

SELF-EMPLOYMENT CONTRACT
[SAMPLE]

I, _____,
understand that I am an independent contractor, and that I am responsible for all tax
withholdings, FICA, and self-employment taxes due. I have specific control over the order and
sequence of work performed, time of completion, and the hours worked. I am paid by job
production or by completed job, but not by my time. Due to these factors I realize that I have the
opportunity for entrepreneurial Profit (and Loss). I also understand that I will receive a form 1099
from _____ so that I may file the proper Self-
Employment forms due at the end of the year. I understand also that I may be responsible for
filing a quarterly estimate of federal taxes to cover Self-Employment Income reported to me by
_____.

Signed: _____
(Self-Employed)

(Address)

(Social Security/Fed. ID No.)

Signed: _____
(Company Representative)

Witnessed By: _____

EMPLOYMENT CONFIDENTIALITY REQUIREMENT

Employee, _____(printed name), acknowledges that Employer, _____ has a responsibility to its Clients to keep information about its Clients, their customers and their customers' accounts ("Customer Information") strictly confidential. Employee shall not disclose or use Customer Information other than to carry out the purposes for which Client or Employer disclosed such Customer Information to Employee. Employee shall not disclose any Customer Information other than on a "need to know" basis and then only to: (a) Affiliates of Client; (b) Clients' employees or officers; (c) Employer. The requirements set forth herein shall apply during the Term and after the termination of Employee's employment with Employer, as required by federal law.

Date

Employee signature

IMPLEMENTING & MAINTAINING A DRUG AND ALCOHOL ABUSE PREVENTION PROGRAM

1: Set-Up

In order to set-up your own drug and alcohol abuse prevention program, you must find a lab to handle the actual specimen testing. Independent labs are available in almost every city.

Once you have identified and enlisted the lab that you will use, obtain the required lab procedures and list such procedures as, "Additional Required Procedures," in your drug testing program. Make sure that the procedures are made available to each individual that is subject to the required testing procedures. These procedures can be changed as needed.

2: Pre-Employment Screening

When final determination is made to hire an individual, the lab needs to be contacted to set up an appointment for that prospective employee to be drug screened. A refusal to take the drug screen, an attempt to interfere with the specimen or drug screen, or a positive result from the drug screen immediately eliminates that person as a consideration for employment.

Offers of employment should always be made **CONDITIONED** upon passing the drug screening.

3: Employee Acknowledgement

Each new or existing employee must read a copy of the Program and then he/she and his/her supervisor need to sign a prepared acknowledgement form. This is an acknowledgement from the employee that he/she has read and understands the program, and agrees to fully abide by, and participate in, the Program, fully understanding that participation in the Program is a mandatory

condition of employment. The signed acknowledgement form then goes into that employee's personnel file. Refusal to sign the acknowledgement form is grounds for immediate termination.

4: Random Drug Screening/Testing

Unless you enlist the help of an outside company or lab to conduct random testing, you will be required to administer the random testing. You should decide which route is more effective in handling your "in-house" drug screening program. In the event that you conduct your own random testing, you must create a procedure for administering random testing and stick to it. Consistency is the key to limiting potential liability. Should you decide to enlist the help of an outside company, you and that company will establish the policy and procedures required for the outside company to administer the random testing.

Refusal to provide the specimen when selected is grounds for immediate termination. Failure to provide the specimen on a timely basis as directed when selected is grounds for disciplinary action up to and including termination. A positive result for illegal drugs is grounds for immediate termination. A positive result for inappropriate use of prescription drugs is grounds for disciplinary action, up to and including termination.

5: Post-Accident Screening

Following any accident that results in personal injury or appreciable property damage, **as soon as practical**, the office manager needs to call their lab and arrange for all involved employees, **including any that may be injured**, be screened for the presence of drugs and/or alcohol. A positive result from the screening is grounds for disciplinary action, up to and including termination, consistent with the provisions of the Random Testing in Step 4 above.

