

**GENERAL MEETING OF THE BOARD OF DIRECTORS
OF THE CENTRAL TEXAS
REGIONAL MOBILITY AUTHORITY**

RESOLUTION NO. 09-78

**Amendment of Employee Handbook
TxDOT Internal Compliance Policy Standards**

WHEREAS, the Central Texas Regional Mobility Authority ("CTRMA") was created pursuant to the request of Travis and Williamson Counties and in accordance with provisions of the Transportation Code and the petition and approval process established in 43 Tex. Admin. Code § 26.01, *et. seq.* (the "RMA Rules"); and

WHEREAS, the Board of Directors of the CTRMA has been constituted in accordance with the Transportation Code and the RMA Rules; and

WHEREAS, pursuant to Chapter 370 of the Texas Transportation Code and the rules appearing in 43 Tex. Admin. Code § 27.50 *et. seq.* (the "Toll Equity Rules"), a regional mobility authority may submit to the Texas Department of Transportation ("TxDOT") a request for financial assistance to be used in connection with the development, construction, operation, and maintenance of turnpike projects; and

WHEREAS, effective January 1, 2010, all entities that receive financial assistance from TxDOT pursuant to the Toll Equity Rules are required to adopt and enforce an ethics and compliance program that meets certain requirements set forth in 43 Tex. Admin. Code § 1.8; and

WHEREAS, the CTRMA recognizes the importance of adopting and implementing an ethics and internal compliance program that addresses standards of conduct for CTRMA employees and ensures that such standards are effectively communicated and enforced; and

WHEREAS, in Resolution No. 08-27, dated May 28, 2008, the CTRMA adopted an Employee Handbook describing certain rights, benefits, and obligations of CTRMA employees and setting forth standards of conduct; and

WHEREAS, the CTRMA now desires to make certain amendments to the previously adopted CTRMA Employee Handbook as a matter of good public policy and for the purpose of ensuring that that the CTRMA's ethics and compliance program, as reflected in the CTRMA Employee Handbook, meets the requirements set forth in 43 Tex. Admin. Code § 1.8; and

WHEREAS, the CTRMA is committed to ensuring that the Authority's compliance standards and procedures are effectively communicated to CTRMA employees and agents and are consistently enforced and that the Board of Directors receives appropriate information on ethics and internal compliance issues.

NOW THEREFORE, BE IT RESOLVED, that the CTRMA Board of Directors hereby approves and adopts the amended CTRMA Employee Handbook, attached hereto as Attachment "A"; and

BE IT FURTHER RESOLVED, that the CTRMA Employee Handbook may be further amended from time to time at the discretion of the Board of Directors of the CTRMA; and


BE IT FURTHER RESOLVED, that the Executive Director is directed to take such steps as may be necessary to effectively communicate the CTRMA's ethics and compliance program to CTRMA employees and agents and to enforce the requirements of the program; and

BE IT FURTHER RESOLVED, that CTRMA staff shall develop and implement a program to provide information on ethics and internal compliance issues to members of the Authority's Board of Directors.


Adopted by the Board of Directors of the Central Texas Regional Mobility Authority on the 18th day of November, 2009.

Submitted and reviewed by:

Approved:



Tom Nielson
General Counsel for the Central
Texas Regional Mobility Authority



Ray A. Wilkerson
Chairman, Board of Directors
Resolution Number 09-78
Date Passed: 11/18/09

ATTACHMENT "A"
RESOLUTION NO. 09-78
AMENDMENTS TO CTRMA EMPLOYEE HANDBOOK
TxDOT INTERNAL COMPLIANCE POLICY
STANDARDS



Central Texas Regional
Mobility Authority

Employee Handbook

~~June 1, 2008~~ November 18, 2009

EMPLOYEE HANDBOOK

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EMPLOYEE ACKNOWLEDGEMENT & AGREEMENT

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INTRODUCTION

ABOUT THE CENTRAL TEXAS REGIONAL MOBILITY AUTHORITY

The Central Texas Regional Mobility Authority was created as a result of public statute. In 2001, the 77th Texas State Legislature passed Senate Bill 342, which authorized the creation of Regional Mobility Authorities ("RMA's") to construct, operate and maintain turnpike projects in the state.

In 2002, Travis and Williamson Counties jointly filed a petition with the Texas Transportation Commission to form the Central Texas Regional Mobility Authority ("CTRMA"). The petition was approved in October 2002. In its petition, the CTRMA identified the 183-A Turnpike in Williamson County and SH-45 in Travis County as its first projects, along with several other potential projects.

The CTRMA was initially funded by contributions from each of the counties. Thereafter, the CTRMA will derive its funding from toll revenues. It works closely with the Texas Department of Transportation ("TXDOT") and the Capital Area Metropolitan Planning Organization ("CAMPO"), which is the planning organization for Williamson, County and Hays Counties.

The CTRMA is governed by a Board of Directors (the "Board"), consisting of seven (7) members, three (3) of whom are appointed by each of the Counties, and one (1) of whom (the presiding officer) is appointed by the Governor. The first meeting of the Board of Directors took place on January 2003, with Robert E. (Bob) Tesch as the first presiding officer, appointed by Governor Rick Perry.

The Board has the ultimate decision-making authority and responsibility for directing and controlling the affairs of the CTRMA. In addition, the Board is responsible for the establishment of policies that direct the operations, management, and overall implementation of the CTRMA's Strategic Plan.

The Central Texas Regional Mobility Authority is proud to be the first RMA formed in the State of Texas and to serve as a model for others that have followed, including the Alamo RMA (Bexar County), Grayson County RMA, Northeast Texas RMA (Smith and Gregg Counties), and the Cameron County RMA.

Purpose & Scope of Employee Handbook

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POLICY

The Central Texas Regional Mobility Authority (hereinafter referred to as the "CTRMA" or the "Agency") provides this Employee Handbook (the "Handbook") to outline basic Agency policies, practices and procedures. The policies have been written to apply on an Agency-wide basis and will supersede and replace all prior published and unpublished policies and procedures of The Central Texas Regional Mobility Authority.

The Handbook contains general statements of Agency policy and provides general guidelines for procedures, conduct and performance. Since no set of policies can anticipate every possible circumstance or situation that may arise in the workplace, any interpretation or application of a policy, or any decision to deviate from a policy, will be made at the sole discretion and judgment of management.

This Handbook does not represent an express or implied contract, promise or agreement of employment. Neither the Handbook nor any policy contained herein can alter the employment-at-will relationship in any way. This means that both the employee and the Agency retain the right to terminate the employment relationship at any time and for any reason. [For further information, please reference the Employment At Will Policy in this Handbook.]

In addition, no one other than the Executive Director and/or Board of Directors of The Central Texas Regional Mobility Authority may alter or modify any of the policies in this Handbook, including the Employment At Will Policy. Any alteration or modification must be in writing, executed by both parties. Any oral representations to the contrary of a policy statement or contrary to the at-will employment status are not binding on the part of The Central Texas Regional Mobility Authority, its officers, or its management.

The Human Resources Manager will be responsible for maintenance and distribution of this Handbook. Each employee will be responsible for signing and returning to management an acknowledgement stating that he/she has read the Agency policies and procedures contained in this Handbook and agrees to abide by them.

Should an employee have a question concerning a policy contained in the Handbook, he/she is encouraged to consult a manager. Specific questions involving the interpretation or application of a policy should be referred to the Human Resources Manager.

The Agency reserves the right to modify, add or rescind policies in the Handbook at any time, at its sole discretion, with or without prior notice.

The Central Texas Regional Mobility Authority Mission, Vision and Values

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Our Mission

The mission of the Central Texas Regional Mobility Authority is to expeditiously provide innovative, regional solutions to congestion problems while enhancing the economic vitality and quality of life in the Central Texas region.

To accomplish our mission, the Central Texas Regional Mobility Authority has developed a 5-year plan for the Agency. It includes the following:

- Provide Expertise in the Development of Solutions to our Region's mobility challenges
- Deliver Mobility projects expeditiously
- New Economic development opportunities
- Identify Financial Alternatives
- Organizational transparency and efficiency

Our Vision

The Central Texas Regional Mobility Authority is committed to an open and transparent government organization staffed by experts who are purposefully working cooperatively with key stakeholder groups in the community.

Role of Management

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POLICY

The Agency's management considers it a privilege to lead The Central Texas Regional Mobility Authority. We are here to serve our customers and we are here to support our employees, so that they can grow and develop to their full potential.

The primary role of management at The Central Texas Regional Mobility Authority is to sustain a consistently high level of customer satisfaction and to attract, inspire, develop and retain top-flight talent in the organization, in alignment with the Agency's mission, vision and business objectives.

In addition, The Central Texas Regional Mobility Authority management is responsible for ensuring that employees carry out the Agency's mission and business objectives in a manner that is open, honest, effective and efficient, reflecting extraordinary customer service. Management is committed to maintaining high ethical standards among employees and is ultimately responsible for enforcing compliance with legal and ethical standards of conduct.

With respect to employment, management is responsible for creating strategy and structure within which employees can work effectively, while providing guidance and support to each individual at a level appropriate to his/her needs.

These practices, along with the Agency's comprehensive employee benefits program and its progressive, flexible policies, have established The Central Texas Regional Mobility Authority as both a leader in transportation management, and also an Employer of Choice.

EMPLOYMENT PRACTICES

Employment at Will

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POLICY

Employment with The Central Texas Regional Mobility Authority is considered "at will," except where employment may be covered by a specific, written employment contract that is executed by both the employee and the Executive Director and/or Board of Directors of The Central Texas Regional Mobility Authority. This means that both the employee and the Agency have a voluntary employment relationship which exists for no certain period of time, and which may be terminated at will by either party. Thus, an employee may resign for any reason and at any time. Similarly, the Agency may choose to terminate employment at any time, for any reason, with or without advance notice and with or without cause.

This Handbook does not create a contract of employment or an implied contract of employment. No one at The Central Texas Regional Mobility Authority is authorized to verbally alter the employment-at-will status for any individual and no statements to the contrary can create an employment contract at The Central Texas Regional Mobility Authority.

Unless a written employment contract exists, signed by the employee, and the Executive Director and/or Board of Directors of The Central Texas Regional Mobility Authority, there is no contractual agreement between The Central Texas Regional Mobility Authority and any employee.

Hiring/Promotion Practices

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POLICY

The Central Texas Regional Mobility Authority is an equal opportunity employer. This means that decisions regarding the hiring, promotion and compensation of candidates and employees will be made without regard to race, color, religion, national origin, gender (including pregnancy), sexual orientation, age, disability or any other status protected by law.

Management will make decisions regarding the hiring, promotion and compensation of a candidate (whether internal or external) and employee solely upon the basis of the individual's work record, performance history and qualifications for the job for which he/she is being considered.

With respect to vacancies and promotional opportunities, the Agency will generally first consider interested and qualified internal candidates.

In no event shall the hiring or promotion of an employee be considered a contractual relationship between the employee and The Central Texas Regional Mobility Authority except where employment may be covered by a specific, written employment contract executed by the employee and the Executive Director and/or Board of Directors of The Central Texas Regional Mobility Authority. Therefore, employment is at will. This means that employees may resign from the Agency at any time for any reason, and the Agency may terminate employment at any time, for any reason, with or without advance notice and with or without cause.

In order to ensure that qualified candidates are selected for all positions, the Agency will utilize any and all available resources, as it deems appropriate.

Vacancies posted internally within The Central Texas Regional Mobility Authority generally will be communicated via the CTRMA website (www.CTRMA.org). Applications/resumes received from employees in response to internally posted jobs will be retained until the position is filled.

Vacancies posted externally of The Central Texas Regional Mobility Authority generally will be communicated via external advertisement and via the CTRMA website (www.CTRMA.org). Applications/resumes received from candidates in response to externally posted vacancies will be retained for one (1) year from the date of posting.

Equal Employment Opportunity

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POLICY

The Central Texas Regional Mobility Authority is an Equal Opportunity Employer and is committed to the principles of equal employment opportunity.

All employment decisions, including but not limited to decisions regarding: recruitment, selection, hiring, compensation, benefits, training, advancement, discipline, discharge, reduction in force, and other terms, conditions and privileges of employment, are based on individual qualifications, without regard to race, color, religion, national origin, gender (including pregnancy), sexual orientation, age, disability or any other status protected by law.

The Central Texas Regional Mobility Authority shall make reasonable accommodations for qualified individuals with disabilities, if it can do so without enduring an undue hardship.

Employment Status and Classification

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POLICY

The Central Texas Regional Mobility Authority defines employment status and classification for purposes of benefits administration, pay administration and compliance with the Fair Labor Standards Act (FLSA).

Definitions – Employment Status

Employment status will be communicated at the time of hire or assignment. Status will be determined according to the following definitions:

- **Full-time regular employee**

A full-time regular employee is an employee who is regularly scheduled to work at least 40 hours per work week for an indefinite period of time. For purposes of benefits eligibility, a full-time employee must be regularly scheduled to work 32 hours per work week.

- **Part-time regular employee**

A part-time regular employee is an employee who: (1) is hired to work for an indefinite period of time; and (2) is scheduled to work 30 or less hours per work week on a regularly scheduled basis.

Part-time regular employees are not eligible for Agency benefits, other than Worker's Compensation Insurance and FICA (Social Security and Medicare tax and participation in the TCDRS).

- **Intern**

An intern is an employee who generally: (1) is hired to work for a defined period of time, usually coinciding with the college semester; and (2) may work from 10-30 hours per work week, depending on business needs, the intern's college schedule, and other factors.

Interns are not eligible for Agency benefits, other than Worker's Compensation Insurance and FICA (Social Security and Medicare tax).

- **Temporaries and Independent contractors**

Temporaries are individuals paid on an hourly basis by a temporary services agency, consulting firm, or professional services firm, and are referred to The Central Texas Regional Mobility Authority to complete a specific task within a defined time period.

Employment Status and Classification

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Independent contractors/consultants are individuals who possess specialized expertise and are retained by the Agency to complete a specific project within a defined time period.

Neither a temporary nor an independent contractor is considered an employee of The Central Texas Regional Mobility Authority. Because temporaries and independent contractors are not employees of the Central Texas Regional Mobility Authority, they are not eligible for any Agency benefits.

Definitions – Employment Classification

Each employee of the Central Texas Regional Mobility Authority will be classified according to the Wage and Hour provisions of the Fair Labor Standards Act (FLSA), which specifies that certain jobs are exempt from mandatory overtime payments.

Employees are reminded that exemption status is defined by the nature, type and scope of duties involved in the job, not by job title or by the individual.

- **Non-exempt**
An employee who is eligible for mandatory overtime payments under the law is classified as non-exempt.
- **Exempt**
An employee who is exempt from mandatory overtime payments under the law is classified as exempt.

The exemption status of each employee will be communicated to him/her at the time of hire, transfer and/or promotion.

Transfer/Change in Position

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POLICY

The Agency, at its discretion, may initiate or approve employee job transfers from one job to another if such a transfer is consistent with the business and operating goals of the Agency.

PROCEDURES

Generally, an employee must remain in his/her position for a minimum of six (6) months before requesting or applying for a transfer to another position. Exceptions may be permitted when: (1.) the managers of both the receiving and transferring departments approve the employee's transfer; and (2.) there is no disruption of normal business activities or customer service.

The Central Texas Regional Mobility Authority retains complete discretion in handling employee job transfers. Acceptable reasons for transfer may include, but are not necessarily limited to: increased career opportunities, employee request, changes in the business, fluctuations in workloads, better utilization of personnel, and employee preferences.

