



**Northeast Oklahoma  
Community Action Agency,  
Inc.**

**Human Resources  
Policies and Procedures Manual  
September 25, 2017 – September 25, 2018**



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## **SECTION 1**

## POLICY AND PROCEDURES MANUAL

*Effective Date: September 25, 2017*

### PURPOSE/POLICY

NEOCOA, Inc. Personnel Policy and Procedure Manual provides management with an approach to administering personnel, payroll, and human resource department policies and procedures. This Personnel Policy and Procedure Manual IS NOT INTENDED and SHOULD NOT BE INTERPRETED as creating a contract of employment for any set term. Every employee of NEOCOA, Inc. is an at-will employee as provided by Section 2 hereof.

### PROCEDURE

The Manual will generally be distributed either electronically or hard copy to staff and to the Board of Directors (BOD), and all staff will sign a statement of receipt.

1. The Manual applies to employees; however, it does not apply to people placed with our agency by an outside Agency to provide service to the agency. Although not all policies apply to individuals volunteering at the agency, all workers are expected to meet behavioral requirements of the workforce.
2. In response to updated regulations, laws, personnel, payroll, and human resources best practices, the Manual is subject to change at any time, with approval by the Board of Directors.
3. Written authorization from the Executive Director is required prior to changing/updating the Manual and must have approval from BOD.
4. Updates will be brought to the immediate attention of the appropriate groups of employees, volunteers, and independent individuals and Agencies under contract or agreement to provide services through any of the following means:
  - a. Meeting
  - b. Posting of the change(s) on the employee bulletin board
  - c. Memorandum
  - d. Amendments to the documents themselves
5. This Manual is available on the agency website and a copy will be kept on the front bulletin board.

## SECTION 2

### **EMPLOYMENT POLICIES AND PRACTICES**

#### EMPLOYMENT-AT-WILL

Effective Date: **September 25, 2017**

#### PURPOSE/POLICY

Each employee of NECAA, Inc., is an employee-at-will and subject to termination by NEOCOA, Inc., at any time, for any reason, and with or without notice, unless the employee is employed pursuant to a written employment agreement signed by both NEOCOA, Inc., and that employee which specifically states that the employee may be terminated only for cause.

#### PROCEDURE

1. No one may modify this policy for any employee or enter any agreement contrary to this policy. No one will make any representation to any employee or applicant concerning any term or condition of employment with the Agency that is not consistent with this policy.
2. No statement contained in this policies and procedures manual, employee handbook, employment application, recruiting material, Agency memorandum, or other material provided to any employee in connection with his or her employment will be construed as contradicting this policy by creating any expressed or implied contract of employment.
3. At the time of hiring, each employee will be informed that he or she is employed at the will of the Agency and is subject to termination at any time, for any reason, with or without notice, and with or without cause.
4. Completion of an orientation period will not change an employee's status as an employee-at-will or in any way restrict the Agency's right to terminate such an employee.

## **EQUAL EMPLOYMENT OPPORTUNITY (ANTI-DISCRIMINATION)**

Effective Date: **September 25, 2017**

### **PURPOSE/POLICY**

NEOCAA, Inc. will provide its employees and applicants Equal Employment Opportunities (EEO) without regard to race, color, religion, sex, national origin, age, disability (physical or mental), veteran status, pregnancy, marital status, medical condition, sexual orientation, or any other status protected under federal and state law as outlined in the Equal Employment Opportunity Commission (EEOC) regulations. A prohibition against discrimination is stated as a general condition of all grants of the Economic Opportunity Act of 1964 as amended. This agency complies with all Oklahoma Department of Commerce (ODOC) regulations and all provision of Title VI of the Civil Rights Act of 1964, and/or any and all other federal and state regulations as applicable.

This policy applies to recruiting, hiring, appointment, and promotion into all position classifications. The Agency will ensure all personnel will be administered without discrimination.

### **PROCEDURE**

1. The Executive Director is responsible for overseeing the administration of the EEO Policy and may act through the EEO Officer as necessary to carry out this policy.
2. The Agency is responsible for ensuring that it does not illegally discriminate, harass, or retaliate in any policy, practice, or procedure on the basis of any non-merit factor as outlined in the federal and state laws and regulations.
3. Human Resources Manager (HRM) will administer the Agency's applicant tracking system and compiling data for required EEOC reports, ensuring the Agency meets all EEOC-related requirements, including confirming appropriate notices are posted on the bulletin boards of the various programs and sites. This information may also be used to ensure that employment-related decisions are made in compliance with federal and state non-discrimination laws and this policy.
4. The EEO Officer/HR Manager will arrange for EEO and diversity training for all employees and volunteers. All employees are responsible for creating and maintaining a work environment free of discrimination and harassment.
5. NEOCAA, Inc. is committed, and required by law, to take action if it learns of discrimination, harassment, or retaliation in violation of the Agency's EEO Policy, whether or not the aggrieved employee files a complaint.
6. An employee, applicant, or volunteer will be given the option to file a discrimination, harassment, or retaliation complaint with the EEO Officer. Both parties will be promptly informed at the conclusion of the investigation whether allegations have been determined to be founded, unsubstantiated, or unfounded.
7. The EEO Officer is responsible for promptly responding to, reporting, and/or investigating any suspected acts of unlawful discrimination, harassment, and retaliation in violation of NEOCAA, Inc. EEO Policy. The EEO Officer must immediately report suspected unlawful discrimination, harassment, and retaliation to the Executive Director.

