

Financial/Investment  
POLICIES AND PROCEDURES  
National Ornamental Metal Museum Foundation, Inc.

Revised 1/2008

<b>FINANCE/INVESTMENT COMMITTEE .....</b>	<b>2</b>
<i>Policy</i> .....	2
<i>Responsibilities</i> .....	2
<b>FINANCIAL STATEMENTS POLICY .....</b>	<b>2</b>
<i>Policy</i> .....	2
<i>Budget</i> .....	2
<i>Monthly, Quarterly, and Annual Statements</i> .....	2
<b>INVESTMENT AND FINANCING POLICIES.....</b>	<b>3</b>
<i>Investment Policy</i> .....	3
<i>Approval Authority for Investments and Financing</i> .....	3
<b>INTERNAL CONTROL PROCEDURES .....</b>	<b>3</b>
<i>Bank Deposits/Bank Reconciliations</i> .....	3
<i>Capital/Fixed Asset Expenditures</i> .....	3
<i>Expenditure Guidelines</i> .....	4
<b>FIXED ASSETS POLICY .....</b>	<b>4</b>
<i>Asset Protection Policy</i> .....	4
<b>CHECK SIGNING AUTHORITY.....</b>	<b>4</b>
<i>Policy</i> .....	4
<i>Procedures</i> .....	5
<b>CHECK WRITING.....</b>	<b>5</b>
<i>Policy</i> .....	5
<i>Procedures</i> .....	5
<b>CONTRACTS.....</b>	<b>5</b>
<i>Policy</i> .....	5
<b>EMPLOYEE BUSINESS EXPENSES .....</b>	<b>5</b>
<i>Supplies and Miscellaneous Items</i> .....	6
<i>Meals</i> .....	6
<i>Business Credit Cards</i> .....	6
<b>GRANTS RECEIVABLE .....</b>	<b>6</b>
<i>Policy</i> .....	6
<i>Procedures</i> .....	6

<b>GRANT COMPLIANCE POLICY .....</b>	<b>6</b>
<i>Procedures.....</i>	<i>6</i>
<b>PAYROLL .....</b>	<b>7</b>
<i>Policy.....</i>	<i>7</i>
<i>Procedures.....</i>	<i>7</i>
<i>Miscellaneous .....</i>	<i>7</i>
<b>TRAVEL .....</b>	<b>7</b>
<i>Policy.....</i>	<i>7</i>
<i>Local Travel.....</i>	<i>7</i>
<i>Authorization .....</i>	<i>7</i>
<i>Transportation.....</i>	<i>8</i>
<i>Lodging.....</i>	<i>8</i>
<i>Meals .....</i>	<i>8</i>
<i>Miscellaneous Expenses .....</i>	<i>8</i>
<i>Claims.....</i>	<i>8</i>
<b>PETTY CASH.....</b>	<b>9</b>
<b>PROCEDURES FOR NON-CASH GIFTS.....</b>	<b>9</b>
<b>RESERVE FUND .....</b>	<b>9</b>
<i>Purpose.....</i>	<i>9</i>
<i>Source.....</i>	<i>9</i>
<b>DISASTER RECOVERY POLICY .....</b>	<b>10</b>
<b>FINANCIAL RECORD RETENTION POLICY.....</b>	<b>10</b>
CORPORATE/ORGANIZATIONAL DOCUMENTS.....	10
<i>Incorporation Documents.....</i>	<i>10</i>
<i>Tax-exemption Documents .....</i>	<i>10</i>
<i>Meeting/Board Documents .....</i>	<i>10</i>
<i>Business Continuity Plan.....</i>	<i>10</i>
FINANCIAL RECORDS.....	10
<i>Year-End Report.....</i>	<i>10</i>
<i>Treasurer’s Periodic Report.....</i>	<i>10</i>
<i>Bank Statements, Etc. ....</i>	<i>10</i>
<i>Annual Information Returns (IRS Forms 990) .....</i>	<i>10</i>
<i>Payroll Documents .....</i>	<i>10</i>

## ***FINANCE/INVESTMENT COMMITTEE***

---

### **Policy**

The Finance/Investment Committee, selected by the President and consisting of the treasurer and at least two other board members, shall recommend the annual budget for the Corporation's operation and shall be responsible for the financial activities of the organization and for making other financial recommendations to the Board for Board approval.

The Finance/Investment Committee is to regularly review the financial policies and activities of the National Ornamental Metal Museum Foundation, Inc. (NOMM) to make policy recommendations to the NOMM for the control and investment of all funds and other assets for which they are accountable and to demonstrate to the community and other interested parties that the NOMM has performed its administrative and control functions in a prudent manner.

### **Responsibilities**

The primary responsibilities of the finance committee shall include:

- To make a quarterly review of the NOMM financial statements and investments as a basis for recommending future banking and investment activities.
- To project and track cash flow
- To review the insurance coverage of the NOMM for comprehensiveness and adequacy.
- To review the proposals of the independent accounting firms and recommend the appointment of the Audit and Bookkeeping firms for the ensuing year.
- To review and evaluate the management letter of the Audit firm and to consider any recommendations for improvement in the control system.
- To review the annual audited financial statements.
- To review and evaluate the budget and actual results on a quarterly basis.
- To secure and develop investment and banking guidelines.

## ***FINANCIAL STATEMENTS POLICY***

---

### **Policy**

Financial statements for NOMM are to be prepared on a quarterly basis and distributed at the Board meetings. The financial statements distributed for the Board meeting are to be the most current statements available.

### **Budget**

The Board of NOMM adopts an annual operating budget on/about July of each year. This budget should be prepared by the Executive Director, submitted to the Finance/Investment Committee for review and recommended to the Board of Directors for approval. This budget guides the expenditures of NOMM and provides a benchmark by which the revenues and expenditures of NOMM are monitored. Quarterly financial statements are submitted by the Executive Director to the Finance/Investment Committee. At the end of each year, the Executive Director submits to the Finance/Investment Committee an annual statement that compares the adopted budget to the actual revenues and expenditures for each year.

