

POLICIES PROHIBITING HARASSMENT AND DISCRIMINATION AND COMPLAINT REPORTING PROCEDURE

OUR EMPLOYEE RELATIONS PHILOSOPHY

One of the most important and effective ways we can serve our students is by creating a safe, comfortable, progressive workplace for our employees. We value a spirit of teamwork and cooperation. Our practice is to treat each employee as an individual. We believe that a workplace where communication is open and problems can be discussed and resolved in a respectful atmosphere helps create a more effective organization and a better learning environment for our students.

POLICIES RELATED TO EQUAL EMPLOYMENT OPPORTUNITY, DISCRIMINATION, AND HARASSMENT

EQUAL EMPLOYMENT OPPORTUNITY

AppleTree is committed to equal employment opportunity. We do not discriminate based upon any of the following: race, color, ethnicity, religion, national origin, sex (including pregnancy, childbirth, related medical conditions, or breastfeeding), age, marital status, personal appearance, sexual orientation or preference, gender identity or expression, family responsibilities, genetic information, disability, matriculation, political affiliation, military and/or veteran status or any other classification protected by applicable local, state, or Federal law. This policy governs all aspects of employment at AppleTree including but not limited to, hiring, assignments, training, promotions, compensation, employee benefits, employee discipline, discharges and all other terms and conditions of employment. AppleTree strictly prohibits any form of discrimination prohibited by law.

DISCRIMINATION AND OTHER UNLAWFUL HARASSMENT

It is AppleTree's goal that you feel safe and welcome at work. Discrimination against employees and applicants for employment on the basis of race, color, ethnicity, religion, national origin, sex (including pregnancy, childbirth, related medical conditions or breastfeeding), age, marital status, personal appearance, sexual orientation or preference, gender identity or expression, family responsibilities, genetic information, disability, matriculation, political affiliation, or military or veteran status (all as defined and protected by applicable law) is unacceptable and will not be tolerated at AppleTree.

Similarly, harassment of individuals on any of these bases is strictly prohibited. Harassment includes, but is not limited to, jokes, verbal abuse and epithets, degrading comments, the display of offensive objects and pictures, and other conduct that the individual might reasonably find to be offensive. Any employee who fails to comply with AppleTree's non-discrimination and unlawful harassment policy will be subject to disciplinary action up to and including termination.

SEXUAL HARASSMENT

Sexual harassment is defined generally as including unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature whenever: (1) submission to the conduct is either an explicit or implicit term or condition of employment; (2) an employee's reaction to the conduct is used as a basis for employment decisions affecting that employee; or

(3) the conduct has the purpose or effect of interfering with the employee's work performance or creating an intimidating, hostile, or offensive working environment.

As with AppleTree's rules on discrimination, it is AppleTree's goal that you feel safe and welcome at work. No employee or applicant should be subjected to unsolicited and unwelcome sexual overtures, nor should any employee or applicant for employment be led to believe that an employment opportunity or benefit will, in any way, depend upon cooperation of a sexual nature.

Sexual harassment is not limited to demands for sexual favors. The following actions may constitute sexual harassment: (1) sexually-oriented verbal kidding, teasing, or joking; (2) repeated offensive sexual flirtations, advances, or propositions; (3) continued or repeated verbal abuse of a sexual nature; (4) graphic or degrading comments about an individual or his or her appearance; (5) the display of sexually suggestive objects or pictures; (6) subtle pressure for sexual activity; and (7) inappropriate physical contact.

Sexual harassment refers to behavior that a reasonable person would find unwelcome and that is personally intimidating, hostile, or offensive.

SCOPE OF POLICIES

These policies prohibiting harassment, whether sexual or of another nature, are not limited to relationships between and among employees and prospective employees; these policies also extend to interactions with parents (and other family members), clients, vendors, contractors, and others. No employee shall ever subject anyone to sexual harassment of any nature, including the conduct described above. Furthermore, no employee will be required to suffer sexual harassment by any AppleTree employee or contractor. Any unwelcome sexual overtures or other forms of sexual harassment should be reported immediately to your supervisor or to the Director of Human Resources, Chief Operating Officer, or President and CEO.

