



# **WORKING TOGETHER AT WALLACE: A GUIDE FOR STAFF**



# Working Together at Wallace: A Guide for Staff

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## **Working Together at Wallace: A Guide for Staff**

### **INTRODUCTION**

In this guide we address the regulations and legislation that govern the workplace, and share information about the policies and practices that guide how we work together.

It's important to note a few points about this guide:

- The guide is not intended to be all-inclusive, however it does supersede any previous employee handbook.
- In the event there is a conflict between these rules and federal, state or local law, the applicable law will control.
- Descriptions of benefit plans and programs are merely brief summaries; in all cases the plan provisions as contained in the plan documents and insurance contracts govern eligibility to participate and specific coverage under the plan or program.
- With respect to these policies, practices, guidelines and procedures set forth herein:
  - The Foundation expressly reserves the right to revise, change or terminate any or all provisions from time to time, with or without notice, and to deviate from them totally or partially at any time.
  - They are not intended to form nor shall they be deemed to form any binding or contractual obligations, express or implied, upon the Foundation.
  - They do not constitute a contract or terms of employment between the Foundation and its employees. Foundation employees are at-will employees who may terminate their employment, or whose employment may be terminated, at any time for any reason. Employees should not rely on the non-binding information in this guide when making decisions related to employment.
  - The chief administrative officer is responsible for providing the Foundation's interpretation of all policies, practices, guidelines and procedures outlined in this guide.

We have a personal responsibility to create the kind of workplace where everyone can contribute and thrive in support of our mission. We also have a responsibility to be aware of the policies in this guide and to practice them every day, so please carefully read and review this guide and other relevant materials on the intranet. If you have questions or wish to share your thoughts about any of our policies or practices, please feel free to speak with the chief administrative officer.

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I: OUR CORE VALUES

## OUR CORE VALUES

A statement of core values sets out the kind of work the organization believes is most important and the shared norms of behavior it expects from its members. The purpose of a values statement is:

- to guide choices about mission (what outcomes we want to accomplish for which beneficiaries) and strategy (how we plan to accomplish our mission) and
- to help every member of the organization understand what is expected in terms of his or her behavior towards others internally and externally.

*At The Wallace Foundation, we seek to **improve complex social systems** in ways that are **meaningful, measureable, and sustainable**. We value behavior that demonstrates a commitment to **mutual respect and support, diversity, continuous learning, collaboration, excellence, and accountability**.*

We believe that The Wallace Foundation can make a significant contribution to social improvement if we bring these values to life in our actions and are effective in our choices of mission and strategy.

Each of the bolded words in our values statement has particular meaning for us, as discussed below.

### MISSION-RELATED VALUES

#### **Improve**

We share a passion for improving the lives of others, reflecting our commitment to equity and social justice for everyone.

#### **Complex social systems**

Because we desire to have an impact on a large scale, we believe our best work will involve systems thinking that integrates across disciplines. We aim to have nationwide impact by informing the policies and practices not only of the partners with whom we work directly, but also the many others in the system.

#### **Meaningful**

We care about achieving lasting results addressing important problems. We aim high, believing we must be strategic, focused and realistic in our plans and approaches.

#### **Measureable**

We believe in the power of evidence to support positive change. There is value in assessing our own actions and the efforts of others as objectively as possible using the best tools available, even when these tools have limitations, because it is part of accountability and continuous learning and improvement.

## **Sustainable**

The kinds of problems important to us are difficult and will take years to improve. We and those we work with must, therefore, make a long-term commitment to finding and implementing possible solutions. We value persistence, engaged leadership, and public-private partnerships. We aim to enable others to carry on good work beyond the involvement of Wallace.

## **BEHAVIOR-RELATED VALUES**

### **Mutual Respect and Support**

We respect and support each other and those we work with externally.

We believe in treating everyone with whom we work with respect, fairness, and truthfulness. We seek to inspire trust by being trustworthy. We assume good intentions, always acting with a generosity of spirit and not taking ourselves too seriously. We help each other succeed and celebrate our successes. We value the ability to disagree without being disagreeable. We help each other seek work-life balance.

### **Diversity**

We celebrate diversity, both visible and invisible.

We know we will accomplish more if we value the different strengths and perspectives of people from all cultures and backgrounds. We seek diverse perspectives and listen to the voices of people with different life experiences, including those we serve. We share our expertise with others while honoring their expertise.

### **Continuous Learning**

We are committed to continuous learning both as individuals and as an organization.

In order to learn, we take responsible risks and explore the unknown. We believe in the value of reflection. We listen to challenges to our thinking and are open to new ideas and changing our minds. We acknowledge our mistakes and problems in order to be able to learn from them. We encourage and support each other in our learning and professional development.

### **Collaboration**

We work internally in teams and externally in partnerships to achieve our goals.

We value the ability to work productively and collaboratively in interdisciplinary teams. We recognize collaboration can take longer, which at times requires patience with the process. We freely share information, insights and analysis about our work with each other, the board, grantees, partners and the public. We strive to always act with a balance humility and self-confidence.

**Excellence**

We aim high in our goals for both how we do our work and the outcomes we seek to achieve.

We are thoughtful and diligent in our efforts to accomplish what is undertaken, aiming to produce high-caliber work in all we do. We bring critical thinking, analytical rigor, accuracy and clear communications to our work since they are important to our credibility.

**Accountability**

We are transparent, taking responsibility for our individual and the foundation's commitments.

We act as good stewards of the resources that have been entrusted to us to ensure they are used for the public good. We hold ourselves accountable for timeliness, responsiveness and agreed-upon team, grantee and partner goal attainment. We are open and clear about our decisions, reasoning, processes and methods. We represent ourselves truthfully at all times to uphold our credibility. We acknowledge problems and mistakes, knowing that the sooner a problem is confronted the easier it is to deal with. We are willing to share our failures as well as our successes, in hopes that we and others might learn from them.

These are the standards to which we hold ourselves accountable over the long run, recognizing that humans fall short from time to time. When we do, the important thing is to acknowledge the mistake, take responsibility for it, and learn from it.

*This policy statement is not a contract of employment. The Wallace Foundation reserves the right to change or revoke this policy statement at any time without notice.*

## II: OUR WORKPLACE

- Equal Employment Opportunity and Harassment-Free Workplace
- Drug-Free Workplace
- Violence-Free Workplace
- Building Security and Emergency Procedures



## **EQUAL EMPLOYMENT OPPORTUNITY and HARASSMENT-FREE WORKPLACE**

The Wallace Foundation is an Equal Employment Opportunity Employer and is committed to complying with all federal, state and local equal employment opportunity (“EEO”) laws. The Wallace Foundation prohibits discrimination against employees and applicants for employment because of the individual’s race or color, religion or creed, alienage or citizenship status, sex (including pregnancy), national origin, age, sexual orientation, gender identity or expression, disability, marital status, familial status, domestic partnership status, genetic information or predisposing genetic characteristics, military status, domestic violence victim status, arrest or pre-employment conviction record, or any other characteristic protected by law.

This policy applies to all activities of the Foundation, including, but not limited to, recruitment, hiring, compensation, assignment, training, promotion, performance evaluation, discipline and discharge. As detailed below, this policy also bans discriminatory harassment.

The Foundation will provide reasonable accommodation consistent with the law to otherwise qualified employees and applicants with a disability or who are pregnant and to employees and applicants with needs related to their religious observance or practices. What constitutes a reasonable accommodation depends on the circumstances and thus will be addressed on a case-by-case basis.

### Discriminatory Harassment

The Foundation prohibits conduct that constitutes or could lead or contribute to harassment for the characteristics enumerated in this policy. Examples of such conduct include, but are not limited to:

- ethnic slurs;
- use of the Foundation’s computers (including via the Internet) or e-mail system to view or distribute racially offensive communications; and/or
- threatening, intimidating, or hostile acts directed at a particular sex or religious group or directed at an individual because of his or her sexual orientation, color or ethnicity.

Harassment does not require intent to offend. Thus, inappropriate conduct or language meant as a joke, a prank, or even a compliment can lead or contribute to harassment.

### Sexual Harassment

Sexual harassment is a specific type of discriminatory harassment. According to the Equal Employment Opportunity Commission’s (“EEOC’s”) guidelines, unwelcome sexual advances, requests for sexual favors and other verbal or physical conduct of a sexual nature constitutes sexual harassment when: (1) submission to such conduct is made explicitly or implicitly a term or condition of an individual’s employment; (2) submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual; or (3) 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.

The Foundation prohibits conduct that constitutes or could lead or contribute to sexual harassment. Examples of such conduct include, but are not limited to:

- unwelcome sexual flirtations, advances or propositions;
- inappropriate touching of an individual’s body;

- graphic verbal comments about an individual's body or appearance;
- sexually degrading words used to describe an individual; and/or
- the use of the Foundation's computers (including via the Internet) or e-mail system to display or distribute sexually explicit images, messages, or cartoons.

*Additional responsibilities for staff in a management role*

In addition, no one with a management role may at any time: (1) threaten or imply that an individual's submission to or rejection of a sexual advance, or harassment or discrimination based on any other protected category, will in any way influence any decision regarding that individual's employment, performance evaluation, advancement, compensation, assignments, discipline, discharge, or any other term or condition of employment; or (2) make any employment decision concerning an individual on any discriminatory basis

Reporting Procedures

If you believe that you or another individual has been subjected to any conduct of the type prohibited by the Equal Employment Opportunity and Harassment-Free Workplace policy, you are urged and expected to report the relevant facts promptly.

Employees should ordinarily direct such reports to the chief administrative officer or, alternatively, employees may direct reports to the president. Employees should choose whichever individual they feel more comfortable with under the circumstances. Employees should report the conduct regardless of the individual's position or if the individual is a vendor or consultant.

Prompt reporting is very important so that the Foundation can take action to stop the conduct before it is repeated. All reports will be followed up promptly, with further investigation conducted where needed to confirm facts or resolve disputed facts. In conducting its investigations, the Foundation will strive to keep the identity of individuals making reports as confidential as possible.

Individuals who violate this Policy will be subject to appropriate disciplinary action, up to and including termination. Appropriate disciplinary action will also be taken against any employee who knowingly and willfully makes a false allegation concerning an alleged violation of this Policy.

No Retaliation

Threats or acts of retaliation against individuals who report inappropriate conduct pursuant to this Policy or provide information in connection with a report by another individual will not be tolerated. In the event you believe that you have been retaliated against for such action, you should use the above procedures to report the pertinent facts promptly. The Foundation will investigate and take appropriate action in the manner described above.

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## **DRUG-FREE WORKPLACE**

The abuse of drugs, alcohol or other substances can impair job performance, and have an adverse effect on productivity and the Foundation's reputation.

The use, possession, sale or distribution of illegal drugs, the misuse of prescription drugs, and the misuse, sale or distribution of alcoholic beverages is prohibited while on Foundation premises or while conducting Foundation business outside the office. Disciplinary action, up to and including immediate termination, may be taken for any violation of this policy

There may be Wallace-sanctioned events in the office, e.g., Board dinners or social events, or outside the office at conferences, and business and social events, where moderate consumption of alcoholic beverages that does not impair your job performance is appropriate. As such, this will not be considered a violation of this policy.

Drug and alcohol testing will be carried out in compliance with any applicable state and federal laws and regulations. An employee who has positive test results, or who refuses to submit to alcohol and drug testing, may be subject to disciplinary action up to and including termination of employment.

The Foundation is committed to maintaining confidentiality with respect to this policy, consistent with the need to conduct investigations and enforce the policy.

If you have an alcohol or drug dependency, you are strongly encouraged to seek advice and obtain treatment before the dependency affects your job performance. Appropriate treatment may be available through the Foundation's benefit programs: UnitedHealthcare/Oxford health insurance plan (information located [here](#) on the intranet) or CIGNA Life Assistance Program (located [here](#) on the intranet). You should contact UHC/Oxford in advance to fully understand what coverage is provided under the plan.

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## **VIOLENCE-FREE WORKPLACE**

The Wallace Foundation strives to maintain a safe workplace free of violence and expects that all staff will understand and share in this responsibility.

The Foundation will not tolerate any type of workplace violence and prohibits employees from making threats or engaging in acts of violence on Foundation premises or while conducting Foundation business outside the office. Prohibited conduct includes, but is not limited to:

- Possessing guns, knives or other weapons;
- Making threats of violence against any other person;
- Striking, or attempting or threatening to strike any other person.