## POLITICAL AFFILIATIONS

Effective Date: **September 25, 2017**

### PURPOSE/POLICY

NEOCOA, Inc., its management, and administration will ensure, as far as reasonably possible, that all program activities are conducted in a manner which provides assistance effectively, efficiently, and free of any taint of partisan political bias. Pursuant to 5 USCS 1501-1509 (the Hatch Act) and regulations relating to the Economic Recovery and Budget Reconciliation Act, all employees, volunteers and board members of grantees or subcontractors have certain restrictions placed on their political activities. Such restrictions include, but are not limited to, the following:

NEOCOA, Inc. employee may not:

1. Use his or her official authority or influence for the purpose of interfering with or affecting the result of an election or nomination for office.
2. Directly or indirectly coerce, attempt to coerce, command, or advise a state or local officer or employee to pay, lend, or contribute anything of value to a political party, committee, Agency, agency, or person for a political purpose.
3. Be a candidate for elective public office in a partisan election.
4. Use any program funds for any political purpose. Neither may the employer permit the use of equipment or premises, which are purchased or leased with program funds, for political purpose.

### PROCEDURE

1. Activities will not be carried on in a manner involving the use of program funds, the provision of services, or the employment or assignment of personnel in a manner supporting or resulting in the identification of such programs with:
  - a. Any partisan or nonpartisan political activity or any other political activity associated with a candidate, or contending faction or group, in an election for public or party office.
  - b. Any voter registration activity.
  - c. Any activity to provide voters or prospective voters with transportation to the polls or similar assistance in connection with any such election.

## **HARASSMENT**

Effective Date: **September 25, 2017**

### **PURPOSE/POLICY**

NEOCOA, Inc. is committed to maintaining a work environment that is free from harassment where employees at all levels of the Agency are able to devote their full attention and best efforts to the job. Harassment, either intentional or unintentional, will not be allowed in the workplace. NEOCAA prohibits, and will not tolerate any form of, harassment of or by any employee or individual within the Agency (whether managerial or non-managerial) based on race, color, religion, sex, national origin, age, disability (physical or mental), veteran status, pregnancy, marital status, medical condition, sexual orientation, or any status protected by federal and state law and regulation.

### **PROCEDURE**

#### **Sexual Harassment**

1. Sexual harassment includes unwelcome sexual advances, requests for sexual favors, and other physical or verbal conduct of a sexual nature when it meets any of the following:
  - a. Submission to such conduct is either explicitly or implicitly made a term or condition of an individual's employment.
  - b. Submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual.
  - c. Such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile, or offensive environment for working.
2. Examples of sexual harassment include, but are not limited to:
  - a. Some incidents of physical assault.
  - b. Direct or implied threats that submission to sexual advances will be a condition of employment, work status, or promotion.
  - c. Direct propositions of a sexual nature and/or subtle pressure for sexual activity that is unwanted and unreasonably interferes with a person's work.
  - d. Sexual comments or inappropriate references to gender or physical characteristics.
  - e. Sexually explicit statements, questions, jokes, or anecdotes regardless of the means of communication (oral, written, electronic, etc.).
  - f. Unwanted touching, patting, hugging, brushing against a person's body, or staring.
  - g. Inquiries and comments about sexual activity, experience, or orientation.
  - h. The display of inappropriate sexually oriented materials in a location where others can view them.

## **Other Harassment**

1. All persons involved in the Agency are entitled to work in an atmosphere free of harassment of any kind. Individuals may occasionally make statements or use words, objects, or pictures that others could interpret as being insulting or derogatory toward persons based on their race, color, religion, sex, national origin, age, disability (physical or mental), veteran status, pregnancy, marital status, medical condition, sexual orientation, or any other status protected by federal and state law or regulation.
2. Such conduct may make a reasonable person uncomfortable in the work environment or could interfere with an employee's ability to perform his or her job. Comments or actions of this type, even if intended as a joking matter among friends, are always inappropriate in the workplace and will not be tolerated.

