



COASTAL HORIZONS CENTER, INC.

AGENCY EMPLOYEE POLICIES

WELCOME TO COASTAL HORIZONS CENTER!

If you are reviewing this for the first time, we know that starting a new position is exciting, but at times, can also be overwhelming! This Employee Policies handbook has been developed to help you get acquainted with our Agency, and to answer many of your initial questions.

If you've been part of Coastal Horizons Center for some time now, the importance of your contributions cannot be overstated. Our mission is to promote choices for healthier lives and safer communities, by providing professional assistance to those in need of prevention, crisis intervention, criminal justice alternatives, community outreach, substance abuse and mental health treatment services. By providing these services to meet our clients' needs, while exploring ways to continue to develop and grow our programs of support, both regionally, as well as state-wide, we hope to build upon our mission for many years to come. You are an important part of this process, for your work directly influences our Agency's reputation.

This handbook explains our employee policies and benefits, and provides additional information about opportunities and responsibilities that exist for you within our Agency. In an effort to be responsive to the needs of our growing Agency, changes or additions to this handbook will be made when necessary. We will keep you informed when these changes are made.

We are glad you have joined us, and have chosen Coastal Horizons Center as a place where you feel you will have the opportunity to learn, to grow, and to develop your professional skills. We hope you will find your work with us to be both challenging and rewarding.

Coastal Horizons Centers, Inc.

Section 1 - Administration

MISSION

Coastal Horizons Center, Inc. (referred to as “Coastal Horizons Center” or the “Agency” in this manual) promotes choices for healthier lives and safer communities by providing professional assistance to those in need of prevention, crisis intervention, criminal justice alternatives, community outreach, substance abuse, and mental health treatment services.

CODE OF ETHICS

Coastal Horizons Center is committed to practicing ethical principles. In accordance with the National Association of Alcoholism and Drug Abuse Counselors Code of Ethics (NAADAC), Coastal Horizons Center has adopted the following twelve principles of practice. Where appropriate, code principles have been revised to meet the overall policy practices of Coastal Horizons Center

PRINCIPLE 1: NON-DISCRIMINATION

Coastal Horizons Center shall not discriminate against clients or professionals based on race, religion, age, sex, disability, national origin, race, sexual orientation, gender, economic condition, or other legally protected status.

- a. Coastal Horizons Center staff shall avoid bringing personal or professional issues into the counseling relationship. Through an awareness of the impact of stereotyping and discrimination, staff guards the individual rights and personal dignity of clients.
- b. Coastal Horizons Center staff shall be knowledgeable about disabling conditions, demonstrate empathy and personal emotional comfort in interactions with clients with disabilities, and make available physical, sensory and cognitive accommodations that allow clients with disabilities to receive services.

PRINCIPLE 2: RESPONSIBILITY

Coastal Horizons Center shall espouse objectivity and integrity, and maintain the highest standards in the services the Agency offers.

- a. Coastal Horizons Center shall maintain respect for institutional policies and management functions of the agencies and institutions within which the services are being performed, but will take initiative toward improving such policies when it will better serve the interest of the client.
- b. Staff will maintain a primary obligation to help clients acquire knowledge and skills to deal with presenting issues.

- c. Each staff member who supervises others accepts the obligation to facilitate further professional development of these individuals by providing accurate and current information, timely evaluations and constructive consultation.
- d. Staff aware of unethical conduct or of unprofessional modes of practice shall report such inappropriate behavior to their immediate supervisor.

PRINCIPLE 3: COMPETENCE

Coastal Horizons Center shall recognize that its profession is founded on national standards of competency which promote the best interests of society, the client, the staff, and the agency's mission as a whole. Coastal Horizons Center's staff shall recognize the need for ongoing education as a component of professional competency.

- a. Coastal Horizons Center shall recognize boundaries and limitations of their staff's competencies and not offer services or use techniques outside of these professional competencies.
- b. Coastal Horizons Center shall recognize the effect of impairment on professional performance and shall be willing to seek appropriate treatment for self or their colleagues. Staff shall support peer assistance programs in this respect.

PRINCIPLE 4: LEGAL AND MORAL STANDARDS

Coastal Horizons Center shall uphold the legal and accepted moral codes which pertain to professional conduct.

- a. Coastal Horizons Center staff shall be fully cognizant of all federal laws and laws of North Carolina's governance of all practicing programs.
- b. Coastal Horizons Center's staff shall not claim either directly or by implication, professional qualifications/affiliations that the staff person does not possess.
- c. Coastal Horizons Center shall ensure that services associated with or provided by the staff by means of teaching, demonstration, publications or other types of media meet the ethical standards of this code.

PRINCIPLE 5: PUBLIC STATEMENTS

Coastal Horizons Center shall respect the limits of present knowledge in public statements concerning all services provided.

- a. Coastal Horizons Center's staff, in making statements to clients, other professionals, and the general public shall state as fact only those matters which have been empirically validated as fact. All other opinions, speculations, and conjecture concerning program services shall be represented as less than scientifically validated.
- b. Coastal Horizons Center shall acknowledge and accurately report the substantiation and support for statements made concerning all program services. Such acknowledgement should extend to the source of the information and reliability of the method by which it was derived.

PRINCIPLE 6: PUBLICATION CREDIT

Coastal Horizons Center shall assign credit to all who have contributed to the published material and for the work upon which publication is based.

- a. Coastal Horizons Center shall recognize joint authorship and major contributions of a professional nature made by one or more persons to a common project. The author who has made the principal contribution to a publication must be identified as first author.
- b. Coastal Horizons Center shall acknowledge in footnotes or in an introductory statement minor contributions of a professional nature, extensive clerical or similar assistance and other minor contributions.

PRINCIPLE 7: CLIENT WELFARE

Coastal Horizons Center shall promote the protection of the public health, safety and welfare and the best interest of the client as a primary guide in determining the conduct of all staff.

- a. Coastal Horizons Center staff shall disclose the agency's code of ethics, professional loyalties and responsibilities to all clients.
- b. Coastal Horizons Center shall terminate counseling or a consulting relationship when it is reasonably clear to the staff and management that the client is not benefiting from the relationship.
- c. Coastal Horizons Center staff shall hold the welfare of the client paramount when making any decisions or recommendations concerning referral, treatment, or termination of services.
- d. Coastal Horizons Center shall not use or encourage a client's participation in any demonstration, research or other non-treatment activities when such participation would have potentially harmful consequences for the client or when the client is not fully informed (see Principle 9).
- e. Coastal Horizons Center shall take care to provide services in an environment which will ensure the privacy and safety of the client at all times and ensures the appropriateness of service delivery.

PRINCIPLE 8: CONFIDENTIALITY

Coastal Horizons Center, working in the best interest of the client shall embrace, as a primary obligation, the duty of protecting client's rights under confidentiality and shall not disclose confidential information acquired in teaching, practice or investigation without appropriately executed consent, unless otherwise permitted by the regulations.

- a. Coastal Horizons Center shall provide the client a statement of his/her rights regarding confidentiality, in writing, as part of informing the client in any areas likely to affect the client's confidentiality. This includes the recording of the clinical interview, the use of material for insurance purposes, the use of material for training or observation by another party.

- b. Coastal Horizons Center shall make appropriate provisions for the maintenance of confidentiality and the ultimate disposition of confidential records. Staff shall ensure that data obtained, including any form of electronic communication, are secured by the available security methodology. Data shall be limited to information that is necessary and appropriate to the services being provided and be accessible only to appropriate personnel.
- c. Coastal Horizons Center shall adhere to all federal and state laws regarding confidentiality and the staff's responsibility to report clinical information in specific circumstances to management, including, without limitation, the Health Insurance Portability and Accountability Act and Title 42 of the Code of Federal Regulations.
- d. Coastal Horizons Center staff shall discuss the information obtained in clinical, consulting, or observational relationships only in the appropriate settings for professional purposes that are in the client's best interest. Written and oral reports must present only data germane and pursuant to the purpose of evaluation, diagnosis, progress, and compliance. Every effort shall be made to avoid invasion of privacy.
- e. Coastal Horizons Center shall use clinical material in teaching and/or writing only when there is no identifying information used about the parties involved.

PRINCIPLE 9: CLIENT RELATIONSHIPS

It is the responsibility of Coastal Horizons Center to safeguard the integrity of the counseling relationship and to ensure that the client has reasonable access to program services. Coastal Horizons Center shall provide the client and/or guardian with accurate and complete information regarding the extent of the potential professional relationship.

- a. Coastal Horizons Center shall inform the client and obtain the client's agreement in areas likely to affect the client's participation including the recording of an interview, the use of interview material for training purposes, and/or observation of an interview by another person.
- b. Coastal Horizons Center's staff shall not engage in professional relationships or commitments that conflict with family members, friends, close associates, or others whose welfare might be jeopardized by such a dual relationship.
- c. Coastal Horizons Center's staff shall not exploit relationships with current or former clients for personal gain, including social or business relationships.
- d. Coastal Horizons Center's staff shall not under any circumstances engage in sexual behavior with current clients.
- e. Coastal Horizons Center's staff shall not accept as clients anyone with whom they have engaged in sexual behavior.

PRINCIPLE 10: INTERPROFESSIONAL RELATIONSHIPS

Coastal Horizons Center's staff shall treat colleagues with respect, courtesy, fairness, and good faith and shall afford the same to other professionals.

- a. Coastal Horizons Center's staff shall refrain from offering professional services to a client in counseling with another professional except with the knowledge of the other

- b. Coastal Horizons Center's staff shall cooperate with duly constituted professional ethics committees and promptly supply necessary information unless constrained by the demands of confidentiality.
- c. Coastal Horizons Center shall not in any way exploit relationships with supervisees, employees, students, research participants or volunteers.

PRINCIPLE 11: REMUNERATION

Coastal Horizons Center shall establish financial arrangements in accord with the professional standards that safeguard the best interests of the client first, and then of the counselor, the agency, and the profession.

- a. Coastal Horizons Center shall inform clients of all financial policies.
- b. Coastal Horizons Center shall consider the ability of a client to meet the financial cost in establishing rates for professional services.
- c. The Agency shall not send or receive any commission or rebate or any other form of remuneration for referral of clients for professional services.
- d. Coastal Horizons Center's staff in the practice of counseling and provision of other client services shall not at any time use one's relationship with clients for personal gain or for the profit of an agency or any commercial enterprise of any kind.
- e. Coastal Horizons Center shall not engage in any business or marketing practices which may exploit, degrade or otherwise compromise the integrity of the agency's clients, staff, or overall mission.
- f. Coastal Horizons Center shall not accept a private fee for professional work with a person who is entitled to such services through an institution or agency unless the client is informed of such services and still requests private services.

PRINCIPLE 12: SOCIETAL OBLIGATIONS

Coastal Horizons Center's staff shall, to the best of its ability, support access to needed services for all human beings of any ethnic or social background whose lives are impaired and in need of services offered through Coastal Horizons Center.

Purpose / Compliance

Coastal Horizons Center will always maintain necessary and appropriate policies in order to conform with the North Carolina standards for substance abuse treatment, mental health treatment, education/prevention, criminal justice alternatives, crisis intervention services, and all other funding sources including local, state and federal regulatory standards.

Not an Employment Contract

Our Agency abides by employment-at-will, which permits the Agency, or the employee, to terminate the employment relationship at any time, for any reason, or for no reason whatsoever. Although your job duties, job title, compensation and benefits, as well as Agency employee policies and procedures, may change from time to time, the “at-will” nature of employment with Coastal Horizons Center is one aspect that will not change.

Neither the policies contained in this employee handbook, nor any other written or verbal communication, is intended to change the “at will” nature of your employment relationship with Coastal Horizons Center. No representative of the Agency is authorized to change the “at will” nature of the employment relationship. This Employee Policies handbook is not a contract, and does not create a contract of employment or a warranty of benefits.

The policies set forth herein may be amended or deleted by the Board of Trustees without prior notice to employees.

Governance

The Board of Trustees is responsible for the governance of the Agency, and for establishing all policies within this document. It is the Board’s responsibility to establish the objectives of this document and to issue and amend policies whenever necessary.

Delegation of Administrative Authority

Board of Trustees

The Board of Trustees hires the President/CEO, and delegates to the President/CEO the authority to develop and administer the programs and the policies of the Agency. The Board of Trustees may appoint committees to assist the President/CEO in those tasks. The Board of Trustees is responsible for direct supervision of the President/CEO. The Board of Trustees is responsible for determining the terms and conditions of employment of the President/CEO.

President/CEO

The President/CEO shall be responsible for the hiring and supervision of a management team to assist with the managerial responsibilities of the Agency. The President/CEO may appoint internal committees to study, plan and recommend policies and/or procedures for orderly operation of the Agency. All policies and procedures will comply with applicable regulatory standards, and will be approved by the Board of Trustees. The President/CEO is responsible for the hiring, disciplinary actions and dismissal of all staff members, as well as for approving all salaries and any subsequent changes.

Program Directors

The Program Directors are responsible for the management and the daily operations of their programs, including supervision of staff and delegation of duties. Program Directors may delegate supervisory responsibilities and authority to staff within their departments, yet maintain the responsibility for their respective programs.

Internal Controls

The Agency's Board of Trustees, Management and other Agency staff members shall maintain a process designed to provide a reasonable assurance regarding the achievement of objectives in the following categories:

- Effectiveness and efficiency of operations
- Reliability of financial reporting
- Safeguard Agency assets
- Compliance with applicable laws and regulations
- Identify risks in a timely fashion

This process is communicated through written policies, procedures, the Agency's Management leadership, and the Board of Trustees' guidance. It is understood that each member of the Agency has a responsibility to meet these objectives, make recommendations to improve upon the success in achieving the objectives, and to report any deficiencies or irregularities in established internal controls, policies and procedures.