### **Reporting**

Employees are expected to exercise good judgment and inform the chief administrative officer if an individual exhibits behavior which could be a sign of the potential for violence. Such behavior may include discussing weapons or bringing them to the workplace, displaying overt signs of hostility or anger, or making threatening remarks.

Any potentially violent situation or violation of this this policy, must be reported immediately to the chief administrative officer.

If the chief administrative officer is not available, the employee should inform the senior counsel.

All reported incidents will be promptly investigated. In conducting its investigation, the Foundation will strive to keep the identity of individuals making reports as confidential as possible. Acts or threats of violence may be reported to the proper authorities.

Any employee who engages in workplace violence or who fails to follow this policy's reporting procedure may be subject to appropriate disciplinary action, up to and including termination.

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## **BUILDING SECURITY AND EMERGENCY PROCEDURES**

### **Office Access and Building Security**

The management of 5 Penn Plaza provides building security personnel who are on duty 24/7, and limits access to the building and the Foundation's office to staff with a valid access card.

To comply with building management's policy, only visitors who have been registered in the building's security system in *advance* will be admitted at the lobby desk to come up to the office. To add a visitor:

- Meeting: Add "WallaceGuests" to your Outlook meeting invitation and include the name and organization of the guests.
- Not a meeting: Send an email to "WallaceGuests" and include the name of the guest.

You may also ask our receptionist to add a guest to the security system.

### **Emergency Procedures**

The Foundation complies with all building procedures for fire, evacuation or other emergency situations, and building management conducts drills on a regular basis. There is a designated Fire Team composed of Wallace staff members, and staff are instructed to gather in the 7<sup>th</sup> floor elevator lobby *immediately* when an alarm signals an emergency situation.

Emergency wallet cards are issued to all staff which include the emergency telephone number and web site address, conference call-in number, and the designated meeting locations for staff check-in in the event of a building or city-wide evacuation.

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### III: OUR RESPONSIBILITIES

- Code of Ethics
- Whistleblower
- Confidentiality of Information
- Appropriate Use of Technology

## CODE OF ETHICS

As staff of The Wallace Foundation, we hold ourselves to the highest standard of ethical behavior in our grantmaking and every aspect of the Foundation’s business. As a philanthropy we hold a public trust and strive to act at all times with integrity, transparency, in good faith, and in an honest and ethical manner – in compliance with all laws and regulations and avoiding undisclosed actual or potential conflicts of interest.

Some of the provisions of the Code of Ethics may require interpretation given the context of specific decisions or may suggest different and mutually exclusive courses of action. These situations require the application of judgment transparently and in good faith. Any staff member who faces such a situation should not make the decision alone. For potential conflicts of interest and acceptance of gifts, the disclosure requirement is to the Senior Counsel. For outside employment and consultancies, board and advisory committees, and participation in review panels, we’ve outlined specific procedures to elevate issues for review.

### **I. POLITICAL ACTIVITIES AND AFFILIATIONS**

Foundations are strictly prohibited from engaging in political activities, and as such, you may not engage in any political activity or affiliation that could be attributed to your role with the Foundation. Similarly, you may not use any of the Foundation’s resources to engage in any political activities.

If you are involved in a political activity, you must inform the organization that your participation is as an individual and not in any way representing or on behalf of the Foundation. The Foundation may not be identified in any listings or other materials.

### **II. CONFLICT OF INTEREST**

These Conflict of Interest procedures apply to all Foundation staff. Additionally, staff members who are officers enumerated below, “key persons”<sup>1</sup> and Investment staff of the Foundation are subject to certain additional or alternative procedures and requirements as indicated below.

#### **A. Conflict of Interest Procedures for All Staff**

Under New York State and federal law, conflicts of interest are not inherently illegal, nor are they to be regarded as a reflection upon the integrity of the individual involved. It is the manner in which the individual and the Foundation deal with a disclosed conflict that determines the propriety of the transaction.

Staff should not knowingly act in any way that might reasonably create an undisclosed actual or potential conflict of interest or impair your objective and independent judgment and actions with regard to fulfilling your responsibilities within the Foundation.

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<sup>1</sup> The term “key person” means any person, other than a board member or officer, whether or not an employee, who (i) has responsibilities, or exercises powers or influence over the Foundation as a whole similar to the responsibilities, powers, or influence of board members and officers; (ii) manages the Foundation, or a segment of the Foundation that represents a substantial portion of the activities, assets, income, or expenses of the Foundation; or (iii) alone or with others controls or determines a substantial portion of the Foundation’s capital expenditures or operating budget. Specifically, in the case of the Foundation, “key persons” consist of the members of the Senior Management Team.

A *conflict of interest* may exist:

- i) When you or one of your related parties (defined below) has a direct or indirect personal, business or financial interest in any transaction, agreement or arrangement that the Foundation is a participant in, or
- ii) In any other circumstance where there could be an actual or potential conflict of interest for some other reason, including when your interests or those of one of your related parties may be seen as competing with the interests of the Foundation.

Such transactions may include (but are not limited to) compensation arrangements with the Foundation, and grants, contracts, investments and other transactions in which personal, business or financial benefit is or will be provided to you or one of your related parties.

The following transactions are excluded by law from being considered conflicts of interest under this section: (i) a transaction where the transaction is de minimis or your financial interest or any related party's financial interest is de minimis, (ii) a transaction that would not customarily be reviewed by the Board of Directors or the boards of similar organizations in the ordinary course of business and that is available to others on the same or similar terms, and (iii) a transaction that constitutes a benefit provided to you or any of your related parties solely as a member of the class of beneficiaries that the Foundation intends to benefit in furtherance of its mission and which is available to all similarly situated members of the same class on the same terms.

“*Related parties*” are defined as:

- i) *Relatives*, including a spouse or domestic partner; ancestors (e.g., parents, grandparents); siblings and half-siblings; children; grandchildren; great grandchildren; spouses of siblings, half-siblings, children, grandchildren, and great grandchildren; and members of the individual's household;
- ii) Any entity or trust of which you or one of your relatives described in paragraph (i) above serves as a director, trustee, officer or employee.
- iii) Any entity or trust in which you or one of your relatives described in paragraph (i) above have a 35% or greater ownership or beneficial interest or, in the case of a partnership or professional corporation, a direct or indirect ownership interest in excess of 5%.

If you suspect that there may be a conflict of interest, you must disclose in good faith the nature and extent of such interest and all other material facts about the interest or transaction, if applicable, to the Senior Counsel. You must obtain the approval of the Senior Counsel before engaging in the activity in question.

Any conflicts involving the Senior Counsel shall be disclosed to the president, who shall make a determination and report the outcome to the Audit Committee.

Additionally, at the time of hire and annually thereafter, and whenever there is a change in the information relevant to this Policy, you are required to complete and sign a disclosure statement for this Conflict of Interest Policy and submit it to the Senior Counsel.



## **B. Specific Conflict of Interest Procedures for Officers and Key Persons**

**The following section applies only to officers and key persons.** Under New York Not-for-Profit Corporation Law, officers and key persons are subject to additional requirements with respect to conflicts of interest (defined above). (These requirements also apply to the Foundation’s Board of Directors.)

The Wallace Foundation officers are:

- President
- Treasurer
- Chief Investment Officer
- Assistant Treasurer
- Chief Financial Officer
- Chief Administrative Officer
- Corporate Secretary
- Assistant Secretary

A “key person” includes, in addition to the officers listed above, any member of the Senior Management Team.

The Audit Committee of the Board will oversee the implementation of and compliance with these Conflict of Interest Procedures.

### **1. Disclosing, Addressing and Documenting Conflicts of Interest**

#### *a) Disclosure*

In the event any officer or key person or his or her related parties (as defined above) has a direct or indirect personal, business or financial interest in a transaction, grant or contract request that the Foundation is considering and in the case of any potential conflict of interest, the officer or key person shall disclose in good faith the nature and extent of such interest or involvement and all other material facts about the transaction, grant or contract request to the Senior Counsel, who shall make a determination as to whether a conflict exists in accordance with these Conflict of Interest Procedures and report the outcome to the Audit Committee of the Board; or if in the context of a Board meeting, to the full Board; or if in the context of an Investment Committee meeting, to the Investment Committee. The Board or applicable committee shall review the determination of the Senior Counsel in accordance with these Conflict of Interest Procedures. Disclosure shall be made prior to any consideration of the proposed transaction by the Board or committee, or promptly after the officer or key person has knowledge of the relevant facts if he or she had no actual knowledge prior to the relevant Board or committee action.

#### *b) Respond to Questions; Recusal; Refrain from Influence*

The officer or key person shall answer any questions and provide any information reasonably requested by any board member or committee member pertaining to the officer’s or key person’s interest in the transaction, grant or contract or regarding the terms of the proposed transaction, grant or contract. Beyond responding to such requests for information, the officer or key person shall not be present at or participate in the

deliberations or vote on such transaction or grant request and shall refrain from attempting to improperly influence the deliberations or voting on the matter.

*c) Steps and Standard for Foundation Approval*

Once the Foundation becomes aware of an actual or potential conflict of interest, the Board of Directors or relevant committee must determine, acting without the presence, participation or influence of the interested officer or key person, that the transaction or grant in question is fair and reasonable to the Foundation and is in the Foundation's best interests. In determining whether the proposed transaction or grant is fair, reasonable and in the Foundation's best interests, the Board or Committee will review available information regarding the cost or benefit of comparable arrangements, if any.

If an officer or key person or one of their related parties has a substantial financial interest in a transaction, the Board or committee must consider whether the Foundation is able to obtain with reasonable efforts a more advantageous alternative arrangement that would not give rise to a conflict of interest. Such proposed transaction or grant request must be approved by not less than a majority of the members of the Board or Committee, as applicable, present at a meeting at which there is quorum. Interested board members, if any, may be counted solely for determining the presence of a quorum.

*d) Disclosure to the Audit Committee*

If a conflict of interest transaction is reviewed by a Board committee other than the Audit Committee, the existence of the matter and its disposition (including compliance with the requirements of this Policy) must be promptly disclosed to the Audit Committee.

*e) Documentation*

The minutes of the meeting at which the transaction is discussed shall reflect all disclosures and recusals with respect to the transaction or grant, together with the basis for all determinations and approvals, including the terms of the applicable transaction or grant; any data the Board or committee relied upon in determining that the transaction or grant is reasonable and in the best interests of the Foundation, including consideration of any comparable arrangements (to the extent considered); how such comparability data was obtained; and the determination made.

## **2. Disclosure Statement**

At the time of the initial election, appointment or hiring of any officer or key person and annually thereafter, such individual must complete, sign and submit to the Senior Counsel of the Foundation a written disclosure statement identifying to the best of his or her knowledge:

- i) any entity or trust of which such individual is an officer, director, trustee, member, owner (either as a sole proprietor or a partner) or employee and with which the Foundation has a relationship;
- ii) any transaction in which the Foundation is a participant and in which the individual or related party with respect to that individual might have a conflicting interest; and
- iii) any other interests that could give rise to a conflict of interest.

Each officer and key person must update his or her disclosure statement as necessary to reflect changes during the course of the year. Completed disclosure statements will be available for inspection by any member of the Board. Senior Counsel will review the disclosure statements and provide a copy of all completed disclosure statements to the Chair of the Audit Committee and will periodically update the Chair of the Audit Committee concerning compliance with the disclosure statement requirements of this Policy.

**C. Special Investment Procedures for Officers, Key Persons and Investment Staff**

Officers, key persons and all Foundation Investment staff have a duty not to engage in any investment activity that conflicts or competes with the Foundation's interests and a duty not to derive personal financial benefit through the use of special knowledge or privileged information acquired through their service as an officer, key person or member of the Foundation's Investment staff. The Specific Conflict of Interest Procedures for Officers and Key Persons outlined above will apply if the Investment Committee is considering investment activity that could potentially give rise to a conflict of interest. Additional limitations as set forth below may also apply.

The Foundation will not normally invest directly in organizations in which an officer, key person or member of the Foundation's Investment staff has a material ownership interest or holds a board position.

If the Investment Committee discusses a matter in which a Committee member or his or her related party has a direct or indirect financial interest, such Committee member must disclose such interest to the Investment Committee, and apart from responding to the Committee's requests for information, the interested Committee member must not be present at or participate in the discussion or attempt to influence any deliberations or voting on the matter. In making any determinations involving a conflict of interest, the Investment Committee shall follow the Specific Conflict of Interest Procedures for Officers and Key Persons outlined above and shall promptly report any such determinations made to the Audit Committee.