### **Monthly, Quarterly, and Annual Statements**

All monthly, quarterly, and annual income and expense statements are reviewed by the Executive Director and needed reconciliations are made. Monthly, quarterly and annual statements are on file at NOMM for all members and funding sources to review.

## ***INVESTMENT AND FINANCING POLICIES***

---

### **Investment Policy**

The Finance/Investment Committee has the responsibility and authority to develop and administer financial policies with respect to investments. The investment policy to guide investment decisions should be determined by the Finance/Investment Committee and approved by the Board of Directors. Investment activity should be reviewed by the Finance/Investment Committee on a quarterly basis.

All securities are to be carried in the name of the National Ornamental Metal Museum.

### **Approval Authority for Investments and Financing**

<b>Action</b>	<b>Final Approval Authority</b>
Corporate Borrowing for a Term Greater than 1 year	Board of Directors
Construction related Contracts	Board of Directors
Security Investments	Board of Directors
Corporate Borrowings for a Term Less than 1 year	Board of Directors
Routine Business Policies and Procedures and Process Flow, including Cash Management	Executive Director

## ***INTERNAL CONTROL PROCEDURES***

---

In general, the daily responsibility for accounting and administration within the NOMM is the responsibility of one designated employee, under the general supervision of the Executive Director. Specific responsibilities are as follows:

### **Bank Deposits/Bank Reconciliations**

A designated employee will make all bank deposits for NOMM. She/he will post the deposits to the appropriate accounts. At the end of each month, the bank statements will be reconciled by a designated employee that does not make deposits, reviewed by the Executive Director and filed with the monthly financial statements. Any discrepancies shall be resolved by the Executive Director. Any discrepancies that cannot be resolved will be brought to the Finance/Investment Committee.

### **Capital/Fixed Asset Expenditures**

The proper internal controls must be followed to ensure that payments for capital expenditures are disbursed only upon proper authorization of management and are properly recorded. Capital expenditures are included in the annual operating budget and shall be approved by the Board of Directors prior to the beginning of the new fiscal year.

## Expenditure Guidelines

Final Approval Authority	Expenditure Within Budget	Expenditure Above Budget
Board of Directors	Unlimited	Unlimited
Executive Director	\$10,000	\$1,000
Chief Operating Officer	\$2,000	\$250

All expenditures that exceed authorized amount over budget must be approved by the appropriate supervisor before that expense will be incurred by the NOMM. If immediate supervisor does not have the authorization to approve the amount in question, the Executive Director must authorize the amount. If the Executive Director does not have the authorization to approve the amount, approval must be given by the Board of Directors.

## ***FIXED ASSETS POLICY***

---

The proper internal controls must be established and followed to ensure that assets are properly capitalized, maintained and recorded.

### **Procedures**

- A current detail of fixed assets is to be maintained by the Executive Director and updated when fixed assets, which are to be capitalized, are purchased.
- The detail of fixed assets must be complete and accurate.
- This detail is to be updated with the purchase or disposal of fixed assets. Assets should be recorded at the purchase price plus any additional cost that is necessary to place the asset in operation (e.g., shipping, setup, etc.)
- Fixed assets are to be depreciated on a straight-line basis over the useful life of the asset.
- Depreciation is to be recorded on an annual basis.
- The depreciable life of an asset should be established based on the current estimated useful life of the asset.
- All fixed asset purchases over \$500 are to be depreciated
- When a fixed asset is disposed of or sold, the disposal should be recorded immediately and any gain or loss recognized.
- The fixed asset detail should be reviewed on an annual basis to determine if all items included in the detail are valid. If determined necessary, items should be physically examined to determine that the asset is still used by NOMM.

### **Asset Protection Policy**

The NOMM shall carry insurance for all fixtures, furnishing and equipment and collections (artwork and library).

## ***CHECK SIGNING AUTHORITY***

---

### **Policy**

In order to insure efficient management of the NOMM's cash assets and to provide the appropriate internal controls, all bank accounts will have multiple authorized check signers and specific criteria will be followed, relating to the movement and disbursement of cash assets.

**Procedures**

The Executive Director, Board of Trustees Executive Committee and Chief Operating Officer will be authorized check signers on all Commission bank accounts.

Check disbursements to third parties in amounts of \$1,000 or less, can be signed by any one of the authorized check signers. Check disbursements to third parties in amounts over \$1,000 must be signed by two of the authorized check signers.

All checks must be approved as follows:

1. Invoice approved and initialed by requestor.
2. Check written, approved and initialed by person other than signer.
3. Check signed by authorized check signer(s).

All checks payable to an authorized check signer must be approved and signed by someone other than the payee.

***CHECK WRITING***

---

**Policy**

In order to allow the efficient payment of NOMM obligations and maintain an even cash flow, checks to pay properly approved debts will be as due.

**Procedures**

Invoices from third parties received by NOMM should be forwarded to the appropriate staff member for approval. The staff members will promptly review and approve the invoices.

Once approved, the invoices will be scheduled for payment based upon their due date and the check writing schedule.

Requests for checks that are needed on specific dates should be submitted sufficiently in advance to be included in a check writing cycle prior to the date needed.

***CONTRACTS***

---

**Policy**

No employee of NOMM, except the Executive Director, shall enter into contracts on NOMM's behalf. No agreement should be made with any outside party in which NOMM is obligated to provide staffing, office space or other services without prior approval of the Executive Director.

***EMPLOYEE BUSINESS EXPENSES***

---

During the course of performing their job duties, employees will at times incur expenses that by necessity must be paid by the employee. These expenses will be reimbursed when submitted with approval by the employee's supervisor.

### **Supplies and Miscellaneous Items**

At times an employee must purchase items required in the performance of their job duties when there is not sufficient time to acquire the item through normal purchasing procedures.

The employee can request reimbursement for the expenditure by submitting the original receipt by memo or on a check request form. The request should include a detailed explanation of the circumstances involved and should be approved by the employee's supervisor.

### **Meals**

Instances may arise when, due to unusual circumstances, NOMM business must be conducted during normal meal times or outside of normal office hours. The cost of the meals will be reimbursed to the employee for those individuals participating in the meeting. The employee must submit receipts in order to be reimbursed.

