

# FIRM EXPECTATIONS



# **S.I. CONSULTANTS**

## **PROFESSIONAL CONDUCT, COMMUNICATION & ACCOUNTABILITY POLICY**

### **1. PROFESSIONAL CONDUCT**

- Maintain a professional, respectful, and courteous attitude toward all clients, team members, and management at all times.
- Disrespectful behavior, gossip, negativity, harassment, or disruptive conduct will not be tolerated.
- Employees represent S.I. Consultants at all times — both during and outside of scheduled work hours.

### **2. COMMUNICATION**



- Employees must respond to all internal messages, calls, or assigned tasks no later than the next business day.
- Communication must remain professional, positive, respectful, and solution-focused.
- Confidential business information, leads, internal systems, or client data must never be shared outside of the firm.

### **3. HONESTY & INTEGRITY**

- All information entered into firm systems, reports, forms, or documentation must be 100% truthful, accurate, and verifiable.
- Falsifying data — including customer leads, hours worked, appointments, sales activity, or performance results — will result in immediate disciplinary action, up to and including termination.
- All documents must be completed personally by the assigned employee. Submitting work on behalf of another individual is prohibited.

### **4. FORM & DOCUMENTATION RULES**

- All firm forms (lead forms, customer records, onboarding documents, reports, etc.) must be completed fully and accurately.
- Do not leave fields blank or insert placeholders such as “N/A” unless expressly approved by Admin.
- Each form must include:
  - Employee name
  - Date completed



- Assigned territory (if applicable)

### **Lead Forms Must Always Include:**

- Customer's full name and valid contact information
- Service requested
- Status and/or follow-up plan
- Date of customer contact
- Duplicate, incomplete, missing, or inaccurate forms may result in commission reduction, bonus ineligibility, or corrective action.

## **5. ATTENDANCE & WORK CONDUCT** 🖋️

- Employees are expected to be punctual, reliable, and present for all scheduled shifts or assigned territories.
- Management must be notified at least 24 hours in advance of any absence whenever possible.
- Each employee is granted one (1) penalty-free personal day per month, which must be requested and approved 7–14 days in advance.
- Three (3) unexcused absences within a 30-day period may result in suspension or termination.

## **6. FINANCIAL & SYSTEM INTEGRITY**



- All sales, payments, deposits, and transactions must be processed only through approved S.I. Consultants systems.
- Personal or direct financial transactions with clients are strictly prohibited.
- Employees may not reroute, collect, hold, or personally handle company funds under any circumstances.

## 7. CONFIDENTIALITY & COMPANY PROPERTY

- Company data, portals, credentials, forms, systems, and records are confidential and must not be shared with unauthorized individuals.
- Company equipment, documentation, and digital resources are to be used strictly for firm-related business.
- Removal, duplication, misuse, or unauthorized distribution of company information will result in disciplinary action and possible termination.

Employee Initials (Acknowledging Confidentiality):

## 8. SOCIAL MEDIA & BRAND REPRESENTATION

- Employees are ambassadors of S.I. Consultants both online and offline.
- Posting negative, misleading, inappropriate, or confidential content regarding the firm, its clients, or team members is prohibited.
- Use of firm logos, names, images, or branding on personal platforms must be professional and pre-approved by management.
- All online engagement must reflect the firm's professional standards and brand values.



## 9. ACCOUNTABILITY & LEADERSHIP

- Employees are expected to take full accountability for their actions, performance, and compliance with firm policies.
- Experts and Team Leads must model firm standards and report policy violations when observed.
- Continued non-compliance after written warnings may result in suspension, loss of commission eligibility, or termination.

## 10. DISCIPLINARY ACTION & PUNISHMENT POLICY

Disciplinary action may include, but is not limited to:

- Verbal Warning — for first-time minor offenses (tardiness, missed communication).
- Written Warning — for repeated violations or policy breaches.
- Commission Hold or Suspension — for falsified data, documentation issues, or unresolved warnings.
- Termination — for severe misconduct, dishonesty, confidentiality breaches, or integrity violations.