Officers, key persons and members of the Foundation's Investment staff shall comply with all laws and regulations relating to the use and communication of material non-public information. This includes the duty not to communicate, or trade while in possession of, material non-public information.

Officers, key persons and members of the Foundation's Investment staff and their related parties are not permitted to seek or receive any personal benefit or advantage in connection with the investment or prospective investment of assets of the Foundation, or to use the prestige or influence of their position for such purpose. In the Investment area, a personal benefit might include, for example, a placement fee, a reduced management fee or a reduced minimum investment, or any other benefit not available to every other qualified investor. Any offer of such a personal benefit must be disclosed to the Senior Counsel, who shall make a determination and report the outcome to the Audit Committee and the Investment Committee.

Officers, key persons and members of the Foundation's Investment staff must also disclose any arrangement under which they or their related parties are proposing to co-invest with the

Foundation to the Senior Counsel, who shall make a determination and report the outcome to the Audit Committee and the Investment Committee.

Officers, key persons and members of the Foundation's Investment staff are required to obtain approval from the Senior Counsel (who shall make a determination and report the outcome to the Audit Committee) prior to any investment in an IPO from a company in which the Foundation holds an equity or debt interest. Secondary public offerings by publicly-traded companies in which the Foundation owns less than 10% of the equity are excluded from this rule. The Senior Counsel should promptly report any such request and approval to the Investment Committee.

With respect to any investment matter, if there is any doubt or any potential for doubt with respect to whether a conflict of interest exists in a specific situation, the conflict must be disclosed to the Investment Committee in accordance with the Conflict of Interest Policy and the Investment Committee shall review the situation in accordance with the Specific Conflict of Interest Procedures for Officers and Key Persons outlined above.

**D. Conflicts Involving the Senior Counsel**

Notwithstanding any of the above, any conflicts involving the Senior Counsel shall be disclosed to the president, who shall make a determination and report the outcome to the Audit Committee.

**E. Self-Dealing Rules for Officers**

An excise tax is imposed for any direct or indirect act of self-dealing between a private foundation and a "disqualified person," e.g., a director or officer of the Foundation or member of their family.<sup>2</sup>

Self-dealing transactions generally include these actions between a private foundation and a disqualified person:

- The sale, exchange or leasing of property, even if at arms-length price.
- The lending of money.
- The furnishing of goods, services or facilities.
- Payment of compensation or expenses (other than reasonable compensation or expenses necessary to the carrying out of the Foundation's charitable purposes).
- The transfer or use of the Foundation's income or assets by or for the benefit of a disqualified person.

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<sup>2</sup> For purposes of self-dealing, "family members" are considered to include a spouse, ancestors, children and their spouses, grandchildren and their spouses, and great grandchildren and their spouses. This definition is consistent with the definition of a disqualified person under the Internal Revenue Code.

As a general rule, the public recognition “benefit” a disqualified person receives as a consequence of being associated with the Foundation’s charitable activities is not self-dealing because the benefit is considered incidental or tenuous. However, recommending that the Foundation make a grant that fulfilled a personal pledge would be self-dealing.

### **III. GIFTS, SERVICES, INVITATIONS, TICKETS AND TABLES**

Two principles are relevant in determining when it is and when it is not appropriate for you to accept any gift, entertainment, services, or favor other than that of nominal value (defined for purposes of this policy as \$75.00 or under in value):

- We wish to avoid any actions which could create an obligation to a third party doing business with, desiring to do business with, or seeking a grant or contract from the Foundation.
- We wish to be able to effectively manage and assess the work of current or potential grantees and contractors and maintain respectful relationships with all our partners.

Disclosure of the acceptance of any of these items, except those of nominal value as defined herein, should be made in writing to the Senior Counsel when it is received.

Specifically, when conducting business, you must pay for your meals and other related expenses, except for hospitality of nominal value, as defined above.

In general, you may accept a ticket or exclusive invitation to private receptions, events, galas, performances and the like sponsored by grantees, potential grantees or other organizations with a business relationship with the Foundation and typically made available to funders, only if the event is free or the Foundation pays for the ticket and there is a reason to do so related to your management of the grant or to maintain a respectful relationship with a grantee. The manager of the person attending the event is required to approve the acceptance of free tickets or the purchase of tickets, as any other business expense. (In the case of the president, the approval of the chair of the board is required.)

The Foundation does not generally purchase tables or raffles or otherwise support fundraising efforts, unless the relationship with the grantee would be harmed by not doing so, as our support of charitable causes is predominantly through our grantmaking programs.

### **IV. OUTSIDE EMPLOYMENT OR CONSULTANCIES**

So that the Foundation may review and advise whether the activity is permitted, prior to accepting any outside employment or consultancy, all staff are required to disclose such employment or consultancy in writing to the chief administrative officer. The disclosure should include information about the organization, your specific scope of responsibilities, any fees or remuneration, length/term of this employment or consultancy, and if/how the Foundation will be identified.

Your request will be reviewed by the chief administrative officer with the president. The chief administrative officer will respond in writing, indicating whether or not the activity is permitted and, if permitted, what conditions apply and under what circumstances you may be required to abstain from Foundation discussions and decisions.

## **V. BOARD AND ADVISORY COMMITTEE MEMBERSHIPS**

Staff may receive requests to serve as a member on boards and advisory committees of existing grantees, potential grantees or any organization with which the Foundation has a business relationship. Prior to accepting any request (except those provided for in the grant agreement) to serve on a board or advisory committee, such requests should be reviewed with your manager and a written request presented to the chief administrative officer. The chief administrative officer will review the request with the president following the guidelines for disclosure of outside employment and consultancies. In the case of the president, the request is to be made to the chair of the Board.

For boards and advisory committees included in a grant agreement or contract, participation should be discussed with your manager before accepting, but the request need not be submitted to the chief administrative officer.

## **PARTICIPATION IN REVIEW PANELS**

You may be asked to participate as an expert reviewer on a panel, as the Foundation sometimes requests external experts to participate on review panels for our work. Such requests should be reviewed with your manager and the chief administrative officer, who will review the request with the president to ensure that participation would not present any conflict of interest and can be appropriately balanced with your responsibilities at the Foundation. You may not accept any fee or honoraria, but the Foundation will reimburse covered travel expenses for panel participation that has been approved.

Adopted October 2014  
Revised effective May 27, 2017

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## WHISTLEBLOWER

If a Foundation employee or volunteer (other than members of the Board of Directors) becomes aware of or has a reasonable good faith belief that the Foundation may be involved in illegal activity, fraud or violation of an organization policy listed in Exhibit 1, or if the employee or volunteer suspects any impropriety regarding the Foundation's accounting methods, internal controls, audit processes or any other financial matter, the employee or volunteer should immediately report such concern ("suspected wrongful act") to the Senior Counsel. If it is impractical or inappropriate for the employee or volunteer to notify the Senior Counsel, the employee or volunteer may contact the President, or if inappropriate to notify the President, the Chair of the Audit Committee of the Board of Directors.

Reports may be submitted in writing or verbally, and should contain as much detail as possible to allow an appropriate investigation to begin. Reports may be submitted anonymously or not. Anonymous reports of suspected wrongful acts that do not contain sufficient detail may prevent an investigation from beginning. The employee or volunteer should retain all documents that could be relevant to an investigation of the matter.

All reports will be received and acted upon in confidence to the maximum extent possible given legal requirements and the need to gather facts, conduct an effective investigation, and take necessary corrective action.

The Senior Counsel shall be responsible for administering this Whistleblower Policy. When the President receives a report, he or she shall inform the Senior Counsel, unless it is inappropriate to do so. When the Senior Counsel receives a report, he or she shall inform the President, unless it is inappropriate to do so. The Senior Counsel or President will apprise the Audit Committee of all reports (including those not shared with the President or Senior Counsel) and investigations. Following investigation, the Foundation will take such appropriate remedial and disciplinary action as it deems justified by the circumstances.

The person who is the subject of a report shall not be present at or participate in any Board or committee deliberations or vote on the matter relating to the report, provided that such person may present background information or answer questions at a meeting prior to the commencement of deliberations or voting at the request of the Board or committee. Board members who are employees may not participate in any Board or committee deliberations or voting relating to the administration of this Whistleblower Policy.

No adverse action, including but not limited to intimidation, harassment, discrimination, adverse employment consequences or other retaliation may be taken against an employee or volunteer who in good faith reports allegations of improprieties or illegal activities which the employee or volunteer reasonably believes to be true, or for assisting in the investigation of a report.

The improprieties covered by this policy include, but are not limited to, the following:

- Supplying false or misleading information on the Foundation's financial documents;
- Providing false information to or withholding material information from the Foundation's auditors;
- Violations of the Foundation's policies listed in Exhibit 1;
- Foundation assets being used for personal gain or benefit;
- Payment for services or goods that are not rendered or delivered;
- Embezzlement and fraud; or
- Planning, facilitating or concealing any of the above.

A copy of this Whistleblower Policy will be distributed to all Foundation employees and volunteers in the Staff Guide and on the intranet.



**EXHIBIT 1**

**List of Wallace Policies  
As of June 2017**

**Board of Directors**

1. Board Member Code of Ethics (Updated May 2017)
2. Business Travel Reimbursement Policy for Directors (last revised 2012)
3. Director Sponsored Grants (last revised February 2015 and updated February 2017)

**Staff**

4. Staff Code of Ethics (Updated May 2017)
5. Travel and Expense Guidelines (Updated February 2017)
6. Matching Gifts (Updated October 2016)
7. Records Retention (May 2005)
8. American Express Corporate Credit Card Acknowledgment of Receipt (January 2012)

Adopted June 2014  
Revised effective May 27, 2017

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Whistleblower

May 2017

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## CONFIDENTIALITY OF INFORMATION

It is the responsibility of each staff member to properly safeguard any and all Foundation information that is secret, confidential or proprietary information or know-how of the Foundation (hereinafter collectively referred to as the “Confidential Information”) and promptly return it at the end of the employment relationship. Confidential Information includes but is not limited to personnel and payroll data, grantee organization information, proposals and review processes and decisions, grantee agreements, investment processes and decisions, financial records, manuals, records, vendor relationships, contractual agreements and provisions, computer programs and other such information, inclusive of all media (print, electronic or other) formats in which the Confidential Information is stored. All Confidential Information is the exclusive property of The Wallace Foundation.

You may not disclose any Confidential Information to any person who does not have an official need to know in the course of fulfilling your responsibilities for the Foundation. Further, you or a family member may not use Confidential Information for personal or financial advantage or to provide any direct or indirect benefit to you or any family members. As defined in the Internal Revenue Code as a “disqualified person” and for purposes of this policy, family members are considered to include a spouse, ancestors, children and their spouses, grandchildren and their spouses, and great grandchildren and their spouses.

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## APPROPRIATE USE OF TECHNOLOGY

The Wallace Foundation makes available information technology and communication systems to facilitate and support Foundation staff in accomplishing business goals and objectives and has established standards for appropriate use of such systems by staff. This policy addresses systems integrity, access, and staff's personal responsibility to maintain the security of our systems and comply with all Foundation policies in their use of technology.

### Ownership

All hardware, software, communications systems, equipment, electronic data (including email and all documents), software for accessing the world wide web (including web browsers and content of web searches), and voice mail messages are the property of the Foundation. The Foundation reserves the right to access, review and copy the content of any and all programs, directories (whether personal or shared), files, documents, and email, voice mail or other messages stored on its information or communications systems at any time for any purpose and without notification to staff.

### Systems Integrity, Configuration and Management

The Foundation has established standards for systems configuration, setup and software that apply to the network, office computers, Foundation laptops, smart phones and any other electronic equipment. If other software or applications are required for you to do your work, please discuss with the Information Technology Manager who will review and determine whether such additional software or applications can be made available.

We operate in full accord with copyright, licensing provisions and all applicable agreements for all of the Foundation's software and materials. Therefore, no copies should be made of any software or materials. In addition, staff may not download, upload or otherwise add any unauthorized or illegally obtained software, videos, music or other materials to any computer or electronic systems owned by the Foundation.

To protect the technology infrastructure, the Foundation uses applications to block SPAM, phishing emails, viruses and other malware. As a precaution, staff should check with the Information Technology Manager *before*:

- Using Flash drives on both a home computer and office computer, and using any disks or CD's on Foundation equipment;
- Using iPods, etc., personal memory keys, and other digital storage devices with any Foundation equipment; and
- Using online file storage service, such as Dropbox.

