

CARC POLICY & PROCEDURE MANUAL

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Residential • Vocational • Community Supports and Services

EXECUTIVE DIRECTOR
Libby Leone

www.carc.us

PRESIDENT
Bridget Hinton

July 01, 2021

TO: CARC Employees

RE: Personnel Policies

CARC's Policy Manual will help you understand what is expected of you and what you can expect from CARC. This manual is to be used as a guide and reference. It is reviewed and approved by the CARC Board of Directors every year.

Each employee has an important role in the overall operation of CARC and this manual is for all employees regardless of their role. Any policy is only as good as its implementation. Supervisors are the key to that implementation. Supervisors should and must be excellent role models at all times. Supervisors must work with the people they supervise to ensure they understand all components of this manual and that they are abiding by it. Please familiarize yourself with the contents of this manual to ensure that all personnel policies are administered fairly and effectively. This manual is to be used as a guide and reference.

It is important that each employee understands that employment with CARC is "AT WILL" and that this handbook, or any verbal statements do not constitute an employment contract unless specifically written as such and signed by the Executive Director. See Employment-At-Will, Section 103.

Libby Leone
Executive Director

MISSION, VISION, PHILOSOPHY AND GOAL STATEMENT: 102

MISSION STATEMENT

CARC is dedicated to providing opportunities to prosper in all facets of developmental and independent functions and to share the same rights, privileges and responsibilities afforded to all citizens.

VISION STATEMENT

We are CARC. Opportunities for People with Disabilities.

PHILOSOPHY AND GOAL

Our nation, from its inception, has been committed to providing for the basic education and welfare of its citizens. As our society has progressed through the years, more and more emphasis has been placed on the special (extraordinary) needs of those developmentally disabled citizens assisting them in reaching their maximum potential.

The goal of CARC is to develop and implement individual programs that are designed to assist each participant to function, maximally, in the least restricted and most self-directed manner.

Policy:

It is the policy of CARC that **ALL EMPLOYEES WHO DO NOT HAVE A WRITTEN, INDIVIDUAL EMPLOYMENT CONTRACT WITH THE COMPANY FOR A SPECIFIC FIXED TERM OF EMPLOYMENT ARE EMPLOYED AT THE WILL OF THE COMPANY FOR AN INDEFINITE PERIOD.** (See Equal Employment Opportunity, Section 602)

1. Employees who do not have a separate, individual written employment contract are employed at the will of the company and subject to termination at any time, for any reason, with or without cause or notice. At the same time, such employees may terminate their employment at any time and for any reason.
2. No company representative other than the Executive Director is authorized to modify this policy for any employee or to enter into any agreement, oral or written, contrary to this policy. Supervisory and management personnel are not to make any representations to employees or applicants concerning the terms or conditions of employment with the company which are not consistent with company policies. No statements made in pre-hire interviews or discussions, or in recruiting materials of any kind, are to alter the at-will nature of employment or imply that discharge will occur only for cause.
3. This policy may not be modified by any statements contained in this manual or any other employee handbooks, employment applications, company recruiting materials, company memorandums, or other materials provided to applicants and employees in connections with their employment. None of these documents, whether singly or combined, are to create an express or implied contract concerning any terms or conditions of employment. Similarly, company policies and practices with respect to any matter are not to be considered as creating any contractual obligation on the company's part or as stating in any way that termination will occur only for "just cause". Statements of specific grounds for termination set forth in this manual or in any other company documents are examples only, not all-inclusive lists, and are not intended to restrict the company's right to terminate at-will.

CODE OF EMPLOYER-EMPLOYEE RELATIONS: 104

Policy:

It is the policy of CARC to implement fair and effective personnel policies and practices. However, nothing in this manual should be construed as altering the employment-at-will relationship or as creating an express or implied contract or promise concerning the policies or practices that the company has implemented or will implement in the future. (See Employment-At-Will, Section 103.)

It is the policy of CARC that the Board of Directors and the Executive Director shall not permit public funds to be paid or committed to any person to whom any of the members of the Board of Directors or members of their immediate families have any direct or indirect financial interest, nor any organization with which any of these persons serve as an officer or employee, with the exception that the services or goods involved are provided at a competitive cost or under terms favorable to CARC.

1. The company's goals include:

- a. To provide equal employment opportunity and treatment regardless of race, color, religion, age, sex, national origin, disability status, genetics, protected veteran status, sexual orientation, gender identity or expression, or any other characteristic protected by federal, state or local law.
- b. To provide competitive salaries and employee benefits.
- c. To establish reasonable hours of work based on services needs.
- d. To monitor and comply with applicable federal and state laws and regulations concerning employee safety.
- e. To provide training consistent with the company's requirements for those whose needs, capabilities, and desires warrant such training.

To accept constructive suggestions which relate to methods, procedures, working conditions, and the nature of the work performed.

- a. To establish appropriate procedures for employees to discuss matters of interest or concern with their immediate supervisors or department heads.

2. The company expects all employees (See Behavior of Employees, Section 801):

- a. To give a productive day's work.
- b. To arrive at their departments and begin work on time.
- c. To demonstrate a considerate, friendly and constructive attitude toward fellow employees.
- d. To adhere to the policies adopted by the company.

CODE OF EMPLOYER-EMPLOYEE RELATIONS: 104

3. The company retains the sole right to exercise all managerial functions including, but not limited to, the rights:
 - a. To dismiss, assign, supervise and discipline employees.
 - b. To determine and change starting times, quitting times and shifts.
 - c. To transfer employees within departments or into other departments and other classifications.
 - d. To determine and change the size of and qualifications of the work force.
 - e. To establish, change and abolish policies, practices, rules and regulations at will and as it sees fit.
 - f. To determine and change methods by which its operations are to be carried out.
 - g. To determine and change the nature, location, goods produced, services rendered, quantity, and continued operation of the business.
 - h. To assign duties to employees in accordance with the company's needs and requirements, and to carry out all ordinary administrative and management functions.

OVERVIEW OF PROGRAMS: 202

CARC was founded on the principle that each individual is entitled to an opportunity to prosper in all facets of developmental and independent functions and to share the same rights, privileges and responsibilities afforded all other citizens.

Our goal is to develop and implement individualized programs that are designed to assist each person to function maximally in the least restrictive and most self-directed manner.

CARC provides services in Allen, Beauregard, Calcasieu, Cameron, and Jefferson Davis parishes.

Vocational Services provides various work/training models to adults with developmental disabilities. Each participant is offered work/training that promotes as normal a work environment as possible according to the participant's abilities, interests and needs. The purpose of this program is to help develop the participants' self-esteem, self-confidence and self-worth by giving them an opportunity to be productive, make choices and feel needed and accepted. **Community Work Crews** perform janitorial services and grounds maintenance throughout the parish under the supervision of a CARC employed supervisor. **Enclaves** are where a group of participants work at a place of business supervised by either a CARC employee or a supervisor provided by the business. The participants' pay may come directly from the place of business or from CARC through a contract with that business. Supported Work provides participants with the opportunity to gain individual employment in the community. Participants are given assistance in completing job applications, interviewing and one-on-one training by a CARC employee for a specified time once a job has been secured. **Day Habilitation Services** provide assistance in developing social and adaptive skills necessary to enable them to participate as independently as possible in the community. They focus on socialization with meaningful age-appropriate activities which provide enrichment and promote wellness such as personal grooming, basic nutrition, making choices at fast food restaurant, etc. **Pre-Vocational Services** are designed to prepare a client for paid or unpaid employment. They include teaching such concepts as compliance, attendance, task completion, problem solving and safety.

Community Services provides services and supports for those people with developmental disabilities living in the community in their own or in family homes. In the **Supervised Independent Living** program, clients are assisted in locating apartments or homes fully integrated into the community. This program offers assistance only when called upon by the client, with occasional visits by CARC Case Managers as needed. The waiver services area includes **ROW, NOW, Children's Choice, Supports, and Elderly and Disabled Adults** waivers. **Long-term personal care services** program provide participants with the necessary supports and services to maintain their independence and continue living in their homes as fully integrated members of their community. **Attendant Care Services** include Respite and PCA services delivered by CARC direct support workers under the supervision of a CARC Case Manager. Community Services also offers Respite, PCA and SIL services under limited IMCAL contracts and Long Term Personal Care Services to adults with disabilities.

OVERVIEW OF PROGRAMS: 202

Residential Services provides community living options for adults with developmental disabilities. In the Community Home environment, residents are given 24 hour supervision while receiving training in self-care, independence and daily living skills. Such skills training include socialization, recreation, hygiene, grooming, money management, cooking and home management.

PURCHASING PROCEDURES: 301

Policy:

It is the policy of CARC that a centralized purchasing system be used by all departments of the organization. With the exception of petty cash expenditures, a requisition form signed by the specific Program Director, Assistant Executive Director, or the Executive Director is required in order for a purchase order to be issued.

1. Office supplies will be issued from the central supply room. Persons receiving supplies will be required to sign a form listing items taken.
2. Staff requesting an item will write out a requisition and get it approved by the director or his/her designee. The CARC Receptionist then completes a purchase order. Information on the requisition/purchase order must include the name of the person ordering the item, where it is to be used and what it is to be used for. Accounting will put the fund and account number on the purchase order. Copies of all purchase orders along with the requisition forms shall be delivered to Accounting to be matched with invoices or paid receipts.
3. On a periodic basis, a review shall be performed on any commitments that have not been matched with receiving reports or equivalent records of goods or services received.
4. It is the responsibility of the person making the purchase to turn in the invoice or receipt to Accounting in a prompt manner. Missing tickets for purchases will be brought to the attention of the department head where this occurs. Invoices will be processed for payment weekly. When items are delivered, the person receiving the shipment will compare the items against the delivery ticket/packing list and check to see that there is no visible damage before signing for them. The receiving report will immediately be delivered to Accounting.
5. Reimbursements to staff for cash purchases will be made weekly. The receipt marked "Paid" is to be attached to a completed check request form that is signed by the specific Program Director, Assistant Executive Director, or the Executive Director. However any cash purchases up to \$25 can be reimbursed from petty cash.
6. For purchases of equipment under \$500, no competitive bidding is required. Purchases of equipment between \$500 and \$1000 shall have a minimum of three price quotations unless it is a sole source item. The lowest bid shall be awarded unless written justification acceptable to the Executive Director is provided by the person requesting the purchase. Purchases of equipment exceeding \$1000 require five quotations. Cost includes applicable sales taxes, freight and set up charges. Bids can be obtained over the telephone or internet, information recorded and given to Accounting. However, any purchase of a non-consumable item costing \$5000 or more shall require a written quote from the vendor.

PURCHASING PROCEDURES: 301

7. Automotive and maintenance supplies will be purchased by the Operations Director as needed. The cost of these items will be charged out to the appropriate department. Operations Director will note on the invoice what the item is and where it will be used.
8. All purchase discounts, allowances, and refunds will be reported to the Accounting Department.
9. A credit memo will be obtained by the purchaser for all returned items. Invoices will not be adjusted for returns or exchanges.
10. Staff is prohibited from purchasing items/goods for personal or non-CARC use while shopping for CARC. (See Behavior of Employees, Section 801.)

DONATIONS AND FUNDRAISING: 302

Policy:

It is the policy of CARC to generate income from donations and/or fundraising as an alternative measure to provide for programming and services for which no other resources are available, to supplement any program with deficit spending and to meet extraordinary liabilities.

Other fundraising may be distinguished by the request for tangible, finished goods, raw materials, and volunteer labor which could be utilized to enhance programs and physical facilities. (See Solicitation, Section 1002.)

1. All interested benevolent organizations should be cultivated as sponsors and advocates of the CARC philosophy. These donations or fundraisings could come from civic and service organizations, philanthropic groups, foundations and private individuals.
2. Public relations/fundraising personnel should be active, aggressive, and innovative in pursuits to create the generation of income through donations and events sponsored by other interested organizations. This personnel should take advantage of all opportunities for public awareness of any and all CARC activities in the community.
3. All fundraising and public awareness activities must be coordinated with the Marketing Committee and must have prior approval of the Executive Director.
4. All income will be channeled through the CARC Accounting Department in order that proper acknowledgments and accounting can be made. Donations to the program are tax deductible. Each contribution will be acknowledged by a letter of appreciation.
5. Donations and fundraisers designated for a specific center or program shall be handled in the following manner:
 - a. Funds will be turned over to the Accounting Department for proper accounting. Bookkeeping on these funds will be maintained by this office.
 - b. Funds can be requested as needed according to donor's wishes or center's needs.
 - c. Request for expenditure of funds will be made to the administrative office according to the usual procedure.
 - d. The purchase may be made by the administrative office or center director with the approval of the Program Director, Assistant Executive Director or Executive Director.
 - e. Receipts or documentation of purchases will be recorded and maintained by the business office.

USE OF COMMUNICATION SYSTEMS: 303

Policy:

It is the policy of CARC to provide or contract for the communication services and equipment necessary for the conduct of its business. Such communication services and equipment should not be used for personal purposes except in emergencies or when extenuating circumstances warrant it.

1. Employee personal use of the company's communication services and equipment is restricted because such usage can impede the normal flow of business, incur unnecessary company expense and reduce productivity. When personal usage of CARC communications facilities is unavoidable, employees must properly log any user charges and reimburse them to the company. Employees are expected to keep all personal phone calls, including cell phones, as brief as possible.
2. Employees who do have direct access to a company telephone should make provisions to have emergency or other necessary incoming calls routed to their supervisor or to the department secretary if the supervisor is not accessible. The company does not, however, accept responsibility for the prompt or accurate relay of personal messages.
3. Employees are not to use the company's address for receiving personal mail and may not use the company stationery or postage for personal letters. Personalized stationery and business cards may only be issued by the company. Employees should exercise care so that no personal correspondence appears to be an official communication of the company.
4. Persons answering the telephone must take care not to allow the phone to ring excessively before being answered and must be prompt in giving messages to staff persons regarding calls missed.
5. CARC employees are prohibited from using a cell phone or personal electronic device while driving a CARC vehicle or personal vehicle while conducting CARC business. This includes receiving or placing calls, text messaging, surfing the internet, receiving or responding to e-mail, or retrieving phone messages. If you must answer or make a call, pull over and be completely clear of the street, road, or highway. Be careful when pulling over to place calls. To avoid being a crime victim, do not stop in dangerous areas and keep your car doors locked. Employees who violate this policy will be subject to disciplinary actions, up to and including employment termination.

USE AND MAINTENANCE OF SUPPLIES AND EQUIPMENT: 304

Policy:

It is the policy of CARC to provide and maintain in good working order sufficient supplies and equipment necessary for the conduct of agency business. Their use is governed by the guidelines below.

1. Every effort must be made to avoid waste and careless use of supplies and materials
2. Supplies and equipment are to be used for CARC business only. Personal use of materials, supplies and equipment is expressly forbidden unless authorized by the Executive Director.
3. Lights must be turned off when not in use.
4. Employees must ensure that office equipment and facility lighting is turned off at the end of each work day and that heating and cooling systems are set at the required levels during the work day as well as when the office is closed.
5. Supplies, materials and equipment are to remain at the specific program location for which they were purchased except upon authorization of the Program Director, Assistant Executive Director or Executive Director.
6. All equipment will be maintained in safe and good working order. All guards and other safety features will remain as part of said equipment. Under no circumstances will participants be allowed to use equipment in which guards or other safety features have been removed for repair or replacement.
7. Requests for repairs or maintenance of equipment must be directed to the Program Director with the final approval of the Executive Director. Charges for equipment or maintenance agreements must be approved by the appropriate Program Director and Executive Director prior to payment. Written approval of these requests will be maintained in the individual departments by the Program Director.

Policy:

It is the policy of CARC that employee travel performed in the course of conducting agency business must be approved in advance and that such travel should be engaged in and reimbursed according to the guidelines below.

1. Outside normal job duties, out-of-parish travel must be reviewed by the Program Director and approved in advance by the Executive Director.
2. All requests for overnight travel must be submitted in advance on the proper form for review by the Program Director and final written approval by the Executive Director.
3. Employees holding jobs that are designated as requiring travel will be expected to travel as a condition of employment. For all other jobs, travel is considered only an incidental function of the position, but may be required.
4. Under normal circumstances, employees are to use the most expedient mode of transportation available, to book the cheapest fares, and to stay in and eat at moderately priced establishments. Expenses for business related meals and lodging incurred during travel will be reimbursed according to civil service guidelines. Any travel expenses deemed unreasonably will not be paid or reimbursed and are the employee's personal responsibility.
5. Employees may obtain a cash advance for approved travel by submitting a written request to the Executive Director. Cash in advance is discouraged for short term travel.
6. Time spent driving a CARC or personal vehicle on CARC business during normal working hours is to be considered hours worked for pay purposes.
7. Employees driving on CARC business may claim reimbursement for parking fees and tolls actually incurred as well as the standard mileage allowance for personal vehicle use and other expenses directly incurred for business purposes.

TRAVEL, PRIVATE VEHICLE: 306

Policy:

It is the policy of CARC to reimburse employees for travel in privately owned vehicles according to the guidelines below:

1. The rate of reimbursement for job related travel in privately owned vehicles is determined by the CARC Board of Directors.
2. All mileage must be documented on the appropriate forms and submitted on the 1st day of each month.
3. The record of mileage will begin at the employee's program site (e.g. community home, CARC office, etc) for local and out of town travel, unless the employee's home is closer to the destination. It does not include mileage from one's home to the CARC office or return.
4. Employees, with the appropriate Program Director's approval, are allowed to transport clients in their personal vehicle for agency sponsored purposes (such as going to doctor, to agency sponsored program events, or to another site for purposes of carrying out client's program plan). Employee's vehicle must be road worthy, have proper liability insurance coverage and current state license/inspection. Employee must possess a valid driver's license.
5. When no CARC vehicles are available, employees may use their own vehicles for business purposes, but only with the prior approval of the Executive Director.

TRAVEL, CARC VEHICLE USAGE: 307

Policy:

It is the policy of CARC to provide vehicles for employees to drive on CARC business according to the guidelines below:

1. Employees may not drive vehicles for CARC business without the prior approval of their supervisor. Before approving a driver, each supervisor must check the employee's driving record, verify the existence of a valid driver's license, and make sure the employee is eligible for coverage under any applicable CARC insurance. Employees approved to drive on CARC business are required to inform their supervisor of any changes that may affect either their legal or physical ability to drive or their continued insurability.
2. Employees holding jobs designed as requiring regular driving for business must, as a condition of employment, be able to meet the driver approval standards of this policy at all times. For all other jobs, driving is considered only an incidental function of the position.
3. Employees using CARC vehicles must have in their possession, a valid driver's license.
4. Employees may not use CARC vehicles for non-business purposes.
5. Employees are prohibited from conducting any personal business/personal errands while on or off duty using CARC vehicles. (See Behavior of Employees, Section 801.)
6. Traveling/transporting clients for any reason, to any function, or for any purpose other than as directed and/or approved by Program Directors or client program(s) is prohibited. (See Behavior of Employees, Section 801.)
7. Employees who use CARC vehicles must ensure the road worthiness of the assigned vehicle immediately prior to the use of that vehicle and to maintain its road worthiness throughout the trip (pre-trip inspections, etc). Likewise, drivers are to obey all prevailing traffic laws and to practice defensive driving techniques at all times during the trip. (See Travel Safety, Section 308.)
8. Any person responsible for leaving ignition keys, or leaving the motor running, in an unattended vehicle will be immediately relieved of duty until an investigation can be performed, the result of which may be termination.

Policy:

It is the policy of CARC that vehicles driven by CARC employees in the course of conducting CARC business will be operated in a safe manner.