# ATTENDANCE, SCHEDULE & TARDY POLICY



Expert Standards & Policy Acknowledgment

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## **S.I. CONSULTANTS**

**ATTENDANCE, SCHEDULE & TARDY POLICY**

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## 1. DAILY WORK SCHEDULE (STANDARD EXPERT SCHEDULE)

Time	Requirement	Description
8:00 AM	Clock-In	Begin workday — employees must be logged in or on-site by 8:00 AM.
8:15–8:45 AM	Morning Pow Wow (Zoom)	Mandatory motivation and team alignment meeting. Employees must be dressed professionally, camera-ready, and in a quiet workspace.
8:45–10:15 AM	Routing & Prep Time	Check leads, update CRM, review territories, and complete morning training modules.
10:15 AM	Prepare for Calls	Employees must be fully prepared to begin outreach or field operations.
10:30 AM–4:30 PM	Grinding Hours	Active work time — door-to-door, calls, or appointments. Lunch allowed (maximum 30 minutes).
4:30–5:00 PM	Afternoon Updates	Complete and update forms, CRM notes, and route summaries.
5:00–6:30 PM	Follow-Up Calls	Lead calls, customer check-ins, or post-appointment reviews.



6:30–6:45 PM	Evening Pow Wow	Mandatory encouraging company meeting. Must attend from a quiet, professional space.
6:45–7:30 PM	Report Completion	Finalize forms, lead updates, and training before clocking out.

## 2. CLOCK-IN & CLOCK-OUT RULES

- Employees must clock in by 8:00 AM and clock out by 7:30 PM.
- A five (5) minute grace period is allowed for clock-in.
- Six (6) minutes or more late is considered a tardy.
- Clocking in early does not replace required work hours.
- Any missed clock-in or clock-out must be reported to Admin before the end of the same day.

## 3. TARDY POLICY



- 1–2 tardies: Verbal reminder
- 3 tardies: Formal written warning
- 5 or more tardies in one month: Counted as one (1) full absence
- Tardies reset monthly; however, repeated patterns may trigger a performance review.



#### **4. ABSENCE POLICY**

- Employees must notify Admin or their Manager at least 24 hours in advance when possible.



- Each employee is granted one (1) penalty-free personal day per month for emergencies, mental health, or personal obligations.
  - Personal days must be requested and approved 7–14 days in advance.
  - Unused personal days do not roll over.
- Four (4) unexcused absences in a single month may result in termination.
- Absences may impact commission eligibility and advancement opportunities.
- Emergency absences are reviewed on a case-by-case basis and may require documentation.

## **5.SCHEDULE & TIME MANAGEMENT**

- Employees must maintain accurate schedules within the firm system.
- Early departures, extended breaks, or unreported schedule changes without approval are considered partial absences.
- Lunch breaks may not exceed 30 minutes.



- The 4:30 PM break is limited to 15 minutes maximum.

## **6. COMMUNICATION & ACCOUNTABILITY**

- All absence or delay communication must occur through approved firm channels (text, call, or firm chat).
- Failure to respond within 24 hours of a missed shift will be treated as an unexcused absence.
- Schedule changes must be confirmed with Admin or Team Lead.

## **7. CONDUCT & RESPONSIBILITY**

- Consistent tardiness or absenteeism reflects lack of reliability and professionalism.



- Employees are expected to model punctuality, accountability, and dependability.
- Repeated issues may affect commissions, bonuses, leadership eligibility, or continued employment.

## 8. DISCIPLINARY ACTIONS

<b>Violation</b>	<b>First Offense</b>	<b>Second Offense</b>	<b>Third Offense</b>
Tardy (6+ minutes late)	Verbal warning	Written warning	Counts toward absence
Unexcused absence	Written warning	Suspension	Termination review
Failure to communicate schedule change	Written warning	Commission freeze	Termination review

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## S.I. CONSULTANTS



# SCommission Eligibility Rules



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## S.I. CONSULTANTS

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Commission eligibility at S.I. Consultants is contingent upon meeting minimum monthly performance, conduct, and compliance standards.

Failure to meet any of the requirements below may result in commission ineligibility for the applicable period, regardless of sales activity.

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## MONTHLY COMMISSION ELIGIBILITY REQUIREMENTS

(Use alternating white and gold-tinted rows for clarity in the final document)

Rule	Requirement	Employee Initials
1. Attendance	No more than two (2) unexcused absences per month	<input type="text"/>
2. Write-Ups	No more than one (1) active write-up during the month	<input type="text"/>
3. Lead Forms	Minimum of five (5) completed lead forms per month	<input type="text"/>
4. Customer Calls	Minimum of ten (10) completed customer calls per month	<input type="text"/>
5. Field Time	Minimum of twenty (20) field hours logged per month	<input type="text"/>
6. Phone Time	Minimum of ten (10) phone hours logged per month	<input type="text"/>
7. Training Compliance	All assigned training modules must be completed	<input type="text"/>



8. Professional  
Conduct

Maintain professional, respectful, and compliant  
communication at all times



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## IMPORTANT COMMISSION NOTICE

- Commission eligibility is reviewed monthly.
- Failure to meet any single requirement above may result in:
  - Commission hold
  - Reduced commission
  - Ineligibility for bonuses or incentives
- Repeated ineligibility may impact advancement opportunities and continued placement.