CLEAN DESK POLICY

Company Name
Address
Contact Information

Policy effective date: May 1, 2013

Duration: Perpetual

Person in charge of oversight: _____
Name and Title

Compliance audits: Quarterly

Person responsible for initiating and handling compliance audits: _____
Name and Title

Policy:

1. Each employee shall maintain "sleep" mode on all desktop computers so that access is prohibited without username/password after minutes of inactivity.
2. No account data or account information shall be downloaded, uploaded, saved or copied in any way to any personal electronic device.
3. Any unauthorized sharing of username/password information is prohibited.
4. When an employee leaves his or her work-station for longer than minutes, all loose paper shall be returned into the proper file folder and file folders shall be closed. When an employee leaves the work area for breaks, lunch and at the end of their work shift, all file folders shall be placed into the available fire-safe filing cabinets. Filing cabinet drawers are to remain closed when not in use. Filing cabinets are to be locked by the general manager at the end of each day. Managers' enclosed offices are to be locked when not in use.
5. All visitors are to be accompanied by an employee at all times. Visitors and all unauthorized personnel shall never be given access to files or file contents.
6. Taking photos or films of files or file content is strictly prohibited.
7. Any violation of this **clean desk policy** is subject to discipline up to and including termination.

POLICY COMPLAINTS REGARDING FIELD ACTIVITY

Company Name
Address
Contact information

Policy effective date: May 1, 2013

Duration: Perpetual

Person in charge of oversight: _____
Name and Title

Compliance audits: Quarterly

Person responsible for initiating and handling compliance audits: _____
Name and Title

Policy:

1. Any complaint received by any employee regarding field activity of this office shall be handled in the following manner:
 - A. Verbal Complaints
 - 1) Verbal complaints shall not be taken by a non-manager employee. Any non-manager employee approached by a person wanting to make a verbal complaint shall summon a manager to take the complaint.
 - 2) The manager to whom the verbal complaint is given shall summarize the complaint in writing. The writing shall include the Date and Time of the complaint, the identification information for the file, Complainant's name, Collateral (if applicable), and nature of the complaint.
 - 3) If the complaint involves a violation of company policy, the manager shall investigate the complaint.
 - 4) If the allegations are warranted, the manager shall:
 - a. take any disciplinary measures necessary to deal with the employee involved;
 - b. attempt to determine if the complainant can be made whole; and

- c. contact an attorney to obtain proper settlement and/or release paperwork for the complainant to sign, and settle the matter with the complainant, if possible.
- 5) If the allegations are not warranted, the manager shall:
 - a. respectfully decline to attempt settlement with the complainant; and
 - b. provide the complainant additional contact information, if available.
- 6) Write a letter on company letterhead explaining to the client/lender that a complaint was lodged against this office's service activity, providing all identification information and a summary of the complaint, explaining the results of the manager's investigation of the complaint, and explaining the actions taken in response to the complaint. A copy of any legal documents received, obtained or signed shall be provided to the client/lender, at this time.

B. Written Complaints

- 1) Any written complaint received shall be immediately brought to the attention of the manager. The manager shall identify the account involved, Complainant's name, Collateral (if applicable), and nature of the complaint.
- 2) If the complaint involves a violation of company policy, the manager shall write a letter to the complainant acknowledging receipt of the complaint and advising the complainant that the matter is being investigated by management.
- 3) If the allegations are warranted, the manager shall:
 - a. take any disciplinary measures necessary to deal with the employee involved;
 - b. personally contact the complainant and attempt to determine if the complainant can be made whole;
 - c. contact an attorney to obtain proper settlement and/or release paperwork for the complainant to sign; and
 - d. meet personally with the complainant and settle the matter, including having the complainant sign the legal release documents in settlement.

- 4) If the allegations are not warranted, the manager shall:
 - a. Write a letter to the complainant respectfully declining to attempt settlement with the complainant; and
 - b. provide the complainant additional contact information, if available.
- 5) Write a letter on company letterhead explaining to the client/lender that a complaint was lodged against this office's service activity, providing a copy of the written complaint, explaining the results of the manager's investigation of the complaint, and explaining the actions taken in response to the complaint. A copy of all letters written, as well as any legal documents received, obtained or signed shall be provided to the client/lender, at this time.

C. If the allegations are warranted but the complainant cannot be made whole, or refuses to settle:

- 1) the matter shall immediately be referred to the Company's insurance carrier as a potential insurance claim; and
- 2) the matter, with all documentation available, and contact information, shall be immediately referred to the client/lender's representative designated to handle complaints made to vendors,