Section 2 – Recruitment, Hiring and Employment

Equal Employment Opportunity Policy

It is the policy of the Agency to foster, maintain and promote equal opportunity in the terms and conditions of employment. The Agency shall select employees on the basis of the applicant's qualifications for the job and award them, with respect to compensation and opportunity for training and advancement, including upgrading and promotion, without regard to age, sex, race, color, religion, national origin or physical or mental disability, as defined by the Americans with Disabilities Act of 1990, as amended, or such other legally protected status as may, from time to time, be recognized by applicable federal or state law. Qualified applicants with disabilities will be given equal consideration with other applicants for positions in which accommodation of such disabilities does not pose an undue hardship on business operations.

All personnel responsible for recruitment and employment will continue to review regularly the implementation of this personnel policy and relevant practices to assure that equal opportunity based on reasonable, job-related requirements are being actively observed, as well as assure that no employee or applicant for employment shall suffer discrimination because of age, sex, disability, national origin, race, sexual orientation, gender, religion, economic condition, or other legally protected status. Notices with regard to equal employment matters shall be posted in conspicuous places within the Agency where notices are customarily posted.

Types of Employment

Full Time Employees and Temporary Full Time Employees

Full Time Employees are those employees who, on average, work a minimum of thirty (30) hours per week. Temporary employees are hired for a specific period of time not to exceed a maximum duration of six (6) months.

Part-time Employees and Temporary Part-time Employees

Part-time Employees are those employees who, on average, work less than thirty (30) hours per week. Temporary employees are hired for a specific period of time not to exceed a maximum duration of six (6) months.

Contractual Staff

Contractual staff are hired to provide specific services for the Agency on a time-limited basis.

Unpaid Staff

Unpaid staff are volunteers who provide specific services for the Agency on a limited basis without compensation. Unpaid staff may include student interns, practicum students, or other residents from the communities served. Unpaid staff must be at least eighteen (18) years of age; unpaid staff under the age of eighteen (18) must have approval of the President/CEO. Other criteria and/or qualifications may be required within specific departments for unpaid staff, such as criminal record checks, drug testing, and privileging. Exceptions to this will be at the discretion of the President /CEO.

Employees are also categorized as “exempt” or “non-exempt” For purposes of determining their eligibility for the payment of overtime wages.

Non-Exempt Employees - Pursuant to the Fair Labor Standards Act (FLSA) and applicable state laws, non-exempt employees are entitled to overtime pay for all hours worked in excess of 40 hours per week.

Exempt Employees - Pursuant to the Fair Labor Standards Act (FLSA) and applicable state laws, exempt employees are those who perform in executive, administrative, learned professional, outside sales personnel, or as a computer related employee. Exempt employees are not eligible for overtime pay.

Upon hire, your supervisor will notify you of your employment classification.

For the purposes of this document the term “staff” throughout this document shall refer to all of the above types of employment.

Recruitment of Employees

The Agency shall seek to hire qualified individuals representative of the populations served in the various programs. Internal posting of job announcements for a minimum of seven (7) calendar days will be done for all vacancies. The following methods may also be utilized for recruitment:

- Employment Security Commission and professional associations
- Other state agencies
- Current applicant file
- Advertisement in mass media (only with specific approval from the President/CEO.)
- Other (e.g., school placement offices, personal contacts, electronic bulletin boards, etc.)

Application and Interviewing Process

Applications for Employment

- Candidates for employment must complete and file an application with the Agency prior to hire. The Agency will obtain the information necessary to determine the overall suitability of the applicant for the position to be filled, including criminal records check, pre-employment drug testing and credential verification. In the case of volunteers that provide direct services, the program will be responsible for conducting and paying for a criminal records check and drug testing.
- Applicants must provide three (3) references prior to hire.
- It is the responsibility of candidates for employment to make themselves available for interviews at a time which is mutually acceptable to all parties involved in the interview process. It is the responsibility of all candidates to pay their expenses to come to the Agency for the interview and any other costs not expressly covered by the Agency. It is solely the Board of Trustees who has the authority to make an exception.

- All offers of employment are contingent upon the applicant's successful completion of all pre-employment screening, credentialing, and background verifications.
- All applicants who were interviewed but were not selected for employment will be notified in writing regarding their status in the interview process.

Hiring of Employees - Final Approval

The President/CEO has final authority concerning hiring decisions. An individual selected for employment will be notified in writing by the President/CEO. A copy of the letter of employment will be filed in the employee's personnel file. This letter of employment may include, but is not restricted to: date employment is to begin; position; hours of work; salary; personnel policies; the name of the immediate supervisor and job description. The Program Director will normally conduct interviews with chosen applicants and will make a recommendation to the President/CEO concerning his/her choice. After an offer of employment is made and accepted by the chosen applicant, an employment letter, confidentiality statement, copy of Hatch Act, job description, I-9 form, W-4, and personnel policies will be given to the new employee, outlining conditions of employment and starting date. This letter requires employee signature and date before employment.

Section 3 - Employee Qualifications

Job Descriptions & Classifications

The President/CEO shall be responsible for determining personnel needs, establishing occupational requirements, and ensuring that job classifications and job descriptions are current. Job descriptions shall state minimum job qualifications - including specific skills, educational requirements, and any other licenses or certifications required for each position.

Minimum Qualifications

- Applicants shall be at least eighteen (18) years of age.
- Applicants shall have a minimum of a high school diploma, or equivalent.
- Specific licenses or educational or professional credentials may be required for certain positions.
- Certain positions have restrictions that reflect regulatory or generally accepted standards regarding eligibility for providing specific services (e.g., criminal history or pending charges, substance abuse history, etc.)

Individuals Not Eligible for Employment (included but not limited to):

The employment of relatives of Agency employees is acceptable, provided one Agency employee has no managerial or supervisory responsibilities over the relative. It is also preferable to have the Agency employee and relative employed in separate components of the Agency. Exceptions to this policy shall only be made at the discretion of the President/CEO.

The term "relatives" shall be understood to refer to that degree of closeness of relationship which would suggest that problems might be created within the component, or that the public's perception of fair play in providing equal opportunity for employment to all qualified individuals would be violated. In general, this would include wife, husband, mother, father, brother, sister, son, daughter, mother-in-law, father-in-law, grandmother, grandfather, grandson, granddaughter. Also included are the step (or half) and adopted relationships as appropriate based on the above listing. It might also include others living within the same household or otherwise closely identified with each other if conflicts of interest could develop.

Immediate family members of the Board of Trustees will not be employed without the express approval of the Board of Trustees. In addition, the following categories of applicants shall not be eligible for employment:

- Applicants who refuse to submit to drug testing.
- Applicants with drug screen results showing evidence of drug abuse.
- Applicants applying for a position requiring them to drive an agency vehicle who have poor driving records
- Individuals involuntarily terminated from the Agency as a result of disciplinary action
- Clients active in any component of the Agency will not be eligible for employment.
- Individuals who falsify their application
- Individuals who are ineligible to work in the United States by reason of their inability to provide documentation which complies with the Immigration Reform and Control Act (IRCA)

Exceptions to the above will not be made without the express written approval of the Board of Trustees.

Section 4 - Credentialing and Privileging

Purpose:

The purpose of this policy is to assure that the clients of Coastal Horizons Center receive care from individuals who reflect the highest levels of qualifications and competencies in their respective professional disciplines.

Definitions

1. Credentials are documented evidence of licensure, education, training, experience, or other qualifications.
2. Privileging is the process whereby the specific scope and content of client care services are authorized for a health care provider by a health care organization based on evaluation of the individual's credentials and performance.
3. Credential Review is the process of obtaining, verifying and assessing the qualifications of a health care practitioner to provide client care services in or for a health care organization.
4. The Privileging Plan is designed to evaluate skills and grant privileging status to professional, volunteer and intern staff of Coastal Horizons Center who provide direct services to agency clients and their families.

The Credential Review and Privileging Plan addresses requirements set forth in 10 NCAC 27G.

Authority

The Vice President of Corporate Compliance and Medical Services, or his/her designee(s) shall be responsible for the Credential Review.

The Privileging Plan shall be carried out by the Coastal Horizons Center Quality Assurance - Quality Improvement Committee, herein after referred to as QAQIC, which is created by the President/CEO of Coastal Horizons Center. The QAQIC is directly responsible to the President/CEO.

Credentialing Procedures

Applicants will complete the Coastal Horizons Center application form. In particular, the applicant will provide the following information:

- Whether the applicant's membership status and/or clinical privileges have ever been or are in the process of being denied, revoked, suspended, reduced or not reviewed at any other health care facility.
- Whether the applicant's membership in any local, state or national medical / psychological / social work societies, or his/her license to practice any profession in any jurisdiction, has ever been or is in the process of being denied, revoked, suspended, terminated or not renewed.
- Whether the applicant's federal DEA registration or state controlled substances registration has ever been or is in the process of being denied, revoked, suspended, terminated or not renewed.
- The applicant's malpractice history.
- The names and addresses of all health care facilities with which the applicant has been employed, or associated with for the purpose of client/patient care, or privileged, or has practiced in and, if applicable, the reasons for discontinuance of association at such facility.
- Whether the applicant has been convicted of actions of fraud, abuse, or violations of statutory, regulatory, or contractual requirements governing the provision of professional services or reimbursement of such services.
- The decision to appoint or re-appoint an individual will be governed by, but not limited to, the presence of the following core criteria:
- Current licensure from primary source verification via telephone, letter, website, computer printout, or official documents/transcripts from the appropriate institution and/or licensing board.
- Relevant training and experience from the primary source whenever feasible.
- Reference letters.
- Current competence, as verified in writing, by individuals personally acquainted with the applicant's professional or clinical performance.
- Examples of Primary Source Verification: North Carolina Medical Board, NC State Drug Regulatory, DEA Controlled Substances Registration, NC Board of Nursing, NC Substance Abuse Professional Practice Board, NC Psychology Board.

Frequency and Duration: The duration of any appointment to staff shall be determined by contract or letter of employment. When temporary appointments are conferred, while waiting for the receipt of verification of the appropriate document, the duration of such appointments shall not exceed 30 days.

Privileging Procedures

The QAQIC shall serve as the privileging committee and be responsible for evaluating and granting privileges of direct care staff.

1. Privileging: The Program Director is responsible for checking the records and experience before hiring or accepting, in the case of volunteers/interns, direct care staff to ensure that staff will qualify for temporary privileges. The Clinical/Program Supervisor

verifies information submitted by staff regarding competence of regular privileges. QAQIC reviews each privileging request submitted.

2. The Clinical and/or Program Supervisor and the QAQIC assess the level of privileges based upon a staff person's ability to demonstrate the knowledge, skills and abilities required by the population served.

3. The Clinical Supervisor and/or Program Supervisor develops an appropriate supervision plan with each staff member (including interns), assesses progress and determines training needs.

- During the first 30 days of employment / volunteering / internship, all staff are granted temporary privileges.
- Prior to the end of the first 30 days, the Program Director or a component supervisor will meet with the staff member to review the privileging process, determine services which the staff member is to be privileged based upon Agency definition of services and prerequisites, and complete the employee request and supervisor request sections of a Request For Privileges form.
- The form is submitted to the QAQIC for review and final determination of privilege status.
- For those services where the QAQIC does not agree with the supervisory request, the form will be sent back to the supervisor for changes. Staff may appeal the QAQIC decision by presenting additional information.
- A Request For Privileges form with a Quality Assurance signature shall indicate approval.
- A copy of the Request For Privileges form is filed with the staff member's personnel file.
- Privileges may be updated at any time based upon additional training or experience.
- Staff members and their supervisors should submit Request For Privileges forms to the Program Director for submission to the QAQIC.

Revocation or Curtailing of Privileges

The QAQIC has the right to revoke or curtail staff privileges based on any of the following indications:

- Misrepresentation of one's qualifications, training, or experience, or omission of other information, in the application for employment or request for privileging.
- Adjudication and/or censure, by a national or local organization or agency, for violation of professional ethics, of sufficient severity to compromise the ability to practice.
- Suspension, revocation, or limitation of professional license or certification.
- Failure to maintain current licensure status

- Loss of professional liability insurance.
- Multiple, recurring, or significantly adverse events listed as indications for possible suspension of employment.

Appeals Process

Staff may appeal decisions to revoke or curtail privileges within 30 days of notification of the decision by the QAQIC by following the Grievance Policy of the Personnel Policies.

Record Keeping

Coastal Horizons Center is committed to establishing and maintaining record keeping practices that meet its business needs, accountability requirements and stakeholder expectations. Accordingly, the Agency's records are a major component of its corporate memory and as such, are vital assets that support ongoing operations and provide valuable evidence of business activities over time. The Agency is committed to implementing best practice record keeping systems to ensure the creation, maintenance and protection of these records.

Guidelines for record keeping and retention:

- All paper and electronic records shall be maintained for a minimum of three years, unless a longer retention period is required by applicable law or contract.
- Records and supporting documentation shall be kept for a minimum time period that meets the requirements of Federal, State and local governments.
- Records and supporting documentation shall be kept for a minimum time period that meets or exceeds any grantor's request or requirements.

The Agency's record keeping systems are dedicated to creating and maintaining authentic, reliable and useful records which meets the needs of internal and external stakeholders. Records are maintained for as long as they are required to effectively and efficiently support the business function and activities of the Agency.

Coastal Horizons Center and ultimately, the Board of Trustees and the President/CEO, are responsible for proper record keeping and retention for the Agency's records. This duty is shared with both the Chief Financial Officer and Program Directors, who in turn, communicate our record keeping needs to the staff of the Agency. The President/CEO, Chief Financial Officer and Program Directors are each responsible for understanding the record reporting and retention requirements associated with the areas of their responsibility.