Job transfers may or may not include an adjustment in pay, regardless of whether the job requires more effort or additional responsibilities. The Central Texas Regional Mobility Authority will make such a determination after carefully evaluating both jobs and the individual circumstances of the transfer situation.

Temporary transfers may be considered if circumstances necessitate.

TIMEKEEPING AND PAY PRACTICES

Hours of Operation

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POLICY

The Central Texas Regional Mobility Authority has established the time and duration of working hours in order to ensure that the Agency functions at an optimal level of effectiveness, efficiency and responsiveness to customers' needs.

PROCEDURES

Guidelines and provisions for The Central Texas Regional Mobility Authority's work week include the following:

- The Central Texas Regional Mobility Authority's normal business hours are 8:00 am to 5:00 pm. Employees are expected to be physically present in the office during the core hours of 10:00am to 3:00 pm. However, there may be deviations from these hours depending on The Central Texas Regional Mobility Authority's specific business and operating needs
- The work week is Monday through Sunday. The normal work week for full-time non-exempt employees consists of 40 hours.
- Management will approve each employee's schedule and monitor each employee's compliance with the work schedule, in order to ensure effective operations. Deviations from the employee's work schedule or deviations from this policy must be approved in advance by the employee's manager.
- Employees are expected to arrive for work in a timely manner and to leave work when duties are completed, in accordance with their assigned work schedules.
- For each eight (8) hour shift worked, there will normally be a lunch/rest break. However, there may be deviations from this schedule depending on The Central Texas Regional Mobility Authority's specific business and operating needs.
- In scheduling employees' hours of work, primary consideration will be given to customer service needs and the needs of business, as deemed appropriate by management.
- Occasionally, work schedules may be changed to meet the operational and service requirements of The Central Texas Regional Mobility Authority. Work schedules are assigned at the discretion of management.

Timekeeping and Pay Procedures

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POLICY

It is the policy of the Central Texas Regional Mobility Authority to pay employees according to a regular schedule, which will be conspicuously posted in work areas. Payment is made either by check or by direct deposit, in accordance with any applicable laws and regulations.

PROCEDURES

Timekeeping

Non-exempt employees are responsible for keeping a written record of the hours worked each day. Non-exempt employees should round their work hours to the nearest quarter hour (0.25).

Exempt employees are responsible for keeping a written weekly record of vacation time or other time off used (Exception Report). Exempt employees should not submit any other time records. All exempt employees must submit a timesheet/exception report to payroll by 5:00 p.m. on the Friday preceding the pay date in order to receive a paycheck in a timely manner on the following Friday.

An employee who makes an error in the recording of time shall immediately bring this error to the attention of his/her manager at the time the error is discovered. All time record corrections must be approved by the manager and recorded by the employee at the time the error is discovered.

Any employee who records another employee's time, has another employee record his/her time, or falsifies and/or tampers with any time keeping records or device will be subject to disciplinary action, up to and including termination of employment.

Pay Periods and Pay Dates

Employees are paid on a bi-weekly basis (every other Friday), one week in arrears. If the pay date falls on a holiday, paychecks will be available on the preceding day.

Rest/M meal Breaks

Generally, employees of The Central Texas Regional Mobility Authority will receive a 30-minute or one-hour unpaid rest/meal break each work day, depending on business and customer service needs.

Timekeeping and Pay Procedures

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Non-exempt employees must note on their written time sheets all time worked and any rest/meal break of 30 minutes or more. Rest/meal breaks of 30 minutes or more will be considered unpaid time.

Non-exempt employees are also reminded that unpaid meal/rest breaks must be spent free of work responsibilities such as paperwork, answering telephones, etc. Therefore, non-exempt employees should take unpaid breaks away from their general working areas and customer contact areas.

Overtime/Compensatory Time

In accordance with the Fair Labor Standards Act, overtime is defined as any time worked by a non-exempt employee in excess of 40 hours in a work week. Overtime is based on the total number of hours worked during the work week, not on the number of hours worked per day.

Managers may schedule overtime work from time to time, as it is deemed necessary. In accordance with Texas law, non-exempt employees who work overtime will accrue compensatory time at a rate of 1.5 hours for each 1.00 hour of overtime worked in a work week. Employees are encouraged to work closely with their managers in order to use compensatory time within two weeks of earning it.

Non-exempt employees may accrue up to a total of 40 hours of compensatory time. After this point, further compensatory time accruals will cease, and overtime payment of one and one-half (1.5) times the employee's base rate of pay will be made for any hours worked in excess of 40 in a work week. No further compensatory time will accrue until the employee reduces the amount of accrued compensatory time to below 80 hours.

Compensatory time will not carry over from one calendar year to the next.

Vacation time, personal time and holiday time will be counted as time worked for purposes of determining whether overtime compensation is due. Sick time, civic duty leave and bereavement leave will not be counted as time worked for purposes of determining whether overtime compensation is due.

Non-exempt employees who work overtime must report the amount of overtime on their timesheets so that it can be properly converted to and recorded as compensatory time. Non-exempt employees are not permitted to work overtime without the prior approval of their manager. Non-exempt employees who work overtime without authorization, or who fail to report overtime worked, will be subject to corrective action, up to and including termination of employment.

Timekeeping and Pay Procedures

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Employees are reminded that overtime must be spent on legitimate, work-related activities that have been pre-approved by the manager.

Exempt employees are generally not eligible for overtime or compensatory time and are paid a salary for all hours worked in a week.

Time Off in Work Week

A non-exempt employee may occasionally need to take excused time off during the work week for personal, family, illness or other reasons, but may wish to avoid using vacation time. In these circumstances, managers may, at their discretion, allow non-exempt employees to use accrued eligible compensatory time (if available) or to "make up" the amount of excused time off.

With respect to "make-up" time, the following restrictions will apply:

- Make up time will be permitted only during the same pay period worked in which the excused time off occurred. It may not be carried over to subsequent weeks.
- Make up time must be spent on legitimate, work-related activities that have been pre-approved by the employee's manager.

Similarly, a non-exempt employee may accumulate 40 hours worked before the end of the work week. In these circumstances, the employee's manager may ask him/her to take time off work or to leave work early, so that the employee's worked hours do not exceed 40 in the week.

Seminars, Conferences and other non-standard Activities

The following activities will be considered hours worked if approved in advance by the employee's manager:

- Employee attendance at approved business/professional seminars and meetings;
- Employee attendance at required or otherwise pre-approved training;
- Required travel from one location to another during the work day; and
- Work-related travel to another town/city, when the period of travel takes place during the non-exempt employee's normal work hours, regardless of the day of the week in which the travel occurs.

Relation of Overtime to Paid Time Off

Holiday time, vacation time and personal time will be counted as time worked for the purpose of calculating overtime.

Sick time, civic duty leave and bereavement leave will not be counted as time worked for purposes of determining whether overtime compensation is due.

Timekeeping and Pay Procedures

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Mandatory Deductions From Paycheck

The Agency is required by law to make certain deductions from employee paychecks. Among these are federal income taxes and contribution to Social Security, as required by law. These deductions will be itemized on employee check stubs.

Whenever the Agency is ordered to make any other mandatory deductions, such as court ordered garnishments, from an employee's paycheck, Accounting or Human Resources will generally notify the employee. [For more information on garnishments from paychecks, please reference the Special Pay Practices Policy in this Handbook.]

Other Deductions

The Agency reserves the right to make deductions and/or withhold compensation from an employee's paycheck as long as such action complies with applicable state and federal law. In addition, employees may be permitted to authorize the Agency to make additional deductions from their paychecks for extra income taxes, contributions to the 401(a) and 457 Retirement Savings Programs, or employee Insurance Benefits (if eligible). For more information, contact the Human Resources Manager.

The Agency also reserves the right to suspend an employee without pay for major infractions of Agency policy. Exempt employees will be suspended without pay in full-day increments only.

Special Pay Practices

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POLICY

It is the policy of The Central Texas Regional Mobility Authority to adhere to certain procedures with regard to call-in work time and Qualifying Domestic Support Orders ("QDSO's").

Call-In Pay

Non-exempt employees who are called in to work on an unscheduled basis will be paid at the employee's regular rate (calculated on an hourly basis). If the employee has worked more than 40 hours in the work week, the unscheduled hours worked will be paid at 1.5 times the employee's regular hourly rate.

Other Pay Practices

The Central Texas Regional Mobility Authority complies with state and federal laws/regulations regarding orders for mandatory deductions from employee pay, such as for garnishment or Qualifying Domestic Support Orders ("QDSO" or child support).

These orders generally require The Central Texas Regional Mobility Authority to withhold a pre-established amount from each one of the affected employee's paychecks, and to remit such payments directly to the agency that made the order. Consequently, The Central Texas Regional Mobility Authority cannot lawfully refuse to obey the order, nor to modify or defer the amounts of the deductions taken without written notice from the agency that made the order.

If an affected employee has a question about the payment schedule or amount of payment that has been ordered, he/she is advised to contact the agency that made the garnishment order.

Absence/Tardiness

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POLICY

It is the position of the Agency that regular attendance is important and that excessive absences or tardiness can have a serious effect on employee work performance. Therefore, employees should be prepared to begin work at the start of their assigned daily work hours, and to carry out their duties and responsibilities during assigned work hours.

Absenteeism and Tardiness

From time to time, it may be necessary for an employee to be absent or late for work. If an employee is unable to report to work, or if he/she will arrive 15 minutes or more late, the employee must directly communicate with his/her manager as soon as practically possible. If an employee is physically unable to notify his/her manager because of an illness or emergency, the employee should have another person directly communicate with and notify the manager on his/her behalf.

If an employee fails to report to work for a scheduled shift without notification to the manager, then the employee may be subject to corrective action, up to and including termination of employment. If an employee is absent from work for three (3) consecutive days without notifying his/her supervisor, the employee will be considered to have abandoned his/her job and to have voluntarily resigned.

Personal business such as doctor appointments, dental appointments, school meetings, and other appointments should be scheduled, where possible, before or after the employee's assigned work hours. If such appointments cannot be scheduled outside of the employee's work hours, the employee should make every attempt to schedule them at the beginning or end of the work day, or adjoining his/her lunch break, in order to minimize disruption to work.

If an employee knows in advance that he/she will need to be absent, the employee is required to notify his/her manager as soon as possible to request this time off. In the case of an absence of more than four (4) consecutive days for medical reasons, the employee is required to provide a note from his/her healthcare provider, indicating that he/she is able to perform the essential functions of the job.

[For further important information on absences and tardiness, please reference the Leaves of Absence Policy in this Handbook.]

TIME OFF AND LEAVE POLICIES

Holiday Policy

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POLICY

It is the policy of The Central Texas Regional Mobility Authority to give employees time off work to observe scheduled holidays.

Eligibility

All full-time regular employees shall be paid for the following holidays.

New Year's Day
Rev. Dr. Martin Luther King, Jr. Day
President's Day
Memorial Day
Independence Day
Labor Day;
Veteran's Day
Thanksgiving and the day after
Christmas Day and the day before or the day after

In addition, employees may choose to take one additional paid holiday (floating), for religious celebrations or otherwise.

In order to be eligible for holiday pay, an employee must normally work the scheduled work day immediately preceding the holiday and the scheduled work day immediately following the holiday.

Part-time employees, temporaries, interns and independent contractors are not eligible to receive holiday pay.

Holiday Policy

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Holiday Pay Rate

For full-time regular employees, holiday pay shall normally be equivalent to one (1) regular shift at the employee's base rate of pay.

Holiday pay will be counted as time worked for the purpose of calculating overtime.

Holidays Not Scheduled by Agency

Employees may wish to observe days of worship or commemoration other than those observed by the Agency. Employees wishing to take additional days off for this purpose may do so with their manager's approval, provided their absence will not seriously hinder the operation of their department. Employees should request vacation time on such occasions, or they may take an unpaid, excused absence with the approval of their supervisor.

Holiday Pay at Termination

An employee who separates from the Agency for any reason will not be paid for any unused holidays.

Vacation and Personal Time Policy

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POLICY

It is the policy of The Central Texas Regional Mobility Authority to provide full-time regular employees time away from work for rest and relaxation, or for family/personal business, as staffing and customer needs permit.

Vacation and Personal Time Eligibility

Full-time regular employees are eligible for vacation and personal time.

Vacation time will be available for use at the beginning of the calendar year, but will accrue each month. Personal time will be granted at the beginning of each calendar year.

Employees must successfully complete 90 days of employment before being eligible to take vacation or personal time off.

Requests for vacation are subject to the approval of the employee's manager, and will be evaluated in light of business conditions, customer service needs and staffing schedules.

Annual Vacation Accrual

Vacation time is accrued on a per-pay-period basis, according to following schedule unless an alternative agreement exists between an employee and the CTRMA. The accrual rate for annual leave, the maximum amount of accrued annual leave that an employee may carry over from one leave year (January 1 – December 31) to the next, and the maximum amount of annual leave payable upon separation from service are determined as shown in the following chart.

Completed Yrs. of Svc.	Accrual Rate/Pay Period	Annual Accrual	Maximum Carryover	Maximum Payment
0 – 2 yr.	3.08 hours	80 hours	180 hours	180 hours
3 – 4 yrs.	3.70 hours	96 hours	240 hours	240 hours
5 – 9 yrs.	4.62 hours	120 hours	264 hours	264 hours
10+ yrs.	6.16 hours	160 hours	384 hours	336 hours

If the employee terminates employment with a negative vacation time balance, any used vacation time in excess of his/her earned accrual will be deducted from the employee's final paycheck.

Annual Personal Time Grant

Full-time employees will receive three (3) personal days each calendar year, which can be used in increments of four (4) hours at a time. Personal days can be used for leisure/vacation time, personal business, children's school activities, parent-teacher conferences, household/domestic emergencies, etc., subject to the approval of the employee's manager. During the first year of employment, the number of personal days granted will be pro-rated, based on the date of hire.

Vacation and Personal Time Policy

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All personal days are to be used in the calendar year in which they are granted. Otherwise, any/all remaining personal days will be rolled over to the following calendar year as vacation leave.

Vacation and Personal Time Reporting

- Employees will generally not receive pay for vacation or personal time in lieu of time off.
- Non-exempt employees must record on their time sheets vacation and personal time taken in increments of one hour or more for the appropriate pay period.
- Exempt employees must record vacation and personal time taken in increments of one full day on an exception report for the appropriate pay period.

Vacation and Personal Time Pay Rate

Vacation and personal time will be paid at the employee's base rate, excluding overtime and bonus. Vacation and personal time will be counted as time worked for the purpose of calculating overtime.

Holiday During Vacation and Personal Time

In the event that an Agency-scheduled holiday occurs during the employee's scheduled vacation or personal time, the employee will be paid for the holiday, and vacation or personal time will not be charged for that day.

Termination

An employee who separates from the Agency will be paid for any unused, accrued, eligible vacation time.

An employee who separates from the Agency for any reason will not be paid for any unused, accrued, eligible personal days/time

Sick Time Policy

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POLICY

It is the policy of the CTRMA to provide full-time employees time off in the event of illness, and for medically-related appointments and treatments.

This policy will apply to the illness of the employee, spouse, child, domestic partner, or other family member who lives in the employee's home.

Definitions

For purposes of this policy, definitions follow:

- A "child" is defined as a natural child, adopted child, foster child or step-child.

Eligibility

Full-time regular employees are eligible for sick time.

Sick time will be available for use at the beginning of the calendar year, but will accrue each pay period.

Employees must successfully complete 90 days of employment before being eligible to take paid sick time off.

Sick leave may only be used for sickness and medical and dental appointments of the employee, or for the employee's immediate family (family members as defined in the Family and Medical Leave Act policy); or for paid leave under the Family and Medical Leave Act. It is not an alternative form of vacation leave. Sick leave may not be converted to another form of leave to avoid entering unpaid leave status.