## **Reporting Procedures**

1. Any individual, regardless of position, who has a complaint of, or who witnesses, harassment at work by anyone has a responsibility to immediately bring the matter to their Program Director, immediate supervisor, EEO Officer or the Executive Director's attention. If an employee reports an incident, the Executive Director is responsible for immediately investigating the alleged incident.
2. NEOCAA will make every reasonable effort to conduct all proceedings in a manner that will protect the confidentiality of all parties. Parties to the complaint should treat the matter under investigation with discretion and respect for the reputation of all parties involved.
3. Complainants will be asked to provide a written description of their complaint to the Executive Director.
4. Once a complaint has been accepted for review, an investigation will begin. The investigation may include, but is not limited to, review of written statements from both parties, witness interviews, obtaining witness declarations, review of documentation, and on-site investigation. Any person conducting an investigation will maintain a written record of all witness interviews, evidence gathered, the outcome of the investigation, and any other appropriate documents. Records of such an investigation will not be maintained in personnel files unless they are part of a formal corrective action.
5. Results of the investigation will be shared with the appropriate people. When there is sufficient evidence to support the complaint, written notification of investigative findings will be sent to the complainant and the respondent.
6. If it is concluded that discrimination, harassment, or retaliation has occurred, a determination will be made as to the appropriate sanctions or corrective action.

**PURPOSE/POLICY**

NEOCOA must respond to suspected or known child abuse or sexual abuse whether it occurs inside or outside of the program. Each person within the organization must report child abuse and neglect in accordance with the provision so f applicable state or local law.

**PROCEDURES**

1. Individuals in the organization will preserve the confidentiality of all records pertaining to child abuse or neglect in accordance with applicable state law.
2. No one within the organization will undertake, on their own, to treat cases of child abuse and neglect.
3. Each person in the organization will cooperate fully with child protective service agencies.
4. NEOCAA will make every effort to retain in the program children allegedly abused or neglected.
5. Family/Community Partnership Manager is designated with responsibility for:
  - i. Informing parents and staff of what state laws require in cases of child abuse and neglect.
  - ii. Knowing what community medical and social services are available for families with an abuse or neglect problem.
  - iii. Establishing and maintaining cooperative relationships with the agencies providing child protective services in the community and with any other organization to which child abuse and neglect must be reported under state law, including regular formal and informal communication with staff at all levels of the agencies.
  - iv. Reporting instances of child abuse and neglect among Early Head Start/child care children reportable under state law on behalf of the Early Head Start/child care program.
  - v. Discussing the report with the family if it appears desirable or necessary to do so.
  - vi. Informing other staff regarding the process for identifying and reporting child abuse and neglect.
6. Training:
  - i. NEOCAA provides orientation and training, which fosters a helpful rather than a punitive attitude toward abusing or neglecting parents

and other caretakers, for staff on the identification and reporting of child abuse and neglect.

- ii. NEOCAA provides and orientation for parents, which fosters a helpful rather than a punitive attitude toward abusing or neglecting parents and other caretakers, on the need to prevent abuse and neglect and provide protection for abused and neglected children.

## **AFFIRMATIVE ACTION**

Effective Date: **September 25, 2017**

### **PURPOSE/POLICY**

NEOCAA recruits and hires a diverse workforce and provides equal opportunities to all candidates to better reflect our job market and better service our clients.

### **PROCEDURE**

1. When recruiting for open positions, it is the responsibility of the HRM to advertise and recruit in media and markets that offer equal opportunities.
2. HRM reviews hiring records to ensure a diverse workforce is being maintained.
3. EEO Officer will be responsible for monitoring and maintaining the affirmative action records.
4. All advertisements will state that the agency is an equal opportunity employer.
5. Advertisements must be approved by the Executive Director.

## **CERTIFICATION AND LICENSE REQUIREMENTS**

Effective Date: **September 25, 2017**

### **PURPOSE/POLICY**

NEOCAA, Inc. requires employees to obtain and maintain all job related licenses and certifications.

### **PROCEDURE**

1. Prior to beginning work, employees whose position requires licenses and/or certifications must provide copy of transcripts to HRM. A copy of the license and/or certification will be kept in the personnel file.
2. Where licenses or certifications are required, renewal must be made according to federal and/or state law. It is the employee's responsibility to ensure the licenses and/or certifications are kept current and copies are submitted to HRM.

## PROBLEM RESOLUTION/GRIEVANCE

Effective Date: **September 25, 2017**

### PURPOSE/POLICY

NEOCOA, Inc. provides means for all persons involved in the Agency to bring problems and complaints concerning their employment to the lowest possible level of supervision.

Employees will be given an opportunity to present their complaints and to appeal decisions by management through a formal complaint and grievance procedure. All complaints or incidents will be documented and placed in a file separate from the employee's personnel file. This policy in no way alters the policy of employment-at-will.

### PROCEDURE

1. **Immediate Supervisor:** All grievances should be presented to an immediate Supervisor. The individual and Supervisor should attempt to address the problem through discussion or after consulting with appropriate management, when necessary. The Supervisor will document the discussion. If the problem involves an employee's immediate Supervisor or if the immediate Supervisor cannot resolve the issue, the employee should proceed to the Human Resources Manager.
2. **Human Resources Manager:** If previous efforts fail to bring a satisfactory resolution, the individual may petition the Human Resources Manager. The Human Resources Manager counsels and advises the employee, assists in putting the problem in writing, and visits with the employee's Supervisor(s), if necessary. If the problem is not resolved, the employee should proceed to the Executive Director.
3. **Executive Director:** The problem must be presented to the Executive Director in writing. The Executive Director will review and consider the problem. The Executive Director will inform the individual of the decision and forward a copy of the written response to the Human Resources Manager for filing. The Executive Director has full authority to make any adjustment deemed appropriate to resolve the problem. Determination of the Executive Director is final. In the event of an employee having a problem or grievance with the Executive Director, the employee must present issue in writing to BOD Chair person.