Section 5 - Probationary Employment Period

Purpose

Each new employee, and each existing employee who is transferred or promoted to a new position, is to provide the Agency the opportunity to evaluate job performance and the ability of the employee to function effectively in the specified position. The President/CEO, or designee, shall be responsible for implementing an on-the-job training program for all newly hired employees, which are intended to prepare the employee to carry out job responsibilities.

Length of Probationary Period

The probationary period for a new employee begins on the date of employment. Any time after six (6) months, upon approval of the President/CEO, regular status may be awarded if the employee's performance is satisfactory.

An employee's probationary period may be extended provided that the total probationary period does not exceed twelve (12) months following an original appointment and three (3) months following a promotion or transfer. The employee must be given notice of the extension of his/her probationary period in writing.

The probationary period for a transferred employee begins on the date of transferred employment. Any existing employee who has been promoted or transferred to another position with different job responsibilities will be placed on a minimum three (3) month probationary period. When an existing employee moves from part time status to full time status within the same department he/she shall be placed on a minimum three (3) month probationary period (provided that the employee has completed a three (3) month probationary period)- exceptions will be made on a case by case basis by the President/CEO. Probationary periods for part time employees who move to full time status will be determined on a case by case basis by the President/CEO.

If an employee is on approved leave for ten (10) working days or longer during any period of probation, their probationary period is automatically extended by the time equivalent to his/her absence.

Termination Within Probationary Period

The President/CEO may approve the termination of employment of a new employee during the probationary period for causes relating to performance of duties or for personal conduct detrimental to the Agency without right of appeal or hearing for any reason or no reason whatsoever. The employee must be given written notice of dismissal.

Probationary Employee Review

Upon completion of the probationary period, the immediate supervisor and the Program Director of the employee shall document job performance and the ability of the employee to function effectively in the specified position. The review shall include both commendable performance and performance needing improvement, supervisory recommendations, and any justifications needed.

The satisfactory completion of the probationary period of employment shall have no effect on the “at-will” status of the employment relationship, meaning that either the employee or Coastal Horizons Center may terminate the employment at any time, whether during or after the probationary period, for any reason or no reason whatsoever.

Supervisory Responsibility

The supervisor shall discuss the written review with the employee. Once completed, the review shall become a part of the employee's personnel file. The employee has the right and opportunity to have any comments attached to the review.

(For policies concerning employees who are placed back on probationary status for disciplinary reasons, see Section 14 – Supervision/Progressive Disciplinary Action/Termination)

Section 6 - Positions

Job Descriptions for Employees

The Agency will provide each employee an Agency approved job description for his/her position at the time of employment. The job description will be reviewed periodically and revised as needed.

Job descriptions will contain the following:

- Position title.
- Title of immediate supervisor.
- Required educational/experiential qualifications
- General statement of duties
- Distinguishing features of a classification
- Essential duties and tasks
- Recruitment and selection guidelines
- FLSA Exempt or non-exempt status

- OSHA Classification
- Salary Grade
- Signature

New Employee Orientation

Each new employee will participate in an orientation process consisting of the following:

Meeting with a representative of Administration for reviewing benefits, general office procedures, questions regarding policies and procedures, reviewing an overview of the agency, along with assuring that the new employee is familiar with locations, forms, etc.

Meeting with the supervisor and/or Program Director for procedures pertaining to their specific program.

Ensuring initial and ongoing training updates are covered that detail the rights of the persons served, and the expectations regarding professional conduct.

Completing all other tasks as outlined in the new employee check list

Transfers and Promotion

Each employee that is transferred or promoted into a new position within the Agency will receive a letter of hire for the new position and a new job description.

Section 7 - Employee Responsibilities

Office Hours & Employee Work Week

Standard office hours are program specific and vary from department to department. Each employee's schedule is determined by his/her immediate supervisor. Employees will not deviate from the normal work schedule without obtaining permission from their immediate supervisor.

All employees will attend regular staff meetings as assigned. They may be required to attend Board of Trustees meetings or other relevant meetings outside of regular working hours as part of their training or job responsibility when instructed to do so. A workweek is a period of 168 hours during 7 consecutive 24-hour periods. The Agency workweek is defined as Friday, 5:31 p.m. to the following Friday, 5:30 p.m. Employees are not allowed in an agency facility after working hours without Agency approval.

Dress Code

Coastal Horizons expects all employees to be neatly attired, and to wear clothing that is acceptable in most business casual environments.

Lunch & Other Breaks

All full-time employees are allowed one (1) hour for lunch for each workday of at least six (6) hours worked. Lunch times are required to be scheduled in accordance with workday schedules and with the approval of the employee's immediate supervisor, and lunch times do not count towards hours worked.

Breaks are usually granted to Agency employees by the employee's immediate supervisor. They are considered a privilege rather than a right, and shall not interfere with work deadlines or schedules. A fifteen (15) minute break, one (1) in the morning and one (1) in the afternoon, is considered adequate.

Except as otherwise provided in this manual, non-exempt employees are not to perform work-related functions during lunch or other breaks.

RESIDENTIAL COUNSELOR LUNCH & OTHER BREAKS

Due to the nature of residential counseling duties, meals and breaks - or "downtime" -are considered incorporated into each employee's 48-hour weekly shift, as part of the dynamic to provide consistent management and supervision of the hotline and shelter services. Therefore, residential counselors are expected to remain on-site or "on-duty" while having meals and "downtime". As such, for residential counselors only, meals and "downtime" count toward the hours worked.

Hazardous Weather

Coastal Horizons Center generally follows the plan of County government when there are inclement weather conditions which make it difficult for travel to and from work. Exceptions to this will be communicated to the program directors at each agency location. Crisis Intervention Services will be made aware of all Agency closings.

Each employee is expected to report to work as soon as it is safe to do so. Each employee is responsible for establishing direct communications with the Agency to ascertain the status of Agency business hours for that day. In the event the Agency is closed due to weather related or other emergency disasters, staff will be paid for their regular hours even though they are not at work. Agency closings are at the discretion of the President /CEO.

Crisis Intervention Services

Due to the 24/7 structure of the Crisis Intervention Services component and commitments to coordinate community response in the event of inclement weather conditions, natural disaster or other disaster event, it is imperative that Crisis Intervention Services remain fully operational during such events. Open House Youth Shelter is equipped with an emergency backup generator, which will be engaged in the event of a power outage to maintain basic hotline and shelter services. Residential Counselors must be prepared to remain "on-duty," to provide adequate hotline management and supervision of shelter youth, until the following shift's Residential Counselors, Shelter Clinical Supervisor, or Program Director are able to safely arrive to relieve them. All Crisis Intervention Services supervisory, residential and hotline employees are expected to report to work, as regularly scheduled, or as soon as it is safe to do so. Direct communication and coordination with each employee's supervisor is required. Due to these responsibilities, Crisis Intervention Services employees may need to coordinate adequate coverage, with other program employees, supervisors and/or the Program Director, in order to make arrangements for their families and personal interests. Should the weather emergency, natural or other disaster be too severe for Crisis Intervention Services to safely remain operational, the President/CEO will instruct the Program Director to make arrangements for full agency closure. In this event, the Program Director, supervisors, residential and hotline employees will provide necessary coverage of operations until provisions are arranged and facilitated for all shelter youth, and they have safely vacated the premises.

Medical & Other Services

Employees in need of medical attention are required to utilize their own healthcare provider and not that of the Agency's Medical staff, except in the event of bona fide medical emergencies where no other treatment is available.

Generally, it is not the responsibility of the Agency to pay for conditions, incidents, etc. that arise at work such as damage to vehicles in the parking area, automobile accidents, contraction of colds, ice, etc. Exceptions to this require approval by the President/CEO prior to any payment or reimbursement.

Section 8 – Office Guidelines

Use of Office Equipment

Agency office equipment (i.e., telephones, fax machines, copiers, computers, audio/visual, etc.) is intended to facilitate the services of the Agency. Use of Agency office equipment for personal matters is discouraged and must be approved by the Program Director.

All personal long distance calls must be charged to Agency staff's home telephone or personal calling card. Staff are prohibited from receiving personal calls on the Agency WATTS line.

Change of Contact Information

Agency staff are required to report to their Supervisor and to Human Resources any change of name, address, phone, or other emergency contact information. This also applies to information regarding college credits, degrees, or certificates which should be added to an individual's personnel file as part of your career development.

Solicitation

Solicitation in Agency facilities for any purpose other than those authorized by the President/CEO is prohibited. This does not apply to Agency staff when the solicitation is not disruptive and is approved by the respective program director, and/or the President/CEO.

Smoking

No smoking is allowed in any Agency facility or vehicle at any time.

Check Cashing

Check cashing is prohibited.

Child Care

To ensure client confidentiality, as well as reduce liability and risk to the Agency, Agency staff are required to make every effort in securing child care away from Agency premises. During emergency or exceptional situations, staff must obtain approval from the Program Director for children to remain on Agency premises.

Purchasing of Equipment

Agency staff may purchase Agency property that is for sale only through a closed bid system overseen by Administration.

Economy in Service

Agency staff are expected to carry out their duties in such a way that is economical for the Agency, without wasting Agency time, property, or materials.

Animals in Agency

The Agency has a tolerance of animals on premises, recognizing their contributions towards a positive therapy experience. However, the Agency does so with the understanding that domesticated pets are to be under the control of their owner at all times. If anyone (client/employee/visitor) requests the pet's owner to remove the animal from the premises (including the parking area) due to the animal's disruptive behavior, or the offended person's actual/perceived sense of feeling threatened and or discomfort by the animal's presence, then the owner shall remove the animal without argument. No animal is to be brought into the Agency's premises which, by general observation, may cause any possible infestation, disease, or threat to the safety or welfare of Agency clients, employees, or third parties. Employees shall be responsible for any injury to person or damage to property caused by their pets.

Section 9 - Safety

Staff Responsibilities

Agency staff are required to know and to take responsibility for following the Agency's Safety Policy and Fire & Disaster Plan

FIRE AND DISASTER PLAN

It is the policy of Coastal Horizons Center to ensure that all staff, visitors and clients can easily access emergency exits for immediate evacuation from the facility in the case of a fire or disaster.

Fire and evacuation drills are conducted throughout the year at unannounced times as designated by the safety committee for each location. A drill is documented indicating the date, time, length of time, and number of staff and clients, and what provisions were made to carry out the procedure is as follows:

- When the alarm sounds, the Program Director or designee will inform the office assistant of the facility.
- The office assistant will announce over the intercom that everyone must evacuate the building.
- The Program Director or designee is responsible for assisting with locating and evacuating all occupants of the facility.
- In the event of a fire, the office assistant will immediately telephone 911.
- The facilities equipped with elevators are not to be used during the evacuation.
- The Program Director or designee will direct and guide the arriving fire or rescue

personnel.

- The Program Director will assign a designated meeting place outside of each facility.
- All staff, clients and visitors are to evacuate the facility assuring all doors and windows are closed and lights are turned off, if possible.
- If the evacuation is fire related, all utilities should, when possible, be turned off.
- The Program Director or designee is responsible for ensuring that clients can obtain transportation and any needed assistance until their regularly scheduled departure time.
- In the event Open House is not secure, the clients will be transported to an available motel/hotel until the facility becomes secure and safe.
- Everyone will proceed to and congregate to an area designated by the program director.
- Everyone shall remain outside the facility until all clear is given by emergency personnel.
- Do not re-enter the facility to rescue someone, instead inform the first fire fighter or rescue personnel on the scene that a person remains in the facility and their probable location.
- The Program Director is responsible for making sure that staff are familiar with fire extinguisher operations and locations.
- Any staff member who discovers a potential fire hazard, e.g. A fire extinguisher in need of repair, a blocked exit, etc., is to advise the Program Director immediately for repair, replacement or corrective measures.

Injuries to Staff

Agency staff are covered by the North Carolina Worker's Compensation Act. If staff are injured while working as a result of a workplace accident, they are entitled to medical attention at the expense of the Agency, provided the injury fulfills the criteria of the Worker's Compensation Act. All injuries that occur on the job must be reported immediately to the staff person's supervisor and an incident report completed.

Arrangements will be made for the staff person to go to a doctor or the emergency room at the hospital, if necessary. Post-accident drug testing will be performed when outside medical attention is received in accordance with the North Carolina Controlled Substance Examination Act and other applicable law.

All incident reports shall be made in writing and presented as soon as practical but in no event later than twenty-four (24) hours of the incident to Administration. Delay in reporting job injuries may result in the Agency or its insurance carrier questioning liability. If medical attention is received, the staff person should inform the doctor or hospital that it is a worker's compensation injury and all bills and forms are to be sent to the Agency's administrative office for processing. Claims on health insurance should not be made for worker's compensation injuries.

Injuries to Clients or to the Public

Agency staff are required to file an incident report for any and all observed injuries occurring to clients or members of the public who are visiting the Agency's facilities or participating in Agency sponsored events. All incident reports shall be made in writing and presented as soon as practicable but in no event later than twenty-four (24) hours of the incident to Administration.

Incident Reports

A confidential Incident Report shall be completed and submitted by every Agency employee who observes or who is aware of a reportable occurrence or hazardous condition.

Incident Reports are considered confidential communications protected by the attorney-client privilege. They are not subject to release to the client or other persons, except in response to subpoena.

Tuberculosis (TB) Policy

Agency staff will be required to have a TB skin test at the time of employment and annually. When a staff person is diagnosed with respiratory TB, follow up care and all medical treatment will be provided, free of charge at the public health department, per state law. A chest x-ray will be ordered by the staff person's physician.

Compliance with this policy will be the responsibility of the staff person and the Corporate Compliance Officer. Non-compliance with this policy will result in disciplinary action.