Staff may check personal email if needed using web-based email services (e.g., Gmail, Yahoo, AOL) only. However, staff are asked not to access or download attachments received through personal emails. We ask that staff recognize that they are responsible for and accountable to not take any action that will compromise the integrity of the Foundation's system.

For business continuity, the Foundation maintains a process to back-up and store data that is on the network drives only. Therefore, staff should use these shared network drives for *all* work. Generally, each unit will establish and manage the organization of files on the shared unit drive.

To support the most efficient operation of the system, staff should periodically review and delete files that are no longer needed. In addition, the Foundation has established a limit for e-mailboxes. Staff are responsible for reviewing, deleting or storing email files to maintain their e-mailbox within the limits.

#### Access, Security and Confidentiality

Appropriate access to the Foundation's systems, files and data is determined for each staff member at the time of hire based on their responsibilities. The Information Technology Manager configures this access. The Foundation has a password policy to further manage access and security of the system.

All users, particularly those with access to confidential information, have a responsibility to protect the Foundation's data in compliance with our Confidential Information policy. If such data must be transmitted, please discuss this in advance with the Information Technology Manager to ensure appropriate safeguards are in place. During the work day, screens should be locked when away from your desk. When leaving the office for the day, please logoff or lock the screen, and turn off the monitor. Confidential information should not be taken out of the office on a laptop, disk, memory key or any other media.

All users should comply with third party policies that protect confidential and proprietary information and copyright laws that govern the transmission, downloading, printing or sharing of any copyrighted materials or confidential information.

#### Appropriate Use

The Foundation's information technology and communications systems are provided to support staff in accomplishing our business objectives. All policies of the Foundation apply to electronic communications, including but not limited to our intent to maintain a productive workplace free of harassment, avoid conflicts of interest and prohibit engagement in political activity. The Foundation's equipment and your email address should not be used for personal blogging, social networking or while on social media sites.

Email should conform to standards for Foundation correspondence, be clear and succinct, and address topics that are appropriate for written communication. Review emails before sending – an email becomes a permanent document that can be forwarded to anyone. Confidential or sensitive topics generally are better addressed in person to allow for discussion.

Technology and electronic equipment is made available to support the work of the Foundation. Personal use should be limited, incidental, and take place outside the work day. Personal telephone use should exclude international calls. If circumstances require a

personal cell phone to be turned on during the business day, it should be switched to a non-audible signal.

### Training and Support

To effectively utilize technology in our work, the Foundation requires certain levels of proficiency by staff. An initial orientation to our information and communication systems is provided at the time of hire, and Information Technology staff is available for ongoing support. Opportunities to enhance required skills are available either by working with “expert users” internally or, if necessary, through selected training programs identified in consultation with the director of operations.

Information Technology staff will troubleshoot and resolve technical issues, and assist users in determining the best technology approach for the business need, e.g. sending an email to all grantees, conference registration, posting of conference materials. This support is for the Foundation’s system, hardware and software only; unfortunately our Information Technology staff are not available to provide advice or assistance with personal electronic equipment.

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## IV: FURTHERING OUR REACH

- Public Commentary, Presentations and Calls from the Media

## **PUBLIC COMMENTARY, PRESENTATIONS and CALLS FROM MEDIA**

To help advance our mission and share what we are learning with policymakers and practitioners to catalyze broad impact, we seek out and often accept opportunities to represent the Foundation at various meetings and to participate in other public forums. These opportunities may take many forms, including but not limited to speaking engagements, writing articles for print or electronic media, and participating in videos, blogs and on other social media sites.

In this policy we share our process for making decisions about participation in these public engagements as part of your role and responsibilities at Wallace. We also recognize that many staff participate personally on social media sites and engage in social networking, and we share a few points that we ask you to be mindful of when doing so in your personal life.

Decisions about public engagements – speaking, writing, videos and social media - rest with the director of communications. All invitations for public engagements should be reviewed with the director of communications before accepting or refusing them. By centralizing this responsibility, we make sure we pursue the best opportunities for the Foundation overall,<sup>1</sup> incorporate consistent initiative and foundation-wide messages that extend our reputation, and determine who is best positioned to represent the Foundation.<sup>2</sup> The director of communications and the staff member designated to represent the Foundation will also reach agreement on key messages and content to be presented on behalf of Wallace.

Wallace’s policy on bylines takes into account factors including whether a publication is issued by Wallace or an outside organization; the length and complexity of a piece; and who contributed substantially to it. Wallace-published pieces, *Perspectives* and *Updates* (which represent the Foundation’s point of view on a particular topic) typically list authorship and contributor credits on the inside front cover but do not put a byline on the cover itself, while *Stories from the Field* (which emphasize reporting of ongoing work) do contain cover bylines. Shorter Wallace-published pieces, including *Knowledge in Brief* and infographics, generally forego bylines. For external publications, we seek to balance honoring the conventions of the publication or website with acknowledging contributors to the piece.

### ***Social Media***

When participating *personally* on social media sites, social networking or blogging, we ask that you be mindful of the following:

- The lines between personal and ‘official’ professional identification can get blurry in social media. If you are commenting in an area where the Foundation is working, participating on a site engaged in advocacy or politics, or commenting on the work of an organization or former staff member, your comments could reasonably be perceived by

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<sup>1</sup> Factors considered for acceptance include: Do we have content to share that is relevant to the audience? Is the audience one we seek to reach? Is the sponsoring organization/publication/venue/social media site reasonably credible and consistent with our brand? Is our presence needed to mitigate possible misrepresentations?

<sup>2</sup> Factors considered for who represents the Foundation: What is the level of the audience/readership: leadership or staff? Initiative specific or foundation-wide? Who will have maximum credibility with the audience? Who is available? For speaking engagements: Are there media present? Panel or keynote?

others as representing the Foundation. Therefore, in all such cases please identify yourself as a staff member of Wallace and add a disclaimer. The disclaimer can simply say: *“The views and postings on this site are my personal views and do not represent those of The Wallace Foundation.”*

- Be aware of your responsibility to protect confidential and proprietary information of the Foundation, grantees and partners. This includes strategy discussions, information contained in proposals, grantee reports, Board discussions, finance and investments, personnel information, and all information described in our *Confidentiality of Information* policy. Please do not use the Wallace logo or tagline in personal postings.

In general, we encourage you to be familiar with and understand the policies, terms and conditions of any site you use, paying particular attention to the personal information you post and the site’s policies on privacy and use. Respect and comply with copyright, trademark and fair use laws, appropriately citing references and sources. Remember that you are *personally* responsible for any content you publish.

### **Media calls**

Please immediately refer any/all requests for information or comment from external media to the director of communications.

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## V: STAFFING

- Recruitment and Onboarding
- Categories of Employment/Overtime
- Separation from Employment
- Attendance/Office Closing/Working from Home

## RECRUITMENT AND ONBOARDING

The Wallace Foundation is committed to employment practices that ensure qualified individuals are placed in positions to support the achievement of the Foundation's mission and goals, to maintain a diverse workplace where differing perspectives are a source of strength, and to comply with all applicable laws and regulations.

The Foundation's recruiting process aspires to draw from a robust and diverse candidate pool, engage prospective candidates through a well-defined interview process, and enable timely decisions to fill open positions. The chief administrative officer is responsible for managing the recruiting and employment process for the foundation.

The Foundation will not employ family members of staff when such employment would result in one relative supervising another or working in the same unit. For purposes of this policy, "family members" include spouse, domestic partner, parent, grandparent, sibling and all comparable relationships including any relative or dependent who regularly lives in the staff member's household.

### **Onboarding and Learning Goals**

We consider your first six to nine months at Wallace a time of learning, and development: getting to know your colleagues, understanding your individual and team responsibilities, and learning how we work together in a collaborative and inter-disciplinary approach to fulfill the Foundation's mission.

You will participate in different activities, conversations, programs, and team/unit/all-staff meetings that are part of Wallace's onboarding process. Onboarding is designed to help you become better acquainted with our approach to philanthropy, values, initiatives and strategies, and interdisciplinary and cross-foundation team structure.

One key aspect of onboarding is developing learning goals with your manager. In setting learning goals, we chart out a plan for coming up the learning curve, clearly articulate expectations for specific job responsibilities and projects, and ensure we provide the support and resources needed for you to get started successfully. In your first few weeks on the job, you and your manager will use this form to develop your learning goals.

We build frequent discussions with your manager into every learning plan: about progress on your goals, what you are learning, where you have questions, identifying other staff who you should talk with, and exploring topics that you want to dive into more deeply.

You will have formal check-ins throughout your first year with your manager and with the chief administrative officer at 30, 60 and 90 days, and six and 12 months. We ask managers to provide ongoing feedback, making good use of "teachable moments" to support your learning. And we encourage you to ask questions, seek feedback, and take full advantage of open doors -- with your manager, chief administrative officer and the president.

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## CATEGORIES OF EMPLOYMENT/OVERTIME

The Foundation hires into one of three categories of employment:

- *Full-time regular employee:* works the Foundation's normal full-time work week on a regular basis at an established salary level. The employee may be exempt or non-exempt based on the position. Generally the full-time regular employee is eligible for coverage under the benefit plans and time off policies of the Foundation.
- *Part-time regular employee:* works a regular work schedule that is less than the Foundation's normal full-time work week at an established salary level, and is either exempt or non-exempt based on the position. Eligibility for coverage under the benefit plans and time off policies is determined by the hours a part-time employee is regularly scheduled to work each week and the applicable provisions of the individual benefit plans and policies.
- *A temporary employee* is hired for a specified duration, generally on a full-time basis in an exempt or non-exempt position. A temporary employee is not eligible for coverage under the Foundation's benefit plans except where mandated by law, but will be paid for designated holidays. If the temporary position extends for a period greater than six (6) months, the Foundation may, at its sole discretion, provide a limited number of PTO days.

### **Overtime**

In compliance with U.S. wage and hour laws, overtime payment is made for employees in positions designated as non-exempt under the Fair Labor Standards Act. Overtime is paid at one and one-half times the base rate of pay for time worked over forty (40) hours in a work week.

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## SEPARATION FROM EMPLOYMENT

While The Wallace Foundation hopes that employment relationships are long-term and rewarding, employment at Wallace is at will. This means that you have the right to resign at any time with or without cause or notice. Similarly, the Foundation may terminate the employment relationship at any time, with or without cause or notice.

If an employee is resigning from employment, the Foundation requests the employee provide a minimum notice of one-month in writing.

The Foundation addresses performance issues and improper conduct on a case-by-case basis. Disciplinary action, up to and including termination can be taken, for reasons which include, but are not limited to:

- Violation of the Foundation's policies including but not limited to Equal Employment Opportunity and Harassment-Free Workplace, Code of Ethics and Confidential Information;
- Poor performance;
- Excessive absence, lateness, or leaving early;
- Falsification of Foundation records;
- Theft or destruction of Foundation property; and
- Insubordination.

The chief administrative officer will provide information and meet with the employee to review benefit plan coverage upon separation, and discuss applicable Foundation policies such as protection of confidential information, and return of all Foundation property.

### *References*

All external inquiries related to staff, including but not limited to reference checks and requests for employee information, should be immediately referred to the chief administrative officer. In response to reference calls, the Foundation will generally provide only the dates of employment and position title. Any written request for information requires a signed authorization by the employee before the Foundation will release that information.

Any posting by an employee to social media sites, e.g., LinkedIn, commenting on the work of another employee or former employee is considered a reference and not permitted under this policy. If you choose to comment on a *personal* basis, please include the disclaimer as noted in our guidelines for social media in the *Public Commentary, Presentations and Calls from Media* policy.

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## ATTENDANCE/OFFICE CLOSING/WORKING FROM HOME

### Attendance

Regular attendance and punctual arrival are the responsibilities of every staff member. For non-exempt staff, we define the normal work week as 37 ½ hours scheduled between the hours of 8:30 a.m. and 5:30 p.m.

However, we recognize that there will be circumstances that result in lateness, the need to take an unplanned PTO day, or to leave early. In the event of an *unplanned* absence from the office, please:

- Notify your immediate manager by email or telephone;
- Notify the Administrative Assistant supporting your unit; and
- Leave a message on the main telephone number: 212-251-9700

Notification allows us to prepare an accurate list for the Fire Team to use only in the event of an emergency to ensure we account for everyone in the office.

Please see the PTO policy for use of PTO when you are out of the office for part of the day due to the onset of illness or a personal appointment.

In the event of an absence of five or more consecutive working days due to illness or injury, the Foundation may request you provide, consistent with the privacy policy under HIPAA, a note from a licensed physician or medical facility.