## PERSONS WITH DISABILITIES

Effective Date: **September 25, 2017**

### PURPOSE/POLICY

NEOCAA, Inc. will not discriminate in employment opportunities or practices, including recruitment, hiring, promotion, training, layoff, termination, compensation, benefits, or other employment-related activities. The Agency complies with the Americans with Disabilities Act of 1990 (ADA) and ensures equal employment opportunity for qualified persons with disabilities.

### PROCEDURE

1. Employment opportunities will be afforded to persons with disabilities who are qualified to perform the essential functions of the job with or without reasonable accommodation. NEOCAA, Inc. will seek reasonable accommodations that do not result in undue hardship on business operations for qualified individuals with disabilities.
2. HRM will be responsible for implementation of guidelines and operational procedures related to ensuring Agency compliance with the ADA.
3. Employees who experience a disability may be entitled to leave under the Family Medical Leave Act (FMLA) or an extension of their medical leave as a reasonable accommodation under the ADA. Questions regarding leave rights should be directed to HRM.
4. NEOCAA, Inc. will comply with federal law and state law and regulation that provide persons with disabilities greater protection than the ADA.
5. Employees with a qualifying disability that requires an accommodation should contact HRM.

## **EMPLOYEE CATEGORIES AND DEFINITION**

Effective Date: **September 25, 2017**

### **PURPOSE/POLICY**

NEOCAA, Inc. classifies employees and defines categories and responsibilities of employment according to the Fair Labor Standards Act (FLSA).

### **PROCEDURE**

1. Job descriptions will indicate whether the position is exempt or nonexempt.
2. Classification will be determined based on the FLSA criteria.

The following are the descriptions of each category.

### **CATEGORIES:**

#### **Regular Full-Time Employee**

A regular full-time employee is an employee regularly scheduled to work at least 1500 hours per year, may be exempt or nonexempt, and is not in a temporary status or orientation period.

Regular full-time employees are eligible for all standard benefits, subject to the terms, conditions, and limitations of each benefit program.

#### **Regular Part-Time Employee**

A regular part-time employee is an employee regularly scheduled to work less than 1500 hours per year, may be exempt or nonexempt, and is not in a temporary status or introductory period.

Regular part-time employees are not eligible for NEOCAA, Inc. benefits except the 403(b).

#### **Introductory (New Hire Orientation) Employee**

All exempt and nonexempt regular full-time employees are on an orientation period of 60 days of employment. Before completion of orientation, a written evaluation will be made by the employee's immediate supervisor, based on satisfactory NEOCAA, Inc. standards, for the purpose of determining the employee's continued employment with the Agency.

#### **Early Head Start Employee**

Employees working primarily within the early Head Start program (51%) or more of the time are classified as Early Head Start employees. These employees may work less than 12 months and are subject to additional Early Head Start regulations and requirements.

## **Temporary Employee**

A temporary employee is hired as an interim employee to supplement the work force or to assist in a specific project. Employment will be limited based upon the needs of the agency.

Employment assignments in this category are of a limited duration. Temporary employees retain that status until notified of a status change. Temporary workers receive all legally required benefits (e.g., Workers' Compensation (WC) and Social Security), but are not eligible for any of NEOCAA, Inc. benefit programs.

## **Volunteer**

The term "volunteer" means an unpaid person who is trained to assist in implementing ongoing program activities on a regular basis under the supervision of a staff person in areas such as weatherization, housing, social services, general operations and management.

## **Consultant**

A person who receives compensation for professional or technical services at a fee agreed upon and paid by the Agency, who is engaged as an independent contractor (or third-party contractor) for specified services and is not an NEOCAA, Inc. employee. Consultants will be informed that their compensation will be reported to the IRS and IRS Form 1099 will be issued for all contracts of six hundred dollars (\$600) or more. Excluded from compensation are reimbursements of business expenses that have been accounted for by the consultant by supplying receipts and business explanations.

## **Governing Body**

The group with legal and fiscal responsibility for administering the programs within the organization.

## **Policy Council/Committee**

The formal group of parents and community representatives required to be established by the agency to assist in decisions about the planning and operation of the Early Head Start program.

**DEFINITIONS:**

Employees are classified as exempt or nonexempt from the overtime provisions of the FLSA (29 CFR Part 541) and state wage and hour laws.

**Exempt Employee**

Employees in exempt positions are:

- Paid to do the job and must meet the DOL requirements for exemption.
- Excluded from specific provisions of federal and state wage and hour laws.
- Not eligible for overtime pay.