Accrual

Sick time will accrue at the rate of 4 hours per pay period. Sick leave hours will be accrued on the payroll system.

Paid sick leave is cumulative up to sixty days (480 hours).

If the employee terminates employment with a sick time balance, any used sick time in excess of his/her earned accrual will be deducted from the employee's final paycheck.

Sick Time Policy

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Reporting

- Employees will not receive pay for sick time in lieu of time off.
- Non-exempt hourly employees will report sick time taken in increments of 0.25 hours on a time sheet for the appropriate pay period.
- Exempt employees must report sick time taken in increments of one full day or more on an exception report for the appropriate pay period.

Sick Time Pay Rate

Sick time will be paid at the employee's base rate, excluding overtime and bonus. Sick time will not be counted as time worked for the purpose of calculating overtime compensation.

Leave of Absence

If an employee is on an approved leave of absence without pay, the sick time accrual rate will be prorated based on the leave date and/or number of hours worked.

Termination

An employee who separates from the Agency for any reason will not be paid for unused accrued sick time.

Bereavement Leave

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POLICY

It is the policy of The Central Texas Regional Mobility Authority to provide employees paid time away from work in the event of the death of an immediate family member or domestic partner.

Definitions

For purposes of this policy, definitions follow:

- An "immediate family member" is defined as spouse, parent, person who legally served as parent, sibling, grandparent, grandchild (whether natural relative, step-relative, or in-law relative), child (whether natural child, adopted child, foster child or step-child), aunt, uncle, or other relative who lives in the employee's home.

Eligibility

A full-time regular employee experiencing the death of an immediate family member will be eligible to take paid bereavement leave. Leave for the death of a person other than an "immediate family member" (as defined herein) is at the discretion of the Executive Director.

Duration

Paid bereavement leave will be granted for a maximum of three (3) workdays for an immediate family member. If granted by the manager, leave for the death of a person other than an immediate family member is limited to one day per calendar year. Vacation time or unpaid personal leave may also be used to supplement bereavement leave, subject to the prior approval of the Executive Director.

Pay During Bereavement Leave

Pay during bereavement leave will be calculated at the employee's regular base rate of pay.

PROCEDURES

The employee must notify the supervisor as soon as possible when bereavement leave is required. The leave time is to be documented on the applicable time reporting system.

Civic Duty Leave

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POLICY

It is the policy of The Central Texas Regional Mobility Authority to provide employees time away from work for certain civic obligations, including voting, jury duty, and appearing in court or before other constituted authorities as a witness.

Definitions

For purposes of this policy, definitions follow:

- "Voting" refers to the time required for employees to participate in elections.
- "Jury duty" refers to any period of time that an employee is summoned to serve as a member of an empanelled jury.
- "Witness service" refers to an appearance in court or before other constituted authorities as a witness.
- "Constituted authorities" refers to the employee's appearance before a lawfully constituted legal authority.

Eligibility

All full-time regular employees are eligible for paid civic duty leave.

An employee's appearance as a defendant in a criminal matter is not covered by this policy and is not eligible for civic duty leave/pay.

Substantiation

An employee requesting paid civic duty leave must provide documentation of having been called for and/or served on a jury, as a witness, or before a lawfully constituted authority.

If an employee's work schedule and the election's polling hours are insufficient to allow the employee to vote, the supervisor may adjust scheduling and/or allow adequate paid time for the purpose of voting.

Pay During Civic Duty Leave

Employees who are eligible for paid jury duty leave will be paid at the regular base rate of pay for all work hours missed due to jury or civic duty for a maximum period of 40 hours. An extension of this time must have approval of the Executive Director.

Policy on Family and Medical Leave (FMLA)

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POLICY

The Central Texas Regional Mobility Authority recognizes that it is important for employees to have leave for serious medical conditions, to participate in early child rearing, and to care for family members who have serious health conditions. Accordingly, as required by law, the Agency will permit eligible employees to take family or medical leave ("FMLA leave"), in accordance with the terms of this policy.

Definitions

For purposes of this policy, definitions of "family members" follow:

- A "child" is defined as a natural child, adopted child, foster child or step-child.
- A "parent" is defined as a mother or father (whether natural relative, step-relative, or in-law relative), or person who legally served as mother or father.

Eligibility

In order to be eligible to take family or medical leave, an employee must be employed by the Agency for at least twelve (12) months, and must have worked at least 1,250 hours in the immediate past year before the date of the requested leave.

Entitlement to Leave

Eligible employees shall be entitled to take up to twelve (12) weeks of unpaid FMLA leave in a twelve (12) month period for any of the following reasons:

- To care for a newborn child;
- For the placement of a child with the employee for adoption or foster care;
- To care for a spouse, child, parent, of the employee who has a serious health condition; or
- Because of the employee's own serious health condition.

An employee's annual twelve week entitlement to FMLA leave will be calculated using a rolling calendar method. This means that the CTRMA will measure backward twelve (12) months from the date the employee uses FMLA leave to determine the amount of leave to which the employee may be entitled, up to a maximum of twelve (12) weeks in any twelve (12) month period.

For those employees requesting leave to care for a family member (as outlined above) with a serious health condition, the CTRMA may require the employee to submit substantiation of the relationship.

Policy on Family and Medical Leave (FMLA)

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Employee Benefits

Employees will continue to accrue seniority during an FMLA leave. Employees will not continue to accrue vacation time or sick time during an unpaid FMLA leave.

Group Health Benefits

If an employee takes FMLA leave in accordance with this policy, and if the employee participates in the CTRMA's group health insurance plan, he/she shall be entitled to continue benefits during the leave under the Agency's group health insurance plan by paying the regular employee portion of the monthly premium(s), provided that the employee was eligible for the group health insurance plan prior to requesting the FMLA leave.

The employee will also be entitled to continue any other group welfare benefits in which the employee was a participant prior to the commencement of his/her FMLA leave by paying the regular portion of the monthly premium(s) for any covered spouse's and/or child(ren)'s participation in such benefit plans.

Relationship to Sick Leave and Vacation

FMLA leave will fully coordinate with the CTRMA's sick time policies. This means that when an employee takes FMLA leave, the employee must use any accrued, eligible sick time and vacation time, until all such accruals are exhausted. Thereafter, any portion of the FMLA that is not covered by the employee's use of accrued, eligible sick time and/or vacation time will be unpaid.

If an eligible employee takes a leave of absence that would otherwise qualify as FMLA leave, the CTRMA may, in its discretion, classify the leave of absence as an FMLA leave of absence.

Notification

When the need to take FMLA leave is reasonably foreseeable, the employee must provide the CTRMA with at least thirty (30) days advance notice of his/her intention to request FMLA leave.

In circumstances in which the need to take FMLA leave is not reasonably foreseeable, the CTRMA requires that the employee provide as much advance notice as possible under the circumstances.

Certification of Health Condition

If an employee requests FMLA leave based upon his/her own serious health condition, or the serious health condition of a spouse, child, parent, or domestic partner, the CTRMA may require,

Policy on Family and Medical Leave (FMLA)

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in its discretion, that the employee submit a medical certification, in a form approved by the Agency, which must be completed by the employee's or family member's health care provider, as appropriate, regarding the serious health condition. In addition, the CTRMA may require the employee to submit periodic re-certification of the serious health condition. These re-certifications may be required every thirty (30) days or until the minimum duration of the previous certification has elapsed, whichever period is longer.

Any medical certification must be returned by the employee within fifteen (15) days or the CTRMA may delay the commencement or continuation of the FMLA leave until the certification is submitted.

The CTRMA reserves the right to require an employee to obtain the opinion of a second health care provider, at the Agency's expense, with respect to any medical certification. In addition, if there is a conflict between the employee's medical certification and the opinion of a second health care provider, the CTRMA reserves the right to require a third opinion, at the Agency's expense, by a health care provider chosen jointly by the employee and the CTRMA. The opinion of the third, jointly-chosen health care provider shall be binding on the part of both the employee and the Agency.

Status Reports

An employee will be required to contact his/her supervisor every two (2) weeks to report on his/her status and intent to return to work. Additionally, if the employee is able to return to work earlier than anticipated, the employee is required to provide the CTRMA notice within two (2) business days of the revised date of return.

Intermittent Leave

Under certain limited circumstances, an employee may be entitled to take FMLA leave on an intermittent or reduced schedule basis, when such leave is based upon his/her own serious medical condition, or the serious medical condition of a spouse, child, parent, or domestic partner. However, intermittent medical leave will be authorized only if intermittent leave is medically necessary as a result of the serious health condition.

The CTRMA reserves the right to temporarily transfer an employee requesting intermittent or reduced schedule leave to an alternative position which better accommodates the recurring periods of leave, with no decrease in pay or benefits.

Restoration to Employment

An employee who takes FMLA leave in accordance with this policy shall have the right to return to the position he/she held prior to the leave or, in the discretion of the Agency, to an equivalent

position with the same pay, benefits and terms and conditions of employment. The CTRMA may require a fitness-for-duty medical certification that the employee is able to return to work.

Policy on Family and Medical Leave (FMLA)

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In certain cases, "key employees" of the CTRMA may be denied restoration when the Agency determines that restoration will result in substantial and grievous economic harm to the CTRMA. A "key employee" is a salaried employee who is among the highest paid 10 percent of all the Agency's employees within 75 miles of the employee's worksite.

Restoration to Employment

An employee who takes FMLA leave in accordance with this policy shall have the right to return to the position he/she held prior to the leave or, in the discretion of the Agency, to an equivalent position with the same pay, benefits and terms and conditions of employment. The CTRMA may require a fitness-for-duty medical certification that the employee is able to return to work.

In certain cases, "key employees" of the CTRMA may be denied restoration when the Agency determines that restoration will result in substantial and grievous economic harm to the CTRMA. A "key employee" is a salaried employee who is among the highest paid 10 percent of all the Agency's employees within 75 miles of the employee's worksite.

Failure to Return from FMLA Leave

If an employee fails to return to work after taking FMLA leave, as permitted by law, the CTRMA shall be entitled to recover from the employee all insurance premiums paid on behalf of the employee during the FMLA leave, unless the employee's failure to return is for one of the following reasons:

- Continuation, recurrence or onset of a serious health condition which would qualify under this policy as family and medical leave; or
- Circumstances beyond the employee's control, as approved by the CTRMA.

Non-discrimination/Non-retaliation

The CTRMA will not interfere with, restrain or deny any employee's right to request FMLA leave in accordance with the terms and provisions of this policy. In addition, the CTRMA will not discriminate or retaliate against any employee for requesting FMLA leave, or for taking a FMLA leave, in accordance with this policy.

Employees who have questions regarding this policy or who have the need to apply for FMLA leave should contact Human Resources.

Leaves of Absence – General Information

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POLICY

It is the policy of the Central Texas Regional Mobility Authority to comply with all local, state and federal laws regarding employee leaves of absence

Leaves of absence will be coordinated by the Human Resources Manager. Leaves of absence may be managed with the cooperation of internal/external resources, including but not limited to: the employee; his/her healthcare practitioner (if applicable and with the employee's consent); Agency medical advisors; and insurance companies, in conjunction with employer-sponsored health/medical plans.

Military Leave

An employee who is called to military service or who receives orders for a military obligation such as training exercises, encampment, or deployment must notify his/her manager as soon as practically possible. In addition, the employee should complete a Leave Request Form so that arrangements can be made for a military leave of absence.

The Central Texas Regional Mobility Authority complies with all local, state and federal laws regarding military leaves of absence, including the Uniformed Services Employment and Reemployment Rights Act (USERRA). For more information on military leaves of absence, employees should contact the Human Resources Manager.

Administrative Separation

If an employee is on an approved military leave of absence that exceeds twelve (12) months, the employee will be administratively separated from the Agency. In this event, the employee may also be entitled to continue employee benefits or exercise conversion rights in accordance with USERRA, COBRA and/or the terms and provisions of the employee benefit plan documents.

Any employee of the Agency who has been on a non-military leave of absence and who has not performed any services for the Agency for any reason for a period of six (6) consecutive months shall be separated from active employment and considered administratively terminated. In this event, the employee may be entitled to continue employee benefits or exercise conversion rights in accordance with COBRA and/or the terms and provisions of the employee benefit plan documents.

An employee who is separated from employment with the Agency pursuant to this policy shall be eligible for rehire with the Agency, although re-employment cannot be guaranteed. The employee must submit an application for employment at the time he or she seeks to be re-employed, and will be considered along with other applicants, for any available position for which he or she is qualified.

**PERFORMANCE APPRAISAL
AND SALARY ADMINISTRATION**

Performance Management & Appraisal

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POLICY

The Central Texas Regional Mobility Authority strives to regularly evaluate the job performance of each employee.

PROCEDURES

Performance management and appraisal is a formal system for aligning employee objectives with the Agency's strategic business plan and goals, managing employee performance on an ongoing basis, and evaluating and developing in individual employees the skills, knowledge, and behaviors that support those objectives.

The Central Texas Regional Mobility Authority's performance management and appraisal system defines specific, measurable performance objectives for each job in the Agency. Employees are then evaluated against the objectives associated with their particular jobs.

The CTRMA's performance management and appraisal system has the following goals:

- To provide employees with a clear understanding of their performance objectives and how the objectives contribute to the Agency's business plans.
- To strive to conduct performance reviews and evaluations on a regular basis.
- To facilitate ongoing and candid feedback among employees and managers.
- To encourage and support employees in their efforts to continually improve and develop.

Employees may respond, in writing, to their written performance appraisal, at the time the performance appraisal is conducted, or within 30 (thirty) days thereafter. If submitted within this time frame, the employee's written response and comments will be added to his/her personnel file.

Salary Administration

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POLICY

It is the policy of the Central Texas Regional Mobility Authority to provide equitable and competitive compensation for each employee, based on the individuals' position, job performance and contributions to the Agency.

PROCEDURES

The Human Resources Manager of the CTRMA is responsible for developing, maintaining and updating a salary administration program which complies with Agency guidelines and which supports the Agency's mission, goals and objectives. The basis of the salary administration program is the evaluation of each position within the Agency.

The Human Resources Manager is also responsible for communicating the compensation plan and salary administration program to employees. Questions about the compensation plan and salary administration program should be directed to a manager or to the Human Resources Manager.

The Agency strives to regularly evaluate individual job performance, which is typically accomplished through the use of performance appraisals conducted by each employee's manager.

In determining a rating on the performance appraisal, the supervisor will take into consideration the following:

- The employee's achievement of individual goals and objectives against Agency standards/expectations for the position; and
- The employee's demonstrated application of the Agency's mission and values in his/her work.

**SAFETY, SECURITY AND
EMERGENCY MANAGEMENT**

Workplace Health, Safety and Security

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POLICY

The Central Texas Regional Mobility Authority is committed to the safety, health and security of all employees in the workplace, and of all customers, including injury/accident prevention and security. The Agency complies with all regulations and rules of the Occupational Health and Safety Administration (OSHA) and other relevant government agencies. Maintaining a safe work environment, however, requires the continuous cooperation and effort of all employees.

Employees must immediately report any suspected unsafe conditions and all injuries that occur on the job. Employees will not be asked to perform any task which may present a health, safety or security risk. However, if an employee feels that a task may be dangerous, or if an employee is unsure of the safe way to perform a task, the employee should consult his/her manager.

As a condition of initial and continuing employment, each employee agrees to abide by the safety regulations and procedures in this policy.