Commission decisions are made at management's discretion based on documented records, system logs, and compliance reviews.

# EXPERT TERRITORY EXPECTATIONS



# **S.I. CONSULTANTS**

## **EXPERT TERRITORY EXPECTATIONS**

### **1. TERRITORY OWNERSHIP & RESPONSIBILITY**

- Each Expert is responsible for managing assigned leads and maintaining professional, ongoing relationships within their designated territory.
- Experts must not cross into another representative's territory without prior approval from Admin or Leadership.
- All active leads within a territory must receive daily updates logged in the CRM by 8:00 PM.



## 2. DAILY PRODUCTIVITY STANDARDS

- Minimum twenty (20) door approaches or verified customer contacts per day (in-person or verified phone contact).
- Minimum two (2) proposals or consultations submitted daily.
- A weekly territory review is required with the Territory Manager to verify productivity and progress.

## 3. REPORTING & DOCUMENTATION

- All leads, notes, and status changes must be updated in the Master\_Leads collection before the end of each workday.
- Territory reports must be submitted every Friday by 8:00 PM.
- Missing or late territory reports will result in one (1) strike recorded for that review period.

## 4. CONDUCT & REPRESENTATION

- Dress code must be clean, professional, and branded attire at all times.
- Maintain respectful, professional behavior with all customers, business owners, and team members.
- Zero tolerance policy for profanity, negative talk, public disputes, or unprofessional conduct.



## 5. SALES & PERFORMANCE EXPECTATIONS

- Territory performance is measured weekly.
- Experts must maintain a minimum 10% conversion rate to remain in active status.
- Failure to meet performance targets for two (2) consecutive weeks will result in a formal performance review.
- Bonus eligibility applies only if all reporting, hour requirements, and conduct standards are met.

## 6. ATTENDANCE & COMMUNICATION

- Experts must clock in and out through the firm portal daily before leaving their assigned territory.
- Admin must be notified in advance if an Expert is unable to cover their assigned territory.
- Three (3) unreported absences may result in temporary suspension of system access and commission eligibility.

## 7. COMPLIANCE & INTEGRITY

- All leads, sales activity, and territory data must be documented truthfully and accurately.
- Claiming, sharing, or misrepresenting another employee's lead will result in immediate disciplinary review.
- Any falsified data will result in loss of commission for the applicable pay period, and may lead to further disciplinary action.



# DISCIPLINARY SYSTEM & WRITE-UP POLICY



# **S.I. CONSULTANTS**

## **DISCIPLINARY SYSTEM & WRITE-UP POLICY**

### **1. PURPOSE**

The purpose of the S.I. Consultants Disciplinary System is to maintain professionalism, fairness, accountability, and consistency across all departments.

Every employee represents the firm's brand and core values — reliability, honesty, consistency, and excellence.

This system ensures that all performance or behavioral issues are addressed with documentation, clarity, and opportunity for improvement.

### **2. OVERVIEW OF THE DISCIPLINARY SYSTEM**

S.I. Consultants utilize a progressive disciplinary process, beginning with verbal reminders and increasing in severity when issues remain uncorrected.

Each step is documented and maintained in the employee's official record.

#### **Disciplinary Levels**



Level	Type	Description
1	Verbal Warning	Informal discussion between employee and manager to correct minor issues
2	Written Warning	Formal notice documented in the employee's HR record
3	Final Warning	Issued when prior warnings have not resulted in improvement
4	Suspension	Unpaid or limited-duty suspension for serious or repeated violations
5	Termination	Final action following failure to correct behavior or severe misconduct

### 3.GROUNDS FOR WRITE-UPS OR DISCIPLINARY ACTION

Any violation of firm policy, unprofessional conduct, or failure to perform assigned duties may result in disciplinary action.