**Nonexempt Employee**

Employees in nonexempt positions are:

- Paid on an hourly or salary basis.
- Entitled to overtime pay for hours worked in excess of 40 in a work week.

Nothing contained in this policy will impact the policy of employment-at-will.

## VOLUNTEERING BY CAA EMPLOYEES

Effective Date: **September 25, 2017**

### PURPOSE/POLICY

This policy describes the requirements to be met for NEOCAA employees to volunteer their own time to the agency. This policy will also discuss an important distinction between “exempt employees,” who are paid a set salary, and “non-exempt employees,” who must be paid for every hour worked, including hours paid over 40 per week.

### DEFINITIONS & REQUIREMENTS

- (a.) An individual who performs hours of service for a public agency for civic, charitable, or humanitarian reasons, without promise, expectation or receipt of compensation for services rendered, is considered to be a volunteer during such hours. Individuals performing hours of service for such a public agency will be considered volunteers for the time so spent and not subject to sections 6, 7 and 11 of the FLSA when such hours of service are performed in accord with sections 3 (e) 4 (A) and (B) of the FLSA and the guidelines in this subpart.
- (b.) Congress did not intend to discourage or impede volunteer activities undertaken for civic, charitable, or humanitarian purposes, but expressed its wish to prevent any manipulation or abuse of minimum wage or overtime requirements through coercion or undue pressure upon individuals to “volunteer” their services.
- (c.) Individuals shall be considered volunteers only where their services are offered freely and without pressure or coercion, direct or implied, from an employer.
- (d.) An individual shall not be considered a volunteer if the individual is otherwise employed by the same public agency to perform the same type of services as those for which the individual proposes to volunteer.

### GUIDELINES

1. Exempt employees may “volunteer” for CAA. Exempt employees may “volunteer,” i.e. voluntarily work or provide services *unrelated to their regular paid CAA job* responsibilities beyond or outside their regular work hours without additional pay. They will not be paid extra, i.e. above their regular salary, for the hours spent
2. Non-exempt employees may “volunteer” for CAA only under certain conditions. A non-exempt employee may “volunteer,” i.e. provide services in connection with CAA for which they are not paid, *only* if *all* of the following requirements are met:
  1. The volunteering is truly voluntary, without any direct or implied coercion from CAA, the employee’s supervisor, or anyone else connected with CAA.
  2. The volunteering is outside of the employee’s regular work hours.
  3. The employee has not received any promise of, and has no expectation of, compensation for the volunteer activities.
  4. The volunteer activities in which the employee engages are not similar to the services s/he provides as part of his or her regular CAA employment.

## PROCEDURE

1. In order for an employee to volunteer, the employee must first inform their immediate supervisor and/or Program Director.
2. Before any volunteer time the employee must also sign the Employee Volunteer Release and Waiver of Liability form.

Employee Volunteer Release and Waiver of Liability Form

This Release and Waiver of Liability executed on \_\_\_\_\_ by \_\_\_\_\_ releases NEOCAA, Inc., a nonprofit corporation organized and existing under the laws of the State of Oklahoma and each of its directors, officers, employees and agents. The Volunteer desires to provide volunteer services for Nonprofit and engage in activities related to serving as a volunteer

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Volunteer understands that the scope of Volunteer's relationship with NEOCAA, Inc. is limited to a volunteer position and that no compensation is expected in return for services provided by Volunteer; that NEOCAA, Inc. will not provide any benefits traditionally associated with employment to Volunteer; and that Volunteer is responsible for his/her own insurance coverage in the event of personal injury or illness as a result of Volunteer's services to NEOCAA, Inc.

1. Waiver and Release: I, the Volunteer, release and forever discharge and hold harmless NEOCAA, Inc. and its successors and assigns from any and all liability, claims, and demands of whatever kind or nature, either in law or in equity, which arise or may hereafter arise from the services I provide to NEOCAA, Inc.
2. Insurance: Further I understand that NEOCAA, Inc. does not assume any responsibility for or obligation to provide me with financial or other assistance, including but not limited to medical, health or disability benefits or insurance of any nature in the event of my injury, illness, death or damage to my property. I expressly waive any such claim for compensation or liability on the part of NEOCAA, Inc. beyond what may be offered freely by NEOCAA, Inc. in the event of such injury or medical expenses incurred by me.
3. Medical Treatment: I hereby Release and forever discharge NEOCAA, Inc. from any claim whatsoever which arises or may hereafter arise on account of any first-aid treatment or other medical services rendered in connection with an emergency during my tenure as a volunteer with NEOCAA, Inc.
4. Assumption of Risk: I understand that the services I provide to NEOCAA, Inc. may include activities that may be hazardous to me including but not limited to

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involving inherently dangerous activities. As a volunteer, I hereby expressly assume the risk of injury or harm from these activities and release NEOCAA, Inc. from all liability for injury, illness, death or property damage resulting from the services I provide as a volunteer or occurring while I am providing volunteer services.