PROCEDURES

Agency Security

The CTRMA's security program was developed to ensure the protection of customers and their information, Agency assets, employees and visitors. Confidentiality and security are the main tenets of this program, and each has a significant impact in the planning of facilities and service operations.

Physical and electronic security measures are in place to control and monitor access to the CTRMA's premises. This includes, but is not limited to electronic access controls and video surveillance.

All Agency premises, with the exception of the lobby during normal business hours, are considered restricted. Employees and contractors are permitted access to specific areas in order to perform their job duties.

For security reasons, persons other than employees and customers are not allowed on the premises without permission of a manager or the Executive Director. All vendors must check in at the front reception desk. Visitors who are properly authorized to enter the premises for business reasons may be required to wear a visitor's identification badge and be accompanied by a Agency representative until their departure.

All employees serve an important role in ensuring effective security. If an employee notices any suspicious person or stranger on Agency premises, he/she should immediately notify the

Executive Director or his/her designee. Similarly, violations of this policy or concerns about this policy should be reported immediately to a manager or to the Executive Director.

Workplace Health, Safety and Security

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Workplace Safety Responsibilities

All employees have the following workplace safety responsibilities:

- To read and abide by all Agency safety policies and procedures.
- To perform job duties in a safe manner, using safe practices.
- To report any accidents to a manager, and to seek first aid, if necessary.
- To immediately report unsafe conditions, equipment or practices to a manager.
- To use all OSHA- or state-required Personal Protective Equipment (PPE) as indicated.
- To attend and participate in Agency safety meetings.
- To observe all hazard, warning and other posted signs.
- To keep aisles, walkways, hallways and working areas clear of slip and fall hazards.
- To operate only the equipment which the employee has been properly trained to use; and to observe safe operating procedures in the use of all equipment.
- To use proper lifting procedures at all times.

Right to Know/Hazard Communication

Employees have the right to know about any hazardous chemicals that may be used in the workplace. A hazardous chemical is any chemical or mixture of chemicals that can cause injury and/or illness to employees. To learn more about a chemical, employees may consult two main sources of information: the label on the chemical; and the Material Safety Data Sheet (MSDS).

Reading the Label: All Agency employees are required to read and exactly follow the written instructions on the label of any chemical prior to using the chemical in the workplace. Labels explain how to handle and use the chemical safely, and the chemical's possible physical effects on people.

Consulting the Material Safety Data Sheets: MSDS sheets are technical bulletins that contain important information about chemicals used at the Central Texas Regional Mobility Authority. The MSDS sheets also provide emergency information. The sheets are retained on-site and are readily accessible to all employees in the Human Resources Department.

Employee Workplace Injury or Illness

If an employee is injured and needs medical attention beyond basic first aid, then either the injured employee or a co-worker should contact an emergency response unit by dialing 911 from any Agency telephone.

Workplace Health, Safety and Security

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Regardless of whether an injured employee requires only basic first aid or more extensive medical attention, the employee should notify his/her manager as soon as possible following any injury. The Texas State Workers' Compensation Act requires the employee to report any workplace injury requiring medical attention beyond basic first aid. In this case, the employee and manager must complete the Employee Report of Accident Form.

If an employee recognizes a potential safety hazard, has a workplace-related health and safety issue, or would like to make a safety suggestion, then this information should be shared immediately with a manager. OSHA also provides employees the right to know about any health hazards which might be present on the job.

Customer Injury or Illness

If a customer experiences a minor illness or an injury, then the employee should offer assistance or support, such as a chair, towel, bandage or glass of water. After first acknowledging the customer, the employee should contact a manager for assistance and for any decisions regarding contacting emergency services.

If a customer experiences a serious or life-threatening illness or injury, then the employee should first dial 911 from any Agency telephone, and then contact a manager for assistance.

The employee should not treat or clean a customer's wounds or apply bandages to a customer's wounds, as this may expose the employee to blood-borne pathogens. Instead, the customer should assist him/herself with the treatment of any minor wounds until trained medical professionals arrive.

In either case, the employee and the manager shall make the injured customer's comfort their primary concern.

Fire Prevention, Control and Safety

- **Fire Extinguishers**

Employees should be familiar with the location of the fire extinguisher(s) on Agency premises and make sure they are kept clear at all times. ABC-rated fire extinguishers can be used for paper, wood, or electrical fires. Employees should immediately notify a manager if an extinguisher is used or if the seal is broken.

Workplace Health, Safety and Security

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- **Fires**

If an employee is aware of a fire, he/she should:

- If the fire is small and contained, locate the nearest fire extinguisher. (This should only be attempted by employees who are knowledgeable in the correct use of fire extinguishers.)
 - Evacuate all employees and customers from the area.
 - If possible, immediately contact a member of management.
- If the fire is out of control, the employee should:
 - Dial 911 from any Agency telephone.
 - Evacuate all employees and customers from the area.
 - If possible, contact a member of management.
 - Make no attempt to fight the fire.
 - When the fire department arrives, direct the crew to the fire.
 - Do not re-enter the building until directed to do so by the fire department.

- **Emergency Evacuation**

If employees are advised to evacuate the building or buildings, they should:

- Stop all work immediately.
- Contact 911 or other emergency response agencies, if needed.
- Shut off all electrical equipment and machines, if possible.
- Walk to the nearest exit, including emergency exit doors; exit quickly and orderly, but do not run.
- Do not stop for personal belongings.
- Proceed to the parking lot designated by management or emergency officials.
- Do not re-enter the building(s) until instructed to do so.

Security - General Precautions

All employees should take responsibility for their personal security. Additionally, employees should take responsibility for the security of property (including personal, customer-owned, and Agency-owned property). The following are some helpful tips to ensure the security of persons and property.

- All employees are required to park in the area designated for employees. For safety reasons, employees should lock their cars every day and park within specified areas.
- If an employee should damage another car while parking or leaving, he/she should immediately report the incident to a manager, along with the license numbers of both vehicles and any other pertinent information.
- Please be advised that neither the CTRMA nor its management is responsible for any loss, theft or damage to employees' vehicles or vehicle contents.

Workplace Health, Safety and Security

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- Employees should not bring to work large amounts of cash or other valuables, or leave them on the CTRMA premises. The Agency is not responsible for lost items.
- Items found on Agency premises or parking lots should be immediately presented to the building management, for placement into the "Lost and Found" area.
- Any cash and other property should be properly secured. If an employee is aware of cash or other property that is not securely stored, he/she should immediately inform the individual or a manager.
- Employees should ensure that all appropriate doors and equipment are locked and secured.
- Employees who leave the work premises after dark are advised to take another employee as an escort.
- When employees leave the CTRMA's premises, they are advised to be aware of their surroundings and have their vehicle keys in hand.
- Employees should immediately report any unusual or suspicious activities or persons in parking lots, in the buildings, or on Agency premises.
- Employees should never confront or attempt to restrain an individual who appears to be engaging in illegal activity in parking lots, parking garages, or in other areas owned, leased or under the management of the Central Texas Regional Mobility Authority. Instead, employees are advised to return to the building or leave the premises immediately, and then report the activity to management and/or law enforcement.
- Security Checks
 - Because we are concerned about all employees' and customers' safety and security, CTRMA's management reserves the right to inspect all unusual packages and parcels entering and leaving our premises.
 - Management will not inspect an employee's person, lunch pail, purse, backpack, briefcase, attaché or vehicle without the employee's consent. However, an employee's refusal to permit a search of his/her personal container(s) upon the request of management may result in corrective action, up to and including termination of employment.

Violence or Threat of Violence

The CTRMA intends to create and sustain for its employees, customers and visitors a working environment which is free of workplace violence or the threat of violence.

Therefore, the Agency will assume and vigorously enforce a "zero tolerance" policy with respect to violence or threats of violence directed at any person. Prohibited behavior includes but is not limited to threatening language, whether verbal or written; threatening gestures, depictions or pictures; and/or actual violence of any kind directed at any individual.

A violation of this policy will be dealt with aggressively and, subject to investigation, may lead to corrective action up to and including termination of employment for a first offense.

Workplace Health, Safety and Security

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Weapons

The Central Texas Regional Mobility Authority strictly prohibits any person—whether employee, customer or visitor—from possessing, selling, distributing, concealing or transporting any weapon on Agency premises. This prohibition includes but is not limited to: handguns, firearms, knives, ammunition (whether live or spent), explosives, pepper spray or other incapacitating spray, or any other prohibited weapon of any kind, regardless of whether the person is licensed to carry the weapon or not. This prohibition also includes toy weapons and reproductions or replicas of weapons.

The only exception to this policy will be security guards, licensed law enforcement officials (e.g., police officers, peace officers, constables), or other persons who have been given written consent by the CTRMA to carry a weapon on the property.

Because of the potential for harm and serious injury, any employee violating this policy will be subject to disciplinary action up to and including termination of employment.

[For further information, please reference the Performance, Conduct and Corrective Action Policy in this Handbook]

General Statement on Health, Safety and Security

The Central Texas Regional Mobility Authority strongly encourages employee participation and input on health, safety and security matters.

Inclement Weather/Emergency Conditions

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POLICY

On rare occasions, it may be necessary for the Central Texas Regional Mobility Authority to temporarily suspend operations out of concern for employee safety in inclement weather, power outage, or similar emergency situations.

PROCEDURES

Temporary Suspension of Operations

Management will make the decision whether to temporarily suspend some or all Agency operations due to emergency conditions. The decision will be made based on consulting with: appropriate news agencies; weather forecasts; and local school districts, whose lead in inclement weather closures is normally followed by the Agency; and/or any other authorities that may be appropriate in the circumstances.

In the event that some or all of Agency operations are temporarily suspended due to emergency conditions, management will record a message for employees on the main telephone line.

In the event that some/all operations are suspended during the course of a work day that has already begun, management will inform affected employees and may dismiss them for the remainder of the day.

Unable to Report due to Inclement Weather

In the event that the Agency is open and operating normally, but an employee is unable to report to work due to inclement weather such as ice storm or snow storm, then the employee must notify his/her manager as soon as possible. In this case, the employee may use any accrued, eligible vacation or personal time for the missed day of work. Otherwise, the time off will be unpaid.

Employees are encouraged to consult with local weather forecasts and use common sense in determining whether they are able to report for work. The Agency does not encourage any employee to take unnecessary risks to his/her safety in order to report to work during severe weather situations.

Inclement Weather/Emergency Conditions

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Absence During Temporary Suspension of Operations

If an employee is absent from work due to illness on a day when operations are temporarily suspended, then the employee must use any eligible sick, vacation, or personal time for the entire day. Otherwise, the entire day off will be unpaid.

**EMPLOYEE PERFORMANCE
AND CONDUCT**

External Employment/Association

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POLICY

The Central Texas Regional Mobility Authority requires that employee activities away from the job, including but not limited to other employment or association, must not conflict with or compromise the Agency's interests or reputation, or adversely affect employees' job performance or ability to fulfill all responsibilities to the Agency.

Employees are cautioned to consider carefully the demands that any additional employment will create. External employment will not be considered as a valid reason for declining job performance, absenteeism, tardiness, leaving early, refusal to travel, refusal to work overtime, or refusal to work a certain schedule. If external employment does cause or contribute to any of these situations, such employment must be discontinued. If necessary, corrective action may be taken to address such situations, up to and including termination.

Employees should not seek or undertake outside employment/association if such employment/association may:

- reduce the employee's efficiency or effectiveness in working for the Central Texas Regional Mobility Authority;
- involve working for an organization which is a competitor of the CTRMA or which does a significant amount of business with the Agency, such as contractors, suppliers or customers;
- adversely affect the employee's professional reputation or credibility in his/her work with the CTRMA; and/or
- adversely affect the CTRMA's image, reputation or ability to do business.

All employees are expressly prohibited from engaging in any activity or association that competes with the Central Texas Regional Mobility Authority or compromises its interests. This prohibition includes but is not limited to the performance on non-working time of any services that are normally performed by The Central Texas Regional Mobility Authority personnel, the unauthorized use of any Agency technology tools (including software), equipment, and systems and the unauthorized use or application of any confidential trade information or techniques.

In addition, employees are not to conduct during paid working time any outside employment or other activities unrelated to The Central Texas Regional Mobility Authority business.

The Central Texas Regional Mobility Authority's Customer Service Commitment

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POLICY

The Central Texas Regional Mobility Authority is committed to ensuring that all customers are satisfied with our facilities, our service, and our Agency. Consequently, we have adopted a set of standards with that we refer to as the Central Texas Regional Mobility Authority Service Commitment. All employees are expected to adhere to these standards in all their dealings with customers, the public and with one another.

PROCEDURES

The Agency's Customer Service Excellence Commitment does not mean merely making customers satisfied. Instead, we believe that what differentiates excellent customer service is the focus on providing a uniquely positive, better-than-expected experience. It is providing customers with a sense that *they received better service than what they expected*.

The excellent quality experience of The Central Texas Regional Mobility Authority's customers not only encourages their continued business but also sustains the Agency's reputation in the marketplace and influences the community in which we work. This, in turn, allows the Agency to continue to prosper.

Communication and Problem-Solving

~~June 1, 2008~~ November 18, 2009

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POLICY

The Central Texas Regional Mobility Authority believes that open, candid and direct two-way communication is a necessity in our workplace. It not only sets the foundation for a pleasant work environment, but also enhances customer service, productivity, teamwork and employee development.

It is the policy of the Central Texas Regional Mobility Authority to retain an "open door" approach that welcomes and encourages one-on-one communication and problem solving in the workplace. This means that a manager and/or the Human Resources Manager will be available to any employee who wishes to discuss a workplace problem or concern. [For issues related to harassment, please follow the reporting procedures outline in the Agency's Workplace Harassment Policy.]

The open-door approach also means that we encourage employees to work directly with one another to resolve workplace problems, settle interpersonal conflicts, and offer constructive feedback. In addition, we encourage employees to be receptive to communication and feedback from one another.

Open Door to Management

If an employee has a concern or question relating to a workplace issue; a management decision; or a Agency policy, procedure, method or process; then the employee should use the following procedures:

1. Discuss it openly—along with any suggestions he/she may have—with his/her direct manager.
2. If the employee has brought an issue to the attention of his/her direct manager but does not feel that an appropriate resolution has been reached, **OR**
If the employee is uncomfortable discussing the matter with his/her manager, **THEN**
The employee is encouraged to discuss it openly with another manager or with the Human Resources Manager.
3. If the employee has brought an issue to the attention of his/her manager, another manager, and/or the Human Resources Manager, but still does not feel that an appropriate resolution has been reached, then the employee is encouraged to discuss it openly with the Executive Director.

Communication and Problem-Solving

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Problem-Solving

If an employee experiences a problem, disagreement, or conflict with a co-worker, both parties are encouraged to work out the matter directly with one another, using the following guidelines.

- Ensure that both parties have “cooled off” before approaching one another. Taking up a conflict when angry usually doesn’t produce good results.
- Treat one another with respect and courtesy.
- Allow each person to state his/her position and perspective and ideas, without interruption.
- Listen respectfully to and consider carefully the other person’s position and perspective.
- Explore possible solutions, taking into account the perspective of each person. Include the possibility of compromise. Consider asking a third-party employee to confidentially assist by offering his/her perspective or ideas.
- Make an agreement with one another on how to proceed.
- Follow up to see how the solution is working.

If, after using these guidelines, the employees are unable to resolve a conflict, then one or both of the employee(s) should bring the matter to the attention of the manager. At this point, both employees should be prepared for the manager to:

- Ask each employee to explain what steps or action he/she has taken in an attempt to resolve the conflict; and
- Facilitate the same process as outlined above, in order to guide the parties as they resolve the conflict and/or decide on a solution.

