

Employee Code of Professional Conduct

Turning Pointe Autism Foundation has adopted this Code of Business Conduct and Ethics (the “Code”) applicable to all staff members. In implementing this Code, it is the intent of Turning Pointe Autism Foundation to take all measures necessary to promote and ensure honest and ethical conduct, including the ethical handling of conflicts of interest; full, fair, accurate, timely, and understandable disclosure in all financial reports prepared or distributed by the organization; and compliance with applicable laws and governmental regulations. This Code also is intended to provide the organization’s directives and procedures that: (1) protect the organization’s legally protectable interests, including any business-related opportunities, assets, and confidential information of the organization; (2) protect the organization from incurring unauthorized or unnecessary contractual or other liability; (3) deter any staff member from the commission of any wrongful act associated in any way with the organization; and (4) provide a mechanism for prompt and consistent enforcement of the provisions of this Code. All staff members are expected to be familiar with this Code and to adhere to the principles and procedures outlined in this Code that apply to such staff members.

I. Honest and Candid Conduct

Each staff member owes a duty to Turning Pointe Autism Foundation to act with integrity. Integrity requires, among other things, being honest and candid. Deceit and subordination of principle are inconsistent with integrity. Each staff member must at all times:

- act with integrity, including being honest, while still maintaining the confidentiality of information where required, consistent with the Organization’s policies;
- observe both the form and spirit of all applicable laws and governmental rules and regulations, accounting standards, and the Organization’s policies; and
- adhere to a high standard of ethics in all matters associated with the interests of the Organization.

II. Conflicts of Interest

Turning Pointe Autism Foundation is concerned with conflicts of interest that create actual or potential job-related concerns, especially in confidentiality, stakeholder relations, safety, security, and morale. Any actual or potential conflict of interest between an employee of the Organization and a competitor, provider, distributor, or contractor to the Organization must be disclosed by the employee to Human Resources. If an actual or potential conflict of interest is determined to exist, the Organization will take steps necessary to reduce or eliminate this conflict.

Conflicts of Interest Defined. A “conflict of interest” occurs when an individual’s private interest interferes with or appears to interfere with, the interests of the Organization, such as when a staff member takes actions or has interests that may make it difficult to perform his or her work for the Organization objectively and effectively. For example, a conflict of interest would arise if a staff member or a member of his or her family receives improper personal benefits due to his or her position with the Organization. Any transaction or relationship that could reasonably be expected to give rise to a conflict of interest should be discussed with the Executive Director. Such situations may include:

- influencing or attempting to influence anyone who is involved in making or administering a contract or arrangement with the Organization;
- soliciting or receiving any gift, reward, or promise for recommending, influencing, or attempting to influence the award of a contract or arrangement with the Organization;
- drafting, negotiating, evaluating, administering, accepting, or approving any contract subcontract or, procurement or arrangement of any type on behalf of the Organization if he/she has, directly or indirectly, any financial interest in such a contract or, subcontract or arrangement;
- non-organization employment, which adversely affects the staff member's availability or effectiveness in fulfilling job responsibilities;
- any type of private business, except for approved student services during school time or on school property that the Executive Director does not preapprove;
- the receipt of excessive entertainment or gifts of more than nominal value of \$25 from any person, entity, or organization with whom or with which the Organization has current or prospective dealings;
- being in the position of supervising, reviewing, or having any influence on the job evaluation, pay, or benefit of any immediate family member employed by or otherwise associated with the Organization. For this policy, "immediate family member" includes the employee's spouse, child, parent, step-parent, parent-in-law, grandparent, grandchild, sibling, sibling-in-law, niece, nephew, cousin, member of the employee's household or someone with whom the employee has a close, personal relationship, and
- selling anything to the Organization or buying anything from the Organization on terms and conditions that are not pre-approved by the Executive Director.

This is not intended to be an exhaustive list of possible situations which would constitute conflicts of interest. Further, any relationship or action that creates an expectation of benefit or profit beyond a staff member's normal employment relationship with the Organization can impair a staff member's ability to exercise sound judgment on behalf of the Organization and, therefore, create an actual or potential conflict of interest. It is Turning Pointe Autism Foundation's policy that all staff members must carefully avoid all such situations.