Generally, five separate occurrences of unplanned absence are considered excessive. Such a situation will be included in ongoing performance discussions and may be the basis for disciplinary action up to and including termination.

### Office closing

In the event of a major storm or other significant disruption, generally the office will remain open unless there is a shutdown of NYC ordered by the Mayor. If a decision is made to close the office, we will post the notice on the designated section of our website and on the emergency telephone number. Each staff member is given an Emergency Information card which includes the website and telephone information. We also have a management/staff telephone chain if needed.

If the office is open, our “operating principle” is to exercise your own judgment about coming into the office, arriving late or leaving the office early, guided by your sense of personal safety. If you decide not to come into the office, please email your manager and Reception ([reception@wallacefoundation.org](mailto:reception@wallacefoundation.org)). The day is a paid day, not PTO.

### Working at home

With our team-based structure, we believe we benefit from working together in the office and that team meetings are enriched when “face-to-face.” We also recognize that certain assignments or projects may benefit from working at home. Staff members, in

consultation with their manager, may work at home from time to time to best accomplish their work. We do not expect this to result in a regular schedule of working at home.

We have developed a set of considerations a manager would apply when a staff member makes a request in advance for a planned day to work at home:

- The role lends itself to working at home.
- There is no negative impact on interdisciplinary team work.
- There is adequate work suitable to be done at home or the work can be done more efficiently there.
- The staff member is able to participate in conference calls and respond to phone calls as needed.
- The request is an exception rather than a common practice.

While no one consideration is always applicable or tops the others, if the answer is “yes” it suggests working at home that day is okay and, conversely, if “no” it suggests it is not appropriate. When you do work at home, please be sure to mark “working at home” on your calendar so colleagues know where to reach you if they need to.

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## VI: EMPLOYEE BENEFITS & TIME OFF

- Employee Benefits
- Performance Enhancement and Compensation
- Tuition Reimbursement
- Professional Certifications and Continuing Education
- Matching Gifts
- Paid Time Off (PTO)
- Holidays
- Leaves of Absence

## EMPLOYEE BENEFITS

Employee benefit plans and programs are an integral part of The Wallace Foundation’s total compensation package. Our total compensation philosophy is to be competitive with the market to help us attract, retain and motivate highly talented staff who, working together, are responsible for advancing the Foundation’s mission.

A full description of the benefit plans and programs offered by the Foundation, and employee enrollment information are provided to the employee at the time of hire. Changes to the plans and updates are communicated when made.

Presented here are brief summaries of our employee benefits. In all cases the plan provisions as contained in the plan documents, Summary Plan Description (SPD), insurance contracts, certificates of coverage, and Summary of Benefits and Coverage (SBC) govern eligibility to participate and specific coverage under the plan, policy or program. The Foundation reserves the right to change any of these plans, policies or programs at any time. Further description, summaries, plan documents, certificates, privacy statements and required notices are on the intranet.

The descriptions below apply to *full-time regular employees* and unless otherwise noted coverage begins on the first day of employment. A description of benefits for part-time regular employees will be provided at time of hire.

### HEALTH INSURANCE AND HEALTH REIMBURSEMENT ACCOUNT (HRA)

**Health Insurance:** The Oxford/United Healthcare Gold High Deductible Health Plan uses the Freedom network and allows you to choose in-network or out-of-network services. The plan includes prescription drug coverage and wellness benefits.

The Foundation pays 80% of the cost for all categories of coverage and the employee pays 20% through payroll deduction. You may elect to pay your contribution to the health plan premium on a pre-tax basis<sup>1</sup>, thereby reducing your taxable income.

Our health insurance includes a **Health Reimbursement Account** (HRA), to reduce your out-of-pocket costs when using in-network providers. You pay a portion of the deductible and Wallace reimburses the remainder of the deductible and out-of-pocket costs until the out-of-pocket maximum is reached.

#### Health Reimbursement Account

Category of Coverage	You Pay	Wallace Pays	Out-of-pocket maximum including deductible
Employee Only	\$275	\$3,725	\$4,000
All Other Categories	\$550	\$7,450	\$8,000

<sup>1</sup> For you and qualifying “dependents” as defined by the IRS



## DENTAL

The MetLife dental plan is a Preferred Provider Organization (PPO) providing reimbursement for services both in- and out-of-network and an orthodontia benefit for children up to the plan maximums. The Foundation pays 100% of the cost of coverage.

The dental plan provides:

Service Level	In-network	Out-of-network
Preventive	100%	100%
Basic	100%	80%
Major	60%	50%

## VISION

Vision benefits are provided by Vision Service Plan (VSP) and cover eye exams, frames, and contact lenses from designated in-network providers on a co-payment basis, or reimbursement, up to specified maximums, for out-of-network services. The Foundation pays 100% of the cost.

## RETIREMENT

**The Wallace Foundation 403(b) Retirement Plan:** Upon completion of six months of continuous service, the Foundation contributes 15% of your base salary to the plan, subject to IRS contribution limitations. Contributions are 100% vested immediately. From the first day of employment, you can also build savings through your own pre-tax contributions. The plan offers a diversified portfolio of funds from which you can choose your investments.

In addition to the 403(b) Plan, the Foundation provides non-qualified retirement plans for qualifying staff. Under the 457(b) Deferred Compensation Plan, senior managers can make voluntary contributions subject to IRS limits. Under the Supplemental Executive Retirement Plan, for senior managers earning over the annual IRS compensation limit, the Foundation contributes 15% of the salary above the limit.

## SHORT- AND LONG- TERM DISABILITY

### Short-term Disability:

Wallace provides short-term disability benefits in the event of a certified disability:

- First four weeks of certified disability: Wallace maintains 100% of your salary
- Thereafter:
  - 60% of your salary to a maximum of \$3,000<sup>2</sup> per week for up to 26 weeks (this is provided through our insurance policy); and

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<sup>2</sup> The New York State statutory benefit of 50% of pay to a maximum of \$170/week is included in the insured benefit.

- *Based on your length of service*, Wallace makes up the difference to 100% of your salary. The formula for this portion of the benefit is two weeks of pay for each full year of service up to a maximum of 26 weeks.

**Long-term Disability:** Long-term disability benefits provide the equivalent of 60% of your salary to a maximum of \$12,500 per month, offset by any other payment you are receiving for disability, and subject to certification by the insurance company. LTD benefits begin after a continuous six-month period of certified disability. The Foundation pays 100% of the cost. Short- and long-term disability benefits are with CIGNA.

#### LIFE/ACCIDENTAL DEATH AND DISMEMBERMENT INSURANCE

Life insurance, through CIGNA, provides your designated beneficiary with a benefit equal to three times earnings to a maximum of \$1,000,000. AD&D benefits of three times earnings to a maximum of \$1,000,000 are paid following a schedule based on the type of loss. The Foundation pays 100% of the cost of life and AD&D coverage.

#### FLEXIBLE SPENDING ACCOUNTS

**Flexible Spending Accounts:** Staff may elect to set aside pre-tax dollars for reimbursement of qualifying health and dependent care expenses. The maximum annual allowable amount for health care is \$2,600 and for dependent care \$5,000.

#### TRANSPORTATION AND PARKING

**Transit:** You can designate a portion of your pay, up to \$255/month, to be deducted on a *pre-tax* basis to pay for expenses for commuting by public transit. In addition, you can deduct through payroll the balance of your commuting expense on a post-tax basis. ***Only transit expenses purchased using your “Benny” card are eligible for reimbursement.***

**Commuter Parking:** In addition to transit, you can designate a portion of your pay, up to \$255/month, on a *pre-tax* basis for parking expenses at or near the office or a location from which you commute using public transit. You may use your “Benny” card or file a paper claim for reimbursement for commuter parking expenses.

#### LIFE ASSISTANCE PROGRAM AND VALUE-ADD SERVICES

CIGNA’s Life Assistance Program provides behavioral counseling, legal and financial services consultation, and guidance in work/life areas such as senior care, child care and parenting.

In addition, CIGNA provides additional services and programs at no cost to employees: *Healthy Rewards* (Discounts on a variety of health/wellness programs and services, such as hearing exams and devices, weight management programs, and vitamins); *Identity Theft* (Provides tools and guidance to help with prevention, detection and resolution, including a personal case manager, if you suspect you might be a victim of identity theft); *Secure Travel* (For *personal* travel over 100 miles from home, Secure Travel provides assistance for pre-trip planning, while travelling and in the event of an emergency); *Will Preparation* (Resources and tools to help with

planning (wills, estate and funeral), create state-specific, legal documents online including last will and testament, financial power of attorney and power of attorney for health care, and manage your legal documents); and *Cignassurance Program* (financial, bereavement and legal support for beneficiaries provided as part of our Life/Accidental Death and Dismemberment insurance policy, services include confidential bereavement counseling, and a legal and financial consultation).

### HEALTH ADVOCATE

Health Advocate is a confidential service of medical professionals and claims specialists to support you and your family in navigating what is often a confusing maze to find the health care services you need and resolve insurance issues.

### BUSINESS TRAVEL ACCIDENT INSURANCE

Business travel accident insurance provides a benefit payable in the event of death or permanent total disability of six times salary to a maximum of \$3,000,000 if you are on authorized business travel. The Foundation pays 100% of the cost of this insurance.

### WORKERS COMPENSATION, SOCIAL SECURITY, AND UNEMPLOYMENT INSURANCE

**Workers Compensation:** This benefit provides salary replacement assistance in the event of an on-the-job injury or illness to eligible individuals who meet the qualifying requirements in compliance with New York State regulations. The Foundation pays 100% of the cost.

**Social Security/Medicare:** The Foundation contributes an amount equal to your own required contribution, resulting in a monthly retirement benefit and health insurance when you are eligible.

**Unemployment Insurance:** Unemployment insurance provides temporary financial assistance to eligible individuals who meet the qualifying requirements in compliance with New York State regulations. The benefit is funded through payments made by the Foundation.

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## PERFORMANCE ENHANCEMENT AND COMPENSATION

Our performance enhancement system reflects and reinforces how we work across the Foundation to produce high-quality work, have a high level of engagement, and demonstrate the behaviors that align with our values and contribute to the organizational culture that we seek to foster.

Our compensation philosophy is to be competitive with the market in total compensation to help us attract, retain and motivate highly talented staff who, working together, are responsible for advancing the Foundation's mission. Total compensation includes both salary and the wide range of benefit plans, programs and policies Wallace provides.

### **Performance Enhancement**

Performance enhancement starts with setting goals/responsibilities for the year that:

- Align with and support the overall strategies, priorities and work of the Foundation;
- Succinctly describe expectations for the specific aspects of the work you are uniquely responsible for;
- Clearly state goal attainment measures; and
- Includes a plan for learning and professional development.

We encourage and hope conversations with your manager about performance occur regularly. We set aside two times each year for a dedicated conversation: annual year-end performance review and a mid-year check-in.

#### *Year-end performance review*

Performance reviews are a good organizational practice, providing an opportunity to have a “formal” conversation to:

- Understand “how am I doing” *overall*
- Come to a shared understanding of progress against agreed-upon attainment measures for your goals and responsibilities. By understanding whether the goal was met, and what contributed to achieving the goal or slowed progress, we inform the conversation about goals for the upcoming year, and strengths and development opportunities
- Reflect on the Core Competencies to see how well we are working with each other in our interdisciplinary team environment, and reinforce our commitment to learning and professional development

### *Mid-year check-ins*

The mid-year check-in is an opportunity to discuss progress against your goals, responsibilities and learning plan, and, if needed, talk about how to get a project or work back on track. It also provides an opportunity to course correct for goals set earlier in the year that may have changed, and add new goals and responsibilities.

### *Staff input*

Staff input is a key factor in coming to a shared understanding of performance against goals, and strengths and development opportunities for the Core Competencies. Therefore, our year-end review and check-in processes start with staff input.

### *Core Competencies: developmental not evaluative*

Our Core Values statement sets out:

- The kind of work the organization believes is most important which we express as *mission-related values*, and
- The shared norms of behavior it expects from its members which we express as *behavior-related values*.