Because positive work relations and teamwork are critical to the success of the Agency, any employee who consistently fails to use the problem-solving guidelines (as outlined in this policy) in a good-faith effort to resolve workplace problems or interpersonal conflicts between may be subject to corrective action, up to and including termination of employment.

Feedback

The Central Texas Regional Mobility Authority believes that feedback—both positive and constructive—can be a powerful development tool for employees and managers. Therefore, we encourage employees at all levels in the Agency to offer sincere and appropriate feedback.

Employees are reminded that constructive feedback should be shared with another employee only in a confidential, respectful manner.

Communication and Problem-Solving

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Additional Information

Please note that while the Communication and Problem-Solving Policy should be used to address most workplace problems between employees, it is not intended to address situations in which illegal or unethical activity or a breach of fiduciary duty is suspected, or where there may be imminent harm to persons or property. If an employee suspects any of these activities, he/she should immediately report the matter to a manager, the Human Resources Manager, the General Counsel or the Executive Director. If the General Counsel becomes aware of a suspected legal or ethical violation or breach of fiduciary duty, he/she shall report evidence of the breach or violation to the Executive Director.

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The Executive Director shall respond to evidence of any suspected violation or breach by taking appropriate action, including adopting or enforcing appropriate remedial measures or sanctions. If, in the judgment of the General Counsel or the employee reporting the suspected violation or breach, the Executive Director fails to respond appropriately to a suspected violation or breach, or if the suspected violation or breach involves the Executive Director, the General Counsel or employee shall report the matter to the Chairman of the Board of Directors.

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Retaliation against an employee who reports a suspected legal or ethical violation or breach of fiduciary duty will not be tolerated.

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Likewise, this policy is not intended to address illegal workplace discrimination and harassment. If an employee feels that he/she has been or is being subjected to unlawful discrimination or harassment of any kind, he/she should immediately report the matter to any manager, the Human Resources Manager or the Executive Director.

[For more information and for specific procedures, please reference the Workplace Harassment Policy and Equal Employment Opportunity Policy in this Handbook.]

Solicitation

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POLICY

The orderly and efficient operation of the Central Texas Regional Mobility Authority's business requires certain restrictions on the solicitation of employees during work hours and in work areas. It also requires certain restrictions on the distribution of materials and information on the property or premises of the CTRMA.

Definitions

For purposes of this policy, the term "soliciting" refers to activities which take place during work hours or in work areas, and are related to a third party Agency, group, or cause, whether the third party is for-profit or not-for-profit. Such activities include but are not limited to:

- Requesting donations.
- Requesting signatures, membership or other formal support or endorsement of a group or cause.
- Promoting products/services, circulating catalogs or brochures, or otherwise selling goods or services.
- Posting personal goods/services "for sale".
- Posting or circulating literature (in written or e-mail form) about a group, issue, cause.
- Leafleting or giving away literature (in written or e-mail form) about a group, issue or cause.

The terms "soliciting" and "distribution" do not refer to selected civic activities that may be selected and sponsored by the Agency.

PROCEDURES

Solicitation and Distribution by Others

Third parties of any kind are prohibited from entering the Agency's premises, including parking lots, for the purpose of solicitation or distribution of literature at any time for any purpose.

Solicitation and Distribution by Employees

Employees of the CTRMA are prohibited from distributing or posting literature in work areas at all times for any purpose. If an employee wishes to post any material that is work-related or Agency-sponsored, then the material should be submitted to the Human Resources Manager for pre-approval.

Solicitation

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In addition, employees of the CTRMA are prohibited from soliciting during work time or in work areas for any purpose other than Agency business or Agency-sponsored activities. Work time includes the time spent working by the soliciting employee and the employee who is being solicited.

This prohibition on employee solicitation does not include employees' lunch periods, breaks or personal time spent before or after work. Work areas do not include parking lots, restrooms, and refreshment/break areas.

Use of Electronic Communications Systems

The CTRMA's electronic communications systems, including e-mail, are to be used for business purposes only. Employees are prohibited from using these systems for solicitation or distribution of literature at any time for any purpose.

Employee Access to Agency Premises While Off-Duty

All employees who are off duty are prohibited from entering Agency work areas for any reason other than legitimate business purposes.

[For more information, please reference the Code of Conduct Policy in this Handbook.]

Smoking

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POLICY

In adherence to Travis County public ordinance, the Central Texas Regional Mobility Authority prohibits smoking in any enclosed space occupied by the Agency. This policy applies to all buildings, including but not limited to offices, whether owned or leased. This policy applies to anyone who is on Agency premises, including employees, customers, visitors and vendors. This policy is applicable at all times.

Smoking is permitted only in designated smoking area(s) on Agency property, and in closed motor vehicles when occupied by only one (1) employee or with the consent of all occupants.

Employees who use designated public smoking areas during working hours should adhere to the following guidelines:

- Consider the designated smoking area as public space, where conversations may be overheard by unauthorized individuals. Employees should refrain from discussion of other employees, work-related issues and customers.
- Smoking should never take place in front of customers, or in areas visible to customers.
- Smoking breaks should be reasonable in number and duration. Excessive or inappropriate use of smoking breaks may lead to corrective action.

Personal Appearance

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POLICY

It is the policy of the Central Texas Regional Mobility Authority that an employee's attire and grooming should be appropriate to the work environment, to the level of direct customer and public interaction, and to the individual's job duties.

Employees of the CTRMA are expected at all times to exercise good judgment in their dress and grooming, and to project an appropriate professional image at all times while on Agency premises. All employees will be required to adhere to guidelines established for their individual work location and type of job.

PROCEDURES

Professional dress at the CTRMA may be defined differently depending on many work-related factors. In addition, many positions at the Agency require the wearing of Agency-issued uniforms. For this reason, employees should consult with their manager to learn the dress guidelines specific to their job.

Grooming

Visible tattoos, and facial or visible body piercing of any kind (other than piercing for earrings in the ear lobe) are prohibited in jobs that interact with members of the public, including customers.

Prohibited Items

Some items are not appropriate for The Central Texas Regional Mobility Authority work environment, in any circumstances. These include but are not limited to:

- Excessively soiled, worn, frayed, wrinkled or faded clothing; clothing with obvious rips or holes;
- Excessively tight-fitting clothing; excessively short, sheer, low-cut, or other revealing clothing;
- Any clothing or accessories with slogans, photos or drawings which are obscene, defamatory, offensive, or inappropriate in a professional setting;
- Sweatpants, sweatshirts, muscle shirts, mesh shirts, and track/athletic/jogging suits, cargo/carpenter pants;
- Shirts with cut-off sleeves, visible midriff or open back, such as tank tops, halter tops, tube tops, etc.;
- Hats (except head coverings worn in observance of religious beliefs, or clean hats with The Central Texas Regional Mobility Authority logo);
- Visible undergarments;
- House slippers; flip-flops;
- Denim/blue jeans (except clean jeans without rips, holes or tears on approved days); and

- Any hairstyle, footwear, clothing, jewelry, or matter of personal grooming that is deemed to present a safety risk.

Personal Appearance

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There may be times when more formal business attire will be appropriate, as when meeting with customers, applicants or vendors, or attending formal business meetings. Anyone traveling on Agency business should dress appropriately for that occasion.

An employee who does not comply with this policy may be asked to leave the workplace (with or without pay, depending on the circumstances) and return when he/she is appropriately attired/groomed. Non-compliance may also lead to corrective action, up to and including termination of employment.

If an employee is unsure about what is considered appropriate professional attire at the CTRMA, he/she is advised to ask for guidance from his/her manager.

Code of Employee Conduct

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POLICY

It is the policy of the Central Texas Regional Mobility Authority that all employees adhere to a Code of Conduct with respect to behavior and activities.

As a condition of initial and continued employment, all employees agree to abide by all the terms of this policy. If an employee fails to adhere to any part of the Code of Conduct, he/she may be subject to corrective action, up to and including termination of employment.

Conflict of Interest

A conflict of interest can take many forms. It exists when the employee's objectivity or judgment is compromised—or even *appears* to be compromised—by the potential for personal gain for self, family or friends.

It can occur when an employee places personal interests ahead of his/her responsibilities to make work-related decisions impartially and objectively, based on facts. It can also occur when the employee's desire to influence a third party or to influence a particular outcome takes precedence over his/her duty of loyalty to the Agency.

Employees are strictly prohibited from entering into any agreement or contract, or from making any work-related decisions, where the employee's objectivity or judgment is impaired, could be impaired, or could be perceived to be impaired because of a conflict of interest or potential for conflict of interest.

While the following examples cannot anticipate or address every possible situation, they illustrate situations of conflict of interest or potential conflict of interest, and are helpful for guiding appropriate conduct.

1. Sue is asked by her manager to find some temporary employees to assist the Agency in staffing a new location. Sue's boyfriend, Jim, owns a temporary help firm, so she asks Jim to take the work requisitions and to refer qualified candidates to the Agency.
2. Ben asks his supervisor if he can shop around for less expensive office supply vendors. After he gets approval, he realizes that ABC, a separate Agency that he co-owns with his brother, can provide the supplies at a substantial savings. He begins using ABC as a vendor for all Agency office supplies.
3. Tammy, a manager, is asked to be part of a management team evaluating Sally's job performance for the year. Without revealing to the other employees that Sally is her best friend, Tammy agrees.

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4. Ken's supervisor asks him to develop a new process for collecting fees from customers. Ken feels his workload is demanding enough already. He decides to implement a process that will save him a great deal of time, but which will result in much lower customer service quality.

If an employee has any doubt about a conflict of interest situation or potential for conflict of interest, he/she should immediately discuss the matter with his/her manager, before taking any action or making any decisions. Similarly, if an employee suspects a conflict of interest situation exists in the workplace, he/should should immediately discuss the matter with a manager or with the Human Resources Manager.

Proprietary and Confidential Information

Much of the information collected by the Central Texas Regional Mobility Authority or received from customers is considered proprietary and confidential information, or information owned exclusively by the Agency.

Proprietary and confidential information includes but is not limited to: various kinds of private business information; documents; records; letters; plans; and manuals. Proprietary information also includes but is not limited to: Agency trade secrets; computer programs, including proprietary software and all related materials; Agency practices; training or instructional products and tools; Agency products and tools; new development projects; marketing plans; customer lists; fees and cost data; employees' daily agendas; personnel data, etc.

Proprietary and confidential information is to be disclosed and used solely for the purposes for which it was collected or received. Disclosure of such information to unauthorized persons (externally as well as internally) is prohibited, not only because such information is a valuable business asset that must be protected, but also because unauthorized disclosure could compromise or cause harm to our customers, and materially damage the reputation and image of the Agency.

The Central Texas Regional Mobility Authority's management will impose specific restrictions on the use and dissemination of information, both internally and externally. Specifically, access will be granted on a "need to know" basis. When in doubt about the appropriateness of disclosing or releasing information (internally or externally), an employee should not disclose the information, but rather, ask his/her manager for guidance.

The Central Texas Regional Mobility Authority is subject to and complies with Texas laws and regulations regarding Open Records. Requests pursuant to Open Records should be forwarded to the General Counsel.

Code of Employee Conduct

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At the conclusion of employment with the CTRMA, employees must return to the Agency all documents and records containing proprietary and confidential information. Even after employees leave employment at the CTRMA, they have a continuing obligation to safeguard such information.

Criminal Charges/Convictions

The Central Texas Regional Mobility Authority must protect its reputation, credibility and image. Therefore, it is important that each employee also protect his/her professional reputation and credibility in the community.

The CTRMA will perform criminal background checks on all final applicants for the positions of Executive Director, Chief Financial Officer, General Counsel, and any position involving the disbursement of Agency funds or the handling of cash, checks or credit cards; negotiable documents and materials; or highly confidential or sensitive information. All applicants admitting a felony conviction on their application materials shall also be subject to a criminal background check. Additionally, the CTRMA may at its discretion perform criminal background checks on applicants for any other position. Negative criminal background checks will be reviewed by the HR Manager in consultation with the General Counsel, and an applicant may be disqualified from employment if the HR Manager and General Counsel determine that justification for such disqualification exists.

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If an employee has been charged with a felony or serious misdemeanor, or if an employee is convicted of a felony or serious misdemeanor (defined to include all misdemeanors other than traffic violations), the employee is required to immediately inform his/her manager. Failure to do so will lead to corrective action, up to and including termination of employment.

Employees who hold licenses or certifications that are required for their jobs must maintain active, current certification and/or licensure. If an employee's certification and/or license is suspended or revoked because of a pending legal charge(s) or conviction(s), or if an employee is being investigated for possible suspension or revocation of a required certification and/or license for any reason, then the employee is required to inform his/her manager immediately. Failure to do so will lead to corrective action, up to and including termination of employment.

Regardless of whether the employee holds any certification or license, if a situation arises in which an employee is charged with or convicted of a felony or serious misdemeanor, then the CTRMA's management will carefully consider the circumstances and facts of the situation, and will, in its sole discretion and judgment, decide on an appropriate course of action. Such courses of action may include but are not limited to:

- Administrative suspension (with or without pay, depending on the circumstances);
- Termination of employment; or
- Other appropriate action.

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Employee Acts

The Central Texas Regional Mobility Authority's insurance policies do not relieve an employee from personal and civil liability, criminal prosecution, and/or termination of employment if he/she commits a dishonest act.

Discovery of a fraudulent act related to a person's employment or job responsibilities—whether such an act was committed on or off the job—may result in corrective action, up to and including termination of employment.

If an employee has a concern about the legitimacy or appropriateness of any employee act, he/she should promptly discuss the matter with his/her manager or with the Human Resources Manager.

Agency Funds

Each employee is personally accountable for any Agency funds over which he or she has control, including travel expenses. Employees who manage Agency money or who spend personal money that will be reimbursed by the CTRMA should always be sure the Agency receives good value in return.

Employees must obtain pre-authorization from their manager before incurring any expense on behalf of the CTRMA. In order to receive reimbursement of authorized expenses, the employee must submit all information on an expense report within 60 days of incurring the expense. The expense report must clearly indicate the nature and type of all expenses, and must demonstrate that the purchases and amounts are proper. Documentation (receipts, invoices, etc.) must be attached to support each expenditure.

Anyone responsible for the handling of CTRMA's funds and/or customer property, as well as associated records and materials, is accountable for their safekeeping. This may include but is not limited to: customer personal data such as addresses, contact information and social security numbers; checks and money orders; credit cards and credit card numbers; legal documents; financial statements and documents; account user identification data; account passwords; personnel data; and data stored on any medium (paper, electronic, magnetic, or photographic).

If an employee has a question or concern about the appropriate or prudent use of Agency funds and property or customer property, he/she should promptly discuss the matter with his/her manager. [For more information about managing Agency funds and expenses, please reference the Business Travel and Expenses Policy in this Handbook.]

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Agency Records, Fraud, and Record Retention

Successful management of the CTRMA requires the use of Agency business records, reports and related documents. These records are of critical importance in meeting financial, customer and other business obligations. Therefore, Agency records must always be prepared accurately, reliably and honestly.

Given the need for accurate and honest records, any false or misleading report or record, (including but not limited to: financial documents; resumes; employment applications; contracts; membership reports and other customer-related reports; and timekeeping reports) will be taken very seriously and may lead to corrective action, up to and including termination of employment. Employees who become aware of any suspected falsification of Agency records must immediately report the concern to a manager, the General Counsel or the Executive Director, who shall respond to the evidence by taking appropriate remedial action.