DISCRIMINATION AND HARASSMENT COMPLAINT PROCEDURE

Reporting: AppleTree encourages reporting of all incidents of discrimination or sexual or other unlawful harassment, regardless of the identity of the offender. If you feel that you are or have been the victim of illegal discrimination or sexual or other unlawful harassment in violation of our policy, you should immediately notify your supervisor or the Director of Human Resources, Chief Operating Officer, or President and CEO. Your complaint does not need to be in writing for us to begin our investigation, but the person to whom you make your complaint may ask you to describe the incident in writing.

Investigating: AppleTree will fully investigate all discrimination and harassment complaints. In our investigation, we will seek to maintain the matter as confidentially as possible, but we cannot promise complete confidentiality. The investigation may include individual interviews with the parties involved and, where necessary, with witnesses or others with relevant knowledge. Every report of harassment or discrimination will be investigated promptly and thoroughly. We will advise the reporting employee of the results of the investigation.

Responsive Action: Any employee or agent of AppleTree who has been found to have violated this policy shall be subject to appropriate disciplinary action, up to and including discharge.

No Retaliation: If you report discrimination or harassment or you participate in investigations under this policy, you will not experience any kind of retaliation or reprisal for such participation.

- *Every Child Ready*. As part of your employment at AppleTree, you may work with and use the *Every Child Ready* instructional model, which consists of a suite of products and services that include curricular materials and a scripted curriculum; student assessment and data tools that allow for assessment and monitoring of student progress over time; and teaching assessment tools and a professional development pedagogy that trains teachers in early childhood education. *Every Child Ready* is protected by laws and international treaty provisions covering intellectual property rights. The structure, organization and substance of *Every Child Ready* are valuable trade secrets of AppleTree and you shall keep such trade secrets confidential. The use of *Every Child Ready* materials outside of AppleTree, especially following an employee's separation from AppleTree, is strictly prohibited. Use of these materials may lead to legal action to protect AppleTree's intellectual property.

WHISTLEBLOWER POLICY

AppleTree is committed to operating in furtherance of its tax-exempt purposes and in compliance with all applicable laws, rules and regulations, including those concerning accounting and auditing, and prohibits fraudulent practices by any of its board members, officers, employees, or volunteers. This policy outlines a procedure where employees may report an action that an employee reasonably believes violates a law or regulation or that constitutes fraudulent accounting or other practices. This policy applies to any matter related to AppleTree's business and does not relate to private acts of an individual not connected to the business of AppleTree.

If an employee has a reasonable belief that an employee of AppleTree or AppleTree itself has engaged in any action that violates any applicable law or regulation, including those concerning accounting and auditing, or constitutes a fraudulent practice, the employee is expected to immediately report such information to their supervisor. If the employee does not feel comfortable reporting the information to their supervisor, the employee is expected to immediately report such information to either (in the case of AELPCS) the Executive Director/Chief of Schools or (in the case of ATI) the President and CEO. If the employee does not feel comfortable reporting the information to these individuals, he or she is expected to report the information to the Board Chair of AELPCS or ATI (as the case may be). The Board chairs are:

- AELPCS: Jack McCarthy, jmcarthy@appletreeinstitute.org
- ATI: Celia V. Martin, celiavmartin@comcast.net

All reports will be followed up promptly, and an investigation conducted. In conducting its investigations, AppleTree will strive to keep the identity of the complaining individual as confidential as possible, while conducting an adequate review and investigation.

AppleTree will not retaliate against an employee in the terms and conditions of employment because that employee: (a) reports to a supervisor, to the Executive Director/Chief of Schools/President & CEO, the Board chair, or to a federal, state or local agency what the employee believes in good faith to be a violation of the law; or (b) participates in good faith in any resulting investigation or proceeding, or (c) exercises his or her rights under any state or federal law(s) or regulation(s) to pursue a claim or take legal action to protect the employee's rights.

AppleTree may take disciplinary action (up to and including termination) against an employee who in management's assessment has engaged in retaliatory conduct in violation of this policy. In addition, AppleTree will not, with the intent to retaliate, take any action harmful to any employee who has provided to law enforcement personnel or a court truthful information relating to the commission or possible commission by AppleTree or any of its employees of a violation of any applicable law or regulation.