1. Employees who drive a vehicle on CARC business must exercise diligence to drive safely and to maintain the security of the vehicle and its contents. Such drivers must make sure that the vehicle meets any CARC or legal standards for insurance maintenance and driveability. Employees are also responsible for any driving infractions or fines as a result of their driving.
2. Employees are not permitted to operate a CARC vehicle, or a personal vehicle for CARC business, when any physical or mental impairment causes the employee to be unable to drive safely. This prohibition includes, but is not limited to, circumstances in which the employee is temporarily unable to operate a vehicle safely or legally because of illness, medication or intoxication.
3. Employees must report any accident, theft, or malicious damage involving a CARC vehicle or a personal vehicle used on CARC business to the Program Director regardless of the extent of damage or lack of injuries. Such reports must be made as soon as possible but no later than the end of the next day the administrative office is open for business. (See Accidents Involving Vehicles, Section 905.)

Policy:

It is the policy of CARC that the work of all employees shall be assigned, directed and reviewed by supervisory personnel. Each employee will ordinarily have only one supervisor to whom he is directly responsible.

1. The term "supervisor" is very flexible. It can be applied to any level in the chain of command and can and does change as functions change.
2. The supervisor is the link between management and non-management employees. Supervisors communicate to the employees under their supervision the goals and policies of management, and they communicate to management the attitudes, suggestions and complaints of employees.
3. Effective supervision depends primarily on the ability of supervisors to get employees to do what they want them to do – with enthusiasm. More supervisors fail for lack of ability to deal with people than for lack of technical skills. Successful supervisors often utilize the following techniques:
 - a. They treat employees as individuals.
 - b. They give recognition for good performance as well as correcting mistakes.
 - c. They explain in advance when changes are necessary.
 - d. They recommend good employees for promotion even if it means losing them.
 - e. They show their integrity by admitting mistakes instead of shifting the blame to others.
 - f. They are impartial and let employees know the reasons for any decisions that might be interpreted as unfair.
 - g. They communicate a desire for good performance by setting performance goals and standards for employees.
 - h. They develop a feeling of teamwork among employees.
 - i. They set good examples by holding themselves to the standards of conduct and performance that they demand of employees.
4. It is the responsibility of each supervisor to ensure that the goals regarding conduct and performance established by management are achieved and that the personnel policies established by this manual are implemented.

EMPLOYEE SUPERVISION: 309

Some supervisory responsibilities are listed below. However, nothing about this list should be construed as a contract or promise, express or implied, to employees that supervisors will in each case perform any or all of the activities described below, or that such activities will be performed uniformly in each case. Supervisors are expected to be involved in:

- a. Training employees in special job duties that are beyond what is normally expected and recommending such special training outside the company when it conforms to the company's interests. (See Hiring, Section 601.)
- b. Keeping employees informed on factors relating to their work assignments, work progress and opportunities for advancement. (See Promotion, Section 610.)
- c. Evaluating, as deemed necessary by the company, the performance of regular employees who are being terminated. (See Performance Appraisals, Section 402, and Termination of Employment, Section 613.)
- d. Recommending salary adjustments, promotions, transfers, and termination of employees. (See Salary Administration, Section 401; Promotion, Section 610; Transfer, Section 609; and Termination of Employment, Section 613.)
- e. Scheduling vacations and lunch breaks. (See Leaves of Absence, Section 704 and Meal Breaks, Section 616.)
- f. Approving meal allowances and reimbursement of employee expenses. (See Travel, Section 305.)
- g. Controlling absenteeism and tardiness, and approving requests for time off. (See Attendance and Punctuality, Section 614, and Leaves of Absence, Section 704.)
- h. Verifying employee time records and requesting overtime when necessary. (See Hours of Work, Section 605.)
- i. Recommending the hiring of additional personnel or the elimination of any job. (See Hiring, Section 601)
- j. Complying with applicable federal and state laws and regulations concerning employee safety. (See Drugs, Narcotics and Alcohol, Section 808, Employee Safety, Section 901, and Maintenance of Work Areas, Section 904.)
- k. Maintaining neat and orderly work areas. (See Maintenance of Work Areas, Section 904.)
- l. Implementing disciplinary and problem review procedures. (See Disciplinary Procedures, Section 806 and Grievance Procedure, Section 807.)
- m. Ensuring that all rules and regulations are observed by employees.

SOCIAL NETWORKING POLICY: 310

Policy:

It is the policy of CARC that guidelines must be observed when participating in social networking sites and/or engaging in other forms of internet use, on and off duty. CARC understands that many employees participate in social networking sites. Employees should be mindful to use electronic media, even on their own personal time, responsibly and respectfully to others. Nothing in this policy is intended to prevent employees from engaging in concerted activity protected by law.

1. It shall be considered unacceptable conduct to post on any public or private website or other forum, including but not limited to discussion lists, newsgroups, listservs, blogs, information sharing sites, social media sites, networking sites such as LinkedIn, Facebook, or Myspace, chat rooms, telephone based group communications such as Twitter, or any other electronic or print communication format, any of the following:
 - a. Anything that may harm the goodwill or reputation of CARC or any disparaging information about CARC.
 - b. Any disparaging, discriminatory or harassing information concerning any customer, employee, client, vendor or other person associated with CARC. CARC's policies prohibiting harassment apply online as well as offline.
 - c. Any confidential or proprietary information about CARC obtained during employment, including information relating to finances, marketing, customers, clients, employees, operational methods, plans and policies.
 - d. Use of CARC logo for endorsements, promotions or personal media sites.
 - e. Engaging in social media while on company time is prohibited.
2. Policy applies regardless of where or when employees post or communicate information online. It applies to posting/online activity at work, home or other locations and while on duty and off duty.
3. CARC reserves the right to monitor and access any information or data that is created or stored using CARC's technology, equipment or electronic systems, including without limitation, e-mails, internet usage, hard drives and other stored, transmitted or received information.
4. Employees should have no expectation of privacy in any information or data viewed, created, sent, received or stored on any CARC computer or computer-related system.
5. Any employee who observes content related to CARC or a posting by a CARC employee that violates standard confidentiality practices or content that is inappropriate, is requested to report this to his/her supervisor.
6. Employees who violate CARC's Social Networking Policy will be subject to disciplinary action, up to and including termination.

Policy:

It is the policy of CARC to pay wages and salaries which are non-discriminatory and competitive with rates being paid for like jobs by other employers in the community. However, all wages and salary policy decisions must take into consideration CARC's overall economic condition and competitive position.

1. The Executive Director is responsible for coordinating the continuing internal review of all wages and salaries and for making sure that each job is evaluated and assigned a job grade and salary range. This review should check whether wages and salaries accurately and fairly reflect each individual's responsibilities and performance.
2. The Personnel Department will, if deemed appropriate, participate in or conduct wage and salary surveys covering other employers with similar jobs. This and other available information should be used to set pay policy and to determine the relative competitive position of CARC's pay structure.
3. New employees generally are to be hired at the minimum rate assigned in their job grade. Supervisors may recommend high starting rates based on an applicant's experience or skill level or on the need to be competitive in the marketplace. These recommendations should be reviewed and approved before implementation by the appropriate department head and the Personnel Department.
4. Employee salaries are reviewed yearly to determine if yearly step increases are feasible within the constraints of the organizational budget. These wage increases are left to the discretion of the CARC Board of Directors and are not compulsory.
5. The company's policy regarding salary administration is intended only as a guideline and may be changed or revoked at any time.

PERFORMANCE APPRAISALS: 402

Policy:

It is the policy of CARC that the job performance of each employee should be evaluated periodically by the employee's supervisor.

1. Supervisors should complete performance appraisals upon the following occasions:
 - a. During the month of the anniversary date of hire. (See Salary Administration, Section 401.)
 - b. Whenever appropriate, (i.e. employee performs exceptionally poorly or exceptionally well).

Between scheduled appraisals, supervisors should discuss with employees on an informal basis any performance issues that warrant attention and should keep records of any significant incidents.

2. Supervisors in evaluating employees should consider such factors as the experience and training of the employee, the job description, and the employee's attainments of previously set objectives and goals. Other factors that normally should be considered include, but are not limited to, knowledge of the job, quantity and quality of work, promptness in completing assignments, cooperation, initiative, reliability, attendance, judgment and acceptance of responsibility.
3. Supervisors in completing evaluations should prepare a written appraisal of each employee's job performance. Such an appraisal should include the supervisor's comments and recommendations.
4. The Program Director should review each supervisor's written evaluation to help assure that the evaluation function has been properly completed in as fair and objective a manner as possible.
5. After a written evaluation has been reviewed by the Program Director, the supervisor and employee should meet and discuss the evaluation and assess the employee's strengths and weaknesses in a constructive manner. The employee should be given the opportunity to examine the written evaluation and make written comments about any aspect of it. The employee and supervisor should then sign and date the evaluation and forward it to the Personnel Department for filing. (See Personnel Records, Section 615.)
6. Employees who feel that they want more than the chance to add written comments to their performance appraisal may request a review by their Program Director or the Personnel Department.
7. Information derived from the performance appraisal may be considered when making decisions concerning training needs and opportunities, pay promotion, transfer or continued employment.

PERFORMANCE APPRAISALS: 402

8. The procedures discussed in this policy are only guidelines. The company may unilaterally modify or revoke them in whole or in part from time to time. Accordingly, these procedures are not a promise or contract, expressed or implied, that will be used in every instance. (See Employment At Will, Section 103.)

Policy:

It is the policy of CARC to pay employees on a regular basis and in a manner so that the amount, method, and timing of such payments comply with any applicable laws or regulations.

1. All employees will be paid bi-weekly. Every other Tuesdays are designated as payday. If a payday falls on a day when the banks are closed, then the pay will be direct deposited on the last banking day prior to the regularly scheduled payday.
2. Employee's pay will be direct deposited into an account or accounts at financial institutions or credit unions of their choice. Statements showing gross pay, deductions and net pay will be issued on the work day prior to payday.
3. Local, state, federal, social security and medicare taxes will be deducted automatically. No other deductions will be made unless required or allowed by law, contract, or employee obligation. Employees may elect to have additional voluntary deductions taken from their pay only if deductions are authorized in writing.
4. For policies and procedures governing pay upon termination, see "Termination of Employment", Section 613.
5. Nonexempt employees (i.e. those not exempt from the provisions of the Fair Labor Standards Act) will be paid overtime compensation at the rate of one and one-half times their regular hourly rate for work in excess of forty hours during their normal workweek. (See Hours of Work, Section 605.)
6. Failure to follow timekeeping procedures may result in a delay in staff receiving their pay.

JOB DESCRIPTIONS: 404

Policy:

It is the policy of CARC that all employees within the organization shall have a job description. Staff are made aware of the job skills, duties, and qualifications needed to fulfill their job through written job descriptions. Job descriptions are maintained for all CARC employees and kept in their personnel files. Job descriptions are reviewed and signed during the orientation process and as needed thereafter.

1. All CARC employees will have a signed job description. Each job description identifies:
 - a. Job title
 - b. Department
 - c. FLSA status
 - d. Job summary
 - e. Education, experience, skills
 - f. Essential functions
 - g. Incidental functions
 - h. Physical requirements of job
 - i. Supervisor
 - j. Designated authority
 - k. Hours of work
 - l. Terms of employment
2. Employees must fulfill the components outlined in his/her specific job description unless special consideration is authorized by the Program Director and/or Executive Director.
3. Job descriptions will be changed and updated as needed.
4. Employees will sign a new job description if their job title and/or job duties change.

COMMUNICABLE DISEASE: 501

Policy:

It is the policy of CARC that employees with infectious, long-term life threatening, or other serious diseases may work as long as they are physically and mentally able to perform the duties of their job without undue risk to their own health or that of other employees or clients. Such serious diseases include cancer, heart disease, multiple sclerosis, hepatitis, tuberculosis, and acquired immune deficiency syndrome (AIDS). Any employee with a communicable disease will not work until free of the disease or determined by a licensed physician to pose no threat to clients or fellow employees. A doctor's statement is required prior to returning to work. All employees shall report exposure to a communicable disease and shall have a tuberculin test annually where required.

1. CARC will support, where feasible and practical, educational programs to enhance employee awareness and understanding of serious diseases.
2. Employees afflicted with a serious disease are to be treated the same as any other employee. In addition, if the serious disease affects their ability to perform their assigned duties, such employees are to be treated like other employees who have disabilities that limit their job performance.
3. Employees who are diagnosed as having a serious disease are to inform their supervisor or the Personnel Department of their condition as soon as possible. The supervisor and Personnel Department should respond with compassion and understanding and review with the employee CARC policy on such issues as employee assistance, leaves and disability, infection control, any accommodation the employee may request and CARC's response to that request, CARC's continuing expectation regarding the employee's performance and attendance, and available benefits. (See Leaves of Absence, Section 704, and Disclosure of Benefits, Section 701.)
4. Employees who have a serious disease are to provide the Personnel Department with any pertinent medical records needed to make decisions regarding job assignments, ability to continue working, or ability to return to work. CARC may require a doctor's certification of an employee's ability to perform his duties safely. (See Medical Procedures, Section 607.)
5. CARC will attempt to maintain the confidentiality of the diagnosis and medical records of employees with serious diseases, unless required otherwise by law. Information relating to an employee's serious disease will not be disclosed to other employees unless the information is, in the opinion of CARC, necessary to protect the health or safety of the employee, co-workers, or others.
6. Reasonable Accommodation. Employees in need of an exemption from this policy due to a medical reason, or because of a sincerely held religious belief must submit a completed Request for Accommodation form to CARC Personnel Department to begin the accommodation process as soon as possible after vaccination deadlines have been announced. Accommodation may be granted where they do not cause CARC undue hardship or pose a direct threat to the health and safety of others. If an exception is approved, employee will be required to take additional steps to protect the health of CARC employees and clients.

COMMUNICABLE DISEASE: 501

6. CARC will comply with applicable occupational safety regulations concerning employees exposed to blood or other potentially infectious materials. Universal precautions, engineering and work practice controls, and personal protective equipment will be implemented to limit the spread of disease in the work place. A system of precautions will generally include elements such as:
 - a. Identification of tasks and jobs involving a risk of exposure to blood or other potentially infectious materials.
 - b. The use of protective barriers, such as gloves and goggles, by employees who are exposed to blood or bodily fluids or who are required to handle contaminated items and to clean contaminated areas.
 - c. Procedures for the handling and disposing of potentially infectious materials, clothing and other items.
 - d. Provisions for the cleaning and disinfecting of work areas or equipment contaminated with blood or bodily fluids with a suitable disinfectant.
 - e. Procedures for providing Hepatitis B vaccinations, when required, and post-exposure follow-up.
 - f. Employee training and familiarization with appropriate work and emergency procedures.
 - g. Labeling areas and objects of potential infection.
 - h. Medical training records creations and retention.
7. Employees concerned about being infected with a serious disease by a co-worker, client, or other person should convey this concern to their supervisor or the Personnel Department. Employees who refuse to work with or perform services for a person known or suspected to have a serious disease, without first discussing their concern with a supervisor, will be subject to discipline, up to and including termination. Where there is little or no evidence of risk of infection to the concerned employee, the employee may be assigned to work with or perform services as required by CARC.
8. CARC will adhere to Louisiana Office of Public Health regulations.

COVID VACCINATIONS: 502

Policy:

In accordance with CARC's duty to provide and maintain a workplace that is free of known hazards, CARC adopts this policy to safeguard the health of its employees and their families, clients, customers, visitors and the community at large from COVID-19 or influenza that may be reduced by vaccinations. This policy will comply with all applicable laws and is based on guidance from the Centers for Disease Control and Prevention and local health authorities.

1. As mandated by the Center for Medicaid and Medicare Services (CMS), certain CARC employees must receive the first dose of a two-dose COVID-19 vaccine or a one dose COVID-19 vaccine by February 14, 2022 and must be fully vaccinated by March 15, 2022. CARC staff included in the CMS mandate are:
 - a. CARC Residential employees
 - b. CARC employees that have direct contact with CARC Residential employees
 - c. CARC employees that have direct contact with CARC Residential clients
 - d. CARC employees that provide services at CARC Residential homes.

Employees not in compliance with this policy will be placed on unpaid leave until employment status is determined by CARC Personnel Department.

2. Employees will be paid for time taken receive vaccinations. Employees are to work with their supervisors to schedule an appropriate time to comply with policy.
3. Employees will be required to provide proof of vaccination. A copy of employee's "Covid-19 Vaccination Record Card" must be submitted to CARC Personnel Department by February 10, 2022.
4. Effective February 14, 2022, new hires or transfers for the aforementioned employees in 1a., 1b., 1c., and 1d. must have received at least a single-dose COVID-19 vaccine or the first dose of a multi-dose COVID-19 vaccine prior to providing any care or services. Proof of the "COVID-19 Vaccination Record Card" must be submitted to CARC Personnel Department when the hiring process is initiated.
5. Reasonable Accommodation. Employees in need of an exemption from this policy due to a medical reason, or because of a sincerely held religious belief must submit a completed Request for Accommodation form to CARC Personnel Department to begin the accommodation process as soon as possible after vaccination deadlines have been announced. Accommodations may be granted where they do not cause CARC an undue hardship or pose a direct threat to the health and safety of others.

STAFF RELATIONSHIP TO CLIENTS: 503

Policy:

It is the policy of CARC to place utmost importance on the staff's relationship to its clients. The very foundation of CARC's philosophy (See Philosophy and Goal, Section 102.) exemplifies the belief in the dignity and worth of all citizens. Any employee who is unable to or unwilling to regard our clients with dignity and respect will not be retained at CARC regardless of other qualities, education, expertise or experience they may possess.

1. Whenever possible, all situations should be handled in a positive reinforcing manner. In situations when negative consequences are in order they should be followed as quickly as possible with some type of positive reinforcement.
2. To promote positive learning and to increase desired behaviors, staff will initiate and closely maintain structured programming that will result in the measurement of behavior, attitude and skill development. In such a program, consistency is an extremely important ingredient.
3. All employees who have clients for which they are directly responsible must attend to these clients at all times. Therefore, social visits in offices, or other work areas, etc., are not permitted while clients are present. Also, employees who do not have clients under their direct supervision must not stop and have social chats with the instructors as this distracts the client supervisor from attending to his/her responsibilities.
4. Employees who have a responsibility for supervising clients must be available to receive those clients when they arrive at the work site. If something happens to the client and the employee was not there to supervise him/her and had not made arrangements with the supervisor for coverage during the absence, the employee will be held responsible. Employee is subject to disciplinary action up to and including termination.
5. Employees are not permitted to tend to personal business (i.e. shopping, appointments, texting, telephoning, visiting, attending church services) while caring for clients.

STAFF RESPONSIBILITY TO CLIENTS: 504

Policy:

It is the policy of CARC for the staff to be watchful for anything that could constitute a health or safety hazard for which CARC would be liable.

1. All accidents resulting in injury to clients must be documented on the required forms and reported immediately to the Program Director.
2. All inappropriate behavior incidents must be documented on the appropriate form and reported to Program Director within 24 hours. These incidents include but are not limited to elopement, self-injurious behaviors, behaviors that endanger self or others, inappropriate social behaviors, inappropriate sexual behaviors, aggressive behaviors, theft and property destruction.
3. Each program will maintain programming that is structured to the point where staff will be aware of where the client is and what he/she is expected to be doing. All staff members must exercise extreme caution to ensure that care and safety are evident in all activities, regardless of whether clients are involved or not.
4. Rules of proper conduct and proper relationships between clients and staff apply not only in Residential programs but also in all areas of CARC.
 - a. Due to the nature of community homes as fostering family style living and values, it is inappropriate and strictly prohibited for a community home employee to engage in intimate sexual conduct on the premises of the community home. Such behavior can be cause for immediate termination.
 - b. Premarital sexual intimacy between residents is not permissible in the community homes.
 - c. Community home managers are responsible for communicating these rules on sexual conduct in the community home to the staff and residents and for reporting any infractions of the rules.
 - d. CARC staff is prohibited from having visitors during working hours.