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Employees must maintain all Agency records for at least the minimum amount of time prescribed by the records retention schedules applicable to local governmental entities adopted by the Texas State Library and Archives Commission. In the event that litigation is filed against the CTRMA or is reasonably anticipated to be filed, the CTRMA's General Counsel may determine that it is necessary to implement a litigation hold in order to ensure the preservation of all records related to the lawsuit. Employees must refrain from destroying any records that are the subject of a litigation hold. Additionally, Employees must comply with all records retention policies adopted by the CTRMA.

Members of the public may make written requests for records maintained by the CTRMA. In the event that an Employee receives a written request for information, the Employee must notify the General Counsel immediately so that the CTRMA may respond to the request within the time frame prescribed by the Texas Public Information Act. Employees must refrain from destroying any records that are the subject of a pending public information request.

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Gifts and Honoraria

Employees must not solicit or accept gifts, loans, other compensation, unusual favor or hospitality (other than reasonable tips earned by employees in direct customer service positions) which could influence or even have the *appearance* of influencing them in the performance of their duties.

Employees are permitted to accept a business meal, as well as nominal items which are customary in business relationships, provided that such items do not exceed \$100 in value. Gifts received over \$100 should be reported to the employee's manager or supervisor and the employee may be required to return the item if it is deemed a potential conflict.

Similarly, employees must not give gifts, loans, other compensation, unusual favor or hospitality to customers, prospective customers, vendors, or suppliers, with the exception of certain

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approved promotional items (such as coffee mugs or t-shirts with The Central Texas Regional Mobility Authority logo) that may be authorized by Agency management from time to time.

Employees may not accept an honorarium for appearing at a conference, workshop, seminar, or symposium as a representative of the CTRMA other than reimbursement for food, transportation, or lodging.

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If in doubt about the appropriateness of any gift, ~~or~~ hospitality or honorarium, a full disclosure of the facts should be made to The Central Texas Regional Mobility Authority's General Counsel before accepting/making such an offer.

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Sabotage/Espionage

Sabotage is defined for purposes of this policy as any employee act or failure to act which is willful and/or negligent and which has the affect of materially destroying, damaging, disrupting or interfering with Agency operations, equipment, tools or systems.

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Espionage is defined for purposes of this policy as any employee act which is willful and/or negligent and which has the affect of providing to an unauthorized third party (usually but not always a competitor) any of the Agency's confidential and proprietary information, trade secrets, or its customers' or employees' financial or personal information and/or records.

Employees have a duty to protect the CTRMA's confidential and proprietary information from unauthorized disclosure and release to third parties. Because of the potential for great harm to the CTRMA and its customers, it will not tolerate sabotage or espionage of any kind.

Allegations of sabotage and/or espionage will be taken very seriously and investigated promptly. If investigation reveals employee sabotage or espionage, the CTRMA will take swift and aggressive action, including but not limited to corrective action and possible termination of employment, criminal prosecution and civil claims.

[For more information, please reference the Performance, Conduct and Corrective Action Policy in this Handbook.]

Training on Ethics and Compliance Issues

Upon beginning employment with the CTRMA, all employees shall receive orientation on ethics laws and policies and the Agency's ethics and internal compliance program. Additionally, employees of the CTRMA shall participate in periodic training on ethics and internal compliance issues.

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Business Travel and Expenses

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POLICY

It is the policy of the Central Texas Regional Mobility Authority to reimburse employees and members of the Board of Directors for reasonable business travel expenses.

All employee business travel must be approved in advance by the employee's manager.

When approved, the actual costs of travel, meals, lodging and other expenses directly related to accomplishing business travel objectives will be reimbursed by the CTRMA. Employees and Board Members spending personal money that will be reimbursed by the CTRMA should always ensure that expenses are limited to reasonable amounts, and that the CTRMA receives good value in return.

When business travel has concluded, employees and Board Members should complete a travel expense report, which is available from the Accounting Department. The completed report must be accompanied by receipts for each expense, and should be submitted to Accounting within 60 days of the completion of the business travel. Any items over the 60 days will be denied reimbursement.

The CTRMA will not reimburse travel expenses incurred by a spouse or other individual accompanying an employee on business.

Sales tax on goods purchased will not be reimbursed. Sales tax for meals and hotel stays are the only sales taxes that will be reimbursed. Please request a sales tax exemption form from the CFO before purchasing goods.

Employees shall be responsible for repayment of inappropriately reimbursed expenses whenever an audit or subsequent review of the travel expense reimbursement documentation finds that such expenses were reimbursed contrary to these guidelines.

The following are reimbursement guidelines for business travel:

- **Transportation Services**

- Air travel arrangements should be made as far in advance as possible and should represent the lowest available fare in coach or economy class.
- Reasonable fares for shuttle service, bus service, van pool, taxi service or other public transportation will be reimbursed.
- Car rental fees (a compact or mid-size vehicle for one person; a full size vehicle for two or more persons) will only be reimbursed if approved in advance by the Executive Director or Chief Financial Officer.
- When renting vehicles, employees and Board Members should elect loss damage waiver insurance coverage.

- Gasoline should be refilled in any rental vehicle prior to returning it at the conclusion of business travel.

- **Lodging**

- Accommodations in approved hotels or motels will be reimbursed, using the GSA rate as a guideline. Exceptions to the GSA rate will require an explanation such as: (1.) when the cost of the hotel would reduce total travel costs, such as eliminating the need for a rental car; (2.) when the cost of the hotel is a conference rate; (3.) when time constraints associated with business meetings require lodging at a closer hotel.
- Lodging expenses will be reimbursed only if traveling **beyond** a 50-mile radius of Williamson/ Travis County. (This means 50 miles beyond the county line.)

Business Travel and Expenses

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- **Meals**
 - Meals will be reimbursed at the GSA rate.
 - Meals above the GSA per diem day rate will require specific justification and receipts.
 - If an overnight stay is **required**, but the stay does not exceed a 50-mile radius outside the county, you may claim an amount up to the \$28.00 overnight allowance for your meals, but lodging will not be reimbursed.
 - No reimbursement will be made for alcoholic beverages.
 - No reimbursement will be made for meals if the Conference included it as part of the package.

- **Food Service at Local Meetings**
 - Food service at business meetings required for the active performance of CTRMA business (such as CTRMA Board meetings, workshops, CTRMA Board Committee meetings, meetings with other governmental entities, and other official business as determined by the Executive Director) will be reimbursed.
 - The employee's/Board Member's expense report should include: purpose of the meeting; time and location of the meeting; names of principal attendees; and approval of the reimbursement request by the Executive Director or Chair of the Board.

- **Mileage Reimbursement**
 - Use of a personal vehicle on CTRMA business will be reimbursed using the current Internal Revenue Service rate. The employee's/Board Member's expense report should include: purpose of the travel; points of travel; dates of travel; and miles eligible for reimbursement.
 - If a personal vehicle is used, the maximum reimbursement will be at the lower of the IRS rate times the number of miles driven, or the lowest quoted airfare at the time of travel for overnight stay.
 - Mileage reimbursement is meant to cover only those miles incurred above and beyond the employee's normal commute to the CTRMA office. For example, if the normal commuting round trip is 20 miles, and the employee goes on a trip that covers 75 miles, only the incremental 55 miles are reimbursable.

- **Other Business/Travel Expenses**
 - Charges for telephone calls, internet connection, faxes, and similar services, will be reimbursed, provided that they are for legitimate business purposes.
 - Reasonable, customary tips and gratuities will be reimbursed and do not require a receipt.
 - Parking and toll fees will be reimbursed, with receipts.
 - Other minor expenditures should have a receipt and justification.

- There will be no reimbursement for any of the following: parking or traffic violations; entertainment, including in-hotel movies; and alcoholic beverages of any kind. In addition, there will be no reimbursement of sales tax incurred on the purchase of goods. Instead, employees who are authorized to purchase approved goods on behalf of the CTRMA should use a tax exempt form, available from Accounting.
- Cancellation fees associated with business travel will be reimbursed only if it is in the best interest of the CTRMA, or in the event of an approved family emergency.
- Incremental expenses for any non-CTRMA companion traveling with the employee or Board Member will not be reimbursed by the Agency.

Business Travel and Expenses

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If an employee is involved in a motor vehicle or other accident, or if an employee sustains any injury while traveling on business, he/she must promptly report the incident to his/her manager. If a vehicle owned, leased or rented by the CTRMA is involved in an accident, causes any injury or damage, or incurs any damage, the employee must promptly report the incident to his/her manager. Vehicles owned, leased or rented by the CTRMA may not be used for personal business without prior approval of the Executive Director.

If an employee needs guidance or assistance with any procedures related to business travel, travel arrangements, expense reports, or reimbursement for any specific expense, then the employee should consult with his/her manager.

Employees are reminded to ensure that travel records, expense reports and receipts are accurate and complete. Falsification of any Agency record, including but not limited to expense reports; or falsification or alteration of any Agency documentation, such as receipts, may lead to corrective action, up to and including termination of employment.

[For more information about managing Agency funds and expenses, please reference the Employee Code of Conduct Policy in this Handbook.]

Use of Agency Equipment and Electronic Communications

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POLICY

The Central Texas Regional Mobility Authority provides employees with certain equipment and electronic communications resources to assist them in conducting Agency business.

It is the policy of the CTRMA that all employees must adhere to practices regarding the acceptable use of Agency-provided equipment and electronic communications systems, including but not limited to computers and related equipment, software, telephones, fax machines, email, voicemail, instant messaging systems, and the internet/world wide web.

PROCEDURES/PRACTICES

Electronic Communications, Computers and Software

The CTRMA owns the computers and other hardware, software, databases, servers, modems, internet access, telephones, faxes, copiers, printers, e-mail systems, instant messaging systems, and voicemail systems (hereinafter "technology/communications equipment, tools and systems") which are used by employees. The CTRMA's technology/communications equipment, tools and systems are intended for the purpose of aiding employees in work-related communication and in the efficient performance of their work duties.

Since the CTRMA owns the technology/communications equipment, tools and systems, any electronic communication composed, sent or received by the employee is and remains the sole property of the CTRMA.

Employees are prohibited from any of the following without the prior approval of the Agency's Executive Director:

- Borrowing or removing the CTRMA's technology/communications equipment, tools and systems from its premises.
- Copying or downloading software applications, databases, or other electronic materials or information stored by the Agency, on Agency premises, or on other premises owned or leased by the CTRMA.
- Disabling anti-virus software running on Agency-provided computer equipment. (Exceptions to the rule are allowed when an employee is doing so as a requirement of his/her job).
- Using instant messaging programs or applications; sending instant messages (either internally or externally) via any electronic instant messaging application.

Use of Agency Equipment and Electronic Communications

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- Uploading or downloading copyrighted materials, trade secrets, proprietary financial or customer information, or similar materials without prior authorization from the owner of the materials.
- Using technology/communications equipment, tools and systems in violation of copyright and trademark laws.

Employees are also prohibited from using the CTRMA's technology/communications equipment, tools and systems for any of the following purposes:

- To distribute or disseminate (internally or externally) messages, images, or any other material or content containing obscene, abusive, pornographic, profane, sexually explicit or inflammatory remarks, inappropriate humor; or threatening or harassing language.
- To distribute or disseminate (internally or externally) messages, images, material or otherwise objectionable content that is disruptive, derogatory or offensive to another individual (whether the intended recipient or not), including but not limited to: sexual comments or images; gender or ethnic specific comments or slurs; or any statements or contents offensive to another on the basis of his/her race, national origin, religion, color, gender (including pregnancy), age, sexual orientation, disability, or any other status protected by law.
- To access websites or materials that are inappropriate in the workplace, including but not limited to: pornography; sexually-oriented materials; gambling sites; sites depicting violent acts, abusive acts or advocating violent or abusive acts; etc.
- To proselytize to, or solicit employees or others.
- For external employment or profit.
- To engage in illegal activity.
- To engage in activity that is in competition with the work of the CTRMA.
- To access, view or re-direct any files, documents, materials, records, or any other information which the sender or recipient has no legitimate business "need to know".
- To discriminate against, harass, threaten or intimidate another individual.
- For any other purpose that could damage the image or reputation of the Agency or impair its ability to conduct business.

Some employees will be assigned unique email addresses. These unique addresses and identifiers remain the property of the CTRMA and employees may use them only while employed by the Agency. With respect to user identification information, passwords, and other related information, employees are prohibited from the following activities without obtaining the prior approval of an authorized the CTRMA manager:

- Using the logon/user identification or password information of another employee.
- Accessing, listening to, viewing, or re-directing—with no legitimate business reason—the electronic files, documents, materials, records, e-mail or voicemail of another employee.

Use of Agency Equipment and Electronic Communications

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The CTRMA reserves the right to alter, modify, re-route or block the delivery of messages as appropriate. This includes but is not limited to:

- Rejecting, quarantining or removing the attachments and/or malicious code from messages that may pose a threat to Agency resources.
- Discarding attachments, such as music, considered to be of little business value and of significant resource cost.
- Rejecting or quarantining messages with suspicious content.
- Rejecting or quarantining messages containing offensive language.
- Re-routing messages with suspicious content to designated Agency employees for review.
- Rejecting or quarantining messages determined to be unsolicited commercial email (spam).
- Appending legal disclaimers to messages.

While the Agency's technology/communications equipment, tools and systems are intended primarily for business and work-related purposes, limited personal use of computers, software, e-mail, internet and voicemail systems is generally acceptable while on the CTRMA, provided that:

- Their use complies with all other terms of this policy.
- Their use is not excessive and remains within reasonable, acceptable time limits.

Employees are reminded that e-mail and other electronic records are considered shared Agency files, discoverable under court-ordered subpoena or other legal process. As such, employees must ensure that the content of e-mail and other electronic records is legal, truthful, and complies with Agency policies, rules and procedures.

The Central Texas Regional Mobility Authority routinely monitors and records activity and use of its technology/communications equipment, tools and systems, including internet, e-mail systems and voicemail systems. Because employees have no right or expectation of privacy in their use of Agency-owned technology/communications equipment, tools and systems, employees are strongly encouraged to refrain from storing or accessing on computers, e-mail systems and voicemail systems any personal materials or other materials which they do not wish to be monitored and inspected by Agency management. Such inspections will be conducted by Agency management from time to time, with or without prior notification and with or without the consent or presence of the employee.

The CTRMA treats electronic messages as a business record. As with any business record, established practices and procedures for the safekeeping, retention and ultimate destruction of the business record must be followed. The CTRMA may serialize, archive, or retain copies of all internal and external electronic messages.

Use of Agency Equipment and Electronic Communications

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As a condition of employment, all employees must sign an acknowledgement indicating that they have read and understand the policies, practices, procedures, risks and cautionary advice that apply to the CTRMA's email, instant messaging, and internet resources.

Any employee who discovers a violation of these policies should immediately notify a manager or the Human Resources Manager. Any employee in violation of these policies is subject to disciplinary action, up to and including termination of employment.

Use of Agency Vehicle

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SECTION 1. SCOPE OF POLICY.

Central Texas Regional Mobility Authority's ("CTRMA's") Motor Vehicle Use Policy governs the use and maintenance of all CTRMA vehicles by all salaried and non-salaried employees of CTRMA. This policy is intended to promote safe and responsible driving practices and to help prevent accidents, injuries and property damage. It is the responsibility of all members of the CTRMA staff to comply with this policy.

The use of CTRMA equipment or vehicles for personal use is prohibited by law, but because of the need for specific employees to respond to emergencies at night or on weekends, the following employees (with the concurrence of their department head) are authorized to take a CTRMA vehicle to their home at night within a 25 mile radius, even though this involves the use of a CTRMA vehicle for travel to and from their home each day:

- a.) Operations Director
- b.) Director of Engineering
- b.) Maintenance Manager

SECTION 2. DEFINITIONS.