#### **Behavior-related Values**

<b>Mutual Respect and Support</b> <i>We respect and support each other and those we work with externally.</i>	<b>Diversity</b> <i>We celebrate diversity, both visible and invisible.</i>	<b>Continuous Learning</b> <i>We are committed to continuous learning both as individuals and as an organization.</i>
<b>Collaboration</b> <i>We work internally in teams and externally in partnerships to achieve our goals.</i>	<b>Excellence</b> <i>We aim high in our goals for both how we do our work and the outcomes we seek to achieve.</i>	<b>Accountability</b> <i>We are transparent, taking responsibility for our individual and the foundation's commitments.</i>

Our behavior-related values play out in our day-to-day work through the **Wallace's Core Competencies** we expect staff members to demonstrate:

<b>Individual Responsibility</b>	<b>Teamwork</b>	<b>Work Planning and Project Management</b>
<b>Analytical Skills</b>	<b>Communications</b>	<b>Managing External Relationships</b>
<b>Managing Staff</b> (if applicable)		

Because we are committed to learning and development in a team environment, in our annual review we reflect on our Core Competencies – both strengths and opportunities for development – to inform our learning and professional development goals for the next year.

### *Effective Feedback for Performance Discussions*

We seek to be effective givers and receivers of feedback in our day-to-day conversations and in performance discussions. We recognize that there are three types of feedback and **all** are discussed in performance reviews:

- *Appreciation*: to express thanks, and to motivate, encourage, acknowledge and connect
- *Coaching*: to help you to increase knowledge, skill, practice and capability, and to support your professional growth and development
- *Evaluation*: to share and understand your manager's perspective of your performance against expectations

We also recognize that often in performance discussions, *Evaluation* can drown out *Coaching* and *Appreciation*. Resources on giving and receiving feedback are available on the intranet to build awareness and help to strengthen our skills.

### *Learning Goals*

We consider the first six to nine months at Wallace a time of learning, and development: getting to know colleagues, understanding individual and team responsibilities, and learning how we work together in a collaborative and inter-disciplinary approach to fulfill the Foundation's mission.

One key aspect of onboarding is developing learning goals with your manager. In setting learning goals, we chart out a plan for coming up the learning curve, clearly articulate expectations for specific job responsibilities and projects, and ensure we provide the support and resources needed to get started successfully.

Frequent discussions with your manager are an integral part of every learning plan: about progress on your goals, what you are learning, where you have questions, identifying other staff who you should talk with, and exploring topics that you want to dive into more deeply.

### **Compensation**

As noted, our compensation philosophy is to be competitive with the market in total compensation to help us attract, retain and motivate highly talented staff who, working together, are responsible for advancing the Foundation's mission. Total compensation includes both salary and the wide range of benefit plans, programs and policies Wallace provides.

As a philanthropy, we take into account certain constraints with respect to compensation:

- ***Our commitment to being good stewards***: using our resources responsibly for the public good
- ***IRS requirements for all nonprofits (including foundations)***:
  - Compensation must be "*reasonable and necessary*"
  - Organization must obtain and rely on appropriate data as to comparability

- Particular focus on higher paid staff

Practices we have adopted to manage within these constraints include:

- Annual review of overhead rate relative to peer foundations
- Review of compensation competitiveness by independent third party through market surveys:
  - Overall market trend annually for all staff
  - Individual competitiveness analysis for senior management annually
  - Individual competitiveness analysis for all staff every 3 – 4 years
- Regular competitive benchmarking of benefits

### *Salary increases*

There are three types of salary increases:

- All staff receive the same market trend increase, based on competitive data, annually unless performance “needs improvement.”
- Periodic adjustments to bring salary up to the competitive range would be made if a salary fell significantly below the market for a sustained period of time.
- Promotional increase.

### *Setting the competitive range*

We set the competitive range based on robust and comparative survey data, compiled by an independent compensation consultant. We follow best practices for surveys:

- Focusing on the foundation/non-profit sector
- Matching positions to survey descriptions with +/- adjustments for scope of responsibilities
- Using multiple data points for each position drawn from multiple surveys, multiple organizations in each survey, and multiple incumbents in each position
- Adjusting data for comparable organization size
- Adding a geographic differential of 15% to reflect NYC location

The result is an estimate of the market median for the position which we use as the center point for establishing the competitive range. Benchmarking to the market median is the prevalent market practice. We follow the advice of our independent consultants who review the competitiveness of our compensation practices and their reasonableness under IRS regulations: they view compensation within 10% of the market median to be in the competitive range.

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## TUITION REIMBURSEMENT

For degree programs at a fully-accredited institution of higher education, our policy provides reimbursement for tuition expenses for all staff. Costs for books, registration, activity/laboratory/special fees, entrance tests or class materials are not covered.

The Foundation will reimburse 100% of tuition costs for coursework toward an initial bachelor's degree and 50% for coursework towards any master's or doctoral degree:

- Approval is required in *advance* of starting any coursework
- Reimbursement requires documentation of successful completion/passing grade
- Staff member must be an employee in good standing at the time reimbursement is approved
- Annual maximum reimbursement per employee: \$5,250

Staff should complete the *Request for Approval of Degree Program* form available [here](#) on the intranet and submit with the manager's signature to the Chief Administrative Officer.

To request reimbursement for courses taken and successfully completed with a passing grade, a staff member should complete the tuition reimbursement form available [here](#) on the intranet and submit it to the chief administrative officer.

Staff members are encouraged to consult with their personal tax advisor regarding the tax treatment of payments made under this policy.

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## PROFESSIONAL CERTIFICATION AND CONTINUING EDUCATION

The Professional Certification and Continuing Education policy provides for reimbursement of fees and expenses for initial certifications and licenses, and continuing education requirements relevant to your current or anticipated responsibilities here at Wallace. Our policy is intended to support you and reinforce our commitment to learning and professional development.

The Professional Certification and Continuing Education policy is in *addition* to our Tuition Reimbursement policy.

Specifically, the policy covers:

- Acquisition of initial certifications to include Chartered Financial Analyst (CFA), information technology certifications (network management, SharePoint developer), Certified Employee Benefits Specialist (CEBS), and administrative skills (Microsoft Office Specialist)
- Fulfillment of continuing education requirements to maintain a license or certification: for the certifications noted above, plus Certified Public Accountant (CPA), the legal profession, and other comparable professional licenses or certifications.

Reimbursement is based on these criteria:

- Initial certification/continuing education is relevant to a staff member's current or anticipated responsibilities at Wallace
- Reimbursement at 100%: examination fees; study guides, textbooks and course materials; and all coursework, including preparation, either online or classroom
- Annual maximum per employee: \$5,000
- Approval required in advance for initial course of study and continuing education credits
- Reimbursement for examination fees is contingent upon written documentation of successful completion of/passing the exam
- Staff member must be an employee in good standing at the time the reimbursement payment is made

### *Approval and Reimbursement Process*

Initial approval: In advance, complete the Request for Approval section of the ***Professional Certification and Continuing Education form*** located [here](#) on the intranet. Please have your director and the chief administrative officer sign off on the form.

Reimbursement: Please use a copy of the form indicating approval, and complete the Request for Reimbursement section. Include documentation for all expenses. For examination fees, please include documentation of successful completion/passing grade. Because these expenses are covered under the "Staff Development" budget, managed by human resources, approval of the reimbursement will be by the chief administrative officer.

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## **Matching Gifts Program**

At Wallace, we recognize your generosity by matching your contributions to qualifying charitable organizations. All full-time and part-time employees are eligible for the Matching Gifts Program.

### ***How does the program work?***

The Foundation will match contributions to qualifying not-for-profit organizations on a two-to-one basis up to an annual maximum Foundation contribution for each employee of \$15,000. Please see the instructions below for how to have your contribution matched.

## **ORGANIZATIONS**

### **Eligible Organizations**

Organizations located in the United States and recognized as a tax-exempt public charity under section 501(c)(3) of the Internal Revenue Code or an accredited educational institutions (K-12 and higher education), except if designated *ineligible* as described here, are eligible recipients.

### **Ineligible Organizations**

- Organizations that promote or engage in violence, terrorism, bigotry or the destruction of any state
- Religious organizations (churches, synagogues, mosques and other houses of worship) or other organizations primarily promoting religious purposes. *Faith-based community service organizations or schools may be considered eligible if the program:*
  - is open to all individuals in the community regardless of religious belief;
  - serves a secular purpose, such as a food pantry, homeless shelter or education;
  - does not require participation in prayer, worship or other religious activities as a condition of receiving service(s) offered; and
  - does not use the individual donation or resulting match to propagate a belief in a specific faith.
- Donor advised funds, private foundations, supporting organization, and personal trusts

## **GIFTS**

### **Eligible Gifts**

A tax-deductible, personal charitable contribution of \$25 or more made directly to an eligible organization while the employee is actively employed by The Wallace Foundation.

**Ineligible Gifts** are contributions:

- Used to make or fulfill a pledge
- Made to support partisan political purposes, influence legislation or elect candidates
- Made for religious purposes, to fulfill a tithe or to support religious activities and programs

- Not considered charitable or tax-deductible in full or a portion thereof, e.g., ticket purchases, event registrations, or admission fees
- Directly or indirectly benefit the employee, his/her family or other person designated by the employee such as:
  - Tuition, books, fees or other student expenses
  - Individual, family or group membership fees or dues
- Made jointly by several individuals or with funds provided by other individuals
- Real or personal property, non-cash/in-kind, insurance premiums, charitable gift annuities or bequests

### **Instructions for Matching Gifts requests**

The Matching Gifts form is located here on the intranet.

Please complete Part A and send the form, along with your gift, to the recipient organization. The form includes information for the recipient information to complete and return to the Foundation along with their tax-exempt information, should be sent back to the Foundation for processing.

The Foundation will complete the due diligence and send the matching contributions directly to the organization. Finance will send the employee an email notifying that the matching gift has been sent.

*The Foundation reserves the right to determine whether a matching gift will be made, and may suspend, amend or discontinue this Matching Gifts Program at any time.*

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## Community Service Matching Gifts Program

In addition to our Matching Gifts Program, the Community Service Matching Gifts Program recognizes volunteerism and community service as a value we hold at Wallace. The program provides an opportunity for employees to volunteer with non-profit organizations of personal interest and build collegiality by working together on a project as a member of a self-organized team.

### *How does this program work?*

For *individual employees*:

- For every 20 hours of volunteer work with an Eligible Organization, the Foundation will make a contribution of \$1,000

For *self-organized teams* working on a project:

- For teams of at least three employees volunteering at least 10 hours each on a specific project<sup>1</sup> with an Eligible Organization, the Foundation will make a contribution of \$1,500
- For each additional employee on the team working 10 hours, the Foundation will add \$500 to our contribution

### *What non-profit organizations are eligible?*

#### **Eligible Organizations**

Organizations located in the United States and recognized as a tax-exempt public charity under section 501(c)(3) of the Internal Revenue Code or accredited educational institutions (K-12 and higher education), except if designated *ineligible* as described here, are eligible recipients.

#### **Ineligible Organizations**

- Organizations that promote or engage in violence, terrorism, bigotry or the destruction of any state.
- Religious organizations (churches, synagogues, mosques and other houses of worship) or other organizations primarily promoting religious purposes. ***Faith-based community service organizations or schools may be considered eligible if the program:***
  - is open to all individuals in the community regardless of religious belief;
  - serves a secular purpose, such as a food pantry, homeless shelter or education;
  - does not require participation in prayer, worship or other religious activities as a condition of receiving service(s) offered; and
  - does not use the individual donation or resulting match to propagate a belief in a specific faith.
- Donor advised funds, private foundations, supporting organization, and personal trusts.

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<sup>1</sup> A project is a specifically defined work activity that requires multiple volunteers working together at the same time at the same location. A project may be one day or a recurring project such as a team working together once a month.

- **Please note:** Organizations who are recipients of Service to the Field grants are not eligible as you can fulfill your volunteer service responsibilities during the work day.

### ***How do I submit a request for a Community Service Matching Gift?***

There are three simple steps:

- 1) Complete the Hours Report (Individual or Team) located [here](#) on the intranet. For team projects, all members of the team should sign the Team Hours Report.
- 2) Ask the organization to complete the Organization Due Diligence form (located [here](#) on the intranet) and provide their IRS determination letter.
- 3) Send the Hours Report, Organization Due Diligence form, and IRS determination letter to *Community Service Matching Gifts/Finance*. Finance will complete the due diligence review and send the Foundation's contribution to the organization, notifying you (individual and/or team members) that the contribution has been sent.

*The Foundation reserves the right to determine whether a matching gift will be made, and may suspend, amend or discontinue this Community Service Matching Gifts Program at any time.*

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## PAID TIME OFF (PTO)

The Wallace Foundation maintains a paid time off (PTO) program for regular employees intended to provide for periods of rest, relaxation and continued well-being.