5. Photographic Release: I grant and convey to NEOCAA, Inc. all right, title, and interests in any and all photographs, images, video or audio recordings of me or my likeness or voice made by NEOCAA, Inc. in connection with my providing volunteer services to NEOCAA, Inc.

6. Other: As a volunteer, I expressly agree that this Release is intended to be as broad and inclusive as permitted by the laws of the State of Oklahoma and that this Release shall be governed by and interpreted in accordance with the laws of the State of Oklahoma. I agree that in the event that any clause or provision of this Release is deemed invalid, the enforceability of the remaining provisions of this Release shall not be affected.

By signing below, I express my understanding and intent to enter into this Release and Waiver of Liability willingly and voluntarily.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

## OUTSIDE EMPLOYMENT

Effective Date: **September 25, 2017**

### PURPOSE/POLICY

NEOCOA, Inc., policy regarding outside employment is to ensure it does not interfere with performance or ability to meet the job requirements at the Agency. An employee may hold outside employment as long as he or satisfactorily meets his or her job responsibilities with NEOCAA, Inc.

### PROCEDURE

1. When an employee provides consultation or training to Agencies on his or her own time, and the service is rendered entirely outside of the employee's working hours, the service is considered secondary employment. In this situation, the use of NEOCAA, Inc. office equipment and supplies and the utilization of NEOCAA, Inc. personnel in the preparation of such services are prohibited.
2. Employees are prohibited from utilizing other NEOCAA, Inc. employees for services not related to Agency business during an employee's regularly scheduled work hours.
3. If it is determined that an employee's outside work interferes with performance, the ability to meet the requirements of their position, or has an adverse impact on NEOCAA, Inc. the employee may be required to terminate the outside employment if he or she wishes to remain with NEOCAA, Inc.
4. An employee will not be allowed to work for another employer while on a leave of absence or while absent from the Agency because of illness.

## CONFLICT OF INTEREST

Effective Date: **September 25, 2017**

**Purpose:** The conflict of interest policy is designed to ensure that no employee receives a financial interest or personal benefit from grant funds unless allowed by the funding source. The Oklahoma Department of Commerce as a general guideline indicates that “no persons who have exercised any functions or responsibilities with respect to activities assisted by ODOC funds may obtain a financial interest in or benefit from an ODOC activity or have an interest in any contract, subcontract or agreement, either for themselves or for those with whom they have family or business ties, during their tenure or for one year thereafter.” Each funding agency varies in its application of the concept of a conflict of interest but in all cases the goal is the same: Employees, board members, and contractors are not to receive financial benefit from a proposed contract or receive benefit in terms of service from the agency unless specifically allowed by the funding agency. Rules of allowable activities and services and the process to gain approval vary among programs and each must be carried out in accordance with the funder’s requirements.

This policy covers all Northeast Oklahoma Community Action Agency (NEOCAA) employees. NEOCAA prohibits employees from engaging in any activity, practice, or act which conflicts with the interests of the agency, its clients, or its funding agencies. Employees have an obligation to conduct business within guidelines that prohibit actual or potential conflicts of interest.

**Employment** The following rules shall be observed with respect to persons whose employment is supported by Federal funds, State funds, and/or by contribution to the non-federal share.

- A. No person shall hold a job over which a family member exercises supervisory authority.
- B. No person shall hold a job if the family member serves on the Board of Directors
- C. For purposes of this policy, family member is defined as follows:

Spouse	Spouse’s Parents
Parents	Spouse’s Children
Children	Spouse’s Brother/Sister
Brother/Sister	Spouse’s Grandparents
Grandparents	Spouse’s Grandchildren
Grandchildren	Spouse’s Aunt/Uncle
Aunt/Uncle	Spouse’s Nephew/Niece
Nephew/Niece	Spouse’s Great-Grandparents
Great-Grandparents	Spouse’s Great-Grandchildren
Great-Grandchildren	

**Agency Contracts/Purchasing.** Agency staff must follow specific guidelines for purchasing and Contracting as described below.

**Disclosures.** Employees must disclose any financial interest they or their immediate family have in any firm or individual that does business or is seeking to be considered to do business with NEOCAA.

Employees of NEOCAA are required to disclose information concerning relationships and transactions between and among staff, with NEOCAA Board members, with family members of staff, and with entities with which the staff is associated (“Related Party Transactions”).

Staff should make these disclosures when a transaction involves any of the parties listed in the preceding paragraph when they are seeking to do business with NEOCAA. Information to be disclosed includes the following:

- (A) Does the staff member have a family or business relationship with a NEOCAA Board member or other staff member?
- (B) Are any staff members, either personally, through family members, or through entities with which they are associated, involved in, or do they intend to become involved in, any transaction or relationship with NEOCAA, its subsidiaries or delegate agencies?