TREATMENT/ABUSE OF CLIENTS: 505

Policy:

It is the policy of CARC that under no circumstances may a staff member, professional, family member, another client, or any other person strike, shove, exploit in any manner or subject a client to violent treatment or verbal abuse. All employees are required to report any incident of abuse or mistreatment, whether done by another staff member or professional, family member, the client, or any other person. Any employee who witnesses any unkindness or violence, threats or verbal abuse toward a client, and fails to report same to his/her supervisor, is considered to be equally guilty of the offense. Both are subject to immediate dismissal, and the offending person may be subjecting himself/herself to criminal prosecution.

1. CARC will investigate all injuries of unknown origin and all allegations of client mistreatment, abuse or neglect, restraint, seclusion and medication errors. The employee's immediate supervisor will file the written Incident Report.
2. All critical incidents must be reported immediately to the Program Director, Case Manager, or Person on Call, if after hours. The time limit for reporting to the supervisor shall be within 2 hours of knowledge/discovery. The Program Director or Case Manager will report the incident by entering information electronically into SIMS as soon as possible, but no later than the close of business the next business day. In cases of abuse and neglect, the appropriate protection service agency (Child Protective Services, Adult Protective Services, or Elderly Protective Services) shall be notified. Critical incidents include but are not limited to abuse, neglect, extortion, exploitation, self-neglect, major illnesses, major behavioral incidents, involvement with law enforcement, major injuries, falls, loss of dwelling, unscheduled medical visits, and hospitalizations.
3. Staff witnessing suspected abuse/neglect should always report internally as stated but may also report directly to Child Protective Services for individuals 0 to 17 years of age, Adult Protective Services for individuals 18-59 years of age, and Elderly Protective Services for individuals 60 years of age and over.
4. CARC will conduct an internal investigation for all abuse and neglect allegations. Staff will be suspended with pay during the CARC investigation. If CARC's investigation is unsubstantiated, the employee can return to work at another location pending the APS outcome. If CARC's investigation is substantiated, the employee will be terminated from CARC.

HIRING: 601

Policy:

It is the policy of CARC to be an equal opportunity employer and to hire individuals solely upon the basis of their qualifications for the job to be filled. Unless otherwise provided in writing, employment with the company is considered to be at-will, so that either party may terminate the relationship at any time and for any lawful reason. (See Employment At Will, Section 103.)

1. Supervisors and Program Directors who need to fill a job opening or want to add a new job position should submit their request to the Executive Director for approval. All requests will be reviewed, but those for new job positions will be evaluated in greater detail before being approved. New job positions must have approval of the Executive Director.
2. The company will normally try to fill the job openings above entry level by promoting from within, if qualified applicants are known to be available internally. (See Transfer, Section 609, and Promotion, Section 610.)
3. If candidates from within the company are to be considered for job openings, the Personnel Department will announce the openings in accordance with procedures contained in Promotion, Section 607. Current employee candidates for the openings will be considered and processed as outlined in Transfer, Section 609.
4. If candidates from outside the company are to be considered by job openings, the Personnel Department will be responsible for recruiting candidates and is to utilize the recruitment methods and sources it deems appropriate to fill the openings.
5. During the recruitment, hiring and orientation process, no statement is to be made promising permanent or guaranteed employment, and no document should be called a contract. All employees of the company should be aware that employment with the company is at-will and should exercise great care not to make any representations otherwise. (See Employment-At-Will, Section 103.)
6. When candidates from outside the company are to be considered for job openings, the following procedures should be followed:
 - a. Any candidate for employment must complete and sign an employment application form in order to be considered for hiring.
 - b. Applicants deemed qualified for consideration for available job openings will be interviewed by the Program Director.
 - c. If an applicant is still deemed qualified after the interview and appropriate testing, the Personnel Department will then make a determination as to whether the applicant has the legal right to work in the United States, and where appropriate, undertake personal references, previous employment, driving record, drug screen and criminal conviction checks. A prior conviction, taken by itself will not necessarily disqualify an applicant.

- d. If it is determined that the applicant is qualified for employment, the Executive Director will also interview prospective employees as he/she deems appropriate.
 - e. The Program Director has the responsibility to determine whether an applicant is technically qualified for the position open and if the applicant is compatible with the work environment. The decision whether to hire the applicant is to be jointly made by the Program Director, Assistant Executive Director and the Executive Director, with the Executive Director being the final authority for all hiring decisions.
 - f. Following a decision to hire the applicant, an offer of employment will be made which should include any contingencies or disclaimers deemed necessary. If the applicant accepts the offer and a medical examination is required, the Personnel Department should arrange it. (See Medical Procedures, Section 607.)
 - g. If the background, medical, or any other subsequent investigation discloses any misrepresentation on the application form or information indicating that the individual is not suited for employment with the company, the applicant will be refused employment or, if already employed, will be terminated.
 - h. New hires will receive orientation on personnel policies and safety prior to being placed in the job setting. This orientation will be conducted by the Personnel Department staff, the Program Director or his/her designee. The Program Director will arrange for in-depth training on these topics at a later date; however, the new hire shall be thoroughly inserviced on the specific job before being allowed to perform the job tasks. (See Orientation and Training, Section 606.)
7. A member of an employee's immediate family will be considered for employment by the company, provided the applicant possesses all the qualifications for employment. An immediate family member may not be hired, however, if such employment would:
- a. Create either a direct or indirect supervisor/subordinate relationship with a family member, or
 - b. Create either an actual conflict of interest or the appearance of a conflict of interest.

These criteria will also be considered when assigning, transferring, or promoting an employee. For purposes of this policy, "immediate family" includes the employee's spouse, brother, sister, parents, children, step-children, father-in-law, mother-in-law, sister-in-law, brother-in-law, daughter-in-law, son-in-law, and any other member of the employee's household.

8. Employees who marry or become members of the same household may continue employment as long as there is not:
 - a. A direct or indirect supervisor/subordinate relationship between such employees, or
 - b. An actual conflict of interest or the appearance of a conflict of interest.

Should one of the above situations occur, the company will attempt to find a suitable position within the company to which one of the affected employees may transfer. If accommodations of this nature are not feasible, the employees will be permitted to determine which of them will resign.

9. Former employees who left the company in good standing may be considered for re-employment. He/she will be required to present a current criminal background check. Former employees who resigned without written notice or who were dismissed for cause may not be considered for re-employment.

EQUAL EMPLOYMENT OPPORTUNITIES: 602

Policy:

It is the policy of CARC to provide equal employment opportunities to all employees and applicants for employment and prohibits discrimination and harassment of any type without regard to race, color, religion, age, sex, national origin, disability status, genetics, protected veteran status, sexual orientation, gender identity or expression, or any other characteristic protected by federal, state or local laws.

1. This policy applies to all terms, conditions, and privileges of employment including, but not limited to, hiring, probation, training, promotion, transfer, compensation, benefits, layoff and recall, and termination.
2. The Personnel Director, who reports directly to the Executive Director on matters relating to this policy, is responsible for formulating, implementing, coordinating and monitoring all efforts in the area of equal employment opportunity. The Personnel Director's duties in this aspect may include, but are not necessarily limited to:
 - a. Assisting management in collecting and analyzing employment data.
 - b. Developing policy statements, affirmative action programs, if required, and recruitment techniques designed to comply with the equal employment policies of the company.
 - c. Complying with various statutory record keeping and notice requirements in order to ensure full compliance with all employment-related statutes and regulations.
 - d. Preparing, if required by state or federal law, an annual review and summary of the company's affirmative action programs and the results achieved under these programs for submission to the Executive Director.
 - e. Assisting supervisory personnel in arriving at solutions to specific personnel problems.
 - f. Serving as liaison between the company and government agencies and other community groups and is the designated ADA (Americans with Disabilities Act) coordinator having an office at 4100 J. Bennett Johnston Avenue, Lake Charles, LA 70615; telephone number (337) 433-3620.
 - g. Keeping management informed of the latest developments in the entire equal employment opportunity area.

EQUAL EMPLOYMENT OPPORTUNITIES: 602

3. Any communication from an applicant for employment, an employee, a government agency, or an attorney concerning any equal employment opportunity matter is to be referred to the Personnel Director.
4. While overall authority for implementing this policy is assigned to the Personnel Director, an effective equal employment opportunity program cannot be achieved without the support of supervisory personnel and employees at all levels. Employees who feel they are the victim of discrimination have a responsibility to report this fact to their supervisor or the Personnel Department. The CARC Grievance Procedure (Section 807) shall be used to allow for a prompt and equitable resolution of all complaints of discrimination.

PREVIOUS EMPLOYMENT CHECK: 603

Policy:

It is the policy of CARC to research the employment background of all potential employees to determine the work ethic of the applicant and to ensure that the applicant's qualifications, ability, related experience, character and social skills conform to licensing requirements and CARC standards.

1. The extent of the background check will vary depending on whether or not the job requires client supervision.
2. All potential employees will be required to give the company permission to check previous employment for attendance, punctuality, etc., and to submit three personal references which convey statements regarding the applicant's character.
3. Information collected for this purpose will become a part of the individual's permanent personnel record and can be reviewed by the employee. (See Personnel Records, Section 615.) CARC abides by the Privacy Act of 1974 which mandates standards for handling employee records.

CRIMINAL HISTORY RECORDS DISCLOSURE: 604

Policy:

It is the policy of CARC to abide by Louisiana Revised Statutes 40:1300.52 through 40:1300.56 requiring criminal history background checks on all employees.

1. Criminal history background checks will be used to conduct a thorough investigation of the person's (applicant's) conduct and character including but not limited to any record of past criminal history. Potential employees will also have a background check conducted through the Department of Justice National Sex Offenders Public Website. These investigations will be at CARC's expense.
2. If a job application reveals a criminal history exists, CARC will make a determination for employment. A prior conviction taken by itself will not necessarily disqualify an applicant. A person employed in any program covered by this policy is probationary until the results of the investigation are obtained by CARC and these results will be used to determine a continuation of probation, a non-probationary status or immediate termination.

HOURS OF WORK: 605

Policy:

It is the policy of CARC to establish the time and duration of working hours as required by work load, customer service needs, client supervision needs and efficient management of personnel resources. Hours of work for each employee are set out in his/her job description.

1. Because CARC is in operation twenty-four (24) hours a day, seven days a week, it is necessary to provide continuous staffing. CARC reserves the right to assign work hours and schedules. Acceptance of these assignments is a condition of employment.
2. The normal work week is Saturday through Friday beginning and ending at midnight on Friday and consists of 35/40 hours for full time employees..
3. The normal work day will consist of seven/eight consecutive hours of work for employees in Vocational and eight consecutive hours for employees in Central Office, Operations, and Residential Services.
4. Department Supervisors, with the approval of the Program Director, are responsible for scheduling extra shifts when more than one is needed. Employees will be informed of their scheduled hours of work and of any changes to that schedule as far in advance as possible.
5. Employee attendance at lectures, meetings and in-service training program if required by management is mandatory and will be considered hours of work. (see Attendance and Punctuality, Section 614 and Orientation and Training, Section 606.)
6. Program Directors may, at their discretion, allow employees to make up lost time during a given work week. Under no circumstances will make-up be allowed if time lost is the result of conditions the employee could control, if there is no work the employee is qualified to do, or if there is not adequate supervision available.
7. If circumstances make it absolutely necessary that someone work over forty hours per week, supervisors may assign overtime to employees only with the prior approval of the Program Director. Employees are not allowed to work overtime without the prior approval of the Program Director. Overtime compensation will be governed by the provisions of the Fair Labor Standards Act.
8. All employees are required to use CARC's time and attendance system. Employees are paid on a bi-weekly basis. (See Pay Procedures, Section 403.)
 - a. Employees are to clock-in at their starting time and clock-out at quitting time. Employees must clock-out if leaving for lunch and clock-in when returning.

HOURS OF WORK: 605

- b. Employees are not permitted to clock-in no more than five (5) minutes prior to their normal starting time or work past their normal quitting time without prior approval of their supervisor.
- c. Employees are required to take a lunch or meal period unless otherwise scheduled. (See Meal Breaks, Section 616.).
- d. Employee time records are to be reviewed and approved by the Program Director. Unworked time for which an employee is paid (paid absences, leave, etc.) must be approved by Program Director. Authorized overtime also must be identified by the supervisor.
- e. Leave time cannot be used for unapproved absences. (See Leaves of Absence, Section 704.) Supervisors are to inform employees if they will not be paid for certain hours of absences.

ORIENTATION AND TRAINING: 606

Policy:

It is the policy of CARC to conduct orientation programs to help familiarize employees with new jobs with the organization and to conduct or sponsor training programs for employees as it deems appropriate. (See Hours of Work, Section 605 and Attendance and Punctuality, Section 614.)

1. The Personnel Department is responsible for the overall development and coordination of the orientation program and for implementing the portions of it that cover corporate history, philosophy, policies, benefits, and new employee files and documentation. Each Program Director is responsible for orientation as it applies to introducing the new employee to the job and the department and may select a co-worker to serve as a sponsor to facilitate the new employee's transition. (See Hiring, Section 601.)
2. New employees hired as Direct Support Workers will receive 16 hours of Department of Health and Hospitals approved training during the orientation process. Training will be completed prior to reporting to an assigned job site. Direct Support Workers must successfully complete First Aid training within 45 days of hire.
3. Employees are required to complete quarterly online training provided by CARC's on-line college, "CARC Academy". Online training courses are sent to each employee via e-mail. Employees must maintain a valid e-mail to receive their required training.
4. Supervisors are responsible for recommending employees for special training programs, for providing on-the-job training, or for assigning on-the-job trainers. Such training will be conducted during normal working hours whenever practical.
5. Program Directors will require employee participation in continuing training programs when such instruction is:
 - a. a mandatory job requirement.
 - b. deemed beneficial or considered necessary for satisfactory job performance.
6. The company may consider the feasibility of sponsoring and conducting special programs when in-service programs are required for licensing.
7. The company will provide special training programs for safety and health matters when deemed necessary or as required by federal and state law. (See Communicable Diseases, Section 501 and Employee Safety, Section 901.)
8. Company sponsored or conducted in-house orientation and training programs shall be evaluated from time to time as to the quality, content and results of instruction.
9. Employees may receive certificates of completion for successfully completing company approved or sponsored training and education programs.
10. The Personnel Department will maintain records of all training programs completed by each employee.

MEDICAL PROCEDURES: 607

Policy:

It is the policy of CARC that applicants and employees may be required to submit to medical tests or examinations whenever management feels such actions are necessary for the safe or efficient operation of the organization.

1. Successful applicants for employment may be required as a condition of employment to pass a medical examination to establish their fitness to perform the jobs for which they have applied. The examination is to be administered by a physician designated or approved by the company. (See Hiring, Section 601.)
2. Employees may be required to have a medical examination when being considered for transfer or promotion, or when there is a question concerning the employee's ability to perform the duties of the job. (See Drugs, Narcotics, and Alcohol. Section 808.)
3. Employees are encouraged and required, where applicable, to have physical examinations periodically during their employment and to participate in wellness programs.
4. Medical examinations required by the company after initial employment will be paid for by the company and must be performed by a physician designated or approved by the company. Examinations not made mandatory by this policy are the responsibility of the employee.
5. Medical examinations paid for by the company are the property of the company and are to be treated as confidential. However, records of such examinations, if required by law or regulation or warranted by appropriate business practice, will be made available to the employee, persons designated and authorized by the employee, public agencies, relevant insurance companies, or the employee's doctor.
6. Employees who need to use prescribed drugs or narcotics while at work must report this requirement to the Personnel Department and provide acceptable medical documentation. Depending on the circumstances, employees may be reassigned, forbidden to perform certain tasks, or even not allowed to work if they are judged not able to perform their jobs safely and properly while taking prescribed drugs or narcotics. (See Drugs, Narcotics and Alcohol, Section 808.)
7. The company reserves the right to require acceptable confirmation of the nature and extent of any illness or injury that requires an employee to be absent from scheduled work. (See Leaves of Absence, Section 704.) Employees returning from a disability leave or an absence caused by health problems will be required to provide a doctor's certification of their ability to perform safely and satisfactorily their regular work without endangering clients, themselves or their fellow employees.

MEDICAL PROCEDURES: 607

8. The company reserves the right to require a second medical opinion regarding an employee's absence because of illness or injury or regarding a doctor's certification of an employee's ability or inability to return to work. Any such second opinion will be paid for by the company.
9. The Personnel Department is responsible for developing and administering programs concerning employee health and safety.
10. Employees who become ill on the job or suffer any work-related injury*, no matter how minor, are to report to their immediate supervisor for examination and recording of the incident. (See Accidents/Injuries Involving Staff, Section 903.) Employees who must leave their work station for medical attention should notify their supervisor.

*Drug testing is mandatory for all work related injuries requiring a doctor's care and for drivers of motor vehicles involved in a vehicle-related accident while performing authorized company business.

Policy:

It is the policy of CARC to provide a work environment free of discrimination, intimidation, and harassment based on a person's race, color, religion, age, sex, national origin, disability status, genetics, protected veteran status, sexual orientation, gender identity or expression, or any other characteristic protected by federal, state or local laws.

All employees, vendors, and consultants are expected to contribute to a productive and efficient workplace free of discrimination, intimidation and harassment by conducting themselves in professional manner. Harassment of any person, whether directed at an employee, vendor, consultant or customer will not be tolerated. Allegations of harassment will be promptly and thoroughly investigated and, if warranted, appropriate corrective action will be taken, up to and including termination of employment. Retaliation against any employee who brings a good faith complaint of harassment or who cooperates in an investigation of harassment complaint is strictly prohibited.

1. This anti-harassment policy includes a prohibition against sexual harassment.* While all forms of harassment are prohibited, it is the company's policy to emphasize that sexual harassment is specifically prohibited. Each supervisor has a responsibility to maintain the work place free of any form of sexual harassment. No supervisor is to threaten or insinuate, either explicitly or implicitly, that an employee's refusal to submit to sexual advances will adversely affect the employee's employment, evaluation, wages, advancement, assigned duties, shifts, or any other condition of employment or career development. In addition, no supervisor is to favor in any way any applicant or employee because that person has performed or shown a willingness to perform sexual favors for the supervisor.

*Sexual harassment is defined as unwelcome sexual advances, requests for sexual favors and other verbal and physical conduct of a sexual nature when:

- a. Submission to such conduct is made, either explicitly or implicitly, a term or condition of an individual's employment, or
 - b. Submission to or rejection of such conduct by an individual is used as the basis of employment decisions affecting such individual, or
 - c. Such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile or offensive working environment.
2. Other sexually harassing conduct in the work place, whether committed by supervisors or nonsupervisory personnel or non-employees is also prohibited. Such conduct includes:
 - a. Sexual flirtations, touching, advances, or propositions.
 - b. Verbal abuse of a sexual nature.
 - c. Graphic or suggestive comments about an individual's dress or body.

- d. Sexually degrading words to describe an individual.
 - e. The display in the work place of sexually suggestive objects or pictures, including nude photographs.
 - f. Use of electronic equipment to convey sexually oriented materials or messages.
3. CARC also prohibits other non-sexual harassment. This harassment is defined as verbal or physical conduct that degrades or shows hostility or dislike toward an individual because of his or her race, color, religion, age, sex, national origin, disability status, genetics, protected veteran status, sexual orientation, gender identity or expression, or any other characteristic protected by federal, state or local laws.
- a. Has the purpose or effect of creating an intimidating, hostile or offensive work environment.
 - b. Has the purpose or effect of unreasonably interfering with an individual's work performance.
 - c. Otherwise adversely affects an individual's employment opportunities.
4. Any employee who believes that he or she is being harassed in violation of this policy has a responsibility to report or complain as soon as possible. The employee is not required to complain to the person who is doing the harassing. The employee may complain directly to their supervisor, the supervisor of the harasser, Program Director, Personnel Director, Assistant Executive Director or any other management employee including the Executive Director. The CARC Grievance Procedure may also be utilized. (See Grievance Procedure, Section 807.) Similarly, any employee who observes harassment of another employee is requested and encouraged to report this to one of the persons described above. Claims of harassment do not have to follow the normal chain of command. Immediately upon receipt, any person receiving a harassment complaint must report the complaint to the Personnel Director.
5. All complaints of harassment shall be investigated promptly, in as impartial and confidential a manner as possible. If an employee is not satisfied with the handling of a complaint or the action taken, the employee should bring the complaint to the attention of the Personnel Director. In all cases, the result(s) of the investigation will be communicated to the employee(s) who made the complaint.
6. Any employee, supervisor or manager who is found after appropriate investigation to have engaged in harassment of another employee, vendor or customer will be subject to appropriate disciplinary action, depending on the circumstances, up to and including termination.
7. Retaliation against an employee for making in good faith a complaint or report of harassment, or for assisting in the investigation of such complaint, is forbidden.
8. Any employee who, following an investigation, is found to have made bad faith or deliberately dishonest complaints will be subject to appropriate disciplinary action.