### Full-time employees

A *full-time regular employee* is eligible to accrue PTO<sup>1</sup> as follows:

Full-time regular employee	
Years of Service	PTO Days
During year of hire:	
• If hired January 1 – March 31	20
• If hired April 1 – June 30	15
• If hired July 1 – September 30	10
• If hired October 1 – December 31	5
After year of hire	25
After 5 years	30

### Part-time employees

For part-time regular employees, PTO eligibility will be pro-rated<sup>2</sup> based on the weekly part-time schedule.

### Temporary employees

After completing 120 days of employment, employees hired on a temporary basis are eligible for PTO based on the length of the assignment.

### Scheduling PTO

When foreseeable, staff are encouraged to schedule PTO in advance, typically seven days, following the Foundation's procedure for requesting time off.

In the event of an unplanned absence, please follow the Foundation's procedures to notify the office and record PTO in the PTO system upon your return to the office.

In the event of an ***unplanned*** absence from the office, please:

- Notify your immediate manager by email or telephone;
- Notify the Administrative Assistant supporting your unit; and
- Leave a message on the main telephone number: 212-251-9700

*This allows us to prepare an accurate list for the Fire Team to use only in the event of an emergency to ensure we account for everyone in the office.*

<sup>1</sup> Full-time regular employees hired prior to January 1, 2013 are grandfathered and are eligible to accrue PTO at 30 days/year

<sup>2</sup> Example for part-time employees: A part-time employee is regularly scheduled to work 15 hours/week. After the first year of hire the employee would be eligible for 10 PTO days: 15 hours/37.5 hours = 0.4. Applying 0.4 x 25 PTO days = 10 PTO days.

When you leave work due to the onset of illness or have a personal appointment outside the office, use of PTO is determined based on whether you work a portion of the morning or afternoon. A half day of PTO is counted only if you are out of the office for the entire morning or afternoon. For example:

- You come into the office and leave at 9:30 a.m. for the balance of the day due to illness: a half-day only for the afternoon will be considered PTO.
- You come into the office and leave at 1:30 p.m. for the balance of the day due to illness: no PTO is used.
- You have an outside appointment, leave the office at 11:30 a.m. and return at 2:00 p.m.: no PTO is used.

### **Holidays**

If a full-day designated holiday occurs during PTO, the day will be paid as a holiday, not a PTO day.

For early closings at 1:00 p.m. before a holiday, e.g., the day before Thanksgiving, if you will be out for the full day, a half-day will be considered PTO.

If you schedule PTO on Friday during summer hours when the office closes at 3:00, it is a full-day PTO.

### **Illness during PTO**

If an illness occurs during scheduled PTO, that time will generally be paid and recorded as PTO. However, should the illness be certified by the insurance company as Short-term Disability, the certified days will be considered Short-term Disability, not PTO with the approval of the Chief Administrative Officer.

### **Carryover**

Up to six (6) PTO days may be carried over from one calendar year to the next.

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## HOLIDAYS

Including half-days, we expect that the number of holidays each year will float between 12 – 14 holidays. We issue a holiday schedule for the upcoming year that is based on the following:

- From December 25 through December 31 the Foundation is closed
- On the day *before* a designated holiday:
  - If the holiday occurs on Wednesday, Thursday or Friday the Foundation closes at 1:00 p.m.
  - If the holiday occurs on Tuesday, the Foundation is closed for a full day on Monday
  - If the holiday occurs on Monday, there is no early closing or additional holiday

Outlook invitations are sent for holidays to add to your calendar and are designated as paid holidays and those we ask you to take into consideration when scheduling internal and external meetings:

- Paid Holidays: Holiday (P)
- Consideration when scheduling: Holiday (S)

Paid holidays are also entered into the PTO system. Paid holidays typically are: New Year's Day, Martin Luther King, Jr. Day, Memorial Day, Independence Day, Labor Day, Thanksgiving and the day after, and the year-end closing.

### *Holiday pay*

If a non-exempt employee is required to work on a designated holiday, the employee will be paid at time-and-one-half for hours worked.

If a designated holiday occurs during scheduled Paid Time Off, that day is paid and recorded as a holiday, not as a PTO day.

Holiday pay during a leave of absence is determined by the type of leave (see *Leaves of Absence* policy).

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## LEAVES OF ABSENCE

The Wallace Foundation's Leave of Absence policy is designed to comply with all applicable local, state and federal laws and regulations and to provide eligible employees with extended time away from work to manage personal or family responsibilities, recover from an illness or injury, or respond to civic duties.

Leaves of absence:

- Bereavement
- Family & Medical Leave
- Short-Term Disability
- Paid Parental Leave
- Workers Compensation
- Jury or Witness Duty
- Personal Leave
- Military Service

### Bereavement

The Foundation offers four days of paid time off for staff after the death of an immediate family member. An immediate family member for these purposes includes spouse, parent, grandparent, child, grandchild, sibling and all comparable relationships, including any relative or dependent who regularly lived in your household at the time of death. The Foundation offers one day of paid time off for staff to attend the funeral of any other relative. Please request bereavement leave from your supervising director.

### Family & Medical Leave

The Family and Medical Leave Act (FMLA) provides eligible staff with *unpaid, job-protected* leave (with continuation of group health insurance coverage under the same terms and conditions as if the employee had not taken leave) for up to 12 work weeks for specified family and medical reasons, and for up to 26 weeks to care for a covered military service member with a serious injury or illness.

To be eligible for FMLA Leave, a staff member must have been employed by the Foundation for at least 12 months or 52 weeks, and have worked at least 1,250 hours in the previous 12-month period.

Family and Medical Leave is granted with a guarantee of return to active employment in your current or an equivalent position, business conditions permitting.

Under the Family and Medical Leave Act leave may be taken for:

- Twelve (12) work weeks of leave in a 12-month period for:
  - Birth of a child and to care the newborn child within one year of birth;
  - Placement for adoption or foster care and to care for the newly-placed child within one year of placement;

- To care for the employee’s spouse, child, or parent who has a serious health condition;
  - A serious health condition<sup>1</sup> that makes the employee unable to perform the essential functions of his or her job;
  - Any qualifying exigency arising out of the fact that the employee’s spouse, son, daughter, or parent is a covered military member on “covered active duty;” or
- Twenty-six (26) work weeks of leave during a single 12-month period to care for a covered service member with a serious injury or illness if the eligible employee is the service member’s spouse, son, daughter, parent, or next of kin (military caregiver leave).

*Request for FMLA and reporting*

When the need for FMLA Leave is foreseeable, the staff member should make a written request for the leave at least 30 days in advance of the qualifying circumstance. A request for leave should be made to the chief administrative officer. If 30 days’ notice is not practicable, the staff member should request leave as soon as practicable. The Request for FMLA Leave form is located [here](#) on the intranet.

As permitted, the Foundation may request information in writing to determine if the request is a qualifying circumstance for FMLA Leave.

The Foundation will provide a written determination whether or not the request qualifies as FMLA Leave and information on benefits coverage and time off policies during the leave.

*Scheduling of leave*

The staff member may take FMLA leave in 12 consecutive weeks, may use the leave intermittently (take a day periodically when needed over the year) or, under certain circumstances, may use the leave to reduce the workweek or workday, resulting in a reduced hour schedule. In all cases, the leave may not exceed a total of 12 work weeks (or 26 work weeks to care for an ill or injured service member) over a 12-month period.<sup>2</sup>

Leave for birth, becoming an adoptive or foster parent and to care for the child must be taken within one year of the birth or placement of the child. Intermittent leave or a reduced schedule requires approval by the chief administrative officer before the start of the leave.

*Accrual and use of PTO*

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<sup>1</sup> Under FMLA, the definition of a “serious health condition” includes all of the following: Inpatient Care, Incapacity and Treatment, Pregnancy or Prenatal Care, Chronic Conditions, Permanent or Long-term Conditions, Conditions Requiring Multiple Treatments and in some circumstances for substance abuse treatment. The Department of Labor’s further definition of a serious health condition is included on the Request for FMLA leave located [here](#) on the intranet.

<sup>2</sup> If a husband and wife both work for the Foundation, the husband and wife may only take a combined total of 12 weeks of leave for birth of a child, adoption or placement of a child in foster care, or to care for a parent (but not a parent “in-law”) or 26 weeks to care for a covered injured or ill service member.

Any *paid* leave, for example, certified disability for the birth of a child or parental leave, will run concurrently with FMLA.<sup>3</sup> For the period of FMLA that is concurrent with paid leave, the employee continues to accrue PTO days.

If a period of Family and Medical leave is *unpaid*, the employee does not accrue PTO days. PTO days for the balance of the year will be calculated upon return from leave.

A staff member must use all accrued PTO prior to the start of an *unpaid* FMLA leave.

### *Holidays*

Holidays that occur during and FMLA leave are counted as part of the 12 weeks. If the employee is on unpaid FMLA leave, there is no pay for the holiday.

### *Benefits eligibility during Family and Medical Leave*

Health, dental, vision, life/AD&D insurance and short- and long-term disability benefits: During FMLA Leave, these Foundation-provided health benefits continue at the same level and under the same conditions as if the staff member had continued to work.

While on paid FMLA leave, payroll deductions will continue for the amount of the premium due for health insurance. While on unpaid FMLA leave, the staff member must submit timely payment of the employee portion of the premium to continue coverage. Specific information regarding payment of premiums will be provided at the time of leave.

Wallace's contribution to the 403(b) Retirement Plan: While an employee is in receipt of pay from Wallace while on leave, the Foundation's contribution to the 403(b) Retirement Plan continues and the employee may make voluntary contributions. During unpaid FMLA Leave, the staff member is **not** eligible to receive the Foundation's contribution to the retirement plan and may not make any voluntary retirement plan contributions.

### *Reinstatement upon return to work*

Upon return to work from an approved FMLA Leave, a staff member will be reinstated to his/her former position or another position with equivalent pay, benefits and terms and conditions of employment. An employee who fails to return to work at the end of the leave or has not met requirements for notifications or certifications during the leave, forfeits the right to reinstatement to the same or similar position.

### *Certifications*

Certification is required for the serious health condition of a staff member or family member, and for qualifying exigency or serious illness or injury of the service member.

The Foundation will use the forms, format and procedures provided by the Department of Labor (DOL) for such certifications.

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<sup>3</sup> Certified disability period: if a staff member is certified by the insurance company for short-term disability for six weeks for the birth of a child, the six weeks will be designated as FMLA leave and counted toward the 12-week period.

### **Short-Term Disability**

Wallace provides short-term disability benefits in the event of a certified non-work-related illness or injury, including pregnancy:

- First four weeks of certified disability: Wallace maintains 100% of your salary

*Thereafter:*

- 60% of your salary to a maximum of \$3,000<sup>4</sup> per week for up to 26 weeks (this is provided through our insurance with CIGNA); and
- *Based on your length of service*, Wallace makes up the difference to 100% of your salary. The formula for this portion of the benefit is two weeks of pay for each full year of service up to a maximum of 26 weeks.

### *Benefits Coverage*

Coverage continues under the health, dental, vision, life/AD&D insurance and short- and long-term disability insurance policies during leave for certified disability subject to employee contributions being made as required and compliance with other policy provisions.

The Foundation's contribution to the 403(b) Retirement Plan continues based on the salary being paid and the employee may make voluntary contributions.

While on paid leave, the employee continues to accrue PTO days and is paid for designated holidays.

Please advise the chief administrative officer as soon as you are aware of an absence that would be considered eligible for disability certification by the insurance company, and within no more than 7 – 10 days of becoming disabled. The chief administrative officer will provide additional information about initiating a claim review for certification by the insurance company.

When a disability has ended, a staff member must be medically certified by the physician to return to work. This certification must be in writing and presented to the chief administrative officer either before or immediately upon return to work.

### **Paid Parental Leave**

The Foundation provides up to four weeks of paid parental leave at full salary for staff who have completed at last one year of service.

Parental leave is provided for the birth of a child and in order to care for that child, or becoming an adoptive or foster parent and to care for a newly-placed child.

Parental leave must be taken within six months of the birth, adoption or placement of a child. Paid parental leave is in addition to certified short-term disability for pregnancy and runs concurrently with Family & Medical Leave.

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<sup>4</sup> The New York State statutory benefit of 50% of pay to a maximum of \$170/week is included in the insured benefit. For the NYS statutory benefit, an employee must be employed by the Foundation for at least four (4) weeks or previously employed in New York State as defined in the statute.