Compensation includes direct and indirect remuneration and gifts or favors that are not insubstantial (\$25 or less).

Duty to Disclose

In connection with any actual or potential conflict of interest, a staff member must disclose the existence of the conflict in writing and all facts material to the conflict to the Executive Director.

Determining Whether a Conflict of Interest Exists

After disclosure of the conflict and all material facts, the Executive Director shall determine whether a conflict exists and, if so, whether the employee needs to be removed from the matter.

III. Sexual Misconduct

Students' success in school relies on safe learning environments and healthy relationships. Sexual Misconduct is defined as and means any act, including, but not limited to, any verbal, nonverbal, written,

or electronic communication or physical activity by an employee or agent of the school with direct contact with a student that is directed toward or with a student to establish a romantic or sexual relationship with the student.

This may include but is not limited to the following:

1. A sexual or romantic invitation
2. Dating or soliciting a date
3. Engaging in sexualized or romantic dialog
4. Making sexually suggestive comments that are directed toward or with a student
5. Self-disclosure or physical exposure of a sexual, romantic, or erotic nature
6. A sexual, indecent, romantic, or erotic contact with the student

Each employee is expected to maintain a professional relationship with students at all times, including on transportation for community outings. Taking or possessing photos or videos of students outside of curricular and learning activities without permission from the administration is not allowed. Meeting or contacting students outside of a staff's professional role is prohibited.

Employees should also abide by Turning Pointe Autism Foundation's Anti-Harassment and Non-Discrimination Policy. Any violation of the code of conduct policy these policies may subject an employee to disciplinary action up to and including dismissal from employment.

IV. Child Abuse Reporting Obligations

As educational professionals, we are responsible for providing the children we teach with the opportunity to obtain the best education possible. However, our responsibility does not end there. We also have a legal obligation to report child abuse, neglect, and abandonment. Unfortunately, child abuse, neglect and abandonment are all too frequent occurrences in today's society. In our capacities as educators or staff members at an educational institution, at some point in our careers, we are likely to come into contact with child abuse, neglect, or abandonment. This prompts the question, "How do I recognize and deal with such a situation when it occurs?" This policy is designed to provide guidelines for reporting suspected child abuse, neglect, and abandonment.

Illinois Statutes require that all school personnel immediately (within 24 hours) report situations involving potential child abuse, neglect, or abandonment. The statute contains these definitions:

Abuse: Any willful act or threatened act that results in any physical, mental, or sexual injury or harm that causes or is likely to cause the child's physical, mental, or emotional health to be significantly impaired.

Neglect: When a child is deprived of, or is allowed to be deprived of, necessary food, clothing, shelter, or medical treatment or a child is permitted to live in an environment when such deprivation or environment causes the child's physical, mental, or emotional health to be significantly impaired or to be in danger of being significantly impaired.

Abandonment: A situation in which the parent or legal custodian of a child, or in the absence of a parent or legal custodian, the caregiver responsible for the child's welfare, while being able, makes no provision

for the child's support and makes no effort to communicate with the child, which situation is sufficient to reveal a willful rejection of parental obligations.

If you have any belief, concern, or thought that you have witnessed, heard, or heard about a situation possibly involving abuse, neglect, or abandonment, you must contact a Director. If a Director is unavailable, notify a Team Leader.

The appropriate person will then discuss the situation with you to ensure the proper reports, if any, are completed.

In addition, as a part of every staff member's obligation to keep children and our campus safe, if you have received information reflecting that any person who may regularly or periodically visit the school's campus (student, employee, parent, spouse of an employee, family member, volunteer, or contractor) has engaged in behavior that could constitute abuse, has been accused, arrested, or convicted of any type of potential abuse or sexual misconduct toward any other person, you must immediately report such information to Human Resources or the Executive Director. The Educator Code of Conduct is distributed in this handbook, and training related to child abuse is provided as required by Faith's Law.