Policy:

It is the policy of CARC that it may at its discretion initiate or approve employee job transfers from one job to another or from one location to another.

1. The company may require employees to make either a temporary or long-term job transfer in order to accommodate the organization's needs.
2. Employees may request a voluntary job transfer. However, to be eligible for a voluntary transfer, employees must be able to meet the requirements of the new position, must have a satisfactory performance record and must have no record of adverse disciplinary actions.
3. Eligible employees who request a transfer will be considered in the following order:
 - a. Employees in the same department as the job opening.
 - b. Employees at the same location but in departments other than the one where the opening occurs.
 - c. Employees who are being considered for layoff because of a reduction in force or because of the elimination of their job.
 - d. All other employees.
4. Employee requests for transfers will normally be handled as follows:
 - a. The employee shall submit a written request for a transfer to his current department supervisor. The request should include the reason for the transfer and the department and specific job wanted.
 - b. The department supervisor will forward the request to the Program Director with a recommendation of approval or disapproval.
 - c. The appropriate Program Director should determine whether the requested job or a suitable job opening exists and whether the employee is eligible. If a job opening exists and the employee is eligible, the Personnel Department should arrange an interview between the candidate and the Program Director who has the job opening.
 - d. The Program Director with the job opening will make the final transfer decision, subject to the approval of the Assistant Executive Director and the Executive Director. (See Promotion, Section 610.)
5. Pay for transferred employees will be handled as follows:
 - a. Employees transferred to a job within the same salary range will continue to receive their existing rate of pay.

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- b. Employees transferred to a job in a higher pay classification will be given consideration for education, experience and other related factors to help determine a fair and equitable beginning salary/wage.
- c. Employees transferred to a job in a lower salary range will be paid at the lower rate commencing with the start of the new job.

Policy:

It is the policy of CARC to hire employees for entry level positions, to provide training and development for employees when deemed necessary, and to offer employees promotions to higher level positions when deemed appropriate. To fill vacancies above the entry level, management prefers to promote from within and will first consider current employees with the necessary qualifications and skills, unless outside recruitment is deemed to be in the company's best interest.

1. All employees are encouraged to seek advancement opportunities and to obtain promotion and career guidance from their supervisor, department head and/or the Personnel Department.
2. An employee's basic eligibility for promotion will be determined by the requirements of the new job. In addition, the employee must have both a satisfactory performance record and no adverse disciplinary actions.
3. Job openings and promotions for which management seeks candidates from within the company will be announced. From time to time, however, management will, as it deems appropriate, fill job openings or make promotions without announcements. When job openings or promotion opportunities are announced:
 - a. Interested employees must initiate a written transfer request to their department supervisor within five business days of the announcement.
 - b. Supervisors and Program Directors may initiate the procedure within the same time period and recommend employees for the position.
 - c. The Personnel Department may, at its discretion, solicit outside candidates during or after the posting period.
4. Current employee candidates for job openings and promotions will be considered and processed as outlined in the Transfer policy. (See Transfer, Section 609.) Applicants recruited from outside the company for such positions will be considered and processed as outlined in the Hiring policy. (See Hiring, Section 601.)
5. Current employee candidates for promotion will normally be screened and selected on the basis of attendance and work records, performance appraisals and job-related qualifications. In addition, such employees may be required to have a medical examination. (See Medical Procedures, Section 607.)
6. Pay for promoted employees will be handled as outlined in the Transfer policy. (See Transfer, Section 609.)

OUTSIDE EMPLOYMENT: 611

Policy:

It is the policy of CARC to allow its employees to hold second jobs, subject to certain restrictions as outlined below.

1. The company requires that employees' activities away from the job must not compromise the company's interests or adversely affect their job performance and ability to fulfill all responsibilities to the company.
2. Employees must obtain prior approval from management before any outside employment or other work activity is undertaken. Failure to do so will subject the employee to discipline, up to and including termination.
3. Employees are cautioned to consider carefully the demands that additional work activity will create before requesting permission to seek or accept outside employment. Outside employment will not be considered an excuse for poor job performance, absenteeism, tardiness, leaving early, refusal to travel, or refusal to work overtime or different hours. If outside work activity does cause or contribute to job-related problems, such employment must be discontinued and, if necessary, normal disciplinary procedures will be followed to deal with the specific problems. (See Disciplinary Procedures, Section 809.)
4. Program Directors and the Personnel Department will be particularly concerned about outside work requests that:
 - a. Will reduce the employee's efficiency in working for the company.
 - b. Involve working for an organization which is a competitor of the company or which does a significant amount of business with the company, such as major contractors, suppliers and customers.
 - c. May adversely affect the company's image in the community.
5. Employees who have accepted outside employment are not eligible for paid sick or personal absence when the absence is used to work on the outside job or is the result of an injury sustained on the second job. Fraudulent use of sick leave or personal absences will be subject to disciplinary action up to and including termination.

TEMPORARY AND PART-TIME EMPLOYEES: 612

Policy:

It is the policy of CARC to supplement the regular work force with temporary or part-time employees when needed because of periods of peak work load, employee absences, or other situations as may be determined by management.

1. A temporary employee is an individual who is hired for a specified, limited period. A part-time employee is an individual who is hired for an indefinite period, but who works less than a normal work week. (See Hours of Work, Section 605.)
2. Temporary and part-time positions will be filled as follows, if circumstances permit.
 - a. The head of the department with the need will attempt to fill the position by transfers from within the department.
 - b. If the position cannot be filled from within the department, then the Program Director will submit a request to the Personnel Department. The Personnel Department, working with each Program Director, will then attempt to satisfy the request by the transfer of employees from other departments.
 - c. If it is necessary to hire temporary or part-time personnel from outside the company, normal hiring procedures are to be used. (See Hiring, Section 605.)
3. An employee whose status changes to part-time may use any days of leave time earned prior to the status change.

An employee whose status changes from temporary or part-time to an eligible full-time employee will begin earning leave time and other benefits on the date of the change of status. This does not apply when a part-time employee is offered full-time employment on a temporary basis.

Information concerning eligibility of benefits for temporary and part-time employees is found in this manual and is available from the Personnel Department.

TERMINATION OF EMPLOYMENT: 613

Policy:

It is the policy of CARC to make all forms of employment termination as pleasant as possible. Termination can occur by the resignation of an employee, by discharge, or by a reduction in the work force. In the absence of a specific written agreement, employees may resign at-will. Likewise, the company reserves the right to terminate employment at-will for any reason not prohibited by law. (See Employment-At-Will, Section 103, Behavior of Employees, Section 801, Disciplinary Procedures, Section 806, and Criminal History Records Disclosure, Section 604.)

1. It is requested that employees give written notice of their intent to resign. Failure to give written notice may result in ineligibility for re-employment. (See Hiring, Section 601.) The following guidelines are suggested:
 - a. Exempt employees are requested to give at least four weeks' notice.
 - b. Clerical employees are requested to give at least three weeks' notice.
 - c. All other employees are requested to give at least two weeks' notice.
 - d. Employees who are absent from work for two consecutive days without giving proper notice to the company will be considered as having voluntarily quit.
2. For policies and procedures governing discharge for cause, see Disciplinary Procedures, Section 806.
3. For terminations resulting from a reduction in force, management will consider transfer of the affected employee(s). (See Transfer, Section 609.)
4. Supervisors should send notices of resignation or recommendations for termination to the department head. These notices or recommendations should be accompanied by any needed supporting documents such as performance appraisals or disciplinary reports. (See Performance Appraisals, Section 402, and Disciplinary Procedures, Section 809.) All terminations shall be approved in advance by the Executive Director.
5. The Personnel Department or Program Director will be available to conduct an exit interview. The individual conducting the interview should:
 - a. Attempt, if the termination is voluntary, to determine the actual reason or reasons why the employee is leaving so that, where appropriate, action can be taken to correct any problems that come to light.
 - b. Discuss, if the termination is voluntary, the circumstances and reasons leading to the termination, so that misunderstandings and hard feelings can be minimized.

TERMINATION OF EMPLOYMENT: 613

- c. Explain any conversion of continuation of benefits under the company's group insurance plans and any other vested benefits available to the employee under the company's benefit plan.
 - d. Obtain the employee's correct address for mailing IRS Form W-2 and the correct mailing addresses of the employee's spouse and any dependents that are eligible to continue their health care benefits under the company's health insurance plan. (See Disclosure of Benefits, Section 701.)
 - e. Obtain all company property from employee (keys, gas cards, credit cards, cell phone, pager, tools, etc.) If any company property in the employee's possession has been lost or damaged, the cost of replacing such property may be deducted from the employee's final paycheck, if not prohibited by law.
 - f. Remind employee to take away any personal belongings. (See Personal Property, Section 1001.)
6. The Personnel Department or Program Director should prepare a written report of the exit interview to be placed in the employee's personnel file.
 7. Final pay for terminated employees will be processed according to state and federal law guidelines.
 8. Termination and discharge procedures are only guidelines and do not constitute a legal contract between the company and its employees. Specified grounds for termination are not all-inclusive since the company maintains the right to terminate employment for any reason.

ATTENDANCE AND PUNCTUALITY: 614

Policy:

It is the policy of CARC to require employees to report for work punctually as scheduled and to work all scheduled hours and any required overtime. Excessive tardiness and poor attendance disrupt work flow and will not be tolerated.

1. Unauthorized absences or tardiness will result in disciplinary action up to and including termination. (See Disciplinary Procedures, Section 806 and Hours of Work, Section 605.)
2. Supervisors are to notify employees of their starting, ending and break times. Employees are expected to be engaged in carrying out their duties during all scheduled work time. Supervisors are to record all absences and any tardiness or early leaving.
3. Employees should notify their supervisor in person, or by telephone, as far in advance as possible whenever they are unable to report for work, know they will be late, or must leave early. Such notification should include a reason for the absence and an indication of when the employee can be expected to report for work. A message, voice mail, nor is a text message considered as proper notification. If the supervisor is unavailable, the Program Director should be contacted and given the same information. A pattern of absenteeism such as always calling in on certain days will be cause for disciplinary action. (For Sick Leave Call-in Procedure, see Leaves of Absence, Section 704:2(b))
4. Employees are to be compensated during authorized absences in accordance with the policies contained in Leaves of Absence, Section 704. Failure to notify the company properly of any absence may result in the loss of compensation during the absence and may be grounds for disciplinary action.
5. Employees who are delayed in reporting for work more than fifteen (15) minutes and who have not notified their supervisor of their expected tardiness may lose their right to work the balance of the work day.
6. Employees are expected to report for work during inclement weather conditions if the company does not declare an emergency closing. Employees who are unable to report because of weather conditions may be granted an authorized absence.
7. It is mandatory that selected employees attend various assigned inservices, that they be punctual, and that they remain for the duration of that/those inservice(s). No employee is excused from attending an assigned inservice unless approval from their program director has been granted. (See Behavior of Employees, Section 801.)
8. Employees must report to their supervisor after being late or absent, give an explanation of the circumstances surrounding their tardiness or absence, and certify that they are fit to return to work. The supervisor should record the information in the employee's file. When appropriate, the supervisor should counsel the employee on the importance of good attendance and warn that excessive tardiness or absences, regardless of the causes, will lead to discipline, up to and including termination. (See Leaves of Absence, Section 704, and Disciplinary Procedures, Section 806.)

ATTENDANCE AND PUNCTUALITY: 614

9. Employees must obtain permission from their supervisor in order to leave the company's premises during working hours. (See Meal Breaks, Section 616.)
10. Absenteeism beyond accrued leave time is considered as excessive and may result in disciplinary action up to and including termination.
11. Employees who are absent from work for two consecutive days without giving proper notice to the company will be considered as having voluntarily quit. At that time, the company will formally note the termination and advise the employee of the action by mail. (See Termination of Employment, Section 613)

PERSONNEL RECORDS: 615

Policy:

It is the policy of CARC to maintain personnel records for applicants, employees and past employees in order to document employment related decisions, evaluate and assess policies and comply with government recordkeeping and reporting requirements.

1. The company strives to balance its need to obtain, use and retain employment information with each individual's right to privacy. (Privacy Act of 1974). To this end, it attempts to restrict the personnel information maintained to that which is necessary for the conduct of its business or which is required by federal, state or local law.
2. The Personnel Director is responsible for overseeing the recordkeeping for all personnel information and should specify how and what information is to be collected and how it is to be stored and secured. In addition, it should develop procedures to have personnel records reviewed on a regular basis in order to assure that the information remains relevant or is revised or deleted when appropriate.
3. Employees have a responsibility to make sure their personnel records are up to date and should notify the Personnel Director in writing of any changes in at least the following:
 - a. Name
 - b. Address
 - c. Telephone number
 - d. E-mail address
 - e. Beneficiary designations for any of the company's insurance and 401(k) plan.
 - f. Persons to be notified in case of emergency.

In addition, employees who have a change in the number of dependents or marital status should complete a new W-4 form for income tax withholding purposes.

4. Employees may inspect their own personnel records and may copy, but not remove, documents in the file. Such an inspection must be requested in writing to the Personnel Director and will be scheduled at a mutually convenient time. All inspections must be conducted in the presence of the Personnel Director or his designee. A reasonable charge, not to exceed the actual cost to the company, may be made for any copies of records made by the employee.

PERSONNEL RECORDS: 615

5. Employees who feel that any file material is incomplete, inaccurate or irrelevant may submit a written request to the Program Director that the files be revised accordingly. If such a request is not granted, the employee may place a written statement of disagreement in the file and pursue the matter further using the regular grievance procedure. (See Grievance Procedure, Section 807.)
6. Only supervisory and management employees who have an employment related need-to-know for information about another employee may inspect the files of that employee. Such an inspection must be jointly approved by the Program Director and the Personnel Director and shall be recorded in the file inspected.
7. Employees are to refer all requests from outside the company for personnel information concerning applicants, employees, and past employees to the Personnel Department. The Personnel Department normally will not release personnel information except in writing and only after obtaining the written consent of the individual involved. Exceptions on the release of information may be made to cooperate with legal, safety and medical officials who have a need to know specific employee information. In addition, exceptions may be made to release limited general information such as employment dates and position held.

MEAL BREAKS: 616

Policy:

It is the policy of CARC to provide meal breaks during the course of each work day. For those employees whose job permits, some flexibility is allowed in the length of the meal break.

1. Full time employees are allowed a thirty minute meal break near the middle of the work day. In Vocational, Residential and Community Services programs, staff must eat with the clients during the thirty minute meal period.
2. Part time employees scheduled to work more than five consecutive hours during any work day will receive a meal break the same as full time employees in their department.
3. Employees who leave the company's premises during their meal break must clock-out when leaving the premises and clock-in when returning to work. Time away for meal breaks is not compensable.
4. A dining area is provided for employees to use during meal periods.

EMPLOYEE ID BADGE: 617

Policy:

It is the policy of CARC that employees wear official CARC name badges while on duty. Name badges enable employees to be readily identified by visitors, associates and fellow workers.

1. Employees will be issued a CARC identification badge with employee's name and job title.
2. Employee identification badges must be worn when on duty.
3. Badges are to be displayed on outside of clothing on or above the waist.
4. Lost badges must be replaced at employee's expense.

EMPLOYMENT/WAGE VERIFICATIONS: 618

Policy:

It is policy of CARC that employees retain their electronic paystubs for future reference. Wage verifications impose an administrative burden on the organization and impede the normal office workflow. If verifications are required employees must adhere to the following guidelines.

1. All requests and forms must be left at the CARC front reception area. Requests will be delivered to the appropriate department.
2. If providing a form, the form will be completed within three (3) business days and sent directly to the requesting agency. Completed forms will not be given to the employee.
3. If an employee needs a letter, employee must provide a written request detailing what information is needed and either a mailing address or fax number where the letter is to be sent. The request should be signed and dated by the staff requesting the information. The letter will be sent within three (3) business days.
4. Employees will be charged a fee a \$5.00 per page for requested computer printouts of wage information.
5. CARC will not verify wage information verbally. All requests must be in writing.

PAYROLL & TIMEKEEPING: 619

Policy:

It is the policy of CARC that timely and regular attendance is expected of all CARC employees. To ensure adequate staffing, positive employee morale, and to meet expected productivity throughout the organization, employees will be held accountable for adhering to their workplace schedules. CARC uses an automated timekeeping system (MITC) and a web based system (LaSRS) that accurately captures employees' time and attendance. Employees that are required to utilize LaSRS must use their smart phone or electronic tablet to accurately capture time worked with clients. Employees are paid promptly and accurately for the hours they have worked and must adhere to the following guidelines.

1. Central Office, Operations, Residential and Vocational employees must clock-in and clock-out using CARC's time and attendance system (MITC). Community Services employees must clock-in and clock-out using web based LASRS. This confirms employees' attendance at work. Clocking in for the day indicates an employee is ready to begin his or her workday. It is not permissible to clock in for the day and then leave the building to conduct personal business such as eating, smoking or parking one's vehicle. An employee will be documented as tardy when such instances occur.
2. Employees required to use MITC telephone timekeeping, must enter their MITC Employee Pin number. Depending on job location, employees may have to enter their MITC Employee Pin number and a MITC Job Pin number.
3. Employees must clock-in/out from their place of work. Calling from an unauthorized location may result in termination of employment.
4. Employees must not attempt to clock-in/out for other employees. If using MITC telephone timekeeping, employees may be prompted to speak their Name and MITC Employee Pin. This is part of the Voice Identification system.
5. Employees must not work more than their scheduled hours without permission from their supervisor.
6. If an emergency occurs that requires an employee to work additional hours, employee must contact the supervisor or POC before working beyond scheduled hours.
7. Employees leaving work for any authorized personal reason during the day must clock-out when leaving and clock-in when returning.
8. Employees are required to follow established guidelines for recording their actual hours worked. A missed clock-in/out is a violation of CARC Policy and includes:
 - a. Failure to clock-in/out at the beginning and/or end of assigned shift.
 - b. Failure to clock-in/out on designated time clock when leaving premises for lunch breaks.
 - c. Clocking-in/out early (or late) of assigned shift without prior approval from supervisor.

PAYROLL & TIMEKEEPING: 619

9. In the event an employee fails to clock in or clock out on MITC at any time during the workday, he or she must complete and sign a "Missing Clock-in/Out Authorization Form", and submit it to his or her supervisor for processing. Continued excessive failure to clock in/out as directed may result in disciplinary action.
10. Community Services employees working directly with clients in a community or residential setting must electronically capture their time using web based (LASRS) system and completion of a service log for each shift worked. The following applies:
 - a. Employee will be assigned a user name and password to access LASRS website.
 - b. Employee must use a smart phone or electronic tablet to access LASRS website to clock in/out.
 - c. Employee must not clock/in out for other employees.
 - d.. Employee's user name and password is considered confidential and must be protected by employee. The intentional act of sharing user name and password is grounds for immediate termination.
 - e. Repeated failure to clock-in/out on LASRS and complete accurate service logs will result in disciplinary action.
 - f. Service logs must be completed before the end of each shift.
 - g. Service logs for previous work week must be submitted to CARC Central Office by Monday @ 8:00 am. Service logs may be submitted in person, put in Central Office drop box, emailed or faxed.