Section 10 - Employee Benefits

(Note: Some of the benefits listed in this Section are subject to budgetary guidelines, and may need to be changed, revised, or eliminated without prior notice to employees - with approval of the Board of Trustees.)

Health Insurance (including Dental)

The Agency pays a percentage of health insurance costs for all full-time employees, subject to budgetary guidelines, annual Board of Trustees approval, and is subject to all applicable eligibility periods and requirements. Coverage will be effective ninety (90) days following date of full-time employment. The employee's contributions to the costs of any elective coverage will be paid for by the employee through payroll deduction.

Any employee refusing health insurance is required to sign a waiver document indicating the agency of their decision. Any employee who is denied health insurance by the Agency provider will be eligible for the same rate to be paid directly to another provider. There will be no financial reimbursement for refusing health insurance benefits. If employment at the Agency ceases, the Human Resources Director will inform each eligible employee of his/her rights under federal law (COBRA) for continuation coverage.

Life Insurance

The Agency provides life insurance coverage for all full-time employees after 90 days of employment.

Retirement Savings Plan

The Agency provides retirement benefits through a 401K and a profit sharing plan to all employees who have worked a minimum 1000 hours within a fiscal year and have been employed with the Agency a minimum of twelve (12) months. Annually, the Board of Trustees will establish the rate of contribution to be made by the Agency for each employee.

Disability Insurance

The Agency provides disability insurance coverage for all full-time employees who have been employed a minimum of 90 days.

Employee Assistance Program

Coastal Horizons Center, Inc., offers a confidential Employee Assistance Program through Human Growth & Training Associates, an outside contracted service provider. Coastal Horizons Center's Management and Board of Directors recognize that, at times, we all may experience overwhelming stress, conflicts, and interpersonal life crises, and the Agency wants to be there to lend its support to our employee's.

Any employee interested in utilizing this service can do so through direct self referral to Human Growth & Training, by contacting:

Human Growth & Training Associates, 5010 Randall Dr., Wilmington, NC.

Phone: 910-791-5719

Agency staff can also ask the assistance of your Program Director or Supervisor. Again, this is a confidential service. However, in order to receive the preferred rate of service

that the Agency has with Human Growth & Training, you must identify yourself as a Coastal Horizons Center employee.

Supplemental Short-Term Disability Insurance

In addition to disability insurance, the Agency provides the opportunity for employee's to enroll in supplemental insurance programs, at their own expense. Please contact Human Resources for more information.

Vacation Leave

Vacation time is a benefit of paid time off which is provided to each employee in recognition for services rendered to the Agency. Agency employees are required to submit vacation time requests at least two weeks prior of requested time for Agency approval for vacation leave.

Regular full-time employees may use up to 24 hours of vacation leave per calendar year without prior approval for personal reasons. This allowance of time does not carry over to the next calendar year.

A Residential Counselor that works 60 hours per week may take up to 36 hours of vacation leave per calendar year without two (2) week prior approval for personal reasons. A Residential Counselor that works 48 hours per week may take up to 27 hours of vacation leave per calendar year without two (2) week prior approval for personal reasons.

Vacation benefits are only provided to full-time employees according to hours worked. New employees accrue and are eligible to use vacation leave during the probationary period after 90 days of full time employment.

Existing employees on probationary status accrue vacation leave, but are not eligible to use it while on probationary status. Generally, employees placed on probationary status as a result of performance, or a change in position, are not eligible to take vacation leave, and any exceptions to this must be approved by the President/CEO.

Accrual Rate Matrix

At the end of each calendar year, no more than two hundred and forty (240) hours of accrued vacation leave will be carried over for each employee. Full time employees who have in excess of 240 hours of accrued vacation time at year end will have the accrued excess amount converted and placed in their sick time accrual balance.

This will not restrict the employee from accruing additional vacation leave during the current calendar year.

ALL REQUESTS FOR USE OF VACATION LEAVE ARE SUBJECT TO ADEQUATE STAFFING OF THE AGENCY'S PROGRAM NEEDS AND MAY BE DENIED ON THAT BASIS.

Vacation Accrual/Mth

Mths of Service >	6-60	61-120	121 +
Hours Worked/Week			
30	7.5	9	12
40	10	12	16
48	12	14	19

Sick Accrual/Mth

Mths of Service >	0-60	61-120	121 +
Hours Worked/Week			
30	6	6	6
40	8	8	8
48	9	9	9

Holiday Accruals

- * Every 30 hour per week employee receives an annual 6 hour Floating Holiday.
- * Every 40 hour per week employee receives an annual 8 hour Floating Holiday.
- * Every 48 hour per week employee receives an annual 24 hour Floating Holiday.
- * Every 48 hour per week employee receives quarterly 24 hours of Holiday time-off.

Upon Termination of Employment

An employee who leaves the Agency in good standing will be compensated for up to two hundred and forty (240) hours of accrued vacation leave at the employee's hourly rate.

An employee who does not leave the Agency in good standing will forfeit all accrued vacation leave.

Note: Leaving the Agency in good standing is defined as follows:

- voluntary resignation, with proper time notice of at least 2 weeks given;
- termination due to budgetary constraints; or
- in the case of catastrophic illness, accident, or death

Sick Leave

Definition

Sick leave is a benefit of paid time off which is provided to each employee for personal or family illness or injury. Sick benefits are only provided to all regular full-time employees and are accrued on a pro-rated basis according to hours worked. Sick leave accrual is not paid upon termination of employment and is deemed forfeited, unless an employee resumes work with the Agency within the time period specified below. Sick leave starts to accrue at date of full time employment.

Procedure

Employees are required to notify their immediate supervisor or Program Director of illness as soon as possible or one (1) hour before starting of scheduled shift. Failure to report on time or call in will result in an unexcused unpaid absence, and possible disciplinary action.

Proper documentation of requests for sick leave should be submitted to the immediate supervisor immediately upon return to work.

If an employee needs to leave during the scheduled working day due to illness, he/she is required to obtain Agency approval, unless the severity of the illness precludes it.

The Manager and/or President/CEO will require a physician's verification of sickness/injury or other relevant documentation when:

1. Sickness/injury period is more than three (3) consecutive days.
2. Patterns of sickness/injury may indicate abuse of the privilege.
3. An employee requests sick leave without pay.

Upon Termination of Employment

An individual who leaves the agency in good standing and resumes employment with the Agency will retain their sick leave and years of service status for a period of up to 5 years from the date last worked. Upon the employee's return to full-time status, the usual three (3) month probationary period will apply along with all of the normal stipulations. (no time off, no accrual of vacation, etc.) After successful completion of the probationary status, they may use and will accumulate sick and vacation applicable to their prior years of service.

Individuals moving from full-time to part-time will retain any unpaid sick leave, but will be unable to apply for paid time off until returning to full-time status. Years of service will also be retained and again start to accumulate only after returning to full-time status.

Holidays

Definition

Holiday benefits are paid time off for all full-time employees, and are granted on a pro-rated basis according to hours worked. There are no holiday benefits for those employees working less than thirty (30) hours per week.

Residential Counselor Holiday Time

Each full-time Residential Counselor will be granted five (5) twenty-four (24) hour days for holiday time, annually (calendar year), which shall accrue at the rate of one (1) twenty-four hour day per quarter year (January 1-March 31; April 1 - June 30; July 1-September 30; October 1-December 31). Residential Counselors must use holiday hours at one time (the full twenty-four (24) hours at once) and must use these hours within the same quarter year that they are accrued. Each Residential Counselor will be granted one (1) twenty-four (24) floating birthday, which must also be used at one time (the full twenty-four (24) hours at once), but may be used during any quarter of the calendar year. Residential Counselors scheduled to work on an agency holiday will not receive additional time off.

Specific Days (See list published annually by the Agency for specific dates)

Except when the business of the Agency requires particular employees to work on the following days, all employees shall be afforded the following holidays from work:

New Years Day	Independence Day
Martin Luther King Day	Thanksgiving Day - Day After
Good Friday	Christmas Eve - Day - Day After
Memorial Day	Veterans Day
Labor Day	Floating Holiday

Family Medical Leave Act (FMLA)

Eligible employees will be granted unpaid Family and Medical Leave for a period of up to twelve (12) weeks. Employees are eligible for family and medical leave if they have been employed with the Agency for at least twelve (12) months and have worked for at least 1,250 hours during the twelve (12) month period immediately preceding the commencement of the leave. The leave may be taken, subject to eligibility requirements, as a single block of time or on an intermittent basis.

Family and Medical leave will be granted for one or more of the following:

- For an employee to care for the employee's child after birth, or placement
- For adoption or foster care (provided, however, intermittent leave in these circumstances shall be subject to the approval of the Agency);
- For an employee to care for the employee's immediate family member (spouse, child, grandchild, parent) who has a serious health condition;
- An employee who has a *serious health condition that makes the employee unable to perform any one or more essential functions of their jobs for more than three (3) consecutive days; and requires continuing treatment under the supervision of a healthcare provider; and/or has a chronic health condition that causes episodic periods of incapacity.
- FMLA protections for family members caring for a covered service members with a serious injury or illness incurred in the line of duty on active duty. These family members are able to take up to 26 workweeks of leave in a 12-month period.
- The new military leave law also allows families of National Guard and Reserve personnel on active duty to take 12 weeks of FMLA job-protected leave to manage their affairs — “qualifying exigencies.” The new rule defines “qualifying exigencies” as: (1) short-notice deployment (2) military events and related activities (3) childcare and school activities (4) financial and legal arrangements (5) counseling (6) rest and recuperation (7) post-deployment activities and (8) additional activities where the employer and employee agree to the leave.

* A “serious health condition,” for purposes of leave under the Family and Medical Leave Act, is an illness, injury or impairment, or physical or mental condition that involves either a) any period of incapacity or treatment connected with inpatient care (i.e. an overnight stay) in a hospital, hospice or residential medical care facility, and any period of incapacity or subsequent treatment in connection with such inpatient care; or b) continuing treatment by a health care provider, which includes any period of incapacity (i.e. inability to work, attend school, or perform other regular daily activities due to:

- 1) A health condition (including treatment or recovery) lasting more than 3 consecutive days, and any subsequent treatment or period of incapacity relating to the same condition, that also includes:

- treatment 2 or more times by or under the supervision of a health care provider;
or

- one treatment by a health care provider with a continuing regimen of treatment;
or

2) Pregnancy or Prenatal Care;

3) A chronic serious health condition which continues over an extended period of time, requires periodic visits to a health care provider, and may involve occasional episodes of incapacity (e.g. asthma or diabetes); or

4) A permanent or long-term condition for which treatment may not be effective (e.g. Alzheimer's, a severe stroke, terminal cancer). Only supervision by a health care provider, and not active treatment, is required; or

5) Any absences to receive multiple treatments for restorative surgery or for a condition which would likely result in a period of incapacity for more than 3 days if not treated (e.g., chemotherapy or radiation treatments for cancer).

Employees ordinarily must provide thirty (30) days advance notice when the leave is foreseeable. This notice is to be given to the program director for final approval by the President/CEO.

An employee must exhaust accumulated sick and vacation leave simultaneously with the taking of Family and Medical Leave.

The Agency will maintain an eligible employee's health coverage during the twelve (12) weeks of Family and Medical Leave. The employee will be responsible for maintaining payments towards their healthcare benefits, normally deducted as part of the payroll process, while on leave. The employee may make payments either in full at the start of their leave, or on a monthly basis during their leave. If the employee fails to return to work at the conclusion of the leave period, he/she shall be responsible for reimbursing the Agency for any balance towards the cost of the employee's health coverage during the leave period. Exceptions to this may be made on a case by case at the discretion of the President/CEO.

Vacation, sick, and personal leave time will not be accrued while on Family Medical leave, although years of service will not be interrupted.

When an employee requests a claim for family and medical leave, a physician's certification is required which includes the following:

1. The date on which the serious health condition began

2. The probable duration of the condition

3. The appropriate medical facts regarding the condition known by the physician (A statement indicating why leave is needed to care for the child, spouse, or parent, and an estimate of the amount of time that is needed; or that the employee is unable to perform the functions of the position, whichever applies)

The Agency may request that the employee furnish such certifications at reasonable intervals during the leave period. An employee may also be required to provide appropriate "fitness - for - duty" certifications from a medical provider before returning to work. Upon returning to work, the employee shall be reinstated to the position that he or she held before the leave began or another equivalent position (with nearly identical benefits, pay, duties, and statuses. The Agency reserves the right to require employees who request leave, or are on leave, to submit to an independent medical examination at the Agency's expense.

Civil Leave

Jury Duty

When an employee serves on a jury, he/she is entitled to leave with pay for the period of absence required - up to ten (10) working days, and entitled to leave without pay for days in excess of ten (10). Exceptions to this are at the discretion of the President/CEO. He/she is required to inform his/her immediate supervisor in advance and on a daily basis, and to submit the jury duty payment check to the Chief Finance Officer. While the employee is on leave with pay, all pay received by the employee for jury service shall become the property of the Agency.

Court Attendance/Civil Leave

When an employee is subpoenaed or directed by proper authority to appear as a witness in cases unrelated to his/her employment, he/she shall be granted civil leave without pay or may request vacation leave. If the court attendance is job related, the employee is required to notify their immediate supervisor in advance and on a daily basis.

Bereavement Leave

Full-time agency employees will receive up to three paid days for the death of an immediate family member. Members of the immediate family include spouses, parents, brothers, sisters, children, grandchildren, grandparents and parents-in-law.

Part-time employees are eligible for bereavement pay in proportion to the number of hours they normally are scheduled to work each week.

Requests for bereavement leave should be made to your immediate Supervisor as soon as possible.