### **Business Credit Cards**

Unless a charge is for an expenditure that requires Board of Trustee approval, the Executive Director has the final say in approving charges. The Executive Director and Chief Operating Officer carry NOMM credit cards.

## ***GRANTS RECEIVABLE***

---

### **Policy**

It is the policy of NOMM to maintain a detail listing of grants receivable and to monitor the status of each grant. Entries and accounting transactions affecting grants will be made as transactions occur.

### **Procedures**

All grant reimbursement requests will be recorded as a receivable at the time of the request. The receivable should include the following billing information:

- a. Grant #
- b. Name of collection contacts
- c. Name of organization
- d. Address of contact
- e. Phone number of contact
- f. Date the transaction was made
- g. Amount
- h. Whether the funds are restricted or for general purposes

## ***GRANT COMPLIANCE POLICY***

---

The proper internal controls must be established and followed to provide for grant compliance and properly recorded transactions.

### **Procedures**

The proper internal controls must be followed to ensure that grant request are supported by appropriate documentation, are promptly paid by the grantors and properly recorded to 1) maintain records for inspections by grantors and 2) provide financial reporting to all grantors on an as needed basis. A Grant Matrix will be maintained for all current grants.

## ***PAYROLL***

---

### **Policy**

Proper internal controls must be followed to ensure that cash is disbursed for payroll only as authorized by management and is properly recorded.

### **Procedures**

- All full-time employees work a standard 35 hours a week with additional hours as needed.
- Payroll is paid monthly on the last business day of the month.
- Exempt are salaried and not required to complete time sheets.
- The payroll is done by an outside contractor.
- The Chief Operating Officer maintains and tracks all sick leave, vacation and other compensated absences. (See the Personnel Policies for detail information on compensated leave such as vacation, sick leave, etc.)
- Payroll checks are to be distributed by the Executive Director or Chief Operating Officer.
- If another individual distributes the checks, the checks must be placed in sealed envelopes by one of the individuals above before being given to the distributor.
- Payroll records must be kept in a secure area that can be accessed by authorized personnel only.

### **Miscellaneous**

- The payroll contractor submits the payroll tax deposits automatically with the payroll checks.
- Direct deposit is available.
- W-2s will be prepared by the payroll contractor and distributed by the Chief Operating Officer.

## ***TRAVEL***

---

### **Policy**

NOMM will pay for the reasonable and necessary cost of travel incurred by its employees in the performance of their official duties and in approved professional development activities.

### **Local Travel**

In the event that employees, not receiving an automobile allowance, use their personally-owned vehicles while performing official business they will be reimbursed at the current Internal Revenue Service mileage rate. Local travel is defined as travel within Shelby County Tennessee. Adequate records must be maintained for local travel mileage. Claims for reimbursement should be made on a Local Mileage Claim Form and submitted on a monthly basis. All travel must be by the most direct route possible.

### **Authorization**

All travel, other than local, must have prior approval by the appropriate authority.

## **Transportation**

Transportation of employees traveling should be by common carrier whenever practical. The fare incurred should not exceed normal coach rates. Arrangements for common carrier travel should be made in advance to take advantage of any cost savings available. A copy of the ticket or appropriate receipt must be submitted with the reimbursement claim for common carrier expenses. Payment for travel can be paid by NOMM in advance if the travel is approved by the Executive Director. Advance payment for travel does not guarantee specific times or carriers.

Personal automobiles may be used to save time when common carrier transportation cannot be satisfactorily scheduled, or to reduce expenses when two or more employees are making the trip. Reimbursement for personal vehicle use may be claimed at the standard mileage rate provided that the cost of such reimbursement does not exceed the comparable cost of commercial transportation.

Charges incurred for hotel and airport parking will be allowed provided that the fees do not exceed the normal transportation costs to the airport.

## **Lodging**

The reasonable costs of lodging will be reimbursed for overnight travel. Lodging for travel related to conference or seminar attendance should typically be at the location of the meeting and in accordance with the lowest rate arrangements made by the sponsor. The convention or conference brochure indicating the lodging rates should be included with the travel reimbursement claim. Sales taxes, lodging taxes and other taxes associated with lodging are reimbursable. Payment for lodging can be paid by NOMM in advance if approved by the Executive Director.

## **Meals**

Actual reasonable expenses for meals while on authorized travel will be reimbursed. Original receipts for expenses must be submitted for reimbursement of meals. For fractional days of travel only meals during actual travel time will be reimbursed. Meals included in conference fees (continental breakfasts, luncheons, banquets etc.) will constitute reimbursement for the meal. A meal stipend may be provided by NOMM in certain circumstances at the discretion of the Executive Director. Amount is determined by the Executive Director.

## **Miscellaneous Expenses**

Other reasonable and necessary miscellaneous expenses for travel will be reimbursed with the submission of receipts. The maximum amount that will be reimbursed without a receipt is \$5.00 (e.g. subway fares, bus fares, parking, baggage handling). Expenses for books, supplies, postage and other items that do not constitute travel expenses should not be included on the claim form.

## **Claims**

No reimbursement for travel expenses shall be made, except in accordance with the provisions of this policy.

All claims for travel expense reimbursement should be completed as soon as possible after completion of the travel. Each traveler must submit a separate claim. Original receipts must be provided or written explanation submitted with the claim explaining why receipts are not available and detailing the expenses requested to be reimbursed.

Properly completed and documented claims should be signed by the employee and the submitted to and signed by the appropriate approval authority. Individuals approving the claims are responsible for reviewing the reasonableness and appropriateness of the claim.

Normally travel expenses should be paid when incurred by the employee with reimbursement made for actual expenses upon proper submission of a claim for travel.

### ***PETTY CASH***

---

The Business Manager will maintain a petty cash fund on the premises of the NOMM. This fund shall have at least \$350 in cash at any time for admissions change. The cash shall be located in a secure location. Receipts must be received for all disbursements from the fund, regardless of the amount. If no receipt is available, a written explanation must be submitted to the Executive Director. The Business Manager will also maintain a petty cash account for change for the Museum Store with at least \$350.