As used in this policy, the following definitions apply:

- A. A. "authorized driver" means a CTRMA employee who holds a current, valid license to operate a motor vehicle in Texas and who has complied with all provisions of Section 3 of this policy.
- B. B. "authorized passenger" means an employee of CTRMA or any other person accompanying an employee of CTRMA in a CTRMA vehicle in furtherance of official CTRMA business, not to include children.
- C. D. "employee" means any person who is in the employ of CTRMA and whose salary is paid either completely or partially by CTRMA.
- D. G. "CTRMA vehicle" means a motor vehicle designed primarily for passenger use which is the property of CTRMA.

Use of Agency Vehicle

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SECTION 3. VEHICLE OPERATOR PRIVILEGES.

- A. CTRMA vehicle operator privileges for its vehicles, will be available to employees of CTRMA at least 21 years of age and who possess a valid United States driver's license in effect for at least two years.
- B. CTRMA vehicle operator privileges are invalid upon revocation, suspension or expiration of a CTRMA employee's license to operate a motor vehicle in Texas. An authorized driver must report the suspension or revocation of his or her license by the State of Texas to their Manager within 48 hours of its occurrence.
- C. The Executive Director may suspend or revoke an authorized driver's CTRMA vehicle operator privileges for failure to comply with any provision of this policy. The Executive Director will notify an authorized driver when his or her CTRMA vehicle operator privileges have been revoked.
 - a. All CTRMA drivers are responsible for complying with this policy.
 - b. Violation of this policy may be grounds for corrective action and/or loss of driving privileges.

SECTION 4. VEHICLE EXPENSES

A. Fuel Expenses.

Refueling of CTRMA should be done with the CTRMA procurement mastercard. Cards may be obtained through the CFO. The Engineering department will be responsible for keeping the gas tank filled.

B. Maintenance and Repair.

Necessary repair and maintenance expenses for all CTRMA vehicles may be done by auto repair shops listed on the State Contract otherwise three quotes must be received before engaging the services of an Auto shop. The exception will only be considered in case of an emergency where immediate towing or repairs are necessary.

SECTION 5. VEHICLE USE.

- A. Responsibilities. At this time all CTRMA vehicles are assigned to the Operations Department, however, all departments must comply with the following items:

1. The head of the department will be responsible for ensuring the driver(s) comply with Section 3.

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2. Vehicles are to be used only in the furtherance of CTRMA business. Vehicles are not to be used for personal errands, nor should they ever be taken home unless written authorization from the Executive Director is on file at the CTRMA Office.
3. Cleaning of the vehicle should be done on a weekly basis. The Operations Department will be responsible for delivering the vehicle to and from the car wash for cleaning
4. The Operations Department will be responsible for delivering the vehicle to and from an auto shop for routine maintenance.
5. CTRMA employees are required to keep a log to track business and personal miles of a CTRMA vehicle. Personal use, such as commuting and driving on vacation, will be treated as a "taxable fringe benefit" to the employee. IRS regulation require the value of the use to be reported as taxable income on the employee's W-2 form

SECTION 6. OCCUPANCY OF VEHICLES.

- A. Authorized Use. Except as provided in subsections C through E, CTRMA vehicles may be occupied only by authorized drivers and authorized passengers. Employees of CTRMA are authorized to use CTRMA vehicles only in the furtherance of official CTRMA business.
- B. Unauthorized Use. Except as provided in subsection C through D, an employee of CTRMA who permits a CTRMA vehicle to be driven by an unauthorized driver or who transports or permits the transportation of an unauthorized passenger shall have his or her CTRMA vehicle operator privileges suspended or revoked and shall be held personally liable to the extent permitted by law for any liability for any personal injury, death or property damage arising out of the unauthorized use or occupancy of the CTRMA vehicle.
- C. Emergency Aid. Nothing in this section shall be construed to prohibit the use or occupancy of a CTRMA vehicle to render emergency aid or assistance to any person.

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- D. Use by Mechanics. Nothing in this section shall be construed to prohibit the use or occupancy of CTRMA vehicles by private sector automobile mechanics or other maintenance or repair personnel during the course of performing required maintenance or repairs.

SECTION 7. INTOXICATING LIQUOR, DRUGS AND TOBACCO PRODUCTS.

- A. Use of Liquor, Drugs and Tobacco Products Prohibited. An employee of CTRMA may not drive a CTRMA vehicle while under the influence of intoxicating liquor or illegal drugs nor may he/she smoke any tobacco products while in the vehicle. Also, they may not possess open or closed containers of alcohol while operating any CTRMA vehicle.
- B. Penalty for Traffic Citation. An employee of CTRMA who receives a traffic citation for driving a CTRMA vehicle while under the influence of intoxicating liquor or drugs will have his or her CTRMA vehicle operator privileges suspended or revoked by the Executive Director. Any passengers who are authorized drivers may also have their CTRMA vehicle operator privileges suspended or revoked.
- C. Penalty for DWI Conviction. An employee of CTRMA who is convicted of driving a CTRMA vehicle while under the influence of intoxicating liquor or drugs shall be terminated from employment at CTRMA. Any employees of CTRMA who were passengers in the vehicle also may be terminated from CTRMA employment where it is shown that such officers or employees knew or should have known that the driver was under the influence of intoxicating liquor or drugs and did not take reasonable action to prevent the driver from driving the vehicle.

SECTION 9. TRAFFIC LAWS AND SEAT BELTS.

- A. Traffic Laws. The failure to obey any applicable traffic law while driving or occupying a CTRMA vehicle may result in suspension or revocation of the CTRMA vehicle operator privileges of all authorized drivers, as described in Section 3.D. Operate the vehicle in accordance with all applicable rules, regulations, law. Drive at legal speeds appropriate for road conditions.
- B. Seats Belts Required. All occupants of CTRMA vehicles must wear seat belts and require all other occupants to do likewise. The failure of any person to wear a seat belt while driving or occupying a CTRMA vehicle may result in the suspension or revocation of the CTRMA vehicle operator privileges of all

authorized drivers, as described in Section 3.D. The number of passengers should not exceed the number of seat belts. Also, check that front seat passengers are seated appropriately to decrease likelihood of severe air bag injuries.

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- C. Responsibility for Traffic Citations. An employee of CTRMA who receives a traffic citation or parking ticket while using a CTRMA vehicle will be personally responsible for the citation or ticket.

SECTION 10. CARE OF VEHICLES - ACCIDENTS - LIABILITY.

- A. Care of Vehicle. Prior to using a CTRMA vehicle, an employee of CTRMA shall inspect the vehicle for safety concerns before leaving the parking area or garage. Determine that all tires are inflated properly and are not excessively worn and that the brakes, lights, windshields wipers, seat belts and steering are functioning properly. Check other safety equipment for observable defects. If unsafe conditions are noted, the maintenance Manager is to be notified immediately and the vehicle must not be driven.
- B. Fueling of Vehicle. Prior to returning the vehicle, the employee must refuel the vehicle.
- C. Leaving the Vehicle. An employee of CTRMA will turn off the ignition, close all windows, and lock the doors and trunk of a CTRMA vehicle whenever the vehicle is left unattended. Vehicles should be cleaned of items not belonging in the vehicle (trash, personal items, etc).
- D. Liability for Loss or Damage. An employee of CTRMA will not abuse or misuse a CTRMA vehicle. An employee of CTRMA may be assessed for the loss or damage of a CTRMA vehicle if the loss or damage was caused by:
1. driving while under the influence of intoxicating liquor or drugs; or
 2. reckless driving.
- E. Penalty for Negligence. The CTRMA vehicle operator privileges of an employee of CTRMA may be suspended or revoked by the Executive Director if a CTRMA vehicle is damaged or destroyed due to the negligence of the CTRMA or employee. An employee must report accidents, thefts, damage, vandalism or other acts of criminal mischief to the appropriate local law enforcement agency and to their Manager within 24 hours. Failure to report may result in disciplinary action at the discretion of the Executive Director.
- F. Accidents. If involved in an accident resulting in bodily injury or property damage, an employee of CTRMA shall notify their Manager by telephone and submit a complete accident report by the next working day. Failure to comply with this subsection may result in suspension or revocation of the CTRMA vehicle operator privileges of all authorized drivers, as described in Section 2.A., who were in the vehicle at the time of the accident. See Appendix C for a copy of an accident report.
- G. Other. Not drive the vehicle "off road" unless it is made for that use

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SECTION 11. MECHANICAL OR OPERATIONAL FAILURE.

A. Mechanical or Operational Deficiencies. Mechanical or operational deficiencies that occur while a CTRMA vehicle is being used for official CTRMA business will be corrected in accordance with this section. In no case will an employee of CTRMA continue to operate a CTRMA vehicle if continued operation could endanger any person or property.

1. Minor Repairs. Minor necessary repairs, including towing, that do not exceed \$100 dollars shall be ordered and paid for by CTRMA as described in Section 4-B.
2. Major Repairs. Whenever the estimated cost of repairs or adjustments exceeds \$100, the CTRMA employee shall notify the CFO during working hours or after hours.

SECTION 12. VEHICLE RETURN.

A. Immediate Return Required. Immediately upon completion of a trip, the authorized driver must return the CTRMA vehicle. CTRMA vehicles may not be kept overnight following a trip. The vehicle must be returned clean and refueled.

B. Return During Business Hours. Whenever a CTRMA vehicle is returned during regular business hours, the CTRMA employee shall report vehicle defects to the Director of Engineering

C. Return After Business Hours. When it is necessary for an employee of CTRMA to return a CTRMA vehicle before or after normal working hours, the employee will:

1. park the CTRMA vehicle in the area designated for non-duty hour turn in;
2. record the odometer reading and the time of the turn in on the slip in the packet;
3. note any mechanical or operational deficiencies or needed adjustments;

4. close all windows and lock the CTRMA vehicle;

Performance, Conduct and Corrective Action

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POLICY

It is the policy of The Central Texas Regional Mobility Authority to maintain a professional work environment that fosters respect, teamwork, productivity and safety for employees and customers. Consequently, employees are expected to perform their assigned job duties, to maintain professional, respectful conduct while on Agency premises or representing the Agency, and to abide by Agency policies and rules.

An employee who commits any infraction of the CTRMA policy or procedure, or who fails to meet job performance or conduct expectations, may be subject to corrective action, up to and including termination of employment.

Management reserves the right to take whatever corrective action it deems appropriate to each situation. When evaluating performance issues, conduct issues, or other work-related problems for possible corrective/disciplinary action, management will carefully consider the following:

- The nature and seriousness of the problem;
- The employee's work history; and
- The type of corrective action which would best impress upon the employee the need for improvement (if corrective action other than termination is taken).

While it is not possible to specify all types of conduct or activities that are considered unacceptable, some unacceptable activities are noted in the non-inclusive list below. If you have any questions concerning these or other unacceptable activities, please see your manager or the Human Resources Manager.

- Criminal acts, whether on or off duty, at any time.
- Violence or threats of violence (whether verbal, written, or by images or gesture); or threatening, intimidating, or coercing any person; whether on or off duty, at any time, for any purpose.
- Possessing, selling, distributing or transporting handguns, firearms, knives, ammunition (whether live or spent), explosives, pepper spray or other incapacitating spray, or any other prohibited weapon of any kind, even if properly licensed or permitted, on Agency premises or while representing the Agency.
- Being under the influence of alcohol or prohibited substances on duty, on Agency premises, or while representing the Agency.
- Possessing, selling, manufacturing, distributing, concealing, transporting or consuming alcoholic beverages, illegal drugs, or other prohibited substances on duty, on Agency premises, or while representing the Agency.
- Any act of harassment directed at an employee, customer, prospective customer, or other individual while on Agency premises, or while representing the Agency; or violating the Agency's Workplace Harassment Policy.
- Sabotage and/or espionage; or causing in any manner the defacing, destruction or damage of Agency property or the property of employees, customers, vendors, or visitors.

Performance, Conduct and Corrective Action

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- Failure to immediately report damage to, or an accident involving Agency equipment or property.
- Unauthorized use or removal of property, equipment or tools, including documents, keys, or other items belonging to/leased by the Agency, an employee, customer, vendor or prospective customer without prior permission from management.
- Violation of Agency safety/health rules; any action which could endanger the life or safety of another person.
- Violating confidentiality rules or providing confidential or proprietary information to competitors, other organizations or to unauthorized employees; breaching confidentiality with respect to personnel or customer information; unauthorized release of, or negligence in the use, care or protection of confidential and/or proprietary information.
- Financial misrepresentation or other material misrepresentation on any Agency record or document; omission or falsification of any Agency record, including time records and employment applications and documents; unauthorized alteration of Agency records or other Agency documents.
- Immoral conduct or indecency on Agency property.
- Obscene or abusive language directed at any employee or customer; any disorderly conduct on Agency property or while representing the Agency.
- Insubordination or refusing to obey work instructions properly issued by a manager or supervisor.
- Unsatisfactory performance or careless execution of work; failure to meet deadlines or quality standards as explained by a manager.
- Excessive tardiness or excessive amounts of unexcused absences; failure to notify manager of absence or tardiness.
- Leaving the work area before the end of the scheduled shift without prior approval of the manager; sleeping or appearing to sleep during working hours.
- Being on Agency property without authorization; or being on Agency property outside of normal business hours without a legitimate business reason.
- Violation of any Agency rule or any action that is obviously harmful to the Agency's efforts to operate reputably and profitably.

The disciplinary and corrective action guidelines herein do not alter the at-will relationship which exists between the CTRMA and each employee. This means that employment may be terminated either by the employee or by the CTRMA at any time and for any reason, with or without notice. Failure to enforce any policy, expectation or standard does not affect management's ability to do so in the future.

The Central Texas Regional Mobility Authority reserves the right to modify, defer or rescind this policy at any time, with or without prior notice.

Workplace Harassment

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POLICY

All Agency employees have the right to work in an environment free from any type of unlawful discrimination or harassment based on race, color, religion, national origin, gender (including pregnancy), sexual orientation, age, disability or any other status protected by law. This includes freedom from sexual harassment in the workplace.

Harassment based on any of the above is considered a form of illegal discrimination. The Central Texas Regional Mobility Authority will not tolerate any form of harassment in the workplace.

Prohibited Harassment

For purposes of this policy, prohibited sexual harassment is defined as any unwelcome sexual advances, requests for sexual favors or other unwelcome verbal or physical conduct of a sexual nature when:

- submission to such conduct is made either explicitly or implicitly a term or condition of the individual's employment;
- submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting that individual;
- such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile or offensive working environment; or
- such conduct otherwise adversely affects an individual's employment opportunities.

Other forms of prohibited harassment include any unwelcome verbal or physical conduct that belittles, shows hostility, or ridicules an individual because of gender, race, color, religion, national origin, age, sexual orientation, disability, or any other characteristic protected by law, when such conduct:

- has the purpose or effect of creating an intimidating, hostile or offensive working environment;
- has the purpose or effect of unreasonably interfering with an individual's work performance; or
- otherwise adversely affects an individual's employment opportunities.

Harassment By Customers, Vendors and Third Parties

The Agency recognizes that unwelcome harassment can also be perpetrated by a vendor, employee of a vendor, customer, or other third party. If an employee believes that he/she has been or is being harassed, or if an employee witnesses what he/she believes to be harassment by

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a vendor, employee of a vendor, a customer, or other third party associated with his/work at the CTRMA, he/she should use the reporting and investigation procedures discussed herein. Where an investigation reveals that unwelcome harassment has occurred, the Agency will undertake appropriate measures to ensure that the harassment ceases.