Leave of Absence

Leave of absence without pay may be granted for any regular full-time employee who has worked at the Agency for a minimum of twelve (12) months, when the needs and interests of the Agency permit. This period is not to exceed one (1) year, and must be approved by both the President/CEO and the Executive Committee of the Board of Trustees. Vacation and sick leave time shall not accrue while an employee is on a leave of absence, although years of service will not be interrupted.

Any full time employee who has worked for the Agency for at least fifteen (15) years may apply for sabbatical leave. This period is granted for not less than six (6) weeks and not more than six (6) months. The letter of request must be approved by the President/CEO and the Board of Trustees. If approved, the employee must sign an agreement to return to the Agency for a period of no less than six months.

The employee will be compensated at 50% of his/her normal pay rate during the sabbatical period. In addition, employees are encouraged to apply for a sabbatical grant through foundations such as Z. Smith Reynolds. Vacation and sick time will not be accrued while on sabbatical, although years of service will not be interrupted. This time is granted to employees who have been with the Agency for the required service period and have demonstrated a commendable level of commitment, loyalty, and dedication. It is a time to rest, travel, reflect, and pursue personal interests. If the employee fails to return to employment with the Agency for a six (6) month period following the sabbatical, he or she shall be required to reimburse the agency in an amount equal to the compensation he/she received during the leave period.

Military Leave

Unpaid leave may be granted by the Agency for any regular full-time employee during periods of active duty with the Armed Forces of the United States as a result of involuntary draft of military conscription, or for a period of one (1) voluntary enlistment, and not to exceed two (2) years or for annual reserve duty.

At the expiration of such leave, the employee shall be reinstated to a position of similar status and pay unless such a position is no longer available due to budgetary reduction of staff. The employee shall retain all accumulated paid leave, retirement status, and time earned toward any salary increase which the employee shall continue to accrue during the military leave period. Failure on the part of an employee to report within thirty (30) days at the expiration of the military leave of absence, except for satisfactory reasons submitted in advance, shall be cause for dismissal.

An employee going on military leave without pay may arrange for continuing health care insurance, at their own expense, as carried by the Agency, to prevent any lapse in coverage.

Vacation, sick, and personal leave time will not be accrued while on military leave, although years of service will not be interrupted and the affected employee will accrue seniority as if he or she had not left the Agency's service to fulfill the military commitment.

Section 11 - Training and Career Development

General Policy

It is the Agency's policy to encourage professional development of employees to upgrade their skills and increase their knowledge through attendance at conferences and institutes. In so doing, employees are in a position to advance within the organization and enhance delivery of quality services to the public.

Whenever possible, business leave will be granted. All seminar materials become property of the agency. Although certain types of training are required for all staff, other training is sought out to improve the professional skills of individual positions.

*Please see minimum federal requirements for Open House Emergency Shelter staff.

In-service Training

All employees will participate in Agency sponsored in-service training as directed by their supervisor and/or the President/CEO. All full-time staff are required to attend all Agency monthly All-Staff meetings and In-service Trainings as directed by their immediate supervisor. The All-Staff meetings are held from 2:30 until 4:00 p.m. on the third Wednesday of each month, unless otherwise specified. Non-exempt employees will work with his/her supervisor to make schedule adjustments as needed.

Outside Resource Training

Outside trainings are designed to improve the skills and knowledge base of Agency employees. All full-time employees are eligible to request Agency approval to attend outside trainings on Agency time. Additionally, some outside trainings may be paid for by the Agency. When trainings have been paid for by the Agency, an employee may be required to reimburse the agency, expenses for if the employee leaves the Agency within one (1) year of attending the training - on a pro-rated basis.

Career Development

Career Development Programs for an employee are either designed to prepare the employee for new job responsibilities, or to enable them to achieve certification status within their field. All full-time employees are eligible to request Agency approval to attend Career Development Programs on Agency time. Additionally, some Career Development Programs may be paid for by the Agency. When Career Development Programs have been paid for by the Agency, to an employee may be required to reimburse the Agency if the employee leaves the Agency within one (1) year of attending the Career Development Programs - on a pro-rated basis.

If the employee wishes to enroll in courses offered by other agencies or educational institutions, the employee and their supervisor must ensure that there will be no conflict with regular working hours established by the Agency. All such courses must be approved by the President/CEO.

For Agency employees who have been with the agency for less than sixty (60) months, all licensure and certification fees are to be paid for by the employee. For employees who have been with the Agency for at least sixty (60) months, licensure and certification fees, both initial and renewal, will be paid for by the Agency.

When fees have been paid for by the Agency, an employee may be required to reimburse the Agency if the employee leaves the Agency within one (1) year of being certified/re-certified - on a pro-rated basis.

Residential Counselor- Federal/State License Requirements

Due to Federal Youth Service Bureau Grant and NC Division of Social Services licensure requirements, full-time Residential Counselors, part-time Relief Residential Counselors, Shelter Clinical Supervisor, and Program Director are required to maintain current CPR/First Aid certifications. Direct shelter services employees (full and part-time) must provide documentation of an annual physical, negative TB skin test, and submit required employee health documentation and questionnaires. Full- and part-time Residential Counselors, Shelter Clinical Supervisor, and Program Director are expected to select and attend a minimum of two (2) professional development trainings seminars, per year, on topics/skills to maintain or enhance services to shelter youth. Full- and part-time Residential Counselors, Shelter Clinical Supervisor, and Program Director are expected to complete the Crisis Intervention Services 48-hour Volunteer Training Program, either prior to date of hire, or the next scheduled training. These training hours are considered part of each employee's hours worked, with schedule adjustments determined by the Shelter Clinical Supervisor to ensure appropriate coverage for hotline and shelter services

Section 12 - Compensation

Definition

Compensation for employees shall be in accordance with the salary plan that has been established and approved by the Board of Trustees. Annual merit increases may be earned by employees through commendable performance which will be justified by the annual employee performance appraisal. The Board of Trustees is responsible for approving the total amount of funds available for salary increases, but is not responsible for approving individual employee merit increases, other than for the President/CEO. The President/CEO is responsible for implementing the individual employee merit increases.

1. The pay plan reflecting compensation for employees of the agency will be reviewed and approved annually by the Board of Trustees. Budgetary limitations may restrict the capability of the Agency to grant annual increases to all deserving employees.
2. Salary increase/decrease recommendations, other than merit increases, will be submitted by the President/CEO to the Board of Trustees for final approval. This includes annual cost of living increases.
3. Merit increases may be awarded to reward outstanding performance. These merit increases will be approved by the President/CEO based on availability of individual departmental funding and in accordance with annual job performance appraisals and recommendations by the Program Director. When awarded, merit increases will not exceed five percent (5%) per calendar year per individual, nor will they exceed the Agency's overall pay plan range for each position without expressed approval of the Board of Trustees.

Overtime

In accordance with the U.S. Department of Labor's Fair Labor Standards Act:, all non-exempt employees must receive overtime pay for hours worked in excess of 40 per work week at a rate not less than time and one-half their regular rates of pay. Each work week stands alone; therefore; averaging hours over two or more weeks is not permitted. All overtime worked must have prior approval from the Program Director.

All non-exempt employees and contractual staff who are required to report to work by the Program Director and/or the President/CEO, outside of normal business operations will be compensated at a rate of time and one-half.

Residential Employees

In accordance with the federal definition for residential care staff, who are required to obtain adequate sleep while "on-duty," all non-exempt, full- and part-time residential

employees must receive overtime pay for residential shift hours in excess of 48 per work week at a rate not less than time and one-half their regular rates of pay.

Exempt Employees

Employees in this category include the President/CEO, members of the Agency management team, administrative, learned professional, outside sales personnel, and any computer related employees. Exempt employees are not eligible for overtime pay. These staff members may work any given number of hours which may be necessary to accomplish their assigned duties. These categories of employees shall be exempt from receipt of overtime pay, regardless of number of hours worked in a pay period.

Non-Exempt Employees

All positions not described above are included in this category. The employee's supervisor must approve the performance of all work done in excess of scheduled hours.

Workweek

A workweek is a period of 168 hours during 7 consecutive 24-hour periods. The Agency workweek is defined as Friday, 5:31 p.m. to the following Friday, 5:30 p.m.

Section 13 - Payroll Services

Payroll Schedule

The agency pays twice monthly on the fifteenth (15th) and the last day of each month. If the pay date falls on a Saturday, Sunday, or holiday, the pay date will be on the previous working day. Any employee who is paid for time not worked or otherwise receives compensation which is not due him/her shall have such overpayment deducted from his/her check in the following pay period. Any employee who works less than forty (40) hours weekly will be paid on a pro-rated basis.

Payroll Deductions

Mandatory deductions include state and federal withholding taxes and social security taxes. Voluntary deductions include, but are not limited to: retirement fund, contribution to health insurance, life insurance coverage, deferred compensation plan, United Way, credit union, etc.

Payroll Procedures

Each employee will maintain a time sheet showing actual time worked and all time taken for various types of leave. Each employee's time sheet must be submitted within one working day following the pay date unless otherwise by the immediate supervisor.

Paychecks will not be distributed early, except for an employee who will be absent on the regular pay day, who may pick-up his/her check the day before, or may authorize in writing (on Agency letterhead) someone else to pick-up his/her check on regular payday.

Under appropriate circumstances, an employee may request in writing, on agency letterhead, that the paycheck be mailed to the employee.

Reporting Discrepancies in Pay Records

Employees are charged with the responsibility of promptly reviewing their paychecks to assure that they accurately reflect the employee's rate of pay, and number of hours worked, accrued/taken vacation, sick and/or holiday hours. All discrepancies are to be reported to the affected employee's supervisor within five (5) days of receipt of a paycheck. If no discrepancies are reported within five (5) days, the employee's paycheck shall be presumed accurate

Wage Garnishment/Child Support (added policy)

When an employee's wages are garnished by a court order, the Agency is legally bound to withhold the amount indicated in the garnishment order from the employee's paycheck. The Agency will, however, honor federal and state guidelines which protect a certain amount of the employee's income from being subject to garnishment.

Reimbursement Checks

Each employee must submit check requests for reimbursement, along with adequate documentation and supervisory signatures, prior to the deadlines established by the Chief Finance Officer. Reimbursement will not be made for expenses which are reimbursable by another agency or source of funds.

Travel and Related Expenses

General Policy

Agency related travel includes both local and out-of-area travel, both in personal vehicles and in agency vehicles, and may be a part of an employee's required job duties. Local travel is considered travel within the respective specific service area.

Personal Vehicles

Reimbursement

Employees performing Agency approved travel in personal vehicles are eligible for reimbursement at the currently authorized mileage rate established by the Board of Trustees. Out-of-area travel must receive prior Agency approval. Employees performing Agency approved travel in personal vehicles are required to maintain and provide documentation of insurance coverage.

Employees seeking reimbursement from the Agency for mileage must leave from and return to the work location except when the least expensive or most convenient route dictates otherwise. Mileage reimbursement shall be for direct road map mileage between points on the employee's itinerary or actual odometer readings. Mileage rate shall be considered as full reimbursement for all costs incurred in the operation of a personal automobile, including, without limitation, wear and tear except for road, bridge and ferry tolls.

Transportation of Clients

Transportation of clients in personal vehicles on agency time is not allowed except in cases of emergencies. Employees using personal vehicles to transport clients are primarily responsible for any accident or moving violations that may occur.

When employees are not on agency time, transportation of agency clients (within an employee's component) is prohibited, as this may put the agency at risk for legal liability or other unforeseen problems. Exceptions must have prior approval, except in cases of bona fide medical emergencies and this must be reported to the employee's supervisor, so that this can be documented should questions ever arise. Any employee who does not inform their supervisor of exceptions made in a timely manner may be subject to disciplinary action.

Agency Vehicles

All travel in agency vehicles should be for the purpose of assisting clients in their receipt of agency services, and for carrying out other agency functions - subject to prior supervisory approval. Personal use of agency vehicles is prohibited. Exceptions must have prior approval and must be reported to the employee's supervisor, so that this can be documented should questions ever arise. Any employee who does not inform his/her supervisor of exceptions made in a timely manner may be subject to disciplinary action.

The criteria for eligibility to use any agency vehicle is as follows:

- Must be a Coastal Horizons Center employee;

- Must have a valid NC Driver's License;
- Must be approved by the Agency and/or insurance company;
- Must receive training in the use of vehicle, alarm and phone system, credit card/gas purchases, location of registration, etc.; and
- Must have advanced supervisory approval, except in the event of bona fide emergencies.

Drivers shall observe all local and state ordinances pertaining to the operation of motor vehicles. Any fines imposed for any violation which was under the control of the driver shall be the responsibility of the driver.

Hitchhikers are prohibited from riding in Agency vehicles. Non-Agency employees may accompany employees in Agency vehicles when this serves Agency purposes upon agency approval.

Employees who operate Coastal Horizons Center vehicles shall have a continuing duty to report to Human Resources convictions of any moving violation or other traffic-related offenses which occur at any time after they accept employment with the Agency.

Subsistence & Other Travel Related Expenses

Subsistence

Reimbursement for subsistence expenses within respective specific program service area is not authorized except for specific occasions with prior Agency approval.

Reimbursement for subsistence expenses (meals, tips for meals, lodging and taxes) - not already paid for by the training and/or meeting sponsor - will be made at the currently authorized rates established by the Board of Trustees, or based on actual reasonable expenses when supported by receipts.

A breakfast meal and/or dinner meal will not be reimbursed unless the employee departs before 8:00 a.m. and/or returns after 6:00 p.m.

Reimbursement will not be allowed for laundry, entertainment, alcoholic beverages, between meal snacks or refreshments, and/or any other personal expenses.

Reimbursement is allowed for official telephone calls under "other expenses" and is not included in subsistence allowance.