### ***PROCEDURES FOR NON-CASH GIFTS***

---

NOMM may receive gifts of stock, securities and real and personal property such as land, building and equipment, excluding artwork, upon review and recommendation by the Finance Committee. Gifts of artwork shall be accepted upon review and approval by the Collections Committee (please see Artwork Accession Policy).

NOMM will accept these non-cash items to comply with the donor's wishes upon approval by the Collections Committee or Finance/Investment Committee as appropriate. Upon receipt of such items, the Executive Director will immediately notify the Finance/Investment Committee who will recommend the best path of action for maintaining/divesting land building and equipment. Stock and Securities will be sold and funds will be placed in NOMM's money market account (Merrill Lynch). Recommendations for maintaining/divesting gifts of artwork will be made by the Collections Committee.

### ***RESERVE FUND***

---

#### **Purpose**

The reasons for establishing and maintaining a reserve fund are:

- To provide a necessary and reasonable amount of working funds to financially operate the organization.
- To make funds available to maintain the level of operations when unforeseen events affect the budgeted sources of funds.
- To provide funds to meet unexpected organizational needs.

#### **Source**

The Finance/Investment Committee shall recommend to the Board a target level for the reserve fund, a plan to build the reserve and a timetable for achieving the reserve target. Possible sources for the reserve include, but are not limited to, the annual surplus of support and revenue over expenditures.

## ***DISASTER RECOVERY POLICY***

---

In the event of a disaster, the Executive Director and the Finance/Investment Committee will follow the policy outlined in the Business Continuity Plan.

## ***FINANCIAL RECORD RETENTION POLICY***

---

### **CORPORATE/ORGANIZATIONAL DOCUMENTS**

#### **Incorporation Documents**

Incorporation documents, including articles of incorporation, bylaws and related documents should be stored in the Governance Book and electronically in perpetuity.

#### **Tax-exemption Documents**

Tax-exemption documents including application for tax exemption, IRS determination letter and any related documents should be stored in the Governance Book and electronically in perpetuity. Documents should be made available for public inspection upon request.

#### **Meeting/Board Documents**

Meeting/Board Documents, including agendas, minutes and related documents, should be stored in the Board Meeting Book for the appropriate year and electronically in perpetuity.

#### **Business Continuity Plan**

The Business Continuity Plan should be stored in the Governance Book and electronically in perpetuity.

### **FINANCIAL RECORDS**

#### **Year-End Report**

Year-end Treasurer's financial report/statement should be stored in the Financial Book and electronically in perpetuity.

#### **Treasurer's Periodic Report**

Treasurer's period reports should be stored in the Financial Book and electronically for a period of three years.

#### **Bank Statements, Etc.**

Bank statements, canceled checks, check registers, investment statements and related documents shall be compiled and filed on a yearly basis and stored for seven years. Documents should be destroyed after seven years.

#### **Annual Information Returns (IRS Forms 990)**

Annual information returns should be filed on a yearly basis in the Tax Documents Book for the appropriate year and stored for seven years. Documents should be destroyed after seven years. Documents should be made available for public inspection upon request.

#### **Payroll Documents**

Payroll documents shall be filed in a locked cabinet for a period of seven years.

# National Ornamental Metal Museum Personnel Policies and Procedures

## Table of Contents

ACKNOWLEDGMENT .....	3
INTRODUCTION.....	4
EQUAL EMPLOYMENT OPPORTUNITY .....	4
CATEGORIES OF EMPLOYMENT .....	4
PROBATION .....	5
PERFORMANCE EVALUATION .....	5
OVERTIME .....	6
INCLEMENT WEATHER.....	6
PAY PERIODS.....	6
JOB EXPENSE .....	6
OUTSIDE EMPLOYMENT .....	7
CHANGE OF STATUS .....	7
RULES FOR RELEASE OF INFORMATION .....	7
MEETINGS .....	7
USE OF PHONE AND EMAIL.....	7
COURTESY .....	7
SEPARATION FROM EMPLOYMENT .....	7
EMPLOYMENT OF RELATIVES.....	8
EMPLOYEE SAFEGUARDS .....	8
EMPLOYEE CONDUCT .....	8
GRIEVANCE PROCEDURES .....	10
INSURANCE .....	12
HOLIDAYS .....	12
VACATIONS.....	12
SICK LEAVE .....	13
JURY DUTY .....	13
DEATH IN THE FAMILY .....	13
MATERNITY LEAVE .....	14
MILITARY LEAVE.....	14
PERSONAL LEAVE OF ABSENCE .....	14
ATTENDANCE AT CONFERENCES.....	15

**ACKNOWLEDGMENT**

I hereby acknowledge receipt of the National Ornamental Metal Museum's Employee Handbook and agree to familiarize myself with the policies contained herein. I understand that this handbook is not intended as a contract of employment, and that I remain an at-will employee who can be terminated, with or without cause, or resign at any time. I further understand that the terms of this handbook are subject to change at any time in the Metal Museum's discretion.

---

EMPLOYEE

---

DATE

## EMPLOYMENT POLICY

### Introduction

This booklet summarizes the benefits currently provided and the major conditions for continued employment with the National Ornamental Metal Museum (Metal Museum) and is not intended as an employment contract. The Metal Museum cannot guarantee employment for any length of time and must reserve the right to terminate any employee at any time for any reason, which is not otherwise in violation of law. The Metal Museum reserves the right to terminate, suspend, withdraw, amend or modify the contents of this booklet in part or in whole at any time. Any changes will be based solely on the decision of the Metal Museum.

### Equal Employment Opportunity

The Metal Museum recruits and hires without regard to race, color, religion, sex, national origin, veteran status, disability, or age. Other personnel actions such as compensation, lay-offs, training, and other terms and conditions of employment are administered without regard to race, color, religion, sex, national origin, veteran status, disability or age. The success of the Metal Museum depends on the full and effective use of the abilities of all our employees; thus, we are committed to providing equal employment opportunities for all employees.