All benefits coverage continues during paid parental leave.

### **Workers' Compensation**

A staff member who suffers a job-related injury or illness may be entitled to medical expenses, lost income and other compensation through the Foundation's workers compensation coverage as required under New York Workers' Compensation Law. Any accident which occurs on the job should be reported immediately to the chief administrative officer.

In compliance with the law, medical benefits are paid from the date of injury, and lost wage benefits are paid after the first seven (7) days of absence from work due to the injury or illness.

To return to work after an injury or illness under Workers' Compensation, the staff member must be medically certified by the physician to return. This certification must be in writing and presented to the chief administrative officer either before or immediately upon return to work.

### **Jury or Witness Duty**

All regular employees are eligible for paid leave in the event that they are summoned to jury duty or required to testify as a witness under subpoena in a judicial proceeding, provided that the employee is not a party to the lawsuit.

A staff member should inform their supervising director as far in advance as possible of scheduled jury duty and present a copy of the jury summons, subpoena or other court to the chief administrative officer. Upon return, a staff member should provide to the chief administrative officer the court documentation of jury duty served or satisfactory proof that his/her presence was required to testify pursuant to the subpoena or other order.

The staff member may retain any payment provided by the court for their jury service.

### **Personal Leave**

Regular employees may request *unpaid* personal leave for a period of up to three months to address personal matters not covered by other types of leaves.

To request unpaid personal leave, the staff member must make a written request to the chief administrative officer at least thirty (30) days in advance of the leave indicating the reason for the request and the expected length of time off.

The Foundation will consider requests for personal leave on a case-by-case basis and communicate its determination in writing.

While a staff member may be able to return to the same or equivalent position, there is no reinstatement requirement or guarantee that the same or equivalent position will be available upon return from a personal leave.

There will be no accrual of PTO or contributions to the retirement plan during a personal leave. Continued coverage under the Foundation's benefits and insurance programs will be subject to the terms and conditions of each policy. In all cases, the staff member will be responsible for

payment of the full premium due (both employer and employee contribution) for any period of continued coverage.

**Military Service**

The Foundation will grant leaves of absence for military service in compliance with the provisions and requirements of the Uniformed Services Employment and Reemployment Rights Act of 1994 (USERRA), as amended. This will include leave for periods of voluntary or involuntary service in the armed forces for all types of active duty, inactive duty training and full-time National Guard duty.

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## **VII: BUSINESS OPERATIONS**

- **Travel and Business Expense Guidelines**

## TRAVEL & BUSINESS EXPENSE GUIDELINES

Our work at The Wallace Foundation often requires that we travel or hold meetings at our office to advance Wallace strategies and initiatives, support the diffusion of knowledge to catalyze broad impact, and manage business relationships across all areas of the Foundation. We also sponsor and participate in convenings and conferences as speakers, as listeners and learners to benefit the Foundation, and for professional development.

In this policy, we address travel planning and reservations, our guidelines, filing expense reports, and applicable sections of our Code of Ethics.

### Travel Planning and Reservations

Staff have several options to make air, hotel, Amtrak and rental car arrangements:

- CorpTrav portal: Use the portal to make travel arrangements yourself and/or designate the Administrative Assistant for your unit to make your travel arrangements, or
- Travel Request form: Complete a Travel Request Form and the office services manager will make travel arrangements for you.

**Travel Number:** All trips *require* a Travel Number for expense reporting and tracking, and to make travel arrangements on the CorpTrav portal. Before accessing the CorpTrav portal site, please obtain a Travel Number from the spreadsheet located [here](#) on the intranet. Please take the next available Travel Number and complete the requested information.

We strongly encourage booking flights at least two weeks prior to travel. Thirty (30) days prior to travel is preferable to receive lower fares. We recognize, of course, that there are situations when last minute scheduling must be done, but generally conferences, PLC meetings and site visits are scheduled well in advance and reservations can be made in this timeframe.

Please do not have a grantee or other outside organization book your hotel or make other travel arrangements. We ask this because if there is a change, we have to burden the grantee, and if there is a “Hold” and you are a “no show” we would have to reimburse the grantee.

While our arrangement with CorpTrav includes a telephone reservation service with a CorpTrav representative, this is a more expensive option than the portal. Direct telephone contact with CorpTrav would, of course, be used if you need emergency assistance with arrangements while traveling.

### Travel Guidelines

We follow these guidelines for business travel and expenses:

- **Air:** Coach class: lowest cost *non-stop* flight



- **Rail:** Acela business class
- **Lodging:** “Mid-market” hotels, generally Kimpton, Hyatt, Hilton, or Marriott or whenever available.<sup>1</sup> If the hotel stay is in conjunction with a conference, please book using the conference rate.

Reimbursable hotel expenses are room charges and taxes, and meals through room service or in the hotel restaurant; all other incidental charges will be for the staff member’s personal account.

- **Transportation to and from the airport:** Staff should select either taxi, car service or public transportation, taking into consideration availability, convenience, safety and cost.
- **Meals:** Meal expenses should be reasonable and generally within these ranges *per person including gratuity*: breakfast (\$10 to \$20), lunch (\$25 to \$35), and dinner (\$45 to \$70). As the IRS requires, when traveling, personal meals will be eligible for reimbursement only when your travel includes an overnight stay. An itemized receipt for the meal should be included with your expense report.
- **Car rental:** Reservations should be with national vendors for a mid-size car. Staff should decline insurance as the Foundation’s insurance covers rental cars.
- **Personal automobile:** When a personal automobile is used for business purposes, reimbursement will be according to IRS guidelines and rates. The current IRS reimbursement rate is posted [here](#) on the intranet.

### **Travel guidelines: booking on the CorpTrav portal**

The CorpTrav site is set up like most travel booking sites allowing you to search for and book flights, rail, hotels (*excluding* hotels for special conference rates), and rental cars. The site is integrated with our travel guidelines.

- *Air:* Wallace’s booking guideline is the *lowest cost, non-stop flight available within one hour of your preferred departure or arrival time.*

If you select a flight that is \$100 or more than the lowest cost option within that time window (+/- one hour of preferred departure/arrival time), the system will ask you to enter a reason for booking outside the guideline. After you enter your reason, the booking will go through.

Notification of bookings outside of our policy will be included in the monthly report reviewed by Finance and Office Services.

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<sup>1</sup> Reservations for staff hotel stays in New York City use ‘best rate’ online services.

Coach seating is our norm and we also try to avoid middle seats. If “non-middle” coach seating is not available, you may upgrade to “premium” seating in coach class. We expect that the cost for this seating upgrade in coach to be \$25 - \$50.

- *Hotels:* Wallace’s booking guideline is our *preferred hotels (“mid-market” hotels generally Kimpton, Hilton and Marriott) lowest rate, and closest to the meeting location.*

If you select a hotel outside the booking guideline, the system will ask you to enter a reason for booking outside the guideline. After you enter your reason, the booking will go through.

As with flights, notification of hotel bookings outside of our policy will be included in the monthly report reviewed by Finance and Office Services.

Please save your confirmation email which is your receipt for expense reporting.

### **Other Business Meals and Catering**

Reasonable expenses for business meals are considered eligible for reimbursement in these situations:

- A business meal is hosted either offsite or at the Foundation with guests and/or Wallace staff; and
- A luncheon (either onsite or offsite) with members of the team or unit to welcome new staff, for team and staff recognition, or recognize staff who are leaving Wallace.

If you are hosting a dinner offsite and want to book a private room, please do so through the office services manager.

For meals at the Foundation’s office, all catering arrangements should be made through the office services manager. Please submit the Meeting & Catering Request Form located [here](#) on the intranet at least two weeks in advance. If a special set-up for the conference room is required, please let the office services manager know as early as possible.

### **Staff working after hours**

If a staff member works at the Foundation’s office after 8:00 p.m., and takes a cab or car service home for safety or convenience, the cost of a taxi or car service will be reimbursed. The telephone number for the Foundation’s regular car service is on your Emergency Wallet Card.

### **Code of Ethics**

As covered in our Code of Ethics policy, you may accept a ticket or exclusive invitation to private receptions, events, galas, performances and the like sponsored by grantees, potential grantees or other organizations with a business relationship with the Foundation

and typically made available to funders, only if the event is free or the Foundation pays for the ticket and there is a reason to do so related to your management of the grant or to maintain a respectful relationship with a grantee. The manager of the person attending the event is required to approve the acceptance of free tickets or the purchase of tickets, as any other business expense. (In the case of the president, the approval of the chair of the board is required.)

The Foundation does not generally purchase tables or raffles or otherwise support fundraising efforts, unless the relationship with the grantee would be harmed by not doing so, as our support of charitable causes is predominantly through our grantmaking programs.

### **American Express cards**

To facilitate payment, reporting and tracking of reimbursable business expenses, the Foundation provides staff who travel on behalf of the Foundation or are responsible for making purchases for the Foundation with an American Express credit card. Please use the American Express card for *reimbursable business expenses only*.

Your American Express card should be used when booking with CorpTrav. When arrangements are made by the office services manager the charges will be to your American Express card.

### **Reporting & Reimbursement**

Staff with American Express cards are encouraged to use American Express' online expense reporting tool. All charges on the card are automatically populated to the online expense report, and other expenses can be added, e.g., cash fare for a taxi ride.

The Business Travel & Expense Report, available [here](#) on the intranet, may also be used to report expenses for reimbursement.

When submitting your expense report please indicate the Travel Number on the report (American Express or Wallace form), attach ***original itemized*** receipts (numbered and in the sequence shown on the report) and have the form signed by your manager.

To facilitate timely payment of the American Express bill, we ask that you submit an American Express expense report for expenses on the credit card within seven (7) business days of the month's close. Overall, we ask that all expense reports be submitted to Finance within thirty (30) days of incurring the expense.

*This policy statement is not a contract of employment. The Wallace Foundation reserves the right to change or revoke this policy statement at any time without notice.*

## VIII: EMPLOYMENT LAW POSTING

## EMPLOYMENT LAW POSTINGS

To comply with local, state and federal requirements, the following notices are posted [here](#) on the intranet and on the bulletin board in the mailroom:

### United States

- Equal Employment Opportunity
- Family and Medical Leave
- Employee Rights under the Fair Labor Standards Act/Federal Minimum Wage
- OSHA Job Safety and Health
- Employee Polygraph Protection Act
- IRS “Check Your Withholding”
- Uniformed Services Employment and Re-employment Rights Act (USERRA)

### State of New York

- NYS Disability Benefits
- NYS Unemployment Insurance
- NYS Minimum Wage Information
- NYS Workers’ Compensation
- NYS Human Rights Law – Discrimination Notice
- NYS Job Safety and Health Protection
- NYS Correction Law – Article 23-A
- NYS Employee Blood Donation Leave

### New York City

- NYC Paid Sick Leave Act

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**Working Together at Wallace:  
A Guide for Staff**

**ACKNOWLEDGEMENT OF RECEIPT**

I understand that the purpose of Working Together at Wallace: A Guide for Staff (“Guide”) is to inform me about The Wallace Foundation guidelines, policies and practices. Nothing contained in this Guide or any communication by a management representative, whether written or oral, can be viewed as creating a promise by the Foundation or a contract between me and the Foundation. Additionally, any and all previous verbal and/or written guidelines that are contrary to those herein are null and void.

I understand that all information presented to me in this Guide is subject to change with or without notice at the discretion of the Foundation. In the event that any question arises regarding the meaning of any provision of this Guide, the Foundation’s interpretation will govern.

Furthermore, I acknowledge that this Guide is neither a contract of employment nor a legal document.

Employment at the Foundation is at will. The Foundation employees have the absolute right to resign at any time with or without cause or notice. Similarly, the Foundation may terminate the employment relationship at any time, with or without cause or notice. Nothing contained in this Guide should be interpreted as in any way limiting this at-will relationship.

I have received this Guide and have been informed that it is additionally available on the intranet. I understand that it is my responsibility to read it in order to understand the guidelines, policies and practices contained therein. If there is anything I do not understand, I will request an explanation from the chief administrative officer.

\_\_\_\_\_  
Employee Signature

\_\_\_\_\_  
Employee Print Name

\_\_\_\_\_  
Date



The Wallace Foundation  
5 Penn Plaza, 7th Floor  
New York, NY 10001  
212.251.9700 Telephone

[www.wallacefoundation.org](http://www.wallacefoundation.org)

Our mission is to foster improvements in learning and enrichment for disadvantaged children and the vitality of the arts for everyone.