Reimbursement is made by an established per diem rate approved annually by the Board of Trustees. Exceptions to that rate must be approved by the President/CEO.

Travel Expenses

Reimbursement for air travel shall be for air coach or tourist class on commercial airlines unless such accommodations are not available.

Reimbursement for travel to an airline terminal and for parking shall include:

- Airport shuttle service - one (1) round trip fare at place of destination.
- Taxi - one (1) round trip at place of destination.
- Private automobile - parking fees up to forty-eight (48) hours. (Exceptions to that rate must be approved by the President/CEO.)

Authorization to use a rental automobile will be granted only when no Agency or private automobile is available and when it is the most feasible and economical mode of transportation.

Section 14 - Supervision/Progressive Disciplinary Action/Termination

Evaluation and Rating Policies

The immediate supervisor and/or program director of each staff member shall evaluate the staff member's performance. Annual evaluations shall be completed in writing and shall remain a permanent part of the employee's personnel file. Each evaluation shall bear the necessary Agency signatures.

Supervisory Action – Progressive Discipline

Supervisory action will be administered in a fair and equitable manner without prejudice or favoritism. Supervisory action may utilize the progressive steps listed below, although some actions may not necessarily follow the prescribed sequence. The Agency reserves the right to terminate, demote, or take other employment action without regard to the progressive discipline mechanism set forth below, for any reason or no reason, whatsoever; to the extent such action is consistent with applicable law.

Informal Counseling or Coaching (Step 1)

This step involves the supervisor providing verbal feedback to an employee concerning any aspect of their job performance. This feedback may be positive in nature or may point out to the employee ways in which their job performance needs to be modified and

improved. It will normally be done in private, and a written record may be kept by the supervisor.

Formal Counseling or Coaching (Step 2)

This step is used when a performance problem is repeated or persistent on the part of an employee or when informal counseling or coaching is not deemed to be sufficient. This supervisory action will almost always be conducted in private and will be documented in memo form to the employee. Documentation at this stage is not to be placed in the formal personnel file. However, should the performance problem continue, any memos of documentation may become part of the formal personnel file should further supervisory action be necessary.

Written Reprimand (Step 3)

A written reprimand is intended to formally document a serious and/or persistent performance problem. The program director/supervisor will meet with the employee and fully explain the nature of the reprimand, the reasons for it, and the possibility of being placed on probationary status.

The reprimand itself will appear in written form identified as such, and will become part of the formal personnel file. Upon receipt of a written reprimand, an employee has five (5) working days to elect to provide a written response, and to have that response placed in his/her personnel file.

Probationary Status for Regular Employees (Step 4)

Placing a regular employee on probationary status is utilized in the disciplinary process when there are serious doubts as to whether the employee can satisfactorily perform their job duties. The details of the probationary status will appear in written form identified as such and will become part of the formal personnel file. The length of probationary status will be at the discretion of the program director with final approval of the President/CEO, not to exceed twelve (12) consecutive months. Generally, employees on probationary status are not eligible to take vacation leave. Any exceptions to this must be approved by the President/CEO.

Suspension (Step 5)

An employee may be suspended for an indefinite period of time for cause by the President/CEO or his/her designee. In all cases, the supervisor must immediately notify the President/CEO of the requested suspension in order that the facts leading to the suspension be reviewed and a formal letter is given to the employee as soon as possible, not to exceed 72 hours, indicating the nature of the suspension, the length or duration of

the suspension, and any other pertinent conditions and/or information. Suspensions may be either with pay, or without pay, at the discretion of the President/CEO.

Suspensions may also be used to allow the Agency time to investigate circumstances or allegations. In this case, the suspension would normally be "with pay" and the employee would be notified as soon as possible regarding his/her reinstatement or other determinations. During the suspension period, the affected employee is expected to make himself or herself available to his/her supervisor at reasonable intervals, or as requested, to respond to inquiries concerning the matters giving rise to the suspension. In all cases, documentation associated with suspension of an employee will become part of the personnel file. Employees who are suspended have the right to appeal to the President/CEO.

Involuntary Termination (Step 6)

Involuntary termination (for cause) can only be administered by the President/CEO or Board of Trustees. Reasons for this action will be thoroughly documented and become part of the employee's permanent personnel file. Employees terminated for cause shall have the right of appeal as outlined in the Grievance Policy – see page 45.

Termination of Employment

Voluntary Termination

Any non-management employee who voluntarily resigns from the Agency is required to give at least two (2) full weeks, equivalent to ten (10) business days, written notice of such resignation through his/her immediate supervisor in order to leave in good standing (as defined in Section 10 - page 28).

All members of the Agency management team staff who voluntarily resign are required to give 20 working days notice to the President/CEO.

In the case of the President/CEO, he/she is required to give 45 working days notice to the Board of Trustees.

An exit interview may be extended to employees upon termination by the President/CEO. All employees may request an exit interview with the Board of Trustees Executive Committee upon termination.

Involuntary Termination

Employees being involuntarily terminated as a result of disciplinary action shall be given written notification from the President/CEO. Any employee terminated for cause shall

have the right of appeal as outlined in the Grievance Policy. The terminated employee will not receive payment for any vacation time accrued.

Reduction in Work Force

Involuntary termination may result from a reduction in Agency funds or reorganization within the Agency. Dismissal under these circumstances is not considered to be supervisory action and should in no way reflect negatively on the employee. An advance notice, as advanced as possible, will be given to employees when this occurs.

Disability

An employee may be terminated for disability when the employee cannot perform the essential functions of his/her position because of a physical or mental impairment, with or without reasonable accommodation. Individuals who go on disability leave and are not able to work a minimum of 30 hours per week will lose all the benefits afforded to full time employees for the duration of the disability leave. The agency may require an examination of the affected employee at the Agency's expense and performed by an independent physician of its choice. Before an employee is involuntarily discharged for disability, an effort shall be made to continue the employee's service by making reasonable accommodations, including transfer of the employee to a vacant position for which the employee is qualified.

Grievance Policy

Definition

The goal of the Agency is to provide and maintain the best possible conditions of work for all staff. It is the purpose of this grievance policy to establish a process for the prompt, fair settlement of problems and grievances that may arise. Every effort will be made by the Agency to see that no person is subjected to unfair treatment for whatever reason while on staff at the Agency.

Policy

Each staff member of the Agency shall have the right to present his/her problem or grievance in accordance with these adopted procedures without fear of reprisal. This policy will include any cause for dissatisfaction outside the staff member's control, or anything connected with his/her job that can not be resolved through the supervisory chain of command. A staff member is not required to go to his/her immediate supervisor if the grievance is in reference to the immediate supervisor.

Formal Grievance Process

Step 1 - Discussions between Employee and Immediate Supervisor

The employee who has a problem or grievance will discuss it first with his/her immediate supervisor, and attempt to resolve the matter.

Step 2 - Discussions between Employee and Program Director

When unable to resolve the problem or grievance from discussions with the immediate supervisor, the employee should meet with his/her Program Director and put their grievance or problem in writing. An employee will receive a response in writing from the program director within ten (10) working days upon receipt of the written grievance.

Step 3 - Appeal to the President/CEO

If the problem or grievance is still not resolved after Steps 1 and 2, then the employee has ten (10) working days to request in writing that the President/CEO consider the matter. A response in writing from the President/CEO to the employee is required within ten (10) working days upon receipt of the written grievance.

Step 4 - Appeal to the Executive Committee of the Board of Trustees

If the response from the President/CEO is not satisfactory to the employee, then the employee may request through the President/CEO a hearing by the executive committee of the Board of Trustees. The committee will review the matter and make recommendations within ten (10) working days. The Chairperson President of the Board of Trustees, will, in turn, issue a final decision to the President/CEO for implementation and communication to all parties involved.

Section 15 - Personnel Guidelines

Personnel Files/Records

For each employee, the administrative office will maintain a separate employee file, which shall include all relevant correspondence, the completed application form, employment commencing date, wages, all evaluation forms, and other pertinent data. Each employee has the right to review his/her personnel record at the Agency's premises during normal operating hours - in the presence of management personnel. Under no circumstances will they be allowed to add, remove or alter any document. All reference checks or confidential reference letters and medical information will be removed from the

file at the time the employee reviews his/her record and shall not be subject to inspection and photocopying.

Electronic Mail Access and Monitoring

We recognize your need to be able to communicate efficiently with fellow employees and with related business contacts. Therefore, the Agency provides an internal electronic mail (E-Mail) system to facilitate the transmittal of business-related information inside and outside the Agency.

The E-Mail systems are provided for the convenience of the Agency and are for business use only. All electronic communications and stored information transmitted, received, or archived in the Agency's information system are the property of the Agency. The Agency reserves the right to access and disclose to appropriate persons all messages sent by e-mail. Each employee should have no expectation of privacy with regard to any information on a computer system that is owned by the employer or used on the Agency's E-mail system, or utilizing the Agency's Internet access.

These systems are not to be used for personal communications or for non-job related solicitations including, but not limited to, religious or political causes. Employees are prohibited from the display or transmission of sexually-explicit images, messages, ethnic slurs, racial epithets or anything which could be construed as harassment or disparaging of others.

Employees shall not use unauthorized codes or passwords to gain access to others' files. Violation of this policy may result in disciplinary action, up to and including discharge.

For business purposes, Management reserves the right to enter, search and/or monitor the private Agency E-Mail system and the files/transmission of any employee without advance notice or consent, consistent with applicable state and federal laws.

Internet Access and Monitoring

Access to the Internet has been provided to the Agency's employees for the benefit of the organization and its clients. It allows employees to connect to information resources around the world. Every employee has a responsibility to maintain and enhance the Agency's public image, and to use the Internet in a productive manner.

Employees accessing the Internet are representing the Agency. All communications and use should be for professional reasons. Employees are responsible for seeing that the Internet is used in an effective, ethical, and lawful manner. Access and visiting sites to view sexually explicit or other inappropriate web content is strictly prohibited.

The Internet should not be used for personal gain or advancement of individual views. Solicitation of non-agency business, or any use of the Internet for personal gain, is strictly

prohibited. Use of the Internet must not disrupt the operation of the Agency networks, servers, or those of other users.

All messages created, sent, or retrieved over the Internet are the property of the Agency, and should be considered public information. The Agency reserves the right to access and monitor all messages, files and website information on the computer equipment and systems as deemed necessary and appropriate. All communications including text and images can be disclosed to law enforcement or other appropriate third parties without prior consent of the sender or the receiver.

Violations of any of the above guidelines may result in disciplinary action, up to and including, termination. If necessary, the Agency will advise appropriate legal authorities of any legal violations.

Voice Mail Monitoring

We recognize your need to be able to communicate efficiently with fellow employees and clients. Therefore, we have a voice mail system to facilitate the transmittal of business-related information inside and outside the Agency and with our customers.

The voice mail system is for business use only. The Agency's voice mail system should not be used for personal communications or for non-job related solicitations including but not limited to religious or political causes. Employees are also prohibited from the transmission of sexually-explicit messages, ethnic slurs, racial epithets or anything which could be construed as harassment or disparaging of others. Violation of this policy may result in disciplinary action, up to and including termination.

For business purposes, Management reserves the right to enter, search and/or monitor the private agency voice mail system and the voice mail of any employee without advance notice and consent, consistent with applicable state and federal laws

Staff - Client Relationships

Any relationship outside the therapeutic relationship between a staff member and an agency client has the potential to be detrimental to both parties, as well as to the Agency. Therefore, Agency staff shall, at all times, maintain professional relationships with Agency clients so as to avoid conflicts of interest.

Agency Managers and Supervisory staff shall not enter into, or allow to develop, relationships outside of the professional relationship with Agency employees who are under their direct Managerial/Supervisory responsibilities. Failure to comply with this policy, or to disclose such relationship to the President/CEO or Human Resources, will result in disciplinary action, up to, and including termination.

Agency staff shall not enter into, or allow to develop, relationships outside of the professional relationship with clients that receive services rendered within an employee's component. This will apply to, but not be limited to, the following examples:

- sexual intimacy or other romantic involvement;
- giving or receiving of personal gifts
- giving or receiving of money;
- personal loans of any type;
- showing favoritism in business or employment relationships;
- handling matters of confidentiality;
- providing transportation (except for emergencies or other exceptional circumstances)
- going to a client's home (except on agency business and then the employee must be accompanied by another agency employee or other agency professional staff)

There will be times when Agency staff already have a prior relationship with an Agency client. In these cases, staff should inform their supervisor of the specific situation. Coincidental contact between a staff member and an agency client may also occur at times in social, commercial, or other community situations - such as at AA/NA meetings or at church functions. In such cases, the staff member, while maintaining client confidentiality, should only interact with that client as is customary in that setting.

In all cases, sound judgment should be exercised to ensure that no conflicts of interest, no breaches of confidentiality, no appearances of impropriety, and no unprofessional behavior takes place during the course of and after the termination of services being provided to an agency client.

Conflicts of Interest

It is Agency policy to avoid business contracts or transactions with any firm in which an Agency employee or Board member has substantial business interest. This does not preclude conducting business with such a firm on a strictly competitive basis or where there is no other convenient source of supply.

Agency staff and Board members shall not use their positions or influence to undermine the process of decision-making or to receive preferential treatment as pertains to the delivery of Agency services.

Other activities and behaviors on the part of Agency staff may constitute a conflict of interest if they seriously affect the Agency in presenting and carrying out its mission in the community.