### Categories of Employment

Regular Full Time: Employees who successfully complete their probationary period and who work not less than 35 regular work week hours will be deemed Regular Full-Time Employees. Full time employees are entitled to all of the benefits described in this handbook provided they meet eligibility requirements.

Part Time: Employees who successfully complete their probationary period and who work less than 35 regular work hours will be deemed Part-Time Employees. Part Time Employees are not entitled to the benefits described in this handbook.

Temporary: Temporary employees are those who are hired for a limited period of time to complete a particular project or task or to fill in for a regular employee. Temporary employees are not entitled to the benefits described in this handbook.

Exempt and Non-Exempt: Employees are also classified in accordance with the Federal Fair Labor Standards Act (FLSA). The FLSA classifies all employees into exempt and nonexempt categories with respect to eligibility for overtime payments:

Exempt – not eligible for overtime pay. An employee who is paid a salary and meets the FLSA definition of an executive, administrator, professional, computer professional, or outside sales person.

Non-exempt – eligible for overtime pay. Employees who are paid by the hour and perform activities that are not those of an executive, administrator, professional, computer professional, or outside sales person. Time worked over 40 hours in a work week will be paid at the overtime rate of one and one-half times the employee's regular hourly rate.

Non-exempt employees must record actual hours worked on time sheets provided by the Metal Museum. Overtime hours must be approved by the supervisor before they are worked.

### Probation

A three-month probationary period is a prerequisite for regular employment. It is to be used as trial period for the employee to be trained to perform his/her job. During this probationary period, employees are not eligible for sick leave or vacation pay, nor for any employee benefits described in this handbook.

The supervisor will provide reasonable and adequate training and counseling as needed during the probationary period. At the conclusion of the probationary period, the supervisor will determine whether to recommend the employee to be retained on a regular employment basis.

### Performance Evaluation

An initial written evaluation of an employee's performance shall be made by the immediate supervisor forty-five days and eighty-five days from the date of employment, and on the anniversary of employment thereafter. The performance evaluation, salary consideration, and recommendations will be discussed with the employee at the annual review.

### Personnel Files

An employee may request to see his or her personnel file at any time during regular business hours and review the information contained therein with his or her supervisor or the Executive Director. Employees are encouraged to maintain a duplicate file of performance evaluations, disciplinary actions and other pertinent information.

### Work Schedule

The hours of the Metal Museum are 10:00 AM to 5:00 PM, Tuesday through Saturday and 12:00 PM to 5:00 PM, Sunday. Full-time employees are expected to be working from 10:00 AM and until 5:00 PM, Tuesday through Friday and on one weekend day. Full-time employees receive one hour for lunch and two breaks, not to exceed 15 minutes. One is allowed in the morning and one in the afternoon. Part-time employees receive a proportional lunch break, based upon number of hours worked, which may be taken at the employee's discretion. Breaks should not interfere with the proper performance of work responsibilities.

Employees must keep the Executive Director informed of all absences, specifying vacation, comp, sick day, etc.

### Overtime

If a non-exempt employee is required to work overtime, compensatory time at the rate of one and one-half hours off for every hour of overtime may be approved by that person's immediate supervisor and must be taken within the pay period when the overtime occurred. Otherwise, overtime will be paid at one and one-half times the employee's regular hourly rate. Documentation of overtime must be submitted to the office manager within the pay period earned.

If overtime is required on a regular basis, it shall be a matter for discussion between the Executive Director, the immediate supervisor, and the employee, so that redistribution of workload or better planning may be achieved.

Non-exempt employees must record time worked on time sheets. Employees are responsible for recording time worked and no one may record the time worked for another employee.

### Inclement Weather

In the event of inclement weather, the Metal Museum will be open unless or until Memphis City Schools are closed due to weather. The Executive Director, however, may close the office due to weather conditions at his/her discretion. To receive pay for an absence related to inclement weather if the office is not closed, the employee shall have the discretion to use vacation or bonus days, provided he/she has time accrued, or have his/her absence charged to leave without pay.

### Pay Periods

Employees are paid monthly on the last day of each month. If either of those dates fall during the weekend or holiday, the employee will be will be paid on the preceding Friday or the immediate prior day the office is open. Itemized deductions will appear on the paycheck. **[DO WE REALLY PAY MONTHLY? SHOULD BE BI-MONTHLY TO BE SAFE]**

### Job Expense

Any direct costs to an employee as related to his or her employment will be paid by the Metal Museum as approved by the Executive Director in advance. Staff members using their own automobile for Metal Museum business will be paid at the prevailing per mile rate. Expense vouchers should be turned in at the end of each month.

### Outside Employment

Outside employment may be permitted, provided there is no conflict of interest or deleterious effect upon the employee's productivity for the Metal Museum. The Executive Director shall approve or disapprove any outside employment. The President of the Board of Directors shall approve or disapprove any outside employment of the Executive Director. In the event the outside employment intrudes on the time, responsibilities, or other activities of the employee, it shall be terminated immediately.

### Change of Status

Please advise the Metal Museum, so that our records may be corrected, of any change in name, home address, telephone number, dependents, whom to notify in case of accident, income tax exemptions and withholdings, or insurance beneficiary (if covered by the company's insurance plan).

### Rules for Release of Information

No employee is authorized to release information about the Metal Museum to any newspaper or other news media or to individuals or organizations without prior approval of the Executive Director. This rule also applies to references on current and former employees.

### Meetings

Staff is expected to arrive on time for all meetings.

### Use of Phone and Email

Personal telephone calls and emails are to be limited during office hours and should be limited in number to ensure full attention to work.

### Courtesy

Employees are expected to display professional courtesy and a gracious manner to visitors and callers.

### Separation from Employment

Resignation: Any employee wishing to leave the Metal Museum in good standing shall provide his/her supervisor a written letter of resignation stating the date he/she is leaving. The supervisor is responsible for notifying the Executive Director of the resignation immediately. The resignation should be submitted at least two (2) weeks before leaving unless the employee's supervisor consents to the employee leaving sooner. At the Metal Museum's discretion, terminating employees may be asked to leave prior to completing the notice period.