STATE & FEDERAL COMPLIANCE: 620

Policy:

It is the policy of CARC to comply with federal and state regulations regarding the exclusion status of all current employees and potential new hires. CARC is held responsible on the federal and state level for ensuring that employees have not been excluded by either the federal Office of Inspector General or State Medicaid Program Integrity. In addition Direct Service Workers must be free of any Department of Health and Hospitals finding that Direct Service Worker has abused or neglected a client.

1. Upon hire and monthly thereafter CARC will check the website of the Department of Health and Human Services' Office of Inspector General at <http://exclusions.oig.hhs.gov/search.aspx> and the Louisiana State Adverse Actions at <https://adverseactions.dhh.la.gov/> for the exclusion status of all active employees. All current and previous names used such as first, middle, maiden, married or hyphenated names and aliases will be checked. If an employee or potential new hire's name appears on the website, this person is considered excluded and banned from working in any capacity. CARC will notify the Department of Health and Hospitals within 10 working days of discovering the exclusion.

DISCLOSURE OF BENEFITS: 701

Policy:

It is the policy of CARC to provide its employees with various benefits. Information and summary communications intended to explain these benefit plans are furnished to all plan participants and beneficiaries on a timely and continuing basis. CARC reserves the right to modify, amend, or terminate its benefits according to business necessity as they apply to all current and former employees.

1. All benefits provided by CARC are described in official documents which are kept on file in the Personnel Department. These documents are available for examination by any plan participant or beneficiary. In addition, they are the only official and binding documents concerning the company's benefits.
2. The Personnel Director serves as administrator of the company's benefit plans. The administrator is responsible for all communications and disclosures concerning company benefits and for compliance with all applicable laws and regulations. In addition, the administrator is available to answer employee questions concerning benefits and to counsel new employees, employees as they achieve eligibility, and nonemployee beneficiaries as to specific benefit coverage and required forms and designations.
3. As outlined by COBRA, employees, spouses, and dependents covered by the company's health benefits plan are to be notified, when appropriate, that they have the opportunity to acquire continuing health protection in certain specified situations including layoff, termination, reduction in hours of employment, death of a covered employee, covered employee's Medicare entitlement, loss of dependent child status, or divorce or legal separation of the covered employee from his/her spouse.

DESCRIPTION OF BENEFITS: 702

Policy:

It is the policy of CARC to provide the opportunity for eligible employees to participate in various benefits plans.

1. Retirement Plan – Eligible CARC employees can participate in a 401(k) retirement plan. (See Retirement, Section 707.)
2. Credit Union – CARC is a member of CSE Federal Credit Union. CARC employees are allowed to join.
3. Section 125 Cafeteria Plan – Under this plan, eligible employees are allowed to redirect a portion of their salary/wages to pay for certain non-cash benefits. This before-tax earning can be directed to pay for the following payroll deducted benefits for eligible employees:
 - a) Group health insurance
 - b) Dental insurance
 - c) Group voluntary accident and life insurance

Note: According to the Internal Revenue Code for Section 125 Cafeteria Plans, when an employee agrees to re-direct a portion of their salary to pay for non-cash benefits, they cannot change or revoke the agreement until the next anniversary date except for certain specific reasons, some of which are: Change in family status (marriage, divorce, death of spouse or child, birth or adoption of a child), termination, commencement of employment of a spouse.

GROUP HEALTH INSURANCE: 703

Policy:

It is the policy of CARC to provide the opportunity for eligible employees to participate in a major medical health insurance plan that complies with the Affordable Care Act (ACA), HIPAA (Health Insurance Portability and Accountability Act) and COBRA (Consolidated Omnibus Budget Reconciliation Act).

1. Participation is voluntary for eligible employees that consistently work at least thirty (30) hours per week and have been employed for at least sixty (60) days.
2. Participation is limited to the term of employment; however, COBRA provisions apply.
3. A portion of the major medical premium for the employee is paid by CARC. The employee portion is deducted in equal amounts from each payroll.

LEAVES OF ABSENCE: 704

Policy:

It is the policy of CARC to grant eligible employees leaves of absence under certain circumstances. With exception as stated below employees will not receive compensation during leaves of absence. For policy with regard to absence of short duration see Attendance & Punctuality, Section 614. All situations regarding leave that are governed by federal or state statutes will be dealt with as prescribed by law.

Eligible full time Central Office, Operations, Residential and Vocational staff hired after October 31, 2015 and employed for 260 days per year will be granted three (3) days of leave and three (3) of sick leave upon completion of six (6) months of continued full time employment. Absences from work during the first six (6) months of employment will be considered as unpaid leave. After six (6) months of continued full time employment, 260 days per year employees in Central Office, Operations, Residential and Vocational Departments will earn one-half (1/2) day of annual leave and one-half (1/2) day of sick leave for each month of active service for a total of six (6) days per year.

Eligible full time Operations and Vocational staff hired after October 31, 2015 and employed for 240 days per year will be granted three (3) days of leave upon completion of six (6) months of continued full time employment. After six (6) months of continued full time employment, 240 days per year employees in Operations and Vocational Departments will earn one-half (1/2) day of annual leave for each month of active service for a total of six (6) days per year. These six (6) days can be used for sickness or annual leave. If the days are used for sick leave, CARC's Sick Leave Policy will apply.

Annual leave for eligible full time Central Office, Operations, Residential and Vocational staff increases to nine (9) days per year upon completion of two (2) full years of continued, uninterrupted employment.

Annual leave for eligible full time Central Office, Operations, Residential and Vocational staff increases to fifteen (15) days per year upon completion of ten (10) full years of continued, uninterrupted employment.

Leave must be taken during the fiscal year earned and is not cumulative from one year to the next. Up to five days of earned annual leave may be carried over to the next fiscal year for use by December 31st.

1. Annual Leave – After six (6) months of employment, non-exempt and exempt employees may take leave for the number of days earned without regard to length of employment. Requests for annual leave should be submitted by the employee at least one month prior to a planned leave and must be approved by the employee's immediate supervisor and program director. Efforts will be made to approve desired annual leave dates subject to work requirements. Any exceptions must be approved by the Executive Director and Program Director.

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Employees do not earn annual leave for:

- a. Overtime work.
 - b. Leave without pay including FMLA and Special Leave (see Summary of FMLA, Section 1103.).
 - c. Any hours of travel outside regular duty hours.
 - d. Any hours in an on-call status outside regular duty hours.
2. Sick Leave – Extended sick leave without pay will be granted for qualifying employees as mandated by the Family & Medical Leave act. All other sick leave is covered by the following provisions:
- a. Sick leave with pay shall mean an employee's absence from duty is because of illness or injury to the employee or to a member of the employee's immediate family. Visits to the doctor or dentist may be counted as sick leave.
 - b. All staff members, when absent due to illness, are required to call their immediate supervisor daily and early enough in the day for other coverage to be arranged. Phone calls must be made within 15 minutes prior to starting time. The employee must make the phone call. A message or voicemail nor is a text message considered as proper notification. Failure of a staff member to call may result in an unexcused absence for which pay will not be granted, or other disciplinary action may be taken.
 - c. A staff member absent due to illness under any one of the following conditions may be asked to provide a doctor's statement to verify the cause of absence:
 - i. An absence of three or more consecutive work days.
 - ii. An absence in conjunction with a holiday, day of leave, week-end or program closure.
 - iii. An absence subsequent to notice of resignation or dismissal.
 - d. Failure to provide a doctor's statement when requested may result in an unapproved absence, disciplinary action or dismissal.
 - e. One sick day per fiscal year can be converted to a personal day.
 - f. On June 30th of each year, non-exempt and exempt employees may carry over up to five days of unused sick leave for use during the next fiscal year. Carried over sick leave is available for one (1) fiscal year.
3. Special Leave (Non-Medical) The Executive Director may authorize a leave of absence without pay as appropriate in each case. Request for a special leave of absence stating the reason, start date and duration of leave must be submitted in writing to the Executive Director. Employees must have written approval of the Executive Director prior to the start of special leave,

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Each request is considered on its merits and in accordance with the needs of the agency. While on leave without pay staff does not accrue benefits such as annual leave, sick leave or holiday pay. If any employee wishes medical insurance coverage to continue, he/she is responsible for the full cost.

Special leave shall not be used for vacation purposes. Acceptance of outside employment while on special leave of absence without prior approval will be considered as voluntary resignation. Falsification of the reason(s) for going on special leave will result in termination. If unable to return from a special leave of absence within the time specified, the employee must contact his/her supervisor at least five (5) additional days prior to the specified return date to determine if additional leave will be granted. Failure to comply with this requirement may result in termination and would be considered a voluntary resignation. Special leave of absence without prior approval will be considered a voluntary termination.

Unauthorized and unreported absences shall be considered absent without leave, and deduction of pay shall be made for the period of absence and also may be cause for disciplinary action. (See Behavior of Employees, Section 801 and Disciplinary Procedures, Section 806.)

If an employee is granted a special non-medical leave of absence, every effort will be made to hold the position open for the period of the approved leave. However, due to business needs, it is not possible to guarantee reinstatement. Every effort will be made to place the employee in a comparable position for which he/she is qualified. If one is available and the employee does not accept the position offered, the employee will be considered to have voluntarily terminated his/her employment, effective the day such offer and refusal are made.

4. Other leave consists of the following:

a. Funeral Leave

To help employees through the period of bereavement, CARC employees may take either annual leave or sick leave up to two days to attend services. Any exceptions to this policy must be approved by the Executive Director.

b. Other Medical Leave

The agency directors have the authority to place a staff person on medical leave if it is feared that the employee has a currently contagious disease for which medical confirmation is needed. Sick leave or annual leave must be used and expenses incurred are to be born by the employee. (See Communicable Diseases, Section 501.)

c. Jury Duty/Court Appearance

The Executive Director and Program Director shall authorize leave with pay when a full time employee is summoned to appear in court as a juror or as a witness on behalf of the United States, the District of Columbia, a state or local government or the agency. Any employee called for jury duty must notify his/her supervisor. The following procedures also apply:

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- i. Before court leave will be granted, the employee must show his/her supervisor the order or subpoena which requires attendance in court.
- ii. Upon completion of court leave, the employee submits a certificate of attendance in court signed by an appropriate court official.
- iii. Any fee received for jury duty performance on workdays shall be retained by the employee.
- iv. If the employee is excused from jury duty by noon on a given day the employee shall report to work immediately if his/her shift is still in progress.
- v. Leave with pay shall not exceed eight (8) hours per day.

d. Military Leave

Military leaves of absence will be provided in accordance with the Uniformed Services Employment and Reemployment Act (USERA) and applicable Louisiana laws that protect individuals with military commitments from detrimental employment decisions based on those commitments. "Military Leave" is any time off that is provided to staff who are members of the National Guard or a Reserve of the Armed Forces and who are called to active duty, attend scheduled reserve service, and/or temporary training duty. CARC will provide payments to supplement their military pay so they do not suffer a loss of income while serving. Payments are considered as a continuation of the employee's regular salary or wages. Supplemental payments are limited to 30 days per calendar year.

Staff requiring military leave of absence should provide their supervisor with a written or verbal advance notice with a copy of the military order. It is recommended that the notice be given to the supervisor at least two (2) weeks before the military leave of absence starts.

Permanent Active Duty: Military Leave is granted upon a staff member's submission of Department of Defense orders setting forth the commencement of military duty and its expected duration. During the period of Military Leave the length of employment service accrual will continue for the term of the Military Leave but may be severed upon any voluntary extension of military service that is not at the request of the government.. Staff member does not accrue vacation or sick leave nor is staff eligible for group health and supplemental insurance programs.

Training or retraining and other accommodations may be required of staff members who take military leave of absence.

Special protection against discharge, except for cause, may occur. The period of protection is 180 days following periods of service of 31-180 days. For periods of 181 days or more, it is one (1) year.

Temporary Training Duty: Staff obligated to attend annual military training duty under the Universal Military Training and Service Act of 1951, as amended, will be granted Military Leave.

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During the period of Military Leave a staff member may elect to have the temporary training leave charged to accrued vacation leave.

Staff on Temporary Training Duty are fully eligible for benefits. Sick leave and vacation will continue to accrue as if the staff member has not been absent for military training.

Staff remains fully eligible to participate in group health and supplemental insurance programs so long as their portion of the premium is paid.

Upon completion of Temporary Training duty, the staff member will return to the position held prior to military leave.

e. Family & Medical Leave Act (FMLA)

CARC will comply with all applicable requirements of the Family and Medical Leave Act of 1993 (FMLA).

FMLA requires covered employers to provide eligible employees up to 12 weeks of unpaid, job-protected leave in any 12 month period for certain family and medical reasons.

Employee Eligibility:

Employees are eligible if they have worked for CARC for at least one year, for 1,250 hours over the previous 12 months, and if at least 50 employees are employed by CARC within 75 miles.

Basic Leave Entitlement:

Eligible employees may take leave for the following reasons:

- For incapacity due to pregnancy, prenatal medical care or child birth,
- To care for the employee's child after birth, or placement for adoption or foster care,
- To care for the employee's spouse, son or daughter, or parent, who has a serious health condition, or
- For a serious health condition that make the employee unable to perform the employee's job.

Military Family Leave Entitlements:

- Eligible employees with a spouse, son, daughter, or parent on active duty or call to active duty status in the National Guard or Reserves in support of a contingency operation may use their 12-week leave entitlement to address certain qualifying exigencies. Qualifying exigencies may include attending certain military events, arranging for alternative childcare, addressing certain financial and legal arrangements, attending certain counseling sessions, and attending post-deployment reintegration briefings.
- FMLA also includes a special leave entitlement that permits eligible employees to take up to 26 weeks of leave to care for a covered service

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member during a single 12-month period. A covered servicemember is a current member of the Armed Forces, including a member of the National Guard or Reserves, who has a serious injury or illness incurred in the line of duty on active duty that may render the servicemember medically unfit to perform his or her duties for which the servicemember is undergoing medical treatment, recuperation, or therapy; or is in outpatient status; or is on the temporary disability retired list.

Definition of Serious Health Condition

A serious health condition is an illness, injury, impairment, or physical or mental condition that involves either an overnight stay in a medical care facility, or continuing treatment by a health care provider for a condition that either prevents the employee from performing the functions of the employee's job, or prevents the qualified family member from participating in school or other daily activities.

Employee Responsibilities

Employees must provide 30 days advance notice of the need to take FMLA leave when the need is foreseeable. When 30 days notice is not possible, the employee must provide notice as soon as practicable and generally must comply with CARC's normal call-in procedures.

Employees must provide medical certification from a healthcare provider for the company to determine if the leave qualifies for FMLA protection and the anticipated timing and duration of the leave. Sufficient information may include that the employee is unable to perform job functions, the family member is unable to perform daily activities, the need for hospitalization or continuing treatment by a health care provider, or circumstances supporting the need for military family leave. Employees also must inform the company if the requested leave is for a reason for which FMLA leave was previously taken or certified. Employees also may be required to provide a certification and periodic recertification supporting the need for leave.

Use of Leave

An employee does not need to use this leave entitlement in one block. Leave can be taken intermittently or on a reduced leave schedule when medically necessary. Employees must make reasonable efforts to schedule leave for planned medical treatment so as not to unduly disrupt the company's operations. Leave due to qualifying exigencies may also be taken on an intermittent basis.

Benefits and Protection

Employees taking leave under the FMLA are entitled to receive health insurance coverage on the same terms as if the employee had continued to work. If applicable, arrangements will be made for employees to pay their share of health insurance premiums while on leave.

Employee's use of FMLA leave will not result in the loss of any employment benefit that accrued prior to the start of the employee's leave. However, the

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employee must first use any accrued paid vacation and sick days during an unpaid FMLA leave.

Job Restoration After FMLA Leave

CARC will reinstate an employee returning from FMLA leave to the same or equivalent position with equivalent pay, benefits and other employment terms and conditions. However, an employee on FMLA leave does not have any greater right to reinstatement or to other benefits and conditions of employment than if the employee had been continuously employed during the FMLA leave period.

Certain highly compensated key employees also may be denied reinstatement when necessary to prevent “substantial and grievous economic injury” to CARC’s operations. A “key” employee is a salaried eligible employee who is among the highest paid ten percent of employees within 75 miles of the worksite. Employees will be notified of their status as a key employee, when applicable, after they request FMLA leave.

Other Provisions

The FMLA does not affect any federal or state law prohibiting discrimination or supersede any state or local law or collective bargaining agreement which provides greater family or medical leave rights.

Salaried executive, administrative and professional employees of CARC who meet the Fair Labor Standards Act (FLSA) criteria for exemption from minimum wage and overtime do not lose their FLSA-exempt status by using any unpaid FMLA leave. This special exception to the “salary basis” requirements for the FLSA’s exemptions extends only to eligible employees’ use of leave required by the FMLA.

Further Information

For more information, contact the Personnel Department.

- 5.. Maternity Leave – Maternity leave will be granted in accordance with sick, annual, and/or Family & Medical Leave Act provisions upon qualifying circumstances.

No employee shall be compelled, coerced or ordered to begin maternity leave at any time during the period of pregnancy unless, if in the opinion of the Program Director, the staff member’s condition is interfering with her job performance, in which case a healthcare provider will set the starting date of the maternity leave.

Policy:

It is the policy of CARC to designate and observe certain days each year as holidays.

1. CARC recognizes the following holidays: New Year's Day, Martin Luther King's Birthday, Good Friday, Monday after Easter, Memorial Day, Independence Day, Labor Day, Thanksgiving Day and day after, Christmas Eve and Christmas Day.
2. Eligible full time Central Office, Operations, Residential and Vocational staff employed for 260 days per year will receive eight hours of straight time pay for each holiday observed. This is defined as "holiday pay".
3. Eligible full time Central Office, Operations, Residential and Vocational non-exempt staff employed for 260 days per year who work on a recognized CARC holiday will be paid their regular hourly rate of pay for the number of hours worked on that holiday in addition to their holiday pay.
4. Vocational direct care staff that work on a day their program is closed but is not a CARC recognized holiday, will be paid their regular hourly rate of pay for the number of hours worked.
5. Part time employees will receive straight time pay if they work on a holiday.
6. CARC recognizes that some employees may wish to observe, as periods of worship or commemoration, certain days which are not included in the company's holiday schedule. Accordingly, employees who would like to take a day off for such reasons may be permitted to do so if the employee's absence from work will not result in an undue hardship on the conduct of the company's business and if prior approval has been obtained from the employee's supervisor. Employees may use accumulated days of annual leave or approved leave without pay for this purpose.
7. If a regularly observed holiday falls on a weekend, the Executive Director will designate either the Friday before or the Monday after the holiday for observance.
8. Employees will not receive pay for holidays which fall during a period of unpaid leave.
9. Employees must be employed the day before and the day after a holiday.

Policy:

It is the policy of CARC to provide opportunities for its employees to participate in a credit union.

1. CARC has made it possible for its employees to join the CSE Credit Union located at 4321 Nelson Road, Lake Charles, Louisiana.
2. Various saving and checking accounts are available to all participating employees. Payroll deductions and direct deposit are available.
3. All business must be conducted by the employee dealing directly with the credit union personnel.
4. CARC is not financially affiliated with or obligated to CSE Federal Credit Union.

Policy:

CARC has established a 401(k) retirement plan to help employee supplement their retirement income. Under this plan, CARC makes contributions to a trust fund which will pay a benefit at retirement. The Plan, in detail, is kept in the Personnel Department. A summary plan description is issued to individuals as they begin participation. Included below are some basic concepts of the plan.