Political Activity

Agency staff may join or affiliate with civic organizations of a partisan or political nature, may attend political meetings, and may advocate and support the principles or policies of civic or political organizations in accordance with the Constitution and Laws of both the State of North Carolina and the United States of America. Agency staff and Board members are subject to the Hatch Act. However, no employee shall do any of the following:

- Engage in any political or partisan activity while on duty.
- Use official authority of influence for the purpose of interfering with or affecting the result of an election or a nomination for office.
- Be required as a duty of employment or as a condition for employment, promotion, or tenure of office to contribute funds for political or partisan purposes.
- Coerce or compel contributions for political or partisan purposes by another employee.
- Use any Agency supplies or equipment for political or partisan purposes.

Outside Employment

Outside employment may affect an employee's standing within the Agency if such employment affects or interferes with the employee's assigned job responsibilities, hampers the employee's job performance, or results in a conflict of interest for the Agency. Full-time employees are required to notify the Agency in writing prior to accepting on-going outside employment to obtain advance approval from the Agency.

Representing the Agency

Media

All Agency contacts with the media will receive prior approval from the President/CEO. This policy is not intended to prevent program directors and delegated staff from supplying the news media with information concerning time, place, and purposes of scheduled meetings that are within the Agency's approved program of work. The Agency encourages those staff members designated by the President/CEO to represent the Agency and to solicit and accept invitations to speak before community groups on the Agency's purpose, objectives and programs.

Communications with Community and Elected Officials

When an Agency employee has written communications on behalf of, or related to, the Agency with Federal, State, or Local community officials, including email correspondence, the President & CEO is to be copied on all documents.

When an Agency employee has any planned phone communications on behalf, or related to, the Agency with elected Federal, State, or local community officials, the President & CEO should be given advance notification of the call, and its topic for discussion.

Confidential Information

No information will be released on current or past Agency staff and clients without written consent of the staff or client for which the information is being requested and in accordance with State and Federal Standards on Confidentiality and North Carolina General Statutes.

Relationship with Others

Agency staff shall treat co-workers and Agency clients respectfully. Agency staff are expected to act in a manner which will support rather than obstruct co-workers in carrying out duties and Agency clients in receiving services. Any willful and malicious false statements or accusations made by staff concerning other staff will result in disciplinary action.

Personal Demeanor

Agency staff are expected, at all times, to conduct themselves in a manner that will reflect favorably on the Agency. Agency staff are expected to speak in a manner that communicates professionalism, respect towards others, and sensitivity to the audience involved - without use of profane or abusive language. A staff member must report a criminal charge, arrest or conviction within 24 hours to the President/CEO or his/her designee.

Section 16 - Workplace Policies

SEXUAL HARRASSMENT POLICY

Sexual harassment is a violation of Title VII of the Civil Rights Act of 1964 which prohibits employment discrimination on the basis of sex, race, color, religion or national origin.

The Agency is strongly opposed to sexual harassment and such conduct is strictly prohibited. All employees, including all agents, supervisors, and non-supervisory personnel, are required to abide by this policy. This policy shall apply to the conduct of all employees in their dealings with other employees, third parties, and any other persons with whom employees have contact in connection with their employment.

Sexual harassment undermines the integrity of employees and negatively affects the morale and productivity of employees. All employees are required to treat each other with dignity, respect and sensitivity. This policy shall apply without regard to the motivations of the harassing party or sexual orientation or gender of any of the parties.

Unwelcome sexual advances, requests for sexual favors and other verbal or physical conduct of a sexual nature constitute sexual harassment when:

- Submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment;
- Submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual; or
- Such conduct has the purpose or effect of substantially interfering with an individual's work performance or creating a working environment which a reasonable person would find hostile, intimidating or offensive.

Examples of Prohibited Conduct

Sexually harassing behaviors may be overt or subtle, and include physical, verbal, and nonverbal acts of a sexual nature, if such conduct would reasonably be perceived as unwelcome, offensive, or abusive. The behaviors listed below are illustrative, though not exhaustive, of the types of behaviors that are prohibited by this Policy:

- Physical acts: Unnecessary touching, pinching, patting, fondling, massaging, kissing, hugging, grabbing, brushing against a person's body,
- blocking a person's path, exposing oneself, or coercing sexual intercourse or other sexual acts not amounting to sexual intercourse.
- Verbal behaviors: Profane or obscene language, sexual propositions, sexual innuendo, crude jokes about gender-specific traits, threats, discussing sexual activities, commenting on someone's physical attributes or spreading false rumors about a person's sex life.
- Nonverbal conduct: Sexually explicit pinups or calendars depicting nude or partially nude women or men, sexual graffiti, pornography, sexual cartoons, unseemly gestures or facial expressions, whistling, catcalls, suggestive noises, crude pranks, or giving gifts, letters, or cards of a sexual nature.

All employees are expected to refrain from such conduct.

Procedures for Reporting Complaints

The Agency cannot address matters that are not brought to its attention. All employees are responsible for helping to keep the Agency free of unlawful sexual harassment. Any employee who believes she or he has been sexually harassed or who has witnessed sexual harassment or retaliation must immediately report it in writing to the Chief

Executive Officer and/or the Chairperson of the Board of Trustees. Agency staff making a report of sexual harassment should enclose an Agency incident report. Complaints will be investigated promptly and addressed promptly (whenever possible, within ten days).

Prohibition Against Retaliation

Retaliation or reprisal against any employee who lodges a complaint of unlawful sexual harassment, participates as a witness, or assists in an investigation is strictly prohibited. Retaliation is also prohibited in cases where the charges are not substantiated.

Investigation Procedures

Unlawful sexual harassment is a serious offense and all complaints of such conduct will be promptly and thoroughly investigated by the Agency's designee. Where appropriate, the Agency shall take corrective action based upon the results of the investigation.

Confidentiality

The Agency shall take reasonable measures to ensure the confidentiality of all complainants and witnesses to unlawful sexually harassing conduct. Only those persons who have an immediate need to know for purposes of carrying out an investigation will be informed of the identity of those involved, unless the complainant or witness authorizes and directs the Agency to disclose his or her identify to particular named individuals. Those persons who are notified of a complainant or witness identity shall be advised re-disclosure is strictly prohibited.

Disciplinary Actions for Violation of this Policy

Violations of the policy constitute inappropriate personal conduct for which no employee should expect a warning prior to disciplinary action. Employees who participate in unlawful sexual harassment or retaliation, who unnecessarily disclose the identity of a complainant or witness, or who refuse to cooperate in any investigation, will be sanctioned. Disciplinary action, up to and including suspension and dismissal, may be imposed upon any employee who violates this policy.

WORKPLACE VIOLENCE

The Agency strives, at all times, to provide a safe workplace for all employees. We will not tolerate any type of workplace violence committed by or against employees. Needless to say, employees are prohibited from making threats or engaging in violent activities. The following are examples, but not limited to, of conduct that is prohibited:

- Causing physical injury to another person

- Making threatening remarks
- Aggressive or hostile behavior that creates a reasonable fear of injury to another person or subjects another individual to emotional distress
- Intentionally damaging employer property or property of another employee
- Possession of a weapon while on company property or while on company business
- Committing act motivated by, or related to, sexual harassment or domestic violence

Any potentially dangerous situation must be reported immediately to a Manager, Director, or Human Resources. All reports of potentially dangerous situations will be investigated with the appropriate level of confidentiality, and information will be disclosed to others only on a need to know basis. The company will actively intervene at any indication of a possibly hostile or violent situation.

While we do not expect employees to be skilled at identifying potentially dangerous persons, employees are expected to exercise good judgment and to inform management and/or Human Resources if any employee exhibits behavior, which might be a sign of a potentially dangerous situation.

Employees who confront or encounter an armed or dangerous person should not attempt to challenge or disarm the individual. Employees should remain calm, make constant eye contact and talk to the individual. If a Supervisor or Manager can be safely notified of the need for assistance, without endangering the safety of the employee or others, such notice should be given. Otherwise, cooperate and follow the instructions given. As stated, threats, threatening conduct, or any other acts of aggression or violence in the workplace will not be tolerated. Any employee determined to have committed such acts will be subject to disciplinary action, up to and including termination.

Non-employees engaged in violent acts on the company's premises will be reported to the proper authorities and prosecuted to the full extent of the law.

DRUG & ALCOHOL FREE WORKPLACE POLICY

Coastal Horizons Center promotes choices for healthier lives and safer communities by providing professional assistance to those in need of prevention, crisis intervention, criminal justice alternatives, community outreach and substance abuse treatment services is committed to providing its employees a drug-free workplace. In order to achieve a drug-free workplace, it is the policy that:

All paid and non-paid members of the staff must submit to a drug screening test prior to beginning service. An applicant who refuses to submit to the test or whose test is positive will not be employed. Any current paid and non-paid employee may be required to submit

to a drug test at any time. Refusal to submit to a drug test or any positive test indicating illegal drug use will result in disciplinary action.

Alcohol related impairment is unacceptable in the workplace and will result in disciplinary action up to and including termination. Furthermore alcohol use during normal workday hours is strictly prohibited - (including during lunches and all breaks).

The unlawful manufacture, distribution, dispensation, possession or use of a controlled substance or illegal drug on Agency premises, or while conducting Agency business off Agency premises, is absolutely prohibited. Violation of this policy will result in disciplinary action, up to and including termination, and may have legal consequences.

Any employee suspected of possession of or use of controlled substances or illegal drugs is subject to a drug screening test to discern the possible presence of these substances in the body. If the employee refuses to participate in a screening test, random or for probable cause, this will result in disciplinary action, up to and including termination.

Employees must, as a condition of employment, abide by the terms of this policy and report any charge or conviction under criminal statute for violations to his/her immediate supervisor within 24 hours.

The Agency has established an Employee Assistance Program for employees with alcohol or drug abuse problems. (see Section 10 - page 26) Any employee who seeks help through the Employee Assistance Program for addiction to or dependence upon alcohol or drugs, legal or illegal, prior to being identified by management as an employee suspected of violation of the drug policy shall be able to do so without disciplinary action. An employee who seeks help will not avoid normal disciplinary action for violations of the policy which have already occurred or may occur in the future.

Employees taking medication prescribed by a doctor or non-prescription medication should adhere to any restrictions placed on the employee's activities by either the doctor or the manufacturer. and must inform his/her supervisor of any such restrictions. Failure to do so may subject the employee to disciplinary action.

Drug Testing Policy and Procedures

An employee's unlawful use of controlled substances, illegal drugs, or exhibiting alcohol impairment has numerous far-reaching adverse consequences, including, without limitation, damage to employee morale and the good will of the business, increased absenteeism, heightened risk of harm to employee safety, and erosion of employer confidence. The Agency has zero tolerance for the unlawful use of controlled substances, illegal drugs, or exhibiting alcohol impairment. This policy is enacted for purposes of establishing reliable and minimally invasive examinations and screening procedures consistent with the Agency's interest in assuring the eradication and prevention of

unlawful use of controlled substances, illegal drugs, or exhibiting alcohol impairment by its work force. This policy is intended to comply in all respects with the North Carolina Controlled Substance Examination Regulation Act and all other applicable state and federal laws, as the same may from time to time change.

Who Is Covered

All applicants and paid and non-paid employees shall be required to submit to drug testing, as described in these policies and procedures, as a condition of new employment or continued employment. In addition, employees shall be required to submit to drug testing, as described in these policies and procedures, under the following circumstances:

- Random testing shall occur without notice to the affected employees, upon random selection of testing subjects.
- For-cause testing shall occur when probable cause or reasonable suspicion exists that the employee is engaged in the use of unlawful use of controlled substances, illegal drugs, or exhibiting alcohol impairment.
- Post-accident testing shall occur after all vehicular accidents involving agency vehicles or while driving other vehicles on agency business. Post-accident testing will occur after other job related accidents when outside medical attention is required.
- In addition to the foregoing, The Agency may implement periodic announced testing, which may occur following advance notice to employees.

THE AGENCY RESERVES THE RIGHT TO TERMINATE CURRENT PAID AND NON-PAID EMPLOYEES BASED UPON THEIR REFUSAL TO TAKE ANY REQUIRED DRUG TEST CONTEMPLATED BY THIS POLICY.

Testing Procedures and Requirements

1. Samples for examination and screening shall be tested by a clinical chemistry laboratory which performs controlled substances testing and which has demonstrated satisfactory performance in the forensic urine drug testing programs of the United States Department of Health and Human Services of the College of American Pathologists for the type of tests and controlled substances being evaluated.

2. At the time of testing, examinees shall be encouraged to review this policy or another explanation of their rights under the North Carolina Controlled Substance Examination Regulation Act.

3. Samples shall be collected in a manner reasonably calculated to prevent substitution of samples and/or adulteration with the collection, examination, or screening of samples. The agency shall implement appropriate chain of custody in conjunction with the

approved laboratory procedures to assure that samples are properly handled, labeled, and identified.

4. An approved laboratory shall confirm any sample that produces a positive result by a second examination of the sample, using a gas chromatography with mass spectrometry or an equivalent scientifically acceptable method.

5. A portion of every sample that produces a confirmed positive result shall be preserved by the laboratory that conducts the confirmatory examination for a period of at least 90 days from the time the results of the confirmed positive examination are mailed or otherwise delivered to The Agency.

6. Within 30 days of the time that results are mailed or otherwise delivered to the Agency, the Agency shall give written notice to the affected applicant or employee of any positive result and the examinee's rights and responsibilities regarding retesting (set forth in #7 below).

7. In the event of a confirmed positive sample, the affected applicant or employee may, upon written request made within 90 days of the time the results of the confirmed positive examination are mailed to the Agency, specify another approved laboratory to which the sample is to be sent for re-testing. The affected individual shall bear all reasonable expenses for chain of custody procedures, shipping, and retesting.

8. Except as authorized in writing by the affected individual or as permitted by law, the Agency shall keep information relating to the examination, including, without limitation, information provided by the applicant or employee about their medical histories and lawful drug use, means that the information shall be limited to those within the agency that have a "a need to know."