Supervisors will be trained on this policy and the AppleTree prohibition against retaliation in accordance with this policy. AppleTree will also notify the appropriate Board of Directors (Either AELPCS or ATI) any time the whistleblower policy is referenced when an employee reasonably believes a law or regulation has been violated that constitutes fraudulent accounting or other practices.

SUGGESTIONS

AppleTree is constantly seeking to develop new ideas to enhance operations and productivity. We believe that employees are an excellent source of constructive and valuable suggestions. Therefore, we encourage you to submit suggestions for the improvement of educational approaches, operations, systems, or procedures to your supervisor or any other appropriate manager. AppleTree believes that such an attitude by employees, managers, and executives is vital to our success and growth.

DRUG, ALCOHOL, AND SUBSTANCE ABUSE

AppleTree has a vital interest in maintaining a safe and efficient working environment. Employees who work while under the influence of drugs or alcohol present a safety hazard to children, co-workers, and themselves. Working under the influence of drugs or alcohol limits your ability to perform and provide required services. Accordingly, AppleTree is committed to maintaining a drug-free environment and will strictly enforce anti-substance abuse policies.

To comply with applicable District of Columbia regulations and AppleTree policies, you will be subject to pre-employment drug and alcohol testing as well as random testing for drugs and alcohol while employed by AppleTree.

The following are strictly prohibited:

- Possession, transfer, sale, distribution, use, or solicitation of illegal drugs on AppleTree grounds and facilities (including the parking lot and adjacent areas).
- Possession or use of alcohol during AppleTree operational hours in AppleTree facilities.
- Reporting to work or being present at work while intoxicated or impaired by alcohol or drugs.
- Abuse of prescription drugs: Prescribed drugs will be allowed only when taken in accordance with an official physician's prescription, and where such use will not adversely affect your ability to properly and safely perform your duties. If you are taking prescription drugs that may affect your ability to perform your assigned tasks properly and safely, including, but not limited to, medically prescribed marijuana, you should inform your supervisor before or immediately upon return to work. Abuse of prescribed drugs will not be tolerated and will be treated in the same fashion as use of any illegal drugs.

Failure to adhere to the preceding rules of conduct may result in discipline up to and including termination, even for a first offense.

ZERO TOLERANCE FOR WORKPLACE VIOLENCE

AppleTree is committed to preventing workplace violence and to maintaining a safe work environment. Accordingly, AppleTree has a zero-tolerance policy concerning threats, coercion, intimidation, and violence of any kind in the workplace either committed by or directed towards our employees.

You are not permitted to bring weapons of any kind onto or within 1,000 feet of AppleTree premises (D.C. Code § 22-4502.01) or to AppleTree functions. If you are suspected of possessing a weapon, you will be subject to a search at AppleTree's discretion. Such searches may include, but not be limited to, your personal effects, desk, and workspace.

All threats (or acts) of violence, both direct and indirect, should be reported as soon as possible to your immediate supervisor or any other member of management. This includes threats by employees, as well as threats by contractors, customers, vendors, solicitors, or members of the public. When reporting a threat of violence, you should be as specific and detailed as possible.

All suspicious individuals or activities should be reported as soon as possible to your supervisor. Do not place yourself or anyone else in danger. If you see or hear a commotion or disturbance

CORPORATE CREDIT CARD

It is AppleTree's policy to issue credit cards to employees identified by appropriate Executive Team members as needing to make regular and/or emergency purchases as part of their job duties.

The Finance Department will provide a cardholder with a list of purchases from the previous month. Within one week, it is your responsibility to review statements for accuracy and provide the Finance Department with all documentation (receipts/invoices and payment authorization forms). Failure to provide receipts and payment authorization within this timeframe will result in disciplinary action.

Purchases are for items and services that are necessary for immediate and urgent expenses relevant to the needs of AppleTree. Employees are encouraged to request vendors to invoice AppleTree, limiting credit card purchases as much as possible. The purchase of items for personal use is prohibited. When possible, purchases should be made using AppleTree's tax-exempt status so that we may avoid sales taxes.