**Required disclosure in contracts.** Employees must disclose any financial interest he/she or a relative has in any firm which does business with NEOCAA. NEOCAA may require any employee to divest him/herself of any interest deemed to be in conflict with the agency’s best interests. No NEOCAA employee shall participate in the selection, award, or administration of a contract if a real or apparent conflict of interest would be involved. Such a conflict could arise when the employee has a relationship with any party listed below who is involved in a proposed contract with the agency:

1. any member of the employee’s family;
2. his or her business partner;
3. an Agency which employs or is about to employ any of the above parties; or
4. any related party who has a direct or indirect financial or other interest in the firm, Agency or individual selected for an award.

**Gifts to staff.** Employees of NEOCAA are prohibited from soliciting or accepting gifts, money, or gratuities, other than those of nominal value, from:

- Persons receiving benefits or services under any NEOCAA program;
- Any person or Agency performing services for or providing goods to NEOCAA; or
- Persons or Agencies that are otherwise in a position to benefit from the actions of NEOCAA staff.

“Nominal value” is defined to be \$25, unless restricted by funding source.

**Employee Program Assistance.** NEOCAA employees and members of their families may only apply for assistance from programs that the Executive Director has opened to employees in accordance with the following guidelines:

- (a) Employees and their families must meet all the criteria of eligibility for these programs and will be considered for eligibility according to the guidelines of the program for which they are wishing to apply.
- (b) NEOCAA employees must not take applications on themselves. An employee of the program who normally takes applications will assist and take the employee’s application.

(c) The procedures for approval of applications for employees will be made to funding agencies as required by the funding agency.

(d) The Executive Director or his/her designee(s) can provide information regarding programs that are open to employees and their families. A description of the requirements of each program is attached and will be updated as it changes.

**Continued disclosure obligation.** If, after signing this policy, a staff member becomes involved in or intends to become involved in, or becomes aware of an existing Related-Party Transaction any activity or transaction prohibited by this Policy, or any other actual or apparent conflict of interest, the staff member shall promptly notify the Executive Director.

**Procedure for addressing Related Party Transactions and conflicts of interest.** Related party transactions involve financial transactions that include relationships among staff, board members, and staff/Board family members and other related business entities. Related party transactions may be allowable if not providing undue benefit to the related parties. Although a related party transaction may not involve a conflict of interest, the related party transaction must be reported to management. The following procedures will be followed:

- (a) Except as set forth in (c) below, NEOCAA's Executive Director shall address all Related Party Transactions and actual and potential conflicts of interest involving a staff member by referring the related party transaction to the agency's attorney.
- (b) The agency's attorney will determine if the related party transaction involves a conflict of interest. The attorney will also determine if the related party transaction, even if a conflict of interest, is in the best interest of the agency and its mission. The attorney will advise the agency if the proposed transaction is allowable under state law.
- (c) If the Related Party Transaction or conflict of interest is not prohibited, then the Executive Director and/or his/her designee(s) shall present the proposed transaction to the Board of Directors for a decision.
- (d) The Executive Director shall submit Board-approved transactions to the funding sources as required by the funders for their consideration.
- (e) The Executive Director and members of the Board of Directors shall make disclosure to the Chairperson of the Board of Directors of any involvement in a Related Party Transactions, and/or actual or potential conflicts of interest to the Chairperson of the NEOCAA Board of Directors. The Chairperson shall follow the same procedures that the Executive Director or his/her designee(s) follow when a staff member discloses his or her involvement in a Related Party Transaction and/or actual or potential conflict of interest.

### **Eligibility of Employees and Relatives for Agency Services**

Each funder of the agency's programs has separate requirements for the implementation of conflict of interest policies as they relate to the eligibility for services of employees and their family members. The description below itemizes the programs of the agency and the guidelines to be followed for eligibility for services for employees and their relatives.

**Services Provided with Funds from the Oklahoma Department of Commerce (ODOC) as Exceptions to the Conflict of Interest Policy for ODOC.** The Conflict of Interest Policy of ODOC indicates that employees and their relatives are not eligible for

services from ODOC-funded programs. Exceptions may be considered by ODOC if the following process is followed:

1. Disclosure of the conflict, including public disclosure to the Board of Directors;
2. Opinion of the agency's attorney that the interest for which the exception is sought would not violate State or local law;
3. Determination that the individual is a member of a group or class of low-income persons intended to be the beneficiaries of the assisted activity who will receive the same treatment as other low-income persons, that the employee has removed him/herself from the eligibility determination process, and other items described in the ODOC policy;
4. Board of Directors' approval to seek an exception from ODOC;
5. Determination by ODOC that an exception will be granted.

A similar process must be followed for approval of services offered through the Oklahoma Housing Finance Agency for all its programs. In the case of the Oklahoma Housing Finance Agency, there are additional requirements that must be met.

**General Guidelines for the Agency's Programs:**

**Rent/Utility Assistance.** These programs will not be available to employees and their family members because the length of time required for exception approval from ODOC would not make it possible to grant the assistance in a timely fashion.