9. Individuals who believe that the procedural requirements of the North Carolina Controlled Substances Examination Regulation Act have been violated may file a complaint with the North Carolina Department of Labor.

FRAUD POLICY

This policy addresses the responsibility of employees for detecting and reporting fraud or suspected fraud. Good business practice dictates that every suspected defalcation, misappropriation and other fiscal irregularity be promptly identified and investigated.

Coastal Horizons Center aims to be an honest and ethical Agency. In order to minimize the risk and impact of fraud, the Agency's objectives are, firstly, to create a culture which deters fraudulent activity, encourages its prevention and promotes its detection and reporting and, secondly, to identify and promptly investigate any possibility of fraudulent

or related dishonest activities against CHC and, when appropriate, to pursue legal remedies available under the law.

This policy will attempt to clarify acts that are considered to be fraudulent, and describe the steps to be taken when fraud or other related dishonest activities are suspected. This policy also includes the procedures to follow in accounting for missing funds, restitution, and recoveries.

The Agency recognizes that the decision to report a concern can be a difficult one to make, not least because of the fear of reprisal or retaliation from those responsible for the waste, fraud, abuse and other wrongdoing. The Agency will not tolerate harassment or victimization and will take action to protect those who raise a concern in good faith.

Dishonest or fraudulent activities include, but are not limited to, the following:

- Dishonest, illegal, or fraudulent act involving Agency property;
- Forgery or alteration of documents (checks, promissory notes, time sheets, independent contractor agreements, purchase orders, etc.)
- Improprieties in the handling or reporting of money transactions.
- Forgery or alteration of employee benefit or salary related items such as time sheets, billings, claims, surrenders, assignments, changes in beneficiary, etc.;
- Misappropriation of funds, securities, supplies or any other asset;
- Acceptance or solicitation of any gift, favor, or service that might reasonably tend to influence the employee in the discharge of his or her official duties;
- Destruction or disappearance of records, furniture, fixtures, or equipment where theft is suspected.
- Authorizing or receiving payments for goods not received or services not performed.
- Authorizing or receiving payment for hours not worked.
- Any apparent violation of Federal, State, or local laws related to dishonest activities or fraud.
- Any similar or related activity.

Program Directors are responsible for detecting fraudulent or related dishonest activities in their areas of responsibility. Each program director should be familiar with the types of improprieties that might occur in his/her area and be alert for any indication that improper activity, misappropriation, or dishonest activity. When an improper activity is detected or suspected, the Program Director should determine whether an error or mistake has occurred or if there may be dishonest or fraudulent activity.

If a Program Director determines a suspected activity may involve fraud or related dishonest activity, he/she should contact the President/CEO and the Chief Finance Officer. The President/CEO or the Chief Finance Officer should contact the agency's auditor. The President/CEO should contact the Board President. The President/CEO

should also immediately contact Law Enforcement and legal council, if necessary (for example, obvious theft has taken place, security is at risk, or immediate recovery is possible).

Great care must be taken in the dealing with suspected dishonest or fraudulent activities to avoid the following:

- Incorrect accusations.
- Alerting suspected individuals that an investigation is underway.
- Treating employees unfairly.
- Making statements that could lead to claims of false accusations or other offenses.
- Individuals who knowingly make false accusations may be subject to disciplinary action.

Responsibilities of the Program Director in handling dishonest or fraudulent activities include the following:

- Do not contact (unless requested) the suspected individual to determine facts or demand restitution. Under no circumstances should there be any reference to "what you did," "the crime," "the fraud," "the forgery," "the misappropriation," etc.
- Do not discuss the case, facts, suspicions, or allegations with anyone outside the Agency, unless specifically directed to do so by the President/CEO
- Do not discuss the case with anyone inside the Agency other than employees who have a need to know.
- Direct all inquiries from the suspected individual, or his or her representative, to the President/CEO.

Employee Responsibilities

When suspected fraudulent incidents or practices are observed by or made known to an employee, the following should be done:

- The incident or practice must be reported to his/her supervisor or Program Director. When the employee believes the supervisor may be involved in the inappropriate activity, the employee shall make the report directly to the next higher level of management and/or the Board of Directors.
- The reporting employee shall refrain from further investigation of the incident, confrontation of the alleged violator, or further discussion of the incident with anyone unless requested to by the President/CEO and/or law enforcement personnel.

Investigation

The Agency cannot address matters that are not brought to its attention. All employees are responsible for helping to keep the Agency free of waste, fraud, abuse and other wrongdoing. Any employee who believes she or he has witnessed waste, fraud, abuse and other wrongdoing or retaliation thereof must immediately report it in writing to the President/CEO and/or the Chairperson of the Board of Trustees. Agency staff making a report of waste, fraud, abuse and other wrongdoing or retaliation thereof should enclose an Agency incident report. Complaints will be investigated promptly and addressed promptly (whenever possible, within ten days).

The Agency's Independent Auditor will investigate situations involving possible fraud or related dishonest activity.

If warranted, a prompt investigation will be conducted to include detailed analyses of available records. The audit investigation requires the full cooperation of the departmental personnel. The Auditor will proceed as follows if evidence is uncovered showing possible dishonest or fraudulent activities.

The Auditor will discuss the findings with the President and CEO.

The President/CEO will advise Program Directors if the case involves staff members, to meet to determine if disciplinary actions should be taken.

Upholding of Agency Policies

Agency staff are expected to uphold Agency policies at all times. All reports of policy violations from Agency staff should be accompanied by a written incident report submitted to the Program Director and to the President/CEO. Reports will be reviewed promptly and responded to - where possible, within ten (10) working days. Agency staff who present such claims of policy violations will be free from interference, coercion, restraint, discrimination, or reprisal by the Agency.

Agency staff accused of policy violations will be given opportunity to respond to any and all charges through the review process. Agency staff who are accused of policy violations will also be free from interference, coercion, restraint, discrimination, or reprisal by the Agency.

In cases where policy violations are substantiated, the Agency will take appropriate disciplinary action, up to and including termination of employment.

WHISTLEBLOWER POLICY

This policy governs both the reporting and investigation of allegations of suspected unlawful activities and the protection of whistleblowers from retaliation. It describes the procedures for investigating known or suspected improper activities and addressing complaints of retaliation for raising such issues.

Policy

The Agency has a responsibility for the stewardship of its resources and the public and private support that enables it to pursue its mission. Our internal controls are intended to detect and to prevent or deter improper activities. However, intentional and unintentional violations of laws, regulations, policies and procedures may occur and may constitute unlawful activities. The Agency has a responsibility to investigate and report to appropriate parties allegations of suspected improper activities, and to protect those employees who, in good faith, report these activities to the appropriate authority.

The Agency shall not discharge, threaten, or otherwise discriminate against an employee regarding the employee's compensation, terms, conditions, location, or privileges of employment because the employee, or a person acting on behalf of the employee, reports or is about to report, verbally or in writing, a violation or a suspected violation of a law or regulation or rule promulgated pursuant to law of this state, a political subdivision of this state, or the United States to a public body, unless the employee knows that the report is false, or because an employee is requested by a public body to participate in an investigation, hearing, or inquiry held by that public body, or a court action.

Procedure

Filing a Report of Suspected Improper Activities

1. Any person may report allegations of suspected illegal activities. Knowledge or suspicion of improper activities may originate from employees, staff, or administrators, internal or external auditors, regulatory agencies, and clients, vendors, or other third parties. Allegations of suspected improper activities may also be reported anonymously.
2. Allegations of suspected improper activities should be made in writing so as to assure a clear understanding of the issues raised, but may be made orally. Such reports should be factual and contain as much specific information as possible.
3. Normally, a report by an employee of allegations of a suspected improper activity should be made to the reporting employee's immediate Supervisor or other appropriate Administrator or Supervisor. However, when there is a potential conflict of interest or for other reasons, such reports may be made to another Agency official whom the reporting employee may reasonably expect to have either responsibility over the affected area or the authority to review the alleged improper activity on behalf of Coastal Horizons Center.
4. When a person reports allegations of suspected improper activities to an appropriate authority, the report is known as a protected disclosure. Coastal Horizons Center

employees and other persons who make a protected disclosure are protected from retaliation.

Protection from Retaliation

Any employee who believes he or she has been (1) subjected to or affected by a retaliatory conduct for reporting suspected unlawful activity, or (2) for refusing to engage in activity that would result in a violation of law, should report such conduct to the appropriate supervisory personnel (if such supervisory personnel is not the source of or otherwise involved in the retaliatory conduct). Any Supervisory employee who receives such a report, or who otherwise is aware of retaliatory conduct, is required to advise Human Resources, of any such report or knowledge of retaliatory conduct. If an employee believes that reporting such conduct to the appropriate Supervisor is for any reason inappropriate, unacceptable or will be ineffectual, or if the report to the supervisor has been made and the retaliatory conduct has not ended, the employee should report the incident directly to the President/Chief Executive Officer.

All internal complaints will be investigated promptly and with discretion, and all information obtained will be handled on a “need to know” basis. At the conclusion of an investigation, as appropriate, remedial and/or disciplinary action will be taken where the allegations are verified and/or otherwise substantiated.

Other Remedies and Appropriate Agencies

In addition to the internal complaint process set forth above, any employee who has information concerning allegedly unlawful conduct may contact the appropriate government agency.

RISK MANAGEMENT POLICY

Safety Precautions and Requirement for Facility Areas

It is the policy of Coastal Horizons Center to establish a safety program to ensure hazard free environments for staff and clients, to prevent accidents, and reduce potential OSHA penalties. Hazard free environments encompass inside each facility, around the perimeter of each facility or what is considered the general grounds of each facility, walkways, outside activity areas and within agency vehicles.

Each facility shall have a Safety Committee made up of one Program Director and a minimum of two staff members. The committee will meet quarterly to review:

- A. Policies;
- B. Address complaints or suggestions for improvements;
- C. Component’s compliance to codes in areas of fire safety, hazards in the workplace, record keeping, etc.; and
- D. Assure written problems or non-compliance issues are reviewed with the Quality Improvement Committee specifically and hazards are eliminated within 30 days of notice.

The Program Director is responsible for appointing a program employee to conduct and maintain written minutes for the meetings.

The Program Director is responsible for appointing a program employee to conduct monthly safety inspections of each environment previously noted, including interviewing specific staff in conjunction with monthly inspections.

The committee is responsible for making sure that all employees are trained in OSHA safety standards, including blood borne pathogens in coordination with the medical services coordinator.

The committee will schedule evacuation drills for the year, along with designating a person responsible for alerting staff and monitoring the drill.

The Program Director at each facility will be responsible for documenting a report evacuation drills to include: date of the drill, time of drill, staff involved, clients involved, length of drill. This report shall be forwarded to the Administrative component of the agency.

The staff are responsible for assisting the Agency in controlling potential hazards by reporting potential or existing problems to their supervisors in writing on the incident report form immediately, abiding by the safety policy, and attending the annual safety training.

All incident reports are to be forwarded to the Program Director and then the President/CEO for review and response. Corrections must be made within 30 days of the date of the incident.

The Program Director is responsible for training component staff of safety precautions, regulations, etc., and quarterly fire drills. The Program Director will maintain a hazard free workplace, respond immediately to existing or potential hazards, file factual information regarding incidents, and to take safety issues seriously. The Agency is responsible for providing annual safety trainings for the staff.

Financial Internal Controls

Coastal Horizons Center's board of trustees, management and other agency personnel, shall maintain a process designed to provide a reasonable assurance regarding the achievement of objectives in the following categories:

- Effectiveness and efficiency of operations
- Reliability of financial reporting
- Safeguard agency assets

- Compliance with applicable laws and regulation
- Identify risks in a timely fashion
- Evaluation and analysis of loss exposures
- Identification of how to rectify identified exposures
- Monitoring of actions to reduce risk

To prevent potential failure in continuity of services to consumers as a result of financial shortfalls:

- Conduct ongoing review of revenues compared to budget
- Keep Board of Trustees informed of critical unmet needs and potential funding reductions or shortages.
- Provide monthly financial reporting to the Finance Committee of the Board of Trustees on all problem areas.
- All employees in “positions of trust” (positions that may be required to handle money) are required to undergo a State/Federal criminal records check.
- Continue to work with LME to identify problem areas for state and Medicaid billings and authorizations.

To address lack of adequate building space resulting in diminished quality of services or inadequate service levels:

- Evaluate current and expected space needs
- Identify potential locations for move when current space no longer meets the needs of service delivery to consumers.
- Continue to review options for Expansion within Willie Stargell Office Park.
- Continue to work with LME to identify problem areas for state and Medicaid billings and authorizations.

The process is communicated through written and unwritten policies and procedures, management’s leadership and the board of trustee’s guidance. It is understood that each member of the agency has a responsibility to meet these objectives, make recommendations to improve upon the success in achieving the objectives and to report any deficiencies or irregularities in established internal controls, policies and procedures to the Finance Committee of the Board of Trustees.

ACKNOWLEDGMENT

I have reviewed the Coastal Horizons Center Agency Personnel Policies Manual, online on the Agency's website (www.coastalhorizons.org) and/or via hard copy.

I understand the Agency Personnel Policies describe important information concerning my employment with the Agency. I also understand that the manual is not an employment contract and, notwithstanding any policy or procedure to the contrary, my employment relationship with the Agency is "at-will," meaning that the Agency or I can terminate the relationship at any time, for any or no reason whatsoever, except as provided by applicable law. I further understand that the Agency reserves the right to revise or eliminate personnel policies, or to depart from the application of those personnel policies where, as determined in the sole discretion of the Agency, circumstances warrant.

Employee's Signature: _____ Date: _____

Employee's Name (Print): _____