#### Performance-Related Infractions

- Failure to meet assigned goals or deadlines



- Incomplete, inaccurate, or missing forms or reports
- Repeated missed calls, leads, or appointments
- Lack of productivity during scheduled working hours

### **Attendance & Tardiness Infractions**

- Repeated tardiness or absences beyond policy limits
- Failure to clock in or out properly
- Failure to notify management of lateness or absence

### **Conduct Infractions**

- Disrespectful or unprofessional communication with team members or clients
- Use of profanity, gossip, harassment, or verbal hostility
- Non-compliance during meetings or pow-wows
- Violation of confidentiality or data security policies

### **Integrity & Compliance Infractions**

- Falsifying lead information, reports, or documents
- Misuse of company systems or data
- Theft, fraud, or unethical sales practices



- Accepting payment outside of firm-approved systems

## 4. WRITE-UP DOCUMENTATION & PROCEDURE

All write-ups must be completed through the firm's disciplinary documentation system and filed under:

Employee Records → Write-Up Log

Each write-up must include:

1. Employee Name & Role
2. Date of Incident
3. Type of Violation (Performance, Attendance, Conduct, or Compliance)
4. Detailed Description of the Event
5. Witnesses or Supporting Evidence (if applicable)
6. Employee Statement or Response
7. Supervisor or Admin Signature
8. Corrective Action or Improvement Plan

## 5. CORRECTION & IMPROVEMENT PLAN

Following a written warning, an employee may be placed on a Performance Improvement Plan (PIP) lasting 7–14 days, depending on severity.

The PIP outlines:



- Specific corrective actions
- Measurable performance expectations
- Review checkpoints

## 6. MANAGER & ADMIN RESPONSIBILITIES

Managers and administrators are responsible for:

- Addressing violations promptly and professionally
- Documenting all discussions and corrective actions
- Maintaining confidentiality at all times
- Ensuring consistent enforcement of all firm policies

## 7. PROGRESSIVE DISCIPLINARY CHART

Step	Description	Required Action	Possible Consequence
1	Verbal Warning	Counseling by Supervisor	Recorded in file
2	Written Warning	Documentation issued	Employee acknowledgment required



3	Final Warning	Meeting with Admin/CEO	1–3 day suspension possible
4	Termination	Final HR & CEO review	Employment separation



## 8. SERIOUS OFFENSES (IMMEDIATE TERMINATION)

The following actions may result in immediate termination, with or without prior warning:

- Theft or fraud
- Harassment or discrimination
- Violence or threats in the workplace
- Substance use during working hours
- Falsification of documents



- Sharing confidential firm or client data



NDA



# S.I. CONSULTANTS

## NON-DISCLOSURE AGREEMENT (NDA)

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This Non-Disclosure Agreement (“Agreement”) is entered into by and between S.I. Consultants (“Company”) and the undersigned individual (“Recipient”).

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### 1. PURPOSE

The purpose of this Agreement is to protect all confidential, proprietary, and sensitive information belonging to S.I. Consultants.

During the course of engagement, the Recipient may have access to information that must remain confidential to protect the Company, its clients, systems, and operations.

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### 2. DEFINITION OF CONFIDENTIAL INFORMATION

Confidential Information includes, but is not limited to:

- Client names, contact information, and data
- Leads, territories, pipelines, and sales activity
- Pricing, commission structures, and compensation details



- Internal documents, policies, SOPs, and training materials
- CRM systems, portals, passwords, and workflows
- Business strategies, processes, and intellectual property
- Any non-public information marked or understood to be confidential

Confidential Information may be written, digital, verbal, or visual.

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### **3.OBLIGATIONS OF THE RECIPIENT**

The Recipient agrees to:

- Keep all Confidential Information strictly confidential
  - Use Confidential Information only for authorized company purposes
  - Not disclose, share, copy, distribute, or misuse Confidential Information
  - Not access or retain company information after termination
  - Immediately report any unauthorized access or disclosure
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### **4. EXCLUSIONS**

Confidential Information does not include information that:

- Is publicly available through no fault of the Recipient
- Is disclosed with written authorization from S.I. Consultants



- Is required by law to be disclosed (with prior notice when possible)
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## 5. TERM & SURVIVAL

This Agreement applies during and after the Recipient's relationship with S.I. Consultants.

Confidentiality obligations survive termination indefinitely.

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## 6. BREACH & REMEDIES

Any breach of this Agreement may result in:

- Immediate termination
- Loss of commission or compensation
- Legal action for damages
- Injunctive relief to prevent further disclosure

S.I. Consultants reserves all rights and remedies.

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## 7. NO LICENSE OR OWNERSHIP

This Agreement does not grant ownership, license, or rights to any Company information.

All Confidential Information remains the exclusive property of S.I. Consultants.

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## **8** GOVERNING LAW

This Agreement shall be governed by and interpreted under the laws of the applicable operating jurisdiction of S.I. Consultants.

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