EMPLOYMENT OF RELATIVES

Relatives of current employees will be considered for employment using the same hiring criteria as is utilized in hiring any employee. No preferential treatment will be given on the basis of relation. You may not supervise your relatives, authorize payroll actions for them, or work in the same department with them.

STUDENTS OF EMPLOYEES

Occasionally our staff members seek to enroll their children at AppleTree schools. Under District of Columbia law, we cannot give any priority or preference to any child in the application process, enrollment, or any other aspect of student life.

SOLICITATION AND DISTRIBUTION OF LITERATURE ON APPLE TREE PROPERTY

Persons not employed by AppleTree may not solicit or distribute literature on AppleTree property for any purpose at any time. Solicitation includes, but is not limited to, the soliciting of membership in any organization; the soliciting of gifts, money pledges, or subscriptions; or the sale of merchandise, produce, tickets, or raffles. Distribution includes, but is not limited to, the dissemination of such things as merchandise, produce, leaflets, pamphlets, newspapers, petitions, pictures, pins, buttons, or handbills. You may not solicit for any purpose during working time. You may not distribute literature for any purpose during working time and in working areas.

"Working time" means the period scheduled for the performance of job duties, not including meal times or break times or other periods when employees are properly not engaged in performing their work tasks. Working time includes the working time of both the person doing the solicitation and the person to whom it is directed.

EMPLOYEE COMPLAINTS AND CONCERNS

Many times, employees' concerns in the workplace come about because of miscommunication, misunderstandings, and hearsay. Many grievances and personal complaints are best handled

between you and the person with whom you have the disagreement. Therefore, if you have a complaint or concern, and you feel comfortable discussing that complaint or concern with the person involved, please do so. If your complaint or concern still is not resolved, or if you do not feel comfortable discussing your complaint or concern with the person involved, please discuss it with your immediate supervisor or the Director of Human Resources.

Please note: If the complaint or concern pertains in any way to harassment, discrimination, or retaliation, you should follow the complaint procedures set forth in the Handbook's Policy Prohibiting Harassment and Discrimination.

CONFLICT OF INTEREST POLICY

Employees must avoid any interest, influence, or relationship which might conflict or appear to conflict with the best interests of AppleTree. You must avoid any situation in which your loyalty may be divided and must promptly disclose any situation where an actual or potential conflict may exist. It is your responsibility to conduct personal affairs according to the highest standards of integrity and good judgment. You must avoid engaging in conduct that might be subject to misinterpretation as to motive or propriety. Unless approved by the President and CEO, you may not:

- Engage in any outside business activity during normal working hours, or in any activity that would detract from your ability to discharge your responsibilities with AppleTree;
- Take any action or make any statement which would bring discredit upon AppleTree or which is inconsistent with AppleTree's mission;
- Own or have a significant financial interest in or other relationship with a business partner, potential business partner, funder, competitor, customer, vendor, or supplier; or
- Be involved in any other arrangements or circumstances, including family or other personal relationships, which might compromise your ability to act in the best interest of AppleTree.

This policy does not apply to the extent necessary to protect employees' rights under the National Labor Relations Act to engage in protected, concerted activity, including, without limitation, communications among employees regarding the terms and conditions of their employment.

If you have a potential or actual conflict of interest, you must disclose it to the President and CEO and discuss how to avoid or resolve the potential or actual conflict.

CONFIDENTIALITY, NON-COMPETE AND INTELLECTUAL PROPERTY

Your employment is conditioned upon your agreement to the following confidentiality, non-compete/non-solicitation and intellectual property provisions:

- *Confidentiality*: For the duration of your employment, you may have access to confidential or proprietary information of varying types. Confidential or proprietary information includes, but is not limited to, child information; parent/family information; financial information; data or statements; the existence and contents of agreements; proposals; grants; organizational or school strategies; donor lists; membership lists; personnel data; and activities that are not public knowledge. Confidential or proprietary information will only be made known to you in confidence and only in connection with your official duties. Your disclosure or use of confidential or proprietary information for