1. Hour of Service – Each actual hour for which an employee is entitled to pay is considered an Hour of Service.
2. Year of Service
 - a. For purpose of determining eligibility to participate in the Plan, a Year of Service is a 12-consecutive month period beginning on date of hire during which the employee is credited with at least 1,000 hours of service. The employee must also have attained age 21 at the completion of this service requirement.
 - b. For purposes of determining if the employee is entitled to have an employer contribution allocated to their account, a Year of Service is a 12-consecutive month period which is the same as the Plan Year. For the Plan Year during which the employee is credited with at least “0” Hours of Service and, for all other employer contributions, this time period is the Plan Year during which the employee is credited with “0” Hours of Service.
3. Contributions – Eligible employees can contribute before tax monies up to the maximum percentage allowable of their compensated earnings. Employee contributions are payroll deducted. CARC contributes an amount up to 50% of the employee’s first 3% in contributions. CARC reserves the right stop or modify this “matching” amount at its discretion.
4. Vesting – The employee is considered to have completed one (1) Year of Service for purposes of vesting upon the completion of 500 Hours of Service at any time during a Plan Year. A Year of Service is a consecutive 12-month period which is the same as the Plan Year. The vesting schedule is: 20% after two years of this service and 20% each year thereafter with full vesting after six (6) consecutive Years of Service.
5. Plan Year – The Plan Year is the 12 month period beginning January 1 and ending December 31.
6. Enrollment – Enrollment dates are January 1 and July 1. When the employee becomes eligible for participation, enrollment is available on the next enrollment date.
7. Entry Date – The Entry Date will be the date on which the employee enters the Plan. This will be the earlier of the first day of the Plan Year or the first day of the seventh month of the Plan Year coinciding with or following the date on which the eligibility requirements are satisfied.

8. Investment of Contributions – The Plan provides numerous options for investment purposes. The employee participant has total control over the investment of the contributions as well as the Company’s matching funds. The investment designations can be changed at the will of the participant.

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Policy:

It is the policy of CARC that certain rules and regulations regarding employee behavior are necessary for the efficient operation of the company and for the benefit and safety of all employees. Conduct that interferes with operations, discredits the company or is offensive to clients, fellow employees or the general public will not be tolerated. (See Harassment, Section 608.)

1. CARC operates under rules and regulations imposed by various governmental agencies, statutes and acts. The mandates created by these entities require the company to incorporate standards of behavior and/or conduct to be followed by each of its employees.
2. Employees are expected at all times to conduct themselves in a positive manner so as to promote the best interests of the company.
3. Failure on the part of employees to perform according to the established behavior/conduct standards will result in disciplinary action. (See Disciplinary Procedures, Section 806.)
4. The examples given in #5 – #7 below are not intended to be an all inclusive listing. Employees are expected, at all times, to conduct their business in a manner consistent with the Policy statement above.
5. The very nature of CARC's operations creates the requirement of establishing a unique relationship to, responsibility for, and treatment of the clients we serve. Listed below are **examples** of behaviors by staff which necessitate disciplinary action. (See Staff Relationship to Clients, Section 502; Staff Responsibility to Clients, Section 503; Treatment/Abuse of Clients, Section 504; and Confidential Nature of Company Affairs, Section 805.)
 - a. Proven abuse of and/or misconduct with, whether physical, mental or verbal, a client at any time or under any circumstances, or
 - b. Knowledge of, abuse of, or misconduct with, whether physical or verbal, a client at any time or under any circumstances and failure to report same to the administrative official, or
 - c. Leaving a client unattended unless for a specific training purpose and written into client's program plan, or
 - d. The giving or administration of any drugs to a client without specific instruction and orders from a doctor, or
 - e. Violation of the principle of confidentiality of client records, or
 - f. Improper disclosure of confidential information, or

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- g. Buying anything from, selling anything to a client without program director's approval, exploiting or waging bets with clients. (See Staff Relationship to Clients, Section 502; Staff Responsibility to Clients, Section 503; Treatment/Abuse of Clients, Section 504; and Behavior of Employees, Section 801.)
 - h. Improper use of client's personal funds. This includes unauthorized or solicited use of client's debit/credit/ATM bank card, checking/savings account or cash money.
 - i. Theft, destruction, defacement or misuse of client's property.
 - j. Improper use of client's cell phone, tablet and electronic devices.
6. The health, safety and general well-being of clients and staff are of utmost importance to ensure that all operations run smoothly. Behavior that is contrary to this concept will be considered a disciplinary issue. Some **examples** of infractions of this type follow below. (See Section 900, Safety; Harassment, Section 608; and Drugs, Narcotics and Alcohol, Section 808.)
- a. Engaging in any form of harassment, sexual or otherwise. (See Harassment, Section 608.)
 - b. Threatening or intimidating management, supervisors or fellow workers.
 - c. Fighting or assault on a fellow employee, client or the general public.
 - d. The reporting to work under the influence of alcoholic beverages and/or illegal drugs and narcotics or the use, sale, dispensing, or possession of alcoholic beverages and/or illegal drugs and narcotics on CARC premises. (See Drugs, Narcotics and Alcohol, Section 808.)
 - e. Indulging in, or being under the influence of, any alcoholic beverage or other drug while on duty and on CARC premises. (See Drugs, Narcotics and Alcohol, Section 808.)
 - f. The possession of firearms or other weapons on company property.
 - g. Theft, destruction, defacement or misuse of company property (including motor vehicles, credit cards, donations, cash) or of another employee's property.
 - h. Proven theft of any property, either public or private.
 - i. Gambling on company property.
 - j. Conviction of or pleading guilty to a felony criminal offense.
 - k. Not complying with safety and security regulations. (See Employee Safety, Section 901.)

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- l. Carelessness of reasonable safety measures.
 - m. Horseplay, pranks or practical jokes.
 - n. Failure to maintain workplace and work area clean and orderly. (See Maintenance of Work Areas, Section 904.)
 - o. Failure to wear assigned safety equipment or failure to abide by safety rules and policies.
 - p. Wearing clothing inappropriate for the work being performed. (See Personal Appearance, Section 802.)
 - q. Improper attire or inappropriate personal appearance.
 - r. Failure to file appropriate incident reports or accident reports.
7. There are numerous employment issues dealing with operating a company in an efficient manner. Any conduct by staff which interferes with effective operations will not be condoned. Of major concern are employee behaviors created by issues such as dishonesty, incompatibility, inability, lack of desire or commitment, etc. **Examples** of staff behaviors of this nature are: (See Section 300, Operational Procedures; Section 600, Employment; and Section 800, Personal Conduct.)
- a. Failure of professional staff to meet state requirements/qualifications for their profession. This includes attendance at assigned inservice training. (See Attendance and Punctuality, Section 614 and Hours of Work, Section 605.
 - b. Being habitually late for work, or leaving work before proper time without permission. (Arriving late or leaving early will result in immediate dismissal if the client has been left unattended.)
 - c. Unapproved absenteeism from scheduled duty beyond personal leave days.
 - d. Not giving proper advance notice whenever unable to work or report on time. (See Attendance and Punctuality, Section 614.)
 - e. Failure to report to work punctually as scheduled and being at the proper work station, ready for work, at the assigned starting time. (See Attendance and Punctuality, Section 614.)
 - f. Failure of part time staff to accept three (3) consecutive work assignments when called upon.
 - g. Excessive number of personal phone calls, either outgoing or incoming, or taking care of personal business during working hours.

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- h. Using a cell phone or personal electronic device while driving a CARC vehicle or personal vehicle while conducting CARC business. (See Use of Communication Systems, Section 303.)
- i. Unauthorized traveling and/or transporting clients for any reason or to any function. (See Travel, CARC Vehicle Usage, Section 307.)
- j. Conducting personal business of any type while on company time. (See Purchasing Procedures, Section 301 and Travel, CARC Vehicle Usage, Section 307.)
- k. Failure to follow chain of command or failure to follow established grievance procedure. (See Grievance Procedure, Section 807.)
- l. Falsifying or altering any company record or report, such as an application for employment, medical report, production report, mileage report, petty cash expense report, time record, shipping/receiving records, expense account, absentee report, client documentation and records.
- m. Clocking in/out for a fellow employee or reporting incorrect times.
- n. Violation of company's policies on solicitation or distribution. (See Solicitation, Section 1002 and Donations and Fundraising, Section 302.)
- o. Failure to report to management suspicious, unethical or illegal conduct by fellow employees, customers or suppliers.
- p. Willful neglect or abuse of any property, equipment, material or supplies.
- q. Insubordination or the refusal by an employee to follow management's instructions concerning a job-related matter.
- r. Unsatisfactory performance of job duties / inefficiency / incompetency. (See Employee Supervision, Section 309.)
- s. Unauthorized sleeping on the job.
- t. Behavior or conduct deemed offensive or undesirable, or which is contrary to CARC's best interest. (See Courtesy, Section 803.)
- u. Treating any customer, visitor, client or fellow employee in a discourteous manner. (See Courtesy, Section 803.)
- v. Gossip, malicious or otherwise.
- w. The use of profanity or abusive language.

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- x. Secondary employment unless cleared through proper management personnel. (See Outside Employment, Section 611.)
- y. Smoking at times and in places prohibited by rules or local ordinances. (See Maintenance of Work Areas, Section 904 and Smoking, Section 809.)
- z. Eating meals other than during meal periods and in other than designated eating areas. (See Meal Breaks, Section 616.)
- aa. Failure to provide, proper, timely, complete and accurate documentation, reports, time records, service logs, etc.
- bb. Repeated failure to clock-in/out on LASRS and MITC will result in disciplinary action. (See Section 619 PAYROLL & TIMEKEEPING).

Policy:

It is the policy of CARC that an employee's dress and grooming should be appropriate to the work situation. Departures from conventional dress or personal grooming standards are not permitted, regardless of the nature of the job performed.

1. CARC employees often have contact with the public and therefore represent the company in their appearance as well as by their actions. The properly attired employee helps to create a favorable image for the company. Employees should dress so as to provide an appropriate role model for the clients they serve. Accordingly, the personal appearance of CARC employees is to be governed by the following standards.
 - a. Employees are expected to dress in a manner that is normally acceptable in business establishments. The wearing of suggestive attire, beach wear, flip flops, cutoffs, shorts, sweat suits, halter tops, camisoles, sundresses, muscle shirts, tank tops and see-through clothing is not permitted. Attire that exposes the mid-section is prohibited.
 - b. Skirts, and dresses must be no shorter than 3" above the knee and must have a finished hem.
 - c. Clothing that has profanity or obscene gestures is not permitted.
 - d. Pants cannot slip when walking. Neither under garments nor any part of the midsection should be visible.
 - e. Hair should be clean, combed and neatly trimmed or arranged. Shaggy, unkempt hair is not permissible regardless of length. Rollers or curlers in hair are not permitted. Sideburns, moustaches and beards should be neatly trimmed. Eccentric styles of facial hair will not be permitted.
2. The dress and grooming of CARC employees is to be governed by the requirement of safety and comfort. Loose fitting or baggy clothing, open-toe or high heel shoes, and dangling or protruding jewelry should not be worn by employees who work with clients, machinery or equipment with moving parts as it may create a safety hazard.
3. If any employee reports for work improperly dressed or groomed, the supervisor should instruct the employee to return home to change clothes or to take other appropriate action. The employee will not be compensated during such time away from work, and repeated violations of this policy will be cause for disciplinary action.

Policy:

It is the policy of CARC to provide its customers, clients and the general public with the best possible service. Employees are expected to treat customers, clients and the general public in a courteous, respectful manner at all times.

1. Employees should always remember that the clients, customers and the general public come first. Customers, clients and the general public should always be treated with the same common courtesy and respectful manner that each employee would want if their roles were reversed.
2. Employees with customer contact are expected to promote the company's best interests and to build customer goodwill. Such employees should also report recurring problems to their supervisor and/or make suggestions for changes in policies or operating procedures.
3. Employees should be prepared to listen carefully to inquiries and complaints and then deal with them in a responsive, professional manner. If a controversy arises, the employee should attempt to explain company policy in a clear, yet deferential manner.
4. Employees should be particularly careful to exercise courtesy and thoughtfulness in using the telephone. A positive telephone contact can enhance goodwill while negative experience can destroy a valuable relationship. (See Use of Communication Systems, Section 303.) The following procedures should be observed whenever possible:
 - a. When answering the telephone, use a pleasant tone of voice, give the name of the department and identify yourself.
 - b. If the person with whom the caller wishes to speak is on another line, ask the caller if he wants to be placed on hold.
 - c. If a caller has been placed on hold, carefully monitor the holding period and offer to have the call returned if the person with whom he wishes to speak is not available within a reasonable time.
 - d. When a caller leaves a name, number or message, make sure it is recorded correctly and given promptly to the appropriate individual.

PERSONAL FINANCES OF EMPLOYEES: 804

Policy:

It is the policy of CARC that all employees are expected to discharge their financial obligations promptly so that creditors will not have to ask for the company's assistance in collecting debts owed to them.

1. The failure of an employee to meet his financial obligations may have an adverse effect on the employee's job performance and may impose an administrative and financial burden on the organization in terms of extra bookkeeping and the necessity of responding to and complying with court processes.
2. Whenever CARC is served a writ of garnishment or attachment, a notice of levy by the Internal Revenue Service or other taxing authority, or any other similar order requiring payment of a portion of an employee's compensation to someone other than the employee, the recipient must immediately refer the matter to the payroll department for appropriate action.
3. In the event that garnishment or similar proceedings are instituted against an employee, the company will deduct the required amount from the employee's pay check. The amount deducted from an employee's earnings should not exceed that permitted by law.
4. No employee will be terminated by reason of the fact that his/her earnings have been subjected to garnishment.
5. CARC will not deny employment to, or terminate the employment of, any person solely because that person has filed a petition for bankruptcy.

CONFIDENTIAL NATURE OF COMPANY AFFAIRS: 805

Policy:

It is the policy of CARC that the general internal business affairs of the organization should not be discussed with anyone outside the organization except as may be required in the normal course of business. Information designated as confidential is to be discussed with no one outside the organization and only discussed within the organization on a "need to know" basis. CARC adheres to the Health Insurance Portability and Accountability Act of 1996 (HIPPA) which sets standards for privacy of protected health information (PHI).

1. The Program Director is responsible for coordinating the security and control of confidential information and for approving any exceptions to this policy. Employees should refer all media inquiries and other inquiries of a general nature to the Program Director and all press releases, publications, speeches or other official declarations must be approved in advance by the Executive Director or his designee.
2. Employees should refer inquiries seeking information concerning applicants for employment, current employees or former employees to the Personnel Department. (See Personnel Records, Section 615.)
3. Program Directors are responsible for identifying information that should be classified as confidential and should then work closely with their supervisors to develop procedures to control and secure the information.
4. Employees authorized to have access to confidential information are responsible for its security and may be required to sign special nondisclosure agreements. Employees are prohibited from attempting to obtain confidential information for which they have not received access authorization. Employees violating this policy will be subject to discipline up to and including termination and may be subject to legal action.
5. All employees have a responsibility to avoid unnecessary disclosure of internal information about the company, its customers and its clients. This responsibility is not intended to impede normal business communications and relationships, but is intended to alert employees to their obligation to use discretion to safeguard internal company affairs.

DISCIPLINARY PROCEDURES: 806

Policy:

It is the policy of CARC that all employees are expected to comply with CARC's standards of behavior and performance and that any noncompliance with these standards will subject the violator to disciplinary action. This policy does not alter "employment at will" and CARC reserves the right to terminate at any time

1. Under normal circumstances, CARC endorses a policy of progressive discipline in which it attempts to provide employees with notice of deficiencies and an opportunity to improve. However, it must be understood by all employees that immediate termination from employment can occur at any time if in the opinion of management the severity of the offense warrants it.
2. The normal application of progressive discipline should follow this general format:
 - a. If an employee is not meeting CARC standards of behavior or performance, the employee's supervisor should take the following action:
 - i. Meet with the employee to discuss the matter;
 - ii. Inform the employee of the nature of the problem and the action necessary to correct it; and
 - iii. Prepare an Employee Coaching statement to be signed and dated by the employee. Forward signed original to the Personnel Department to be placed in the employee's personnel file. If requested, a copy should be given to the employee.
 - iv. A follow-up Employee Coaching Review will be conducted to review expectations from the coaching meeting. Progress will be discussed and if any further action is needed.
 - b. If there is a second occurrence, the supervisor should hold another meeting with the employee and take the following action:
 - i. Issue a Disciplinary Action report to the employee to be signed and dated by the employee. Disciplinary Action reports require the approval of the Program Director and Assistant Executive Director. Forward signed original to the Personnel Department to be placed in the employee's personnel file.
 - ii. Warn the employee that a third incident will result in more severe disciplinary action.
 - c. If there are additional occurrences, the supervisor should take the following action:
 - i. Make a recommendation to the Program Director (copy to the Personnel Department) for the employee to be suspended without pay for up to five working days; or
 - ii. Make a recommendation to the Program Director (copy to the Personnel Department) for the employee to be terminated.

DISCIPLINARY PROCEDURES: 806

- d. When a Program Director receives a recommendation for suspension or termination of a subordinate employee, a determination of its validity must be jointly made by the Program Director, Assistant Executive Director and the Personnel Director. This shall be accomplished by review of the employee's discipline / evaluation record, the sequence of events leading up to the current situation, and the time interval between occurrences. If, after this review, the Program Director feels the recommendation is warranted, the issue is then referred to the Executive Director. The Executive Director makes the final decision regarding the recommendation.
3. The progressive disciplinary procedures described in items 1. and 2. above may be applied to an employee who is experiencing a series of unrelated problems involving job performance and/or behavior.
4. In cases involving serious misconduct such as a major breach of policy or a violation of law, the procedures contained in items 1. and 2. above may be disregarded. The supervisor should suspend the employee immediately and, if appropriate, recommend termination of the employee.
5. If a department head recommends termination for an employee in his/her department, the Personnel Director will investigate to ensure that all policies and procedures have been properly followed before a decision is made regarding that recommendation. (See Termination of Employment, Section 613.)
6. At any investigatory interview conducted for the purpose of determining the facts involved in any suspected violation of company rules and regulations, the following procedures are to apply:
 - a. Prior to the interview the employee who is suspected of violating company rules and regulations must be told in general terms what the interview is about.
 - b. The employee may have a co-worker present at the interview, provided he/she so requests.
7. Employees suspended from work will not receive or accrue any employee benefits during the suspension if the investigation reveals that the employee violated CARC policy.
8. Employees who believe they have been disciplined too severely or without good cause may utilize the grievance procedure. (See Grievance Procedure, Section 807.)
9. CARC reserves the right to change, alter or vary its disciplinary procedure, including the stated general format of the application of progressive discipline. (See Code of Employer-Employee Relations, Section 104.)

GRIEVANCE PROCEDURE: 807

Policy:

It is the policy of CARC that employees should have an opportunity, when appropriate and practical, to present their work-related complaints and to appeal management decisions through a formal grievance procedure. The company will attempt to resolve promptly all grievances that are appropriate for handling under this policy. This policy does not apply to terminated employees.

1. All formal grievances will originate with the Personnel Director. An appropriate grievance is defined as an employee's expressed feeling of dissatisfaction concerning any interpretation or application of a work-related policy by management, supervisors, or other employees. Examples of such actions which may be causes of grievances appropriate under this policy include:
 - a. Application of CARC policies, practices, rules, regulations and procedures believed to be to the detriment of an employee.
 - b. Treatment considered unfair by an employee, such as coercion, reprisal, harassment or intimidation. Note: If the grievance is for harassment especially sexual harassment, the grieved employee is not required to follow the chain of command. (See Harassment, Section 608.)
 - c. Alleged discrimination because of race, color, sex, age, religion, national origin, marital status, sexual orientation, disability or veteran status.
 - d. Improper or unfair administration of employee benefits or conditions of employment such as vacations, fringe benefits, promotions, retirement, holidays, performance review or salary.
2. Employees must notify the company, in a timely manner, of any grievance appropriate for handling under this policy. The grievance procedure is the exclusive remedy for employees with appropriate grievances. As used in this policy, the terms "timely fashion," "reasonable time" and "promptly" will mean ten working days.
3. Employees are not to be penalized for proper use of the grievance procedure. However, it is not considered proper if an employee abuses the procedure by raising grievances in bad faith or solely for the purpose of delay or harassment or by repeatedly raising grievances that have no merit.
4. The grievance procedure has a maximum of three steps, but grievances may be resolved at any step in the process. Grievances are to be fully processed until the employee is satisfied or does not file a timely appeal or until the right of appeal is exhausted. A decision becomes binding on all parties whenever an employee does not file a timely appeal or when a decision is made in the final step and the right of appeal no longer exists.

