged to teach, lecture, and engage in artistic endeavors that aid their career development as long as those activities do not affect the employee's satisfactory completion of his/her responsibilities at ROCO. ROCO supports employees' participation in such activities so long as there is no undue interference with the performance of regular duties and employees do not leverage their position at ROCO for personal monetary gain or appear to compromise the integrity of the institution. Prior approval from the Managing Director must formally be notified prior to the employee participating in arts/cultural related outside activities.

Organizations/individuals with a financial relationship with ROCO: ROCO employees are prohibited from engaging in activities for which they receive financial, in-kind or other consideration from organizations with which ROCO has a current or prospective financial or business relationship. An employee may perform such activities on a strictly 'pro-bono' basis so long as clear notice is given that the activities are being performed on that basis.

Organizations/individuals with no financial relationship with ROCO: Professional staff members should disclose to their supervisors and the HR office any significant amount of outside teaching, lecturing, writing, editing, or other outside activity from which he/she would derive additional income, or which could affect the performance of the employee's ROCO responsibilities, whether this work is performed for compensation or on a 'pro-bono' basis. Employees agree not to utilize ROCO's facilities and resources for such activities unless express written approval is obtained from the Managing Director.

Paid Consulting: Staff who engage in consulting arrangements that are in any way related to the functions that such employees perform for ROCO are expected to seek pre-approval for such activities from their supervisor or Managing Director. If approved, employees shall not engage in outside consulting activities during their workday. Any approved consulting activity shall take place during the employee's personal time or approved PTO leave. Any and all consulting work must be performed outside of ROCO's premises. The employee

shall not represent the consulting work as having any connection to ROCO. No ROCO equipment or supplies shall be used for outside consulting activities.

Employees may not engage in paid consulting arrangements with organizations or individuals that currently have or may have in the future a financial or business relationship with ROCO (unless pre-approved). This includes both ROCO-funded organizations and consultants or consulting firms that provide professional services to ROCO.

Volunteer Activities: ROCO encourages staff to participate in volunteer activities. To avoid conflict of interests, volunteer involvement of employees is subject to the following limitations:

- Employees may not serve on the board of any other music-related organization or organizations with which ROCO has a significant business relationship (unless pre-approved by the Managing Director).
- Employees may serve on the board or hold other positions with decision making authority of other non-music related organizations or organizations with which ROCO does not have a significant business relationship, with prior approval of the Managing Director.
- Employees may volunteer or sit on advisory committees of any non-profit organization with no decision-making authority, without prior approval.
- All matters of transparency must be handled in concurrence with IRS guidelines.
- ROCO staff may assist in the planning of fundraising campaigns or benefit events (so long as it is clear that they are not representing ROCO) but may not make direct solicitations or fundraising contact with donors, solicit ROCO donors to support another organization, or share confidential information about a ROCO donor (such as their personal contact information, giving levels, etc.).

ROCO
1934 W Gray #311
Houston, TX 77019

EMPLOYEE ACKNOWLEDGMENT OF HANDBOOK

I acknowledge that I am an employee-at-will and as such may resign my employment with ROCO with or without reason and with or without advance notice. Similarly, I further acknowledge that ROCO may terminate my employment at any time with or without reason and with or without advance notice.

I acknowledge that I have received the Handbook of Human Resources Policies and Procedures. I acknowledge that it is my responsibility to read and understand these policies. I agree to comply with such policies and practices as a condition of employment. Specifically, I acknowledge that I have received and will read the Equal Employment Opportunity and Substance Abuse policies, and I agree to abide by the terms of those policies as a condition of my employment. I am aware that, if at any time I have questions regarding the policies and procedures herein, I should ask them of my supervisor or the Managing Director.

I acknowledge that this Handbook and the policies contained therein are not a contract of employment and are not a guarantee by ROCO of the conditions and benefits that are contained within it. I also acknowledge that ROCO may at any time change, add to, or delete from the provisions of the Handbook. I further acknowledge that no officer, supervisor, or employee of ROCO other than the Managing Director has the authority to promise or agree to any substantive terms or conditions of employment different from those stated in any written policies.

Signature

Date

Employee Name