Reporting Procedures

If an employee believes that he/she is or has been subjected to harassment based on any protected status, including but not limited to any of the conduct listed herein, by any manager, other employee, customer, vendor or any other person in connection with employment at the CTRMA, the employee should report the incident to his/her manager; or bring the matter to the immediate attention of any Agency manager or to the Human Resources Manager.

Similarly, an employee who witnesses harassment directed at an employee should immediately report the matter to any manager or to the Human Resources Manager, with or without the permission of the employee involved.

An employee who believes that he/she has been subjected to prohibited harassment or who witnesses harassment directed at another employee should not assume that the Agency is already aware of the situation. Even if others observe the conduct, those individuals may not know that the particular conduct or comments are unwelcome. In order for the Agency to resolve an employee's concerns, each employee must bring such issues to the Agency's attention by following the reporting procedures outlined herein.

Investigation

The Agency will take complaints or reports of harassment very seriously and will promptly initiate an investigation. Both the investigation and the resolution of the investigation shall be conducted and implemented in as confidential a manner as possible.

Remedial/Corrective Action

The Agency will take appropriate remedial action, including disciplinary action when warranted, if an investigation reveals that prohibited harassment, discrimination or retaliation in violation of this policy has occurred.

Employees who violate this policy shall be subject to corrective action, up to and including termination of employment for a first offense.

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Non-discrimination/Non-retaliation

No employee who, in good faith, reports an alleged incident of harassment or who participates in an investigation of an alleged incident of harassment shall be subjected to discrimination, reprisal or retaliation in any form because of having made such a report or participating in such an investigation. Any employee who feels that he/she has been subjected to any form of discrimination, reprisal or retaliation because of having reported an alleged incident of harassment or because of having participated in an investigation of a harassment complaint should immediately report such reprisal or retaliation to any Agency manager, to the Human Resources Manager, or to the Executive Director.

[For more information, please reference the Equal Employment Opportunity Policy and the Performance, Conduct and Corrective Action Policy in this Handbook.]

Alcohol and Prohibited Substances

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POLICY

The Central Texas Regional Mobility Authority recognizes a responsibility to help provide a safe and productive workplace for its employees. To this end, and to safeguard the Agency's property, protect the health and safety of the general public, and to set a positive example for the community in which the CTRMA does business, the Agency has adopted this substance abuse policy. Compliance with this policy is a condition of initial and continued employment with the CTRMA.

This policy is adopted in furtherance of the requirements of the Texas Workers' Compensation Act, and rules adopted thereunder, relating to the elimination of drug abuse in the workplace and of the Texas Transportation Code, §370.033(h).

Definitions

As used in this policy, "controlled substances", "prohibited substances", and "illegal drugs" broadly refers to all forms of narcotics, depressants, stimulants, hallucinogens, and the illegal use of inhalants and other drugs, including marijuana, whose use, possession, or transfer is restricted or prohibited by law (substances listed in Schedules I-V of Section 202 of the Controlled Substances Act [21 U.S.C. §812], as amended, or as revised and set forth in federal regulations [21 C.F.R. §§1308.11-1308.15]. Copies of such schedules are maintained by the CTRMA for review by employees).

As used in this policy, "under the influence" is defined as:

- Drugs, Inhalants or Controlled Substances: having any detectable level in the person's body, regardless of when or where the drug, inhalant, or controlled substance may have been consumed.
- Alcohol: having a blood alcohol content of 0.04 or higher or having any odor of alcohol on the breath or body, regardless of when or where the alcohol may have been consumed.

POLICY

It is the policy of The Central Texas Regional Mobility Authority to maintain a drug-free workplace.

To that end, the Agency prohibits the manufacture, distribution, dispensation, possession, concealment, use, sale, purchase or transfer of alcohol, inhalants, drugs, or controlled substances ("prohibited substances") and the possession of drug-related paraphernalia or literature promoting the use of illegal drugs while at work or while representing the Agency, on Agency premises (including parking lots), in Agency vehicles, or on Agency business.



Alcohol and Prohibited Substances

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The CTRMA also prohibits any person, including employees of the CTRMA, to be on Agency premises (including parking lots), in Agency vehicles, or on Agency business while under the influence of any prohibited substance.

Over-the-counter medications and prescription drugs prescribed by a licensed medical practitioner for the person using or possessing them are generally not prohibited by this policy, provided they were lawfully obtained and are not consumed at a frequency or quantity greater than the dosage prescribed or otherwise recommended on the medication's label. However, any employee taking any prescription or over-the-counter drug or medication, regardless of whether it was lawfully obtained and properly consumed, which may adversely affect his/her ability to perform work in a safe and productive manner, must notify his/her supervisor or, if not available, another management representative immediately after entering onto Agency's premises and prior to starting work.

The employee's supervisor, in consultation with appropriate medical personnel when necessary, will decide if the employee may remain at work or on the CTRMA's premises and what work restrictions or accommodations, if any, are deemed necessary. Information regarding the employee's use of medication and any other information provided by appropriate medical personnel will be kept strictly confidential and will be disclosed only to Agency management personnel on a need-to-know basis and in accordance with the law.

The CTRMA currently does not have a pre-employment drug testing program. However, the Agency reserves the right to initiate, at any time, with or without notice, a program that requires candidates who have accepted a position with the Agency to take and pass a drug test as a condition of initial employment.

In addition, the Agency reserves the right to require employees, as a condition of initial and continued employment, to submit to drug, alcohol and prohibited substances testing in the event of any of the following circumstances:

- a work-related incident/accident requiring any employee, customer or visitor to seek medical attention;
- upon reasonable suspicion on the part of management; and

Compliance with the Agency's drug, alcohol and prohibited substances policy is a condition of initial and continued employment.

Alcohol and Prohibited Substances

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Violations of Policy

An employee who violates this policy will be subject to disciplinary action, up to and including termination of employment.

An employee who violates this policy, or who is reasonably suspected of violating this policy, may be requested to undergo alcohol and drug testing. An employee who refuses to comply with a management request to submit to testing or who fails to cooperate with the testing process will be subject to disciplinary action, up to and including termination of employment.

In addition, an employee who violates this policy, or who is reasonably suspected of violating the policy of the Agency is subject to investigation that may involve searches of his/her person and property. Searches of employees' persons, clothing or personal effects, such as lunch bags/pails, purses, briefcases, attaches and vehicles will not be conducted without the employee's consent. However, an employee's refusal to permit a search of personal container(s) upon the request of management may result in disciplinary action, up to and including termination of employment.

Any employee who refuses to comply with a management request to cooperate with an investigation of alleged violation(s) of this policy may also be subject to disciplinary action, up to and including termination of employment.

The sale, use, purchase, transfer, or possession of an illegal drug or drug paraphernalia is illegal. Therefore, the CTRMA will report possession, distribution or use of illegal drugs to law enforcement authorities and will submit to the custody of law enforcement authorities any such substances found on CTRMA premises or property. The Agency will fully cooperate in any investigation and/or prosecution of a violation of drug law(s).

Neither this policy nor any of its terms are intended to create a contract of employment, or to alter existing employment relationships in any way. The CTRMA retains the sole right to change, amend modify or defer any term or provision of this policy without notice.

All CTRMA officers, including Board officers (Chair, Vice-Chair, Secretary and Treasurer) are encouraged to adhere to this policy. Officers are reminded that use of illegal drugs, or abuse of controlled substances or alcohol, may be grounds for removal from office in accordance with the Texas Transportation Code §370.254.

[For further information, please reference the Performance, Conduct and Corrective Action Policy in this Handbook].

Weapons & Violence

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POLICY

The Central Texas Regional Mobility Authority intends to create and sustain for its employees, customers and visitors a working environment which is free of workplace violence or the threat of violence.

Therefore, the Agency will assume and vigorously enforce a “zero tolerance” policy with respect to weapons and to violence or threats of violence directed at any person. Prohibited behavior includes but is not limited to threatening language, whether verbal or written; threatening gestures or pictures; and/or actual violence of any kind directed at any individual.

The CTRMA also prohibits possessing, selling, distributing, concealing or transporting—whether by employee, customer, or visitor—of firearms or any other weapon while on Agency premises, or while conducting Agency business of any kind. This prohibition includes but is not limited to: handguns, firearms, knives, ammunition (whether live or spent), explosives, pepper spray or other incapacitating spray, or any other prohibited weapon of any kind, regardless of whether the person is licensed to carry the weapon or not. This prohibition also includes toy weapons and reproductions or replicas of weapons.

Violations of Policy

A violation of this policy will be dealt with aggressively and, subject to investigation, may lead to corrective up to and including termination of employment for a first offense.

An employee who violates this policy or who is reasonably suspected of violating this policy is subject to investigation that may involve searches of his/her person and property. Employees are expected to comply with searches of their persons, clothing or personal effects, lunch bags/pails, purses, briefcases, attaches and vehicles. Such searches will not be conducted without the employee’s consent; however, an employee’s refusal to permit a search of his/her person, personal effects, or personal container(s) upon the request of management may result in disciplinary action, up to and including termination of employment.

He/she may also be subject to criminal prosecution and corrective action, up to and including termination of employment (and, in appropriate circumstances, termination for a first offense). Any employee who refuses to comply with a management request to cooperate with an investigation of alleged violation(s) of this policy may be subject to corrective action, up to and including termination of employment.

[For further information, please reference the Safety, Health and Security Policy, and the Performance, Conduct and Corrective Action Policy in this Handbook.]

Investigation, Privacy and Searches

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POLICY

It is the policy of The Central Texas Regional Mobility Authority to ensure a safe environment for employees and customers, and to ensure the efficient and proper operation of the business at all times.

To accomplish this objective, the CTRMA routinely monitors and records the use of its technology equipment, tools and systems, including internet, e-mail systems and voicemail systems.

From time to time, the Agency will need to search and inspect work areas for work-related reasons. Accordingly, the Agency reserves the right to inspect, search, and in appropriate circumstances, make electronic recordings in and around Agency-owned/leased structures and furniture, whether locked or unlocked, including offices, lockers, work cubicles, desks, file cabinets, computer databases, on-line services (e.g., the Internet), the electronic mail ("e-mail") and voicemail systems, work areas and storage areas on the premises or facilities of the CTRMA.

PROCEDURES

Searches of Agency-owned structures and furniture (as outlined above) will be conducted by Agency management or its designee, from time to time, with or without prior notification and with or without the consent or presence of the employee.

Agency policy does not permit any employee to use a personal lock to secure any Agency-owned structures or furniture on the premises or facilities of the CTRMA.

Because employees have no right or expectation of privacy in Agency-owned structures, furniture, internet, e-mail and voicemail systems, employees are strongly encouraged to refrain from storing in or on Agency-owned property any personal item (including personal written material) which they do not wish to be inspected by Agency management.

Searches of employees' persons, clothing or personal effects, such as lunch bags/pails, purses, briefcases, attaches and vehicles will not be conducted without the employee's consent. However, an employee's refusal to permit a search of his/her person, personal effects, and personal container(s) upon the request of management may result in corrective action, up to and including termination of employment.

Investigation, Privacy and Searches

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Similarly, an employee's refusal to fully cooperate in an investigation conducted by management or a representative of management will be taken into consideration when making final decisions at the conclusion of such an investigation, and may result in corrective action, up to and including termination of employment.

**EMPLOYEE RECORDS
AND TERMINATION OF EMPLOYMENT**

Employee Records

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POLICY

The CTRMA's Human Resources Manager shall retain certain personnel records in order to comply with various federal, state and local laws, and to maintain other relevant information for each employee. The Agency makes every effort to balance each individual's right to privacy with the Agency's need to obtain, use and retain certain employment information.

Personnel records shall be treated privately and confidentially, to the degree permitted by law and their use for conducting normal business operations. Medical and benefits records/information shall be retained separately from the personnel records and shall not be made accessible to any person other than authorized human resources personnel and the employee.

PROCEDURES

Personnel records are to contain information which is needed by the Agency to conduct its business or which is required by federal, state or local law. This information normally will include, but will not necessarily be limited to, the following:

- Application forms;
- Payroll information;
- Performance appraisals;
- Disciplinary records; and
- Work-related personal information.

Employees have a responsibility to keep their personnel information up-to-date and are to notify the Human Resources Manager in writing of any changes. Employees are generally allowed to inspect their own personnel records, with the exception of employment references. A request to do so should be directed to the Human Resources Manager, which will schedule a time for inspection that is convenient for both parties.

Third parties (banks, mortgage companies, etc.) who are seeking information concerning employees and former employees should be referred to the Human Resources Manager. The Human Resources Manager will comply with state laws (Texas Government Code §552.102) regarding confidentiality of employee information and will release to third parties only the dates of employment and position(s) held, unless the individual who is the subject of the inquiry provides written consent for the release of other relevant information.

Managers who receive verbal or written requests for personal or employment information about a current or former employee should refer these inquiries, without comment, to the Human Resources Manager.

Leaving Employment with the Central Texas Regional Mobility Authority

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POLICY

Because The Central Texas Regional Mobility Authority is an at-will employer, employees may resign from the Agency at any time, for any reason. Similarly, the Agency reserves the right to terminate employment at any time, for any reason, with or without advance notice and with or without cause.

The CTRMA has established guidelines regarding termination of employment. Termination of employment includes voluntary discharges such as: employee resignation, retirement, and expiration of an employment contract; and involuntary discharges, such as reorganization, reduction-in-force, or discharge for cause.

PROCEDURE

In order to ensure that the CTRMA remains a premier employer of choice, employees who voluntarily leave the Agency will normally be asked to schedule a confidential exit interview with the Human Resources Manager or his/her designee.

Generally, former employees who leave in good standing may be considered for re-employment. Former employees who were involuntarily discharged generally will not be considered for re-employment.

Employees are not permitted to use remaining vacation time as part of the notice period, unless specifically approved by the employee's manager.

Credited service/length of service for purposes of determining benefits eligibility is governed by the terms of each benefit plan.

The termination and discharge policy/procedures outlined in this policy are not all-inclusive, nor do they constitute a legal contract between the CTRMA and its employees. Employment with the CTRMA is on an at-will basis.

**EMPLOYEE ACKNOWLEDGEMENT
AND AGREEMENT**

I acknowledge that I have received The Central Texas Regional Mobility Authority's (the "Agency's") Employee Handbook (the "Handbook"), either in electronic or paper format. I certify that I have read the complete Handbook, and have had an opportunity to ask a manager to answer my questions about the Handbook.

I understand that the Handbook serves as a set of guidelines only. Since no handbook or set of policies can anticipate every possible circumstance or situation that may arise in the workplace, I understand that individual circumstances may call for individual attention. I further understand that the contents of this Handbook may be changed at any time at the discretion of the Agency.

I understand that nothing contained in the Handbook or this acknowledgment page, in whole or in part, shall act as a contract or guarantee of employment. I understand that my employment with The Central Texas Regional Mobility Authority is at-will, and that because I am employed for no definite period of time, both the Agency and I retain the right to terminate the employment relationship at any time and for any reason. I also understand and agree that the Agency retains the right to demote, transfer, change my job duties, and change my compensation at any time with or without cause in its sole discretion. It is my further understanding that this "at will" employment relationship may not be changed by any written document or by any conduct unless such change is specifically acknowledged in writing by me and the Executive Director and/or Board of Directors of The Central Texas Regional Mobility Authority.

As a condition of initial and continued employment, I agree to abide by and adhere to the rules and regulations of the Agency at all times during the entire course of my employment.

In particular, I have read, understand and agree to abide by the Workplace Harassment Policy and the Code of Conduct Policy.

I understand that my signature below indicates that I have read and understand the above statements.

Printed Name

Signature/Date

Original – Employee file
Copy – Employee