GRIEVANCE PROCEDURE: 807

5. Employees who feel they have an appropriate grievance should proceed as follows:
 - a. Step One – Promptly bring the grievance to the attention of the immediate supervisor. If the dispute involves the supervisor, the employee may proceed directly to Step Two. The supervisor is to investigate the grievance, attempt to resolve it, and give a decision to the employee within ten working days. The supervisor should prepare a written and dated summary of the grievance and proposed resolution for file purposes. (See Grievance Form, Section 1201, and Supervisor’s Report For Grievances Filed, Section 1202.)
 - b. Step Two – Appeal the decision to the Program Director, if dissatisfied with the supervisor’s decision, or initiate the procedure with the Program Director if Step One has been bypassed. If the dispute involves the Program Director, the employee may proceed to Step Three. This appeal or initial dispute notification must be made in a timely fashion using a written form provided for this purpose. The supervisor is then to submit a similar written form providing his version of the grievance and decision. The Program Director will, in a timely fashion, confer with both the employee, the supervisor, and any other members of management he deems appropriate, investigate the issues, and communicate a decision in writing to all the parties involved. (See Grievance Appeal Form, Section 1203.)
 - c. Step Three – Appeal the decision to the Assistant Executive Director and the Executive Director, if dissatisfied with the Program Director’s decision. Initiate the procedure with Assistant Executive Director and Executive Director if Steps One and Two have been bypassed. This appeal or initial dispute notification must be made in a timely fashion using a written form provided for this purpose. The Assistant Executive Director and Executive Director will take the steps deemed necessary to review and investigate the grievance and will then issue a written, final and binding decision. (See Grievance Appeal Form, Section 1203.)
6. Final decisions on grievances will not be precedent-setting or binding on future grievances unless they are officially stated as company policy. When appropriate, the decisions will be retroactive to the date of the employee’s original grievance.
7. Information concerning an employee grievance is to be held in strict confidence. Supervisors, Program Directors, Assistant Executive Director and other members of management are to investigate and discuss a grievance only with those individuals who have a need to know about it or who are needed to supply necessary background information.
8. Time spent by employees in grievance discussions with management during their normal working hours will be considered hours worked for pay purposes.

DRUGS, NARCOTICS AND ALCOHOL: 808

Policy:

It is the policy of CARC to maintain a work place that is free from the affects of drug and alcohol abuse. CARC is committed to protecting the safety, health and well- being of all employees and other individuals in the workplace. It is recognized that alcohol abuse and drug use pose a significant threat to our goals. CARC has established a drug-free workplace program that balances our respect for individuals with the need to maintain an alcohol and drug-free environment. This policy does not represent or express an implied contract, and it does not affect an employee's status as an at-will employee.

1. Employees are prohibited from the use, sale, dispensing, distribution, possession or manufacture of illegal drugs and narcotics or alcoholic beverages on company premises (including parking lots) and work sites. In addition, employees are prohibited from the off-premise use of alcohol and possession, use, or sale of illegal drugs when such activities adversely affect job performance or job safety.
2. Consistent with CARC's policy opposing drug abuse, all job applicants will undergo screening for the presence of illegal drugs as a condition of employment. In the event of a confirmed positive test for the presence, use or abuse of illegal drugs, the applicant will not be hired.
3. Employees will be immediately terminated for violations of this policy. Such violations include, but are not limited to, possessing illegal drugs or alcoholic beverages at work, being under the influence of such substances while working, using them while working, or dispensing, distributing or illegally manufacturing or selling them on company premises and work sites. Company-issued equipment is subject to search and surveillance at all times while on or away from company premises.
4. Employees, as a condition of employment, may be required to participate in pre-duty, periodic, post-accident, mishap, near miss, reasonable suspicion, return-to-duty and follow-up testing upon selection or request by management. An employee will be subject to the same consequences of a positive test if he/she refuses the screening of the test, adulterates or dilutes the specimen, substitutes the specimen with that from another person or sends an imposter, will not sign the required forms or refuses to cooperate in the testing process in such a way that prevents completion of the test. An employee who tests positive for drugs will be terminated immediately.
5. Employees will be subject to random unannounced testing. The selection of those employees for random testing will be made using a scientifically valid method that ensures each covered employee will have an equal chance of being selected each time selections are made. The random test will be unannounced and spread throughout the calendar year.
6. An employee who has a confirmed alcohol concentration of greater than 0.02 but less than 0.04 will be removed from his/her position for eight hours. An alcohol concentration of 0.04 or greater will be considered a positive alcohol test and in violation of this policy and result in immediate termination. Safety Sensitive and CDL employees are subject to provisions mandated by DOTD in the Safety Sensitive Transportation Policy Manual.

DRUGS, NARCOTICS AND ALCOHOL: 808

7. Drug testing is mandatory for all work-related injuries requiring a doctor's care and for drivers of motor vehicles involved in a vehicle-related accident while performing authorized company business. A positive drug test may result in the forfeiture of worker's comp benefits. Any driver or motor vehicles involved in a vehicle related accident while performing authorized company business must refrain from alcohol use for eight hours following the accident or until he/she undergoes a post-accident alcohol test.
8. Any employee who is reasonably suspected of being intoxicated, impaired, under the influence of a prohibited substance, or not fit for duty shall be suspended from his/her job duties pending an investigation and verification of condition. The Program Director or Personnel Director should be notified immediately and arrange safe transit for testing. Employees found to be under the influence of prohibited substances who fail to pass a drug or alcohol test shall be immediately terminated.
9. In the event of termination of an employee suspected of or found to be intoxicated, impaired or under the influence of a prohibited substance an offer will be made to the employee for alternative transportation.
10. To ensure the accuracy and fairness of our testing program, final testing will be conducted according to Substance Abuse and Mental Health Services Administration (SAMSHA) guidelines where applicable. It will include a screening test; a confirmation test; the opportunity for a split sample; review by a Medical Review Officer, including the opportunity for employees/applicants who test positive to provide a legitimate medical explanation for the positive result; and a documented chain of command.
11. CARC may choose to conduct a screening test at the company premises. If this test shows a non-negative result the applicant will be required to have a confirmatory test conducted at a SAMSHA facility.
12. The company will, to the extent feasible, provide continuing education for the work force about the ill effects of drug and alcohol abuse.

Policy:

It is the policy of CARC to comply with all applicable federal, state and local regulations regarding smoking in the work place and to provide a work environment that promotes productivity and the well-being of its employees.

1. CARC recognizes that smoking in the work place can adversely affect employees. Accordingly, smoking is restricted at all of its facilities and in all of its vehicles. This includes the use of electronic vapor devices.
2. Smoking is prohibited inside all CARC facilities and inside all CARC vehicles. The Executive Director is responsible for implementing smoking regulations, and directors and supervisors are expected to monitor and enforce such regulations. The smoking policy applies to employees and to customers and visitors.
3. Smoking is permitted outside of company vehicles and outside of buildings where not in conflict with prevailing safety policies. Employees are expected to exercise common courtesy and to respect the needs and sensitivities of co-workers as regards to the smoking policy. However, smokers have a special obligation to keep smoking areas litter-free and not to abuse break and work rules. Complaints about smoking should be resolved at the lowest level possible, but may be processed through the company's grievance procedure. (See Grievance Procedure, Section 807.) Employees who violate the policy will be subject to disciplinary actions. (See Disciplinary Procedures, Section 806.)
4. CARC does not discriminate against individuals on the basis of their use of legal products such as tobacco. However, such use must comply with company policy.

Policy:

It is the policy of CARC to comply with all applicable federal, state and local health and safety regulations and to provide a work environment as free as feasible from recognized hazards. Employees are expected to comply with all safety and health requirements whether established by management or by federal, state or local law. Specific information as it applies to all aspects of safety is found in various CARC manuals. These manuals are located at each CARC program site and copies are available for reference through each Program Director's office and from the Operations Director. (Refer to CARC's Safety Manual, Emergency Action Plan, Exposure Control Manual and Hazard Communication Manual.)

1. CARC has appointed the Operations Director as Safety Director whose responsibilities include:
 - a. Remain current with governmental safety and health regulations as well as licensing and insurance requirements and apply as is appropriate to CARC's operation.
 - b. Auditing, evaluating, and monitoring company safety rules, policies and procedures.
 - i. Investigate, supervise and/or review the investigation of all accidents which result in lost-time injuries.
 - ii. Investigate all reported near-miss incidents.
 - c. Perform random inspections of all work sites/work areas, machinery, equipment, vehicles, buildings, grounds and activities.
 - d. Organize and/or assist in safety training and evaluate the quality of safety meetings.
 - e. To communicate the status of all aspects of the CARC safety program to appropriate individuals and follow-up on all recommendations made.
2. Program Directors shall have total responsibility for the safety program within his/her department to:
 - a. Assure that employees are properly instructed regarding safe working methods and that supervisors fulfill their assigned responsibilities in regard to safety instructions and supervision.
 - b. Assure that safety meetings are scheduled and held in a fashion which emphasizes all aspects of safety.
 - c. Assure that required reports pertaining to injuries, vehicle accidents and investigations are promptly prepared and forwarded.

EMPLOYEE SAFETY: 901

- d. Make frequent inspections of work areas for the purpose of discovering and correcting unsafe conditions or unsafe working practices.
 - e. Encourage the reporting by employees of unsafe conditions, equipment, etc. and take necessary action to correct the deficiencies.
 - f. Require all personnel to obey safety rules, procedures and policies, and take or recommend appropriate disciplinary action whenever deemed necessary.
 - g. Require subordinate supervisors to determine causes of all accidents involving personnel or equipment under their supervision and to recommend measures to prevent similar accidents.
 - h. Conduct inspections on a regular basis, with notes of inspections available for review.
3. Supervisor's safety responsibilities include:
- a. Familiarizing themselves with all safety and health procedures relevant to the operations under their supervision.
 - b. Ensure proper training of all subordinates prior to all new job assignments and on a systematic and timely basis thereafter.
 - c. Monitor subordinates to ensure that their behavior/action/attitude is consistent with safety rules, policies and procedures.
 - d. Conduct periodic safety inspections in an attempt to seek out and correct all unsafe conditions and/or unsafe working practices. If a situation is beyond the scope of authority to correct, report the problem to the next level of command.
 - e. Immediately report injuries to the Safety Director's office and secure proper medical attention for injured subordinates.
 - f. Perform timely and accurate accident and near-miss investigations and report the results to the Program Director and the Safety Director immediately upon completion.
4. Employee's safety responsibilities include:
- a. Responsible for his/her own safety, safety of our clients, safety of his fellow workers, and the safety of the general public, with regard to his/her work.
 - b. Obey safety rules, policies and procedures as a condition of employment.
 - c. Wear protective equipment such as goggles, and/or hearing protectors, etc. whenever assigned.

EMPLOYEE SAFETY: 901

- d. Promptly inform his/her supervisor of any injury received while on the job, no matter how minor the injury or whether or not medical treatment is required. In addition, the injured employee shall assure that an accident report is sent to the Safety Director within 24 hours following the injury.
 - e. Promptly inform his supervisor of any noted items of unsafe equipment, unsafe tools or hazardous conditions.
 - f. Obtain specific instructions from his supervisor in all cases where conditions are not completely understood.
 - g. Submit to drug testing for all work-related injuries requiring a doctor's care and for all motor vehicle accidents during which the employee is conducting authorized company business.
5. The Safety Committee's responsibility is to review safety policies and procedures and make recommendations to senior management.

ACCIDENTS INVOLVING CLIENTS: 902

Policy:

It is the policy of CARC to maintain employees in each client area/location and shift trained in emergency medical procedures, including first aid and cardio pulmonary resuscitation (CPR).

1. Procedures for minor injuries:

- a. Administer first aid.
- b. Notify supervisor.
- c. The supervisor and CARC nurse will make the decision whether or not further medical attention is needed.
- d. If further treatment is necessary, the client will be transported to the appropriate treatment facility or company designated physician.
- e. The client supervisor will document the accident and injury on the appropriate accident report form and submit it to the supervisor.

2. Procedures for severe injuries:

- a. CPR or first aid should be administered, when appropriate.
- b. The client should be taken to the nearest emergency room or call "911" to have client transported to the nearest emergency room.
- c. At the same time, the client's parent/guardian should be phoned noting which hospital the client will be transported to.
- d. Injured clients will be taken home only if a family member is there to receive the client.
- e. The client supervisor will document the accident and injury on the appropriate accident report form and submit it to the supervisor.
- f. Serious injuries shall be reported to the Program Director, Assistant Executive Director, Executive Director and the Safety Director within one hour of the incident.

ACCIDENTS / INJURIES INVOLVING STAFF: 903

Policy:

It is the policy of CARC that every job-related accident/injury be reported promptly on a "CARC Employee Accident Report" form.

Procedures for minor injuries:

1. Administer first aid.
2. Notify CARC's on-staff nurse, Program Director and Safety Director.
3. If it is determined that further medical attention is necessary, arrangements will be made with the company designated physician or the injured employee's physician of their choice.

Procedures for severe injuries:

1. Call 911. Upon arrival, emergency personnel will determine if employee should be transported to nearest hospital.
2. Notify CARC's on-staff nurse, Program Director and Safety Director.
3. Notify person indicated in the staff's personnel file as the person to contact in case of emergency.
4. CARC reserves the right to require drug and alcohol testing after any job-related accident. If the accident requires the services of a doctor, drug testing is mandatory. Drug testing is also mandatory following all motor vehicle accidents for which an employee is conducting authorized company business. A positive drug test may result in the forfeiture of worker's comp benefits. (See Drugs, Narcotics, and Alcohol, Section 808 and Medical Procedures, Section. 607.)
5. In cases of injuries which require extensive treatment or cases of a questionable nature where the employee is using a doctor of their choice, CARC and its insurance carrier may require a second or third opinion from other doctors selected by the company or its insurance carrier.

MAINTENANCE OF WORK AREAS: 904

Policy:

It is the policy of CARC that work areas are to be kept clean and orderly at all times.

1. All employees are responsible for maintaining their work areas in a clean and orderly fashion at all times. To fulfill this responsibility each employee should at a minimum, do the following:
 - a. Prior to the end of the work day, clean and store all tools and equipment and properly secure any items, paper or confidential information. (See Confidential Nature of Company Affairs, Section 805.)
 - b. Food and beverages should be consumed only in employee rest areas or other designated areas so that work areas are kept free of food and related litter. (See Meal Breaks, Section 616.)
 - c. Place coats, boots and umbrellas and other items of clothing in designated areas so that work stations are not unnecessarily cluttered. (See Personal Property, Section 1001.)
2. Supervisors are responsible for making sure that their employees maintain their work areas in accordance with the requirements of this policy. Each supervisor should:
 - a. Make sure that aisles, doorways, floors and walls are free of debris and other unnecessary items and that all end of the shift tasks have been performed.
 - b. Monitor the facilities and equipment and issue maintenance requests where appropriate to the Program Director.
 - c. Arrange for removal of any item from the work place that is not needed for the flow of business.
 - d. Report to the Program Director any existing or potential work-place hazards. (See Employee Safety, Section 901.)
 - e. Insure that all trash, waste and scraps are properly disposed.
 - f. Insure that cleaning supplies, paints and other chemicals are properly labeled, sealed and secured during the course of use and during and at the end of the shift.
3. Smoking is not permitted in any CARC building or vehicle at any time.

ACCIDENTS INVOLVING VEHICLES: 905

Policy:

It is the policy of CARC that every vehicle accident be reported promptly on "CARC's Vehicle Accident Report" form. Forms are kept in the Safety/Operations Director's office.

1. A vehicle accident is defined as "any occurrence in which a CARC owned/leased vehicle or private vehicle engaged in authorized company business (see Travel, Private Vehicle, Section 306) comes in contact with another vehicle, a person, an object, or an animal, which results in death, personal injury, or property damage, regardless of who was injured, what property was damaged or to what extent, where it occurred, or who was responsible".
2. When involved in an accident, the CARC driver should follow these guidelines:
 - a. Stop the vehicle at once. Ensure that all passengers are placed in a safe location.
 - b. Aid the injured and call "911" if necessary.
 - c. Notify supervisor or other CARC designated person.
 - d. Protect the public by alerting oncoming motorists in order to prevent additional accidents.
 - e. Obtain other driver's name, address and the name and address of the owner of the other vehicle, if different from that of the driver. Also obtain the policy number and name of the other driver's insurance company. Give the same information to the other driver.
 - f. Make notation of the make and model of the other car(s) and license number.
 - g. Obtain names and addresses of any witnesses.
 - h. Do not move vehicle unless requested by police until after police have completed the investigation.
3. Whenever a CARC vehicle or private vehicle engaged in authorized company business has been involved in an accident, the driver shall complete a written report to be submitted to the Operations/Safety Director not later than the workday following the date of the occurrence. If the driver is unable to complete the report because of disability, the Director will complete the report for him/her. (See Travel, Safety, Section 308.)

ACCIDENTS INVOLVING VEHICLES: 905

4. Failure to report to management an accident/incident involving a CARC vehicle will result in immediate suspension. Continuation of employment will be determined after a thorough investigation.
5. CARC motor vehicle operators involved in accidents shall be required to take a drug test to determine the presence of drugs, narcotics or alcohol. (See Drugs, Narcotics, and Alcohol, Section 808 and Disciplinary Procedures, Section 806.)
6. Accidents involving CARC vehicles shall be reviewed by CARC Accident Review Panel to determine if accident was "avoidable" or "unavoidable".
 - a. If an employee has two (2) vehicle accidents of his/her responsibility within a three (3) year period, automatic termination will apply.
 - b. If an employee is involved in two (2) unavoidable accidents, no matter what the time lapse, he/she will be considered for additional training and/or job reassignment.

PERSONAL PROPERTY: 1001

Policy:

It is the policy of CARC to assist its employees in safeguarding their personal property while at work.

1. Employees are expected to exercise reasonable care to safeguard personal items of value brought to work. Such items should never be left unattended or in plain view. CARC does not assume responsibility for the loss or theft of personal belongings and employees are advised not to carry unnecessary amounts of cash or other valuables with them when they report to work.
2. Articles of personal property found on the premises should be returned to the owner, if known, or turned in to the supervisor. Inquiries regarding lost property should be directed to the supervisor.
3. CARC will reimburse employees for damages to their personal property resulting from an accident on the job, provided the accident is not caused by the negligence of the employee. Personal property is defined as the personal belongings of an employee such as work clothing and glasses. Clothing and personal items such as watches, jewelry and similar articles which are not appropriate for the performance of work are not covered under this policy. The accident must be reported immediately and the employee's supervisor must verify the circumstances and the damage.

Policy:

CARC prohibits the distribution of literature during work time and in work areas and solicitation of employees during work time, including by electronic methods. Solicitation or distribution of any kind by non-employees on CARC premises or through CARC networks is prohibited at all times.

1. CARC limits solicitation and distribution on its premises because, when left unrestricted, such activities can interfere with the normal operations of the organization, can be detrimental to employee efficiency, can be annoying, and can pose a threat to security.
2. The Executive Director is responsible for administering this policy and for enforcing its provisions. Employees will be subject to disciplinary action for violations of this policy. (See Behavior of Employees, Section 801.)
3. Non-CARC employee are prohibited from soliciting funds or signatures, conducting membership drives, distributing literature or gifts, offering to sell merchandise or services (except by representatives of suppliers properly identified to the Executive Director) or engaging in any other solicitation or similar activity on company premises.
4. The Executive Director may authorize fund drives by employees on behalf of charitable organizations or groups. Employees are encouraged to volunteer to assist in these drives. However, employees are not to be discriminated against because of their willingness or unwillingness to participate.
5. Employees are permitted to engage in solicitation or distribution of literature only in accordance with the following restrictions:
 - a. The sale of merchandise and school fundraiser items are prohibited on company premises during work time of either the employee making the solicitation or distribution, or the targeted employee.
 - b. The sale of prepared foods/lunches/dinners are prohibited on CARC premises at all times.
 - c. The distribution of literature in such a manner as to cause litter on company property is prohibited.
 - d. Off-duty employees are not allowed to return to CARC premises until their next scheduled work time except as a customer of the company.
 - e. CARC maintains bulletin boards to communicate company information to employees and post notices required by law. These bulletin boards are for the posting of company information and notices only, and only persons designated by the Personnel Director may place notices on or remove material from the bulletin boards.