Compensation at Separation for Unused, Accrued Vacation: If an employee is released during the probationary period, he/she will be paid only for time worked. If an employee has completed the probationary period at the time of separation, he/she will receive pay for any accrued but unused vacation days. Accrued vacation days will be calculated at the rate of total possible vacation days an employee can earn for the current calendar year divided by 12 and multiplied by the number of months worked during the calendar year. Employees will not receive pay for unused sick leave. Payment for vacation and sick days advanced prior to accrual shall be repaid to the Metal Museum.

Exit Interview: An exit interview will be scheduled for each terminating employee with the Executive Director to settle matters such as those pertaining to their insurance conversion, accrued vacation, and the return of keys and other Metal Museum property. The exit interview will be documented and placed in the employee personnel file. Failure to attend the exit interview as scheduled may result in a delay in processing all final matters.

### Employment of Relatives

Relatives of current Metal Museum employees will not be considered for a position that reports directly to a relative. For the purpose of this policy, a relative shall be defined as father, mother, brother, sister, spouse, in-law and dependent children.

### Employee Safeguards

Injuries: Any work place injury sustained or observed, no matter how slight, must be reported in writing immediately to the Executive Director.

Safety and Security: All employees are responsible for observing safe working practices and making every effort to ensure a secure working environment. Employees should exercise caution in the storage of their wallets, handbags and other small valuables. For safety these articles should be kept out of sight when you are away from your desk. Any stolen property should be reported immediately.

### Employee Conduct

General Employee Conduct: An employee of the Metal Museum shall not engage in any criminal or dishonest conduct or behavior, activity or association which discredits him/her and/or the Metal Museum. Each employee is expected to conduct himself/herself, both on and off the job, in such a manner as to reflect credit on both himself/herself and the Metal Museum.

Employees who violate the rules set forth in this handbook or who engage in other conduct that is contrary to the interests of the Metal Museum are subject to

discipline, which could include verbal reprimand, written warning, suspension or termination, depending on the nature of the violation.

Harassment: It is the stated policy of the Metal Museum that unwelcome sexual advances, request for sexual favors or other verbal or physical conduct of a sexual nature are strictly prohibited. In addition, the Metal Museum strongly disapproves of offensive racial, religious, age-related, disability-related or ethnic remarks, jokes, or other conduct that may be offensive to other employees.

Any employee who believes he/she has witnessed or been subject to harassment must report it immediately to the Executive Director or the President of the Board of Directors. Such complaints will be handled with as much confidentiality as possible while still allowing the Metal Museum to conduct a prompt and thorough investigation. The Metal Museum will take prompt corrective action where warranted, including discipline up to and including termination. The Metal Museum will not retaliate against anyone for good faith reporting of harassment or participation in an investigation.

Drug and Alcohol Policy; Prohibited Items: Employees are expressly prohibited from using, consuming, possessing, transporting, purchasing or selling alcohol or illegal drugs (including any substances which could alter the motor or sensory functions of a human being) on the employer's premises. Employees are also prohibited from being impaired by or under the influence of alcohol or illegal drugs at any time while on the employer's premises. Employees are prohibited from possessing the following unauthorized items on the employer's premises: firearms or other weapons of any sort, drug paraphernalia and stolen property. For purposes of this section, the term "employer's premises" shall include, without limitation, the buildings and all grounds and outdoor areas that are owned, operated and/or controlled by the Metal Museum.

Notwithstanding the above, and subject to the conditions set forth below, employees may consume alcoholic beverages (a) after the Metal Museum has closed to the public, provided they do so in a responsible manner and do not drive while impaired, or (b) during events on the employer's premises that are sanctioned by the Metal Museum including, without limitation, exhibit openings, receptions, parties, and the like. Such consumption of alcohol on the employer's premises is expressly conditioned upon the employee's agreement to do so in a responsible manner, to refrain from working in the blacksmith shop or foundry on Metal Museum projects or personal commissions after having consumed alcoholic beverages, and to otherwise comply with all other terms of the National Ornamental Metal Museum Personnel Policies and Procedures, including policies pertaining to general employee conduct and courtesy.

No Smoking Policy: The Metal Museum facilities are a smoke-free environment. Employees who choose to smoke should use allocated breaks (as outlined in the "Work Schedule" section above), provided they do not interfere with the employees' work, and use the allocated smoking areas.

Electronic Communications. All computer and telephone equipment provided by the Metal Museum is the property of the company, and any information or communications stored either in the computer or in the voice mail system is subject to review by the Metal Museum should the need arise. No e-mail, voice mail, or other information placed on the system by an employee is considered "confidential" even if the material is password protected by the employee. Files or messages that have been "deleted" by the user are subject to being retrieved and reviewed by the Metal Museum should the need arise. Voice mail, e-mail and the internet are to be used primarily for business purposes related to the employee's job. Limited, occasional use of e-mail or the internet for personal use is permitted if done so in a professional manner that does not interfere with business use. Sending or receiving e-mail messages or accessing internet sites with content that is derogatory, defamatory, obscene, harassing, threatening, discriminatory based on race, sex, age, religion, national origin or disability or otherwise inappropriate in a professional workplace are strictly prohibited. Only software products purchased and licensed by the Metal Museum may be installed on any Metal Museum computer and such programs may not be copied or installed on other computers without the Metal Museum's permission.

Confidentiality: All employees of the Metal Museum are to respect the confidence placed in them by the Board of Directors and the clients of the Metal Museum. The relationships necessary for the Metal Museum to accomplish its goals demand no disclosure of information be made without proper authorization. It is vital that confidential information not be inappropriately discussed outside the Metal Museum. All information is considered confidential unless specifically defined as general public information. If an employee has any questions regarding what information can be publicly discussed, the employee should discuss the confidentiality status of the information with the Executive Director prior to release of such information.

#### Commissions

Employees are required to have personal commissions approved by the Executive Director or Shop Foreman. 15% of gross payment received is due to the Metal Museum for overhead no later than ten (10) days after the payment has been received by the employee. Employees are not permitted to work on personal commissions during regular business hours.