V. Financial Disclosures

Each staff member involved in Turning Pointe Autism Foundation's financial disclosure process is required to be familiar with and comply with the Organization's disclosure controls and procedures and internal control over financial reporting to the extent relevant to such staff member's area of responsibility so that the Organization's public reports and documents comply in all material respects with the applicable federal, state and local laws, rules and regulations. In addition, each such staff member having direct or supervisory authority regarding the Organization's communications with the public concerning its financial condition should, to the extent appropriate within the staff member's area of responsibility, consult with other staff members of the Organization and take other reasonable and proper steps regarding these disclosures to make complete, fair, accurate, timely, and understandable disclosure.

Each staff member who is involved in Turning Pointe Autism Foundation's financial disclosure process also must:

- become familiar with the disclosure requirements applicable to the Organization and the business and financial operations of the Organization;
- not knowingly misrepresent, or cause others to misrepresent, facts about the Organization to others, whether within or outside the Organization, including to the Organization's independent auditors, governmental regulators, and self-regulatory organizations; and
- properly review and critically analyze proposed disclosure for accuracy and completeness (or, where appropriate, delegate this task to others).

VI. Legal Compliance

At all times, Turning Pointe Autism Foundation's policy is to comply with all applicable laws, rules, and regulations. It is the personal responsibility of each staff member to adhere to the standards and restrictions imposed by such laws, rules, and regulations.

It is against the policy of the Organization and, in many circumstances, may be unlawful for a staff member to profit from undisclosed information relating to the Organization or any other entity or organization with which Turning Pointe Autism Foundation has a business relationship.

Employees shall not act as a witness to documents such as Power of Attorney, guardianship, advance directives, and agency contracts. Employees are authorized to countersign documents related to their job duties, such as intake forms, release of information authorization, treatment plans, etc.

VII. Reporting and Accountability

The Executive Director and Executive Committee is responsible for applying and interpreting this Code. Issues involving allegations against or involving the Executive Director may be reported directly to the Board Chair or President.

Any staff member who becomes aware of any existing or potential violation of this Code must promptly notify the Executive Director, the Board Chair, or the Board President in the manner provided by the Organization's Employee Whistleblower Policy. The failure of any staff member to notify the Executive Director, the Board Chair, or the Board President of any such existing or potential violation will be considered a separate and independent violation of this Code subject to discipline up to and including termination of employment. Any questions relating to how this Code should be interpreted or applied should be addressed to the Executive Director (or the Board Chair or Board President, as applicable).

Retaliation against any person for making a good faith report of any actual or potential violation of this Code will not be tolerated. Such retaliation will be considered a separate and independent violation of this Code subject to discipline up to and including termination of employment.

The Executive Director (or Board Chair or Board President, as applicable) shall take all appropriate action or cause such action to be taken to investigate any potential violations of the Code that are reported. When it is determined that a violation has occurred, the Organization will take such disciplinary, preventive or corrective action as it deems appropriate under the circumstances (to include discipline up to and including termination of the employment of culpable individuals).

VIII. Opportunities

All employees owe a duty to Turning Pointe Autism Foundation to act solely in the Organization's interests when faced with business or financial opportunities associated with the Organization. Staff members are prohibited from taking advantage of (or directing to a third party) any company or other economic opportunity that is discovered through the use of any of the Organization's property, or with the use of information obtained from the Organization, or by such person's position with the Organization. Staff members are further prohibited from using any such property, information, or position for personal gain or in any way detrimental to the interests of the Organization. Any staff member who intends to make use of any of the Organization's property, information, or services in a manner that is not solely for the benefit of Turning Pointe Autism Foundation must first consult the Executive Director and obtain the written approval of the Executive Director before proceeding with any such use.

IX. Confidentiality

All employees must safeguard confidential information obtained while working for Turning Pointe Autism Foundation. This confidential information includes all information not generally known that may give Turning Pointe Autism Foundation an advantage over its competitors. This information includes, but is not necessarily limited to trade secrets, information regarding business plans and methods, lists and personal information of students, parents and other family members, donors, customers, suppliers, or joint venture parties, student, parent, family member, donor and customer histories and preferences, financial plans, investments, operating and marketing information and procedures, pricing information, new service plans, mailing lists, mailing list strategies, private personal information concerning Turning Pointe Autism Foundation’s employees, and, in particular, any material identified by Turning Pointe Autism Foundation as “confidential/proprietary.” This includes therapeutic interventions, strategies for programmatic or team design, outreach in the community, or team benefits. Furthermore, this applies to organizational approaches and classroom, business, or clinical products or materials.