FEDERAL & STATE FALSE CLAIMS ACT: 1101

Purpose:

CARC is committed to complying with the requirements of Section 6032 of the Federal Deficit Reduction Act of 2005, and preventing and detecting any fraud, waste or abuse in the organization. CARC maintains a compliance program and strives to educate its work force on fraud and abuse laws, including the importance of submitting accurate claims and reports to the Federal and State governments. CARC has instituted various procedures to ensure compliance with these laws and to assist us in preventing fraud, waste and abuse. To comply with the Deficit Reduction Act, CARC disseminates this policy to all employees to ensure that such persons are aware of certain relevant Federal and State laws, and that submission of a false claim can result in significant administrative and civil penalties under the Federal False Claims Act and other Louisiana State laws.

Policy:

To assist CARC in meeting its legal and ethical obligations, any employee who reasonably suspects or is aware of the preparation or submission of a false claim or report or any other potential fraud, waste, or abuse related to a Federally or State funded program is required to report such information to his/her supervisor and CARC's compliance officer. Any employee who reports such information will have the right and opportunity to do so anonymously and will be protected against retaliation for coming forward with such information both under our internal compliance policies and procedures and Federal and State law. However, CARC retains the right to take appropriate action against an employee who has participated in a violation of Federal or State law or CARC policy or intentionally and maliciously reports a false claim.

CARC commits itself to investigate any suspicions of fraud, waste, or abuse swiftly and thoroughly and requires all employees to assist in such investigations. If an employee believes that CARC is not responding to his or her report within a reasonable period of time, the employee shall bring these concerns about the perceived inaction to the Compliance Officer. Failure to report and disclose and assist in an investigation of fraud and abuse is a breach of the employee's obligation to CARC and may result in disciplinary action, up to, and including termination. CARC's Compliance Officer is Bennett McNeal, Assistant Executive Director.

Federal False Claims Act, 31 USC & 3279:

The False Claims Act is a federal statute that covers fraud involving any federally funded contract or program, including the Medicaid and Medicare programs. The act establishes liability for any person who knowingly presents or causes to be presented a false or fraudulent claim to the U.S. government for payment.

The term "knowingly" is defined to mean that a person, with respect to information:

- Has actual knowledge of falsity of information in the claim;
- Acts in deliberate ignorance of the truth or falsity of the information in a claim; or
- Acts in reckless disregard of the truth or falsity of the information in a claim.

FEDERAL & STATE FALSE CLAIMS ACT: 1102

Claim

For purposes of the False Claims Act, a “claim” includes any request or demand for money that is submitted to the U.S. government or its contractors.

Liability

Providers and suppliers who violate the False Claims Act can be subjected to the following:

- Civil monetary penalties ranging from \$5,500 to \$11,000 for each false claim submitted.
- In addition to the above, can be required to pay three times the amount of damages sustained by the U.S. government.
- If convicted of a False Claims Act violation, the U.S. government may seek to exclude the provider or supplier from participation in federal health care programs.

What is a False Claims Violation?

Any conduct that leads to the submission of fraudulent claims to the government such as knowingly making false statements, falsifying records, double-billing for items or services, submitting bills or services never performed, items never furnished, or otherwise causing a false claim to be submitted.

Specific examples of false claims (fraud) in regards to CARC employees:

- Falsification of timesheets
- Overlapping of time on timesheets
- Falsification of client documentation
- Documenting time worked when not at the jobsite

Qui Tam “Whistleblower” Provisions

Encourages individuals to come forward and report misconduct involving false claims. The False Claims Act includes a “qui tam” or whistleblower provision. It allows any person with actual knowledge of allegedly false claims to report it to the government. Such persons are known as “relators”.

Qui Tam Procedure

The relator must file his or her lawsuit on behalf of the government in a federal district court. The lawsuit will be filed “Under seal” meaning that the lawsuit is kept confidential while the government reviews and investigates the allegations contained in the lawsuit and decides how to proceed. If the government determines that the lawsuit has merit and decides to intervene, the prosecution of the lawsuit will be directed by the U.S. Department of Justice. If the government decides not to intervene, the whistleblower can continue with the lawsuit on his or her own.

Award to Qui Tam Whistleblowers

If the lawsuit is successful, and provided certain legal requirements are met, the qui tam relator may receive an award ranging from 25 to 30 percent of the amount recovered. The whistleblower may also be entitled to reasonable expenses including attorney’s fees and costs for bringing the lawsuit.

FEDERAL & STATE FALSE CLAIMS ACT: 1103

Whistleblower Protection

The False Claims Act provides protection to any employee, contractor, or agent who is discharged, demoted, suspended, threatened, harassed, or in any other manner discriminated against in the terms and conditions of their employment as a result of their lawful acts in efforts to stop violations of the False Claims Act. Remedies include reinstatement with comparable seniority as the employee, contractor, or agent would have had but for the discrimination, two times the amount of any back pay and compensation for any special damages sustained as a result of the discrimination, including litigation costs and reasonable attorney's fees.

Louisiana State Law

Under Louisiana state law, the definition of a false or fraudulent claim is slightly broader. At Louisiana Statute 46.438.3, "False or fraudulent claim" means a claim which the provider or his billing agent submits knowing the claim to be false, fictitious, untrue, or misleading in regard to any material information. Under state law, "knowing" or "knowingly" means that the person has actual knowledge of the information or acts in deliberate ignorance or reckless disregard of the truth or falsity of the information.

Just as with the federal whistleblower statute, under Louisiana state law, a private person ("Qui Tam plaintiff") may institute a civil action ("Qui Tam Action") in the courts of this state on behalf of the provider programs and herself/himself to seek recovery.

A person who is or was a public employee or public official or a person who is or was acting on behalf of the state shall not bring a qui tam action if the person has or had a duty or obligation to report, investigate, or pursue allegations of wrongdoing or misconduct by health care providers, or had access to the records of the state through the normal course and scope of his employment relative to activities of health care providers.

State Whistleblower Protection

No employer of a qui tam plaintiff shall discharge, demote, suspend, threaten, harass, or discriminate against a qui tam plaintiff at any time arising out of the fact that the qui tam plaintiff brought an action pursuant to this Subpart unless the court finds that the qui tam plaintiff has instituted or proceeded with an action that is frivolous, vexatious, or harassing.

No employee shall be discharged, demoted, suspended, threatened, harassed, or discriminated against in any manner in the terms and conditions of his/her employment because of any lawful act engaged in by the employee in furtherance of any action taken pursuant to this Part in regard to a provider or other person from whom recovery is or could be sought. Such an employee may seek any and all relief of his/her injury to which he/she is entitled under state or federal law.

No individual shall be threatened, harassed, or discriminated against in any manner by a provider or other person because of any lawful act engaged in by the individual in furtherance of any action taken pursuant to this Part in regard to a provider or other person from who recovery is or could be sought except that a provider may arrange for a recipient to receive goods, services, or supplies from another provider if the recipient agrees and the arrangement is approved by the DHH secretary. Such an individual may seek any and all relief for his injury to which he/she is entitled under state or federal law.

FEDERAL & STATE FALSE CLAIMS ACT: 1104

Recovery Awarded to a Qui Tam Plaintiff

Generally, if the DHH secretary or the attorney general intervenes in the action brought by a qui tam plaintiff, the qui tam plaintiff shall receive at least ten percent, but not more than twenty percent, of recovery, exclusive of the civil monetary penalty provided in R.S. 46:439.6(c). In making a determination of award to the qui tam plaintiff the court shall consider the extent to which the qui tam plaintiff substantially contributed to investigations and proceedings related to the qui tam action.

Rewards for Fraud and Abuse Information

State law provides that there may be a reward of up to \$2,000 to an individual who submits information to the DHH secretary which results in recovery pursuant to the provisions of this Part, provided such individual is not himself subject to recovery under this Part.

Louisiana State False Claims Penalties

- Payment of actual damages.
- In addition to actual damages, a civil fine not to exceed \$10,000 per violation; or
- A civil fine not to exceed three times the value of the illegal remuneration, whichever is GREATER.
- Payment of interest on the mandatory civil fine imposed.

Detecting and Preventing Fraud, Waste and Abuse

As responsible members of our community CARC pledges to conduct its business in a manner that satisfies its ethical and legal obligations as well its own high standards of integrity and quality. CARC is committed in preventing fraud, waste and abuse within the organization and the following procedures are set:

- a. CARC employees receive False Claims Act training upon hire and annually thereafter.
 - Billing, service logs, timesheets and client documentation are compared, reviewed and audited each pay period by CARC staff.
 - The Quality Assurance Team conducts monthly random checks of client files to ensure federal and state compliance.
- b. An independent audit is conducted by an outside CPA firm on a yearly basis.

CARC's Compliance Committee is responsible for coordinating, overseeing, monitoring and assisting compliance of the Federal and State False Claims Act. Any possible wrongdoing or suspected violations should be reported to one of the following members:

Nancy Golden, Compliance Officer

Hildy LeJeune, CARC Personnel Director

Stacy Roach, CARC Finance Director

Members are located at CARC Central Office, 4100 Senator J Bennett Johnston Avenue, Lake Charles, LA and may be contacted at 337-433-3620.

CARC Employee Grievance Form
(See Grievance Procedure, Section 807)

Complainant is to submit this to his/her supervisor. The supervisor is to sign and date indicating receipt and make copies for the complainant and the Personnel Director immediately upon receipt.

Complainant's Name: _____

Date Filed: _____

Date of Incident: _____ Time of Incident: _____

Name of Witnesses: _____

Name of person(s) grievance is directed toward: _____

Nature of complaint: Describe what happened to cause you to file this complaint:

Indicate the specific section(s) of the policy manual that applies to your grievance:

Tell what you feel would be a fair solution to your complaint:

Signature of Complainant

Signature of Supervisor

Date Received

Supervisor's Report for Grievances Filed

This form is to be used for recording the follow-up on all grievances and must be attached to the Grievance Form 1101. Copies are to be made for the complainant and the Personnel Director once this step has concluded.

Complainant's Name: _____ Date of Report: _____

Description of investigative procedure conducted: _____

Steps taken to resolve the grievance: _____

Supervisor's decision regarding this grievance: _____

Signature & Title of Person Making this Decision

Date

Complainant's Statement for Step 1 Decision

_____ I accept this decision regarding my grievance.

_____ I do not accept this decision regarding my grievance and appeal to a higher authority. Form 1102 and Form 1101, attached, will be forwarded immediately to the next higher authority by the person reporting.)

Signature of Complainant

Date

CARC Grievance Appeal Form

This form is to be used for Steps 2 and 3 and must be attached to Forms 1101 and 1102. Copies will be made for the complainant and the Personnel Department once this step has been concluded.

Step 2 or 3 (Circle one)

Complainant's Name: _____

Date appeal received: _____

Description of investigative procedure conducted: _____

Steps taken to resolve the grievance: _____

Decision regarding this grievance:

Step 2: _____
Signature of Program Director / Date

Step 3 : _____
Signature of Assistant Executive Director / Date

Signature of Executive Director / Date

INFORMATION SECURITY PLAN: 1301

Policy:

CARC's Information Technology Security Policy is the foundation of CARC's electronic information security efforts. Each member of CARC's workforce is responsible for the security and protection of electronic information resources. Resources to be protected include networks, computers, software and data. This policy summarizes employees' information security responsibilities.

1. Listed below are terms used in this policy.
 - a. Authentication – The process of verifying the identity of anyone who wants to use CARC information before granting them access.
 - b. Back Up – To copy files to a second medium (for example, USB jump drive, external hard drive) as a precaution in case the first medium fails.
 - c. Confidentiality/Non-Disclosure Agreement – An agreement that outlines sensitive materials or knowledge that two or more parties wish to share with one another. Both parties agree not to share or discuss with outside parties the information covered by the agreement.
 - d. System or Software Configuration Files – Highly important files that control the operation of entire systems of software.
 - e. Encryption – The translation of data into a secret code. Encryption is the most effective way to achieve data security. To read an encrypted file, you must have access to a secret key or password that enable to you decrypt it.
 - f. Information Security – Safeguarding an organization's data from unauthorized access or modification to ensure its availability, confidentiality and integrity.
 - g. Local Security Administrator – Person (Operations Director) who is responsible for operational maintenance of IT security resources within the organization.
 - h. Network – Two or more linked computer systems.
 - i. Password – Sequence of characters (letters, numbers, symbols) used in combination with a User ID to access a computer system or network and to authenticate the user before he/she gains access to the system.
 - j. Personally Identifiable Information (PIN) – Any piece of information that could be used to uniquely identify, contact, or locate a single person. Examples include: full name, national identification number, email address, IP address, driver's license number and social security number.
 - k. User ID – Unique name given to a user for identification to a computer network, database, application, etc. Coupled with a password, it provides a minimal level of security.

- I. Virus/Malicious Software – A software program that interferes with computer operation, damages or destroys electronic data, or spreads itself to other computers. Viruses and malicious software are often transmitted via e-mail, documents attached to email, and the Internet.
 - m. Workforce Member – Any CARC workforce including employees, contractors and vendors.
2. CARC employees are expected to comply with CARC’s Information technology Security Policy. The following are policies that employees must follow as part of their job responsibilities.
- a. Information created or used in support of CARC business activities is the property of CARC.
 - b. Assigned information technology resources are meant to help employees perform assigned duties. It is the employee’s responsibility to ensure that resources are not misused.
 - c. Employees needing to access confidential information as part of their duties, may be required to sign a confidentiality or non-disclosure agreement.
 - d. Most CARC facilities house sensitive or critical information systems. Employees are expected to comply with all physical access controls designed to restrict unauthorized access.
 - e. Employees may not remove CARC equipment or data from workplace unless they have received appropriate prior approval.
 - f. Use of the network and internet is for work related purposes only. Conducting personal business of any type while on company time is a violation of CARC Policy (See” Behavior of Employees 801:7(i)”.

Employees disregarding security policies, standards or procedure may be subjected to disciplinary action up to and including termination of employment.

3. Security responsibilities fall under different information technology categories. Each category and the key responsibilities associated with it are listed below:
- a. Employees will be issued a unique network user ID. Employees must use their own user ID to access CARC’s information / resources.
 - b. Employees must not share User IDs and passwords with other users or individuals, including coworkers and supervisors.

HARDWARE & SOFTWARE GUIDELINES: 1303

- c. If employee suspects someone else knows his/her password, employee must have it changed immediately. Suspicions should be reported to CARC Operations Director.
 - d. If an employee loses or forgets password, he/she must request a new password from CARC Operations Director.
 - e. Network passwords should be changed every 180 days.
3. Hardware and Software Guidelines for Employees include the following:
- a. Before leaving computer while logged on the network, use "Lock Computer" featured by pressing Ctrl-Alt-Delete.
 - b. Never download or install any hardware or software. Live streaming of music or videos is prohibited on all CARC computers, cell phones and/or personal cell phones using CARC internet or CARC WiFi
 - c. Use of software not purchased by CARC is prohibited. Requests for special software will be reviewed and approved by CARC Director of Operations.
 - d. It is prohibited to make any changes to system and/or software configuration files.
 - e. Maintain your business data files on CARC's network drive so that your file can be backed up on a daily schedule.
 - f. Do not attempt to connect your workstation, laptop or other computing devices to internet via an unauthorized wireless or other connection while simultaneously connected to CARC network.
 - g. Do not keep liquids or magnets on or near computers.
 - h. Ensure that all computer equipment is plugged into a surge protector at all time.
 - i. Report all computer problems in detail to CARC Operations Director.
 - j. Computers do not have to be turned off at the end of workday, but should be turned off at the end of workweek.
 - k. It is suggested computers are turned off during inclement weather.
4. Email is an important part of CARC's communication system. Below are guidelines to follow:
- a. CARC email system and network are primarily for CARC business. Management is entitled to inspect or review electronic mail and data files.

INFORMATION SECURITY GUIDELINES: 1304

- b. It is prohibited to use a CARC email account assigned to another individual to send or receive messages i.e., to act as that individual's email delegate.
- c. Use of internet (external) email systems from CARC networks and/or desktop devices is prohibited unless there is a business reason for such use.
- d. Do not configure or use automated forwarding to send CARC email to internet-based (external) email systems unless specifically authorized to do so by CARC Director of Operations.
- e. Treat confidential or restricted files sent as attachments to email messages as confidential or restricted documents. This also applies to confidential or restricted information embedded within an email message as message text.
- f. Do not open any e-mail from unknown sources. You should know the source of an e-mail that includes an attachment before downloading. If you are not sure of the source, contact the sender to verify authenticity.
- g. Do not delete e-mail messages or other data if management has identified the subject matter as relevant to CARC business.

Internet access is primary for CARC business and should be used for work related purposes.

- 7. Information Security guidelines include the following:
 - a. Treat hardcopy or electronic Personal Identifiable Information (PHI) as confidential and use all precautions necessary to ensure that it is not compromised. Disclosure of PHI to unauthorized users is a violation of this policy.
 - b. Unless you are actively working with the data, PHI must be kept secure.
 - c. Information created, sent or received via email system, network, internet telephones or intranet is the property of CARC.
 - d. Information created and stored on CARC systems, including e-mail messages or electronic files is not considered as private. Encrypting or using other measures to protect or "lock" an email message or electronic file does not mean the data are private.
 - e. CARC reserves the right to access, read and review, monitor and copy all messages and files on its computer system as it deems necessary.

PROHIBITED ACTS: 1305

8. Prohibited Activity. The following technology uses are prohibited:
- a. Using, transmitting, or seeking vulgar, profane, obscene, abusive, harassing, threatening or defamatory language or materials.
 - b. Revealing PHI without permission, such as another's home address, telephone number, credit card number or social security number.
 - c. Making offensive or harassing statements or jokes about language, race, color, religion, national origin, veteran status, ancestry, disability, age or sexual orientation.
 - d. Visiting sites featuring pornography, terrorism, espionage, theft, illegal drugs or other subjects that violate or encourage violation of the law.
 - e. Gambling or engaging in any other activity in violation of local, state or federal law.
 - f. Uses or activities that violate the law, CARC policy or encourages others to violate the law or CARC policy.
 - g. Accessing, transmitting or seeking confidential information about clients or coworkers without proper authorization.
 - h. Intruding, or attempting to intrude, into the folders, files, work, networks or computers of others, or intercepting communications intended for others.
 - i. Knowingly downloading or transmitting confidential information without proper authorization.
 - j. Uses that cause harm to others or damage to their property.
 - k. Downloading or transmitting copyrighted materials without the permission of the copyright owner.
 - l. Using someone else's password to access the network or the internet.
 - m. Intentionally uploading a virus, other harmful component, or corrupted data or vandalizing any part of CARC's network
 - n. Creating, executing, forwarding or introducing computer code designed to self-replicate, damage or impede the performance of a computer's memory, storage, operating system or application software.
 - o. Engaging in activities that jeopardize the security of and access to CARC network.

PROHIBITED ACTS: 1306

- p. Conducting unauthorized business or commercial activities including, but not limited to:
 - i. Buying or selling anything over the internet.
 - ii. Soliciting of advertising the sale of any goods or services.
 - iii. Unauthorized outside fund-raising activities, participation in any lobbying activity, or engaging in any prohibited partisan political activity.