#### Grievance Procedures

It is in the best interest of both the employee and the Metal Museum for work-related problems to be handled in a constructive manner as soon as the problem becomes apparent. An employee who has a question about the interpretation and/or application of Metal Museum policies, is in disagreement with a co-worker or supervisor, feels that he/she has been treated unfairly or has a problem that has not been resolved satisfactorily, should discuss the situation with the Executive Director. In the case of disagreements or problems with the Executive Director, an employee may contact the

Revised: 3/26/08

board appointed representative, Alan E. Glenn. The Metal Museum will use its best efforts to resolve the problem to the satisfaction of all parties.

## EMPLOYEE BENEFITS

The Metal Museum offers the following benefits to its employees. The Metal Museum reserves the right to alter or discontinue these benefits at any time.

### Insurance

The Metal Museum provides health, life (\$10,000) and dental insurance for its full-time employees as soon as an employee is considered eligible by the insurance provider. Additional life insurance is available at the employee's option and expense. An employee may elect to extend coverage to his/her spouse and dependents by paying the cost of the family plan through payroll deductions. Employees are encouraged to review the policies, which are available from the Executive Director.

### Tax Sheltered Annuity

All Metal Museum employees have the opportunity to participate in a 403(b) tax sheltered annuity. After two years of employment, the Metal Museum will match employee contributions up to a percentage of salary (for exempt employees). Match for non-exempt employees will be at the discretion of the Executive Director. The percentage match is determined yearly by the Board of Trustees.

### Holidays

The Metal Museum observes the following holidays:

Thanksgiving Day  
Christmas Eve – January 1<sup>st</sup>  
Easter Day  
July 4th

Full-time employees are paid at their normal rate of compensation for the holidays.

### Vacations

No vacation days may be taken until six months after employment; however, vacation days begin accruing when the employee begins working at the Metal Museum. Vacation days are allocated at the beginning of the fiscal year (July 1<sup>st</sup>). Exempt employees in years 1-5 of employment receive 13 days. After five years of employment, both exempt and non-exempt employees earn an additional 5 days of vacation and receive one extra day of vacation per additional year worked up to a maximum of 25 days. Vacation days must be used within the fiscal year in which they were allotted and may not be carried over.

Employees may be advanced vacation days with the approval of the Executive Director, but if they are terminated or resign before accruing the days advanced, they will be required to repay the Metal Museum for those days.

If a holiday occurs during the vacation period, an additional day of vacation is given. All requests for vacations should be made in writing to the supervisor. If possible, the supervisor will honor each employee's request for specific vacation. If two or more employees request the same vacation period and the supervisor feels that both cannot be honored, length of service and work scheduling requirements will be considered in evaluating such requests.

### Sick Leave

Sick leave with pay may be granted to an employee because of absence necessitated by illness, disability, or emergency illness in the family. Sick leave may be carried over from employment year to employment year, with a maximum accrual of forty-five (45) days.

Full-time employees accrue sick leave at a rate of twelve days per fiscal year. No paid sick leave days may be taken until an employee has worked for six months.

Any time an employee is unable to report for work as scheduled because of illness, he or she must notify his or her supervisor no later than one-half hour after the office has opened. Non-emergency doctor's appointments should be approved in advance and must be charged against sick leave time.

For exempt employees, any time more than three hours, but less than four hours, of work are missed during the work day, the time will be counted as one half day against either sick leave or vacation, depending on the applicable reason for the absence. Any time more than four hours of work are missed, it will be counted as a full day against sick leave, vacation or the applicable reason for the absence.

Employees who must miss work because of non-work-related illness or injury and who have exhausted their sick days may apply for an unpaid medical leave of absence of up to 12 weeks. Such leaves are within the sole discretion of Metal Museum. The Metal Museum will make every effort to hold an employee's position open during a medical leave of absence but reserves the right to fill a position should the needs of the organization require it.

### Jury Duty

Staff members subpoenaed for jury duty are to be compensated at their regular rates of pay while performing this civic duty. Employees should give a copy of the jury duty summons to their supervisor the next business day after receiving it. Employees who spend less than three hours performing jury duty in any one day must return to work that day. The employee will turn over to the Metal Museum payment received for jury duty. No employee will be penalized for serving jury duty.

### Death in the Family

The Metal Museum makes provisions for time off with pay (up to five days) following the death of an immediate family member; mother, father, spouse, child (includes stepchild

or foster child), brother, sister, grandparent, or parent-in-law. If the death occurs at time when you are not scheduled to work, payment will not be made.

### Maternity Leave

Regular full-time employees are eligible to apply for a maternity leave of absence after being employed for at least one year. Initial leaves may be granted for a period of six weeks, and additional time off may be granted, at the discretion of the Executive Director, for two additional months. This leave will be unpaid unless employees have sick days or vacation days available, in which case they must be used during the leave. Requests to spread unpaid leave over a longer period shall be reviewed on a case-by-case basis.

If a position must be filled while the leave is in force, the employee may not be returned to the same position but will be considered for any other available position at the time the leave expires. One week's notice must be given to the Executive Director by the returning employee of the desire to return to work. If no positions are available, the employee may be terminated for lack of work.

### Military Leave

A military leave of absence without pay will be granted if an employee is inducted, is required to go on military reserve training, or is recalled to active duty in the U.S. Armed Forces for a period of not more than five (5) years. The employee's service with the Metal Museum is protected under such leave.

Upon satisfactory completion of duty and timely notice of intent to return to work, the employee will be re-instated to his/her work group or comparable job, provided the employee is qualified and the Metal Museum's business circumstances have not changed to the extent that reemployment becomes impossible or unreasonable. Employees on military leave for more than six months must reapply for their job within 90 days after being released from active duty; employees on leave for more than 30 days but less than 6 months must reapply within 14 days, and employees returning from leave of 30 days or less must return to work on the next scheduled work day.