Access to confidential information should be on a “need to know” basis and must be authorized by a member of management. The unauthorized use or disclosure of any personal information will cause irreparable harm to Turning Pointe Autism Foundation. Turning Pointe Autism Foundation may seek all remedies available under the law for any threatened or actual unauthorized use or disclosure of confidential information. Any employee unsure about the confidentiality of any information should immediately seek the assistance of management before disclosing such information.

Employees should use reasonable security measures concerning confidential information, including but not limited to the following:

- Confidential information should not be disclosed to any third party except upon Turning Pointe Autism Foundation’s prior written approval;
- No copies should be made of any confidential information except to promote the purposes of the employee’s work for Turning Pointe Autism Foundation;
- Employees should not use confidential information for their benefit, nor for the benefit of any third party, without Turning Pointe Autism Foundation’s prior written approval.

This policy does not, in any way, restrict or impede employees from exercising protected rights, from complying with any applicable law or regulation or valid order of a court of competent jurisdiction or an authorized government agency, and is not intended to interfere with any such rights the employee may have under Section 7 of the NLRA, including filing unlawful labor practices (ULP) charges or participating, assisting, or cooperating in ULP investigations, provided that such compliance does not exceed that required by the law, regulation, or order. The employee shall promptly provide written notice of any such court order to Turning Pointe Autism Foundation.

Immunity from Liability for Confidential Disclosure of a Trade Secret to the Government or in a Court Filing: (1) Immunity—An individual shall not be held criminally or civilly liable under any federal or state trade secret law for the disclosure of a trade secret that—(A) is made—(i) in confidence to a federal, state or local government official, either directly or indirectly, or to an attorney; and (ii) solely to report or investigate a suspected violation of law; or (B) is made in a complaint or other document filed in a lawsuit or other proceeding, if such filing is made under seal. (2) Use of Trade Secret Information in

Anti-Retaliation Lawsuit—An individual who files a lawsuit for retaliation by an employer for reporting a suspected violation of law may disclose the trade secret to the attorney of the individual and use the trade secret information in the court proceeding if the individual—(A) files any document containing the trade secret under seal; and (B) does not disclose the trade secret, except pursuant to court order.

All confidential information shall remain the sole property of Turning Pointe Autism Foundation, and all copies must be returned to Turning Pointe Autism Foundation upon termination of employment or upon demand at any other time.

X. Fair Dealing

Turning Pointe Autism Foundation has succeeded in its purpose as a non-profit organization and has made its reputation through consistently fair and honest dealings. Under no circumstances will the Organization tolerate efforts by any staff member to seek any personal advantage or to seek any advantage on behalf of the Organization through illegal or unethical practices. Each staff member must endeavor to deal fairly at all times with other staff members, volunteers, students, parents, contributors, business associates, the general public and all others with whom the Organization deals or has contact or communication. No staff member should take unfair advantage of anyone through manipulation, concealment, abuse of privileged information, misrepresentation of material facts, or any unfair dealing practice.

XI. Use of Turning Pointe Autism Foundation Assets

All staff members should protect the Organization's assets and ensure efficient use. The Organization's assets should be used only for legitimate business purposes.

XII. Liability Prevention

All staff members must avoid, whenever possible, any act or omission that would subject the Organization to unnecessary liability, contractual or otherwise. This duty includes not only the obligation to comply with all applicable laws, rules, and regulations but also to ensure that any representations to other staff members or to volunteers, students, parents, contributors, vendors, suppliers, and/or business associates or other third parties, are made in good faith. It shall be a violation of this Code for any staff member to enter into any legally binding agreement upon the Organization without authority or without following required internal procedures for the approval of such agreements. Any questions concerning such methods should be directed to the Executive Director.

XIII. Waivers

In particular circumstances, it may be appropriate for Turning Pointe Autism Foundation to waive some provisions of this Code. Any request for a waiver of any provision of this Code must be submitted in writing to the Executive Director. Only the Executive Director and the Board President shall have the authority to grant such a waiver, and such a grant will not be effective unless communicated in writing to the requesting person.