### Personal Leave of Absence

Employees who have exhausted all other available leave or who are ineligible for other leave may apply for a personal leave of absence of up to 12 weeks. Requests for a personal leave of absence without pay are to be made in writing to the Executive Director at least two months in advance, and shall clearly define the purpose of the request. Leaves will be approved at the discretion of the Executive Director.

If a position must be filled while the leave is in force, the employee may not be returned to the same position but will be considered for any other available position at the time the leave expires. One week's notice must be given to the Executive Director by the returning employee of the desire to return to work. If no positions are available, the employee may be terminated for lack of work.

Attendance at Conferences

Approved work-related conferences are regarded as educational and growth opportunities and the Metal Museum will encourage attendance by allowing time and pay to professional staff who can be spared from the program. Partial or full expenses shall be provided those attending conferences at the discretion of the Executive Director.

## **National Ornamental Metal Museum Guest House Policy**

### **Purpose**

The primary purpose of the Guest House is to further the Metal Museum's mission to preserve and advance the art and craft of fine metalwork. This is achieved through the Metal Museum's Artist-in-Residency Program for the Schering-Plough Smithy and the Lawler Foundry. All other uses are considered secondary, should not interfere or distract from the Metal Museum's mission and require approval of the Executive Director.

### **Accommodations**

The Guest House can accommodate up to four guests at a time. Three rooms for extended stay residencies are available. The basement room with private bath, the upstairs south room with private bath and the upstairs north room with shared bath and private porch. Rooms will be assigned to residents as available. All residents share the common areas, which consist of the kitchen, dining room, living room and basement laundry facilities. There is also one short-term visitor guest room that shares a bath with the north guest room.

Two of the three extended stay rooms are reserved for approved artists-in-resident who are utilizing the smithy and/or foundry. Residencies are six to twelve months (see Artist in Residency Guidelines). The third apartment may be used for one additional artist in residence or may be used for one of the following purposes, as approved by the Executive Director.

- Research residency for artists, art historians or other academics utilizing the Julius Blum Library.
- Visiting artists who are working for the Metal Museum on special projects, conducting workshops or featured in a Museum exhibit.
- Visiting artists who are sponsored by a local organization. In such cases, the visiting artist may be required to pay a rental fee to be determined by the Executive Director.
- Other uses as approved by the Executive Director.

The guestroom may be used for the following purposes, as approved by the Executive Director.

- To house short-term guests of the artists-in-resident. Guests must be approved in advance by the Executive Director and may not stay for more than 5 nights. Guests may be required to pay a small fee.
- To house visiting artists who are exhibiting in the Museum.
- To house "friends" of the Museum.
- Other uses as approved by the Executive Director

### **Responsibilities of the Metal Museum**

The Metal Museum shall provide each resident with a locked room. Electricity and water shall be provided and paid for by the Metal Museum. All routine maintenance and repairs shall be made in a timely fashion.

Any concerns or problems should be brought to the attention of the Executive Director. The Metal Museum will use its best efforts to resolve any problems to the satisfaction of all parties.

The Metal Museum reserves the right to alter the Guest House Policies at any time.

### **Personal Property**

Personal property should be kept in the resident's room. The Metal Museum assumes no responsibility for theft or damage to a resident's personal property. Residents shall not keep any unregistered weapons, excluding those created for artistic purposes, on the premises. All weapons must be stored in a locked safe and may under no circumstances be loaded. Residents shall comply with all City of Memphis ordinances related to carrying, using and possessing weapons of any kind.

It is recommended that residents provide their own sheets, towels and pillows. Sheets, towels and pillows are available for short-term guests. Residents shall be responsible for washing any linens that they or their guests use.

### **Parties and Gatherings**

Residents shall follow all local ordinances regarding parties, gatherings, noise, litter, and parking. No resident shall hold a party or gathering without the consent of the other residents in the duplex. Consent shall not be unreasonably withheld. Any resident hosting a gathering or party shall, upon request of any other resident or the Metal Museum Executive Director, terminate the event immediately.

All residents in attendance at a gathering or party shall share equally in cleaning the dwelling and removing trash and litter. They shall thoroughly clean the premises, deposit all trash in appropriate waste and recycling containers, and remove all litter left outside the dwelling within one hour of the ending of the event but in no case any later than 9 a.m. the following morning.

### **Smoking**

The Guest House is a smoke free environment. Residents and guests may smoke on the porch and other designated areas.

### **Pets**

Pets must be approved in advance by the Executive Director. Pets are not allowed to leave the resident's room and may not roam the museum grounds. Residents may be asked to pay a pet deposit that will be returned at the end of the residency provided there is no damage to the room. Residents may also be asked to remove a pet if it causes unpleasant odors or noise.

**Common Areas**

All residents shall follow reasonable standards of cleanliness in maintaining the private and common areas of the premises. Residents shall promptly address any concerns about cleanliness with each other in a polite and professional manner. Unresolved requests to address any particular situation shall be brought to the attention of the Metal Museum Executive Director.

**Abandoned Property**

If a resident vacates the premises for any reason and fails to remove his property within ten days, the property may be considered abandoned and become property of the Metal Museum.

**Eviction**

The Metal Museum reserves the right to evict any resident or guest for, including but not limited to, the following reasons

- committing or permitting to exist a substantial nuisance in, or is causing significant damage to, the Guest House
- creating or permitting to exist a substantial interference with the comfort, safety or enjoyment of the other residents
- committing any crime on the premises including, but not limited to, larceny, damage to property, assault, battery, fraud, invasion of privacy, harassment, and stalking
- participating in dangerous activities, violent acts, or weapon violations

All Artists in Resident shall be required to sign below to signify that they have read and understand the Metal Museum's Guest House policy.

## ACKNOWLEDGMENT

I, \_\_\_\_\_, hereby acknowledge receipt of the National Ornamental Metal Museum's Guest House Policy and agree to familiarize myself with the terms thereof. As a condition of my use of the Guest House, I agree to abide by the terms of the Policy. I understand that the Policy is subject to change at any time and that my use, or continued use, of the Guest House is subject to the sole discretion of the Metal Museum.

\_\_\_\_\_  
RESIDENT

\_\_\_\_\_  
DATE