**Housing Programs.** Employees and their relatives are not eligible for housing programs except through the exception process outlined above. This process must be followed for housing rehabilitation, rentals, and home ownership activities (either as seller or buyer).

**Weatherization.** Employees and their relatives are not eligible for weatherization except through the exception process outlined above. Their selection for service, if an exception is granted by ODOC, follows the weatherization priority ranking system.

**RX for Oklahoma.** Employees and their relatives are eligible for this service and must meet the eligibility criteria of the pharmaceutical company. In general, employees will not be eligible for these services because they have prescription insurance.

**Tax Assistance.** Employees and their relatives are eligible for this service and must only meet the IRS requirements for income limits (currently \$50,000).

**Work Programs/Financial Literacy/Homebuyer Education.** These services are available to all employees and their relatives.

## EMPLOYMENT OF RELATIVES/NEPOTISM

Effective Date: **September 25, 2017**

### PURPOSE/POLICY

NEOCAA, Inc. prohibits employment of relatives in a direct or indirect reporting relationship to avoid creating or perpetuating circumstances in which the possibility of favoritism, conflict of interest, or impairment of efficient operations may occur.

Employees are prohibited from using their positions for a purpose that is, or gives the appearance of, being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other relationships.

Further, a person with an immediate family member serving on a board or committee, which either by rule or practice, regularly nominates, recommends, or screens candidates for positions with NEOCAA, Inc. may not be employed.

For purposes of this policy, relatives are defined as "immediate family" meaning

Spouse	Spouse's Parents
Parents	Spouse's Children
Children	Spouse's Brother/Sister
Brother/Sister	Spouse's Grandparents
Grandparents	Spouse's Grandchildren
Grandchildren	Spouse's Aunt/Uncle
Aunt/Uncle	Spouse's Nephew/Niece
Nephew/Niece	Spouse's Great-Grandparents
Great-Grandparents	Spouse's Great-Grandchildren
Great-Grandchildren	

### PROCEDURE

1. Relatives of current employees may not occupy a position that will be working directly for or supervising a relative. Individuals involved in a dating relationship with a current employee may also not occupy a position that will be working directly for or supervising the employee with whom they are involved in a dating relationship.
2. Administrators and managers should exercise caution in hiring decisions to ensure that a new employee is not placed in a direct reporting relationship with a relative as defined by this policy.
3. No employees will be transferred into a position that would result in a reporting relationship to a relative.
4. When a recipient Agency cannot adequately staff positions without hiring such an individual, the recipient may deviate from this policy. However, employment records must provide evidence that no other individual within the service area is qualified and available for employment. This must be approved by the Agency's Director and Board of Directors.

5. In other cases where a conflict or the potential for conflict arises because of the relationship between employees, even if there is no line of authority or reporting involved, the employees may be separated by reassignment or terminated from employment.

## RECRUITMENT AND SELECTION

Effective Date: **September 25, 2017**

### PURPOSE/POLICY

To maintain consistent procedures for recruiting and selecting applicants, NEOCAA, Inc. recruits and selects the most qualified applicants for available positions in compliance with all applicable federal and state laws and regulations and with the Agency's commitment to Equal Employment Opportunity.

### PROCEDURE

1. Use a variety of recruitment efforts to attract qualified applicants. Human Resources manager coordinates recruitment and selection processes for staff in consultation with the program components.
2. Executive Director approves the filling of an open position or the creation of a new position.
3. Before internal posting or external advertising, positions are reviewed by Executive Director for appropriate title, pay range, educational requirements, and exemption status.
4. Staff positions must be posted internally.
5. Newspaper advertising, when necessary, will be placed through Human Resources Manager with prior approval from Executive Director
6. To be considered a job applicant, a person must specify on the employment application, résumé, or letter of application the posted job vacancy for which he or she is applying. Applications that do not specify a posted job vacancy will not be considered. Applications remain active until the posted position is filled.
7. All applicants for positions in the Agency are entitled to a thorough and consistent evaluation of their qualifications for employment. Consistency will be maintained by having the Human Resources Manager perform the initial screening of applications and résumés.
8. Human Resources Manager develops a list of candidates to be interviewed and creates an interview committee.
9. Human Resources Manager will conduct Pre-employment checks on the final candidates for the position. These may include, but are not limited to, criminal record check, references, fingerprinting, and education verification. Early Head Start and childcare employees must also have initial health exam and TB skin test.
10. The interview committee selects the individual for hire. Hiring decisions will be monitored by Human Resources Manager for consistency with Agency policies. Human Resources Manager requires a completed employment application on all regular hires and may request additional documentation from the applicant to support a hiring decision.

11. Human Resources Manager will extend the offer to the candidate via a written offer letter and/or phone call and will send rejection letters to all other candidates.
12. Human Resources Manager will maintain records of the selection process, such as applications, evaluation criteria, notes from interviews, and reference checks, in the administration office for one year.
13. Appointment to a senior management position requires the prior approval of Executive Director. The Executive Director is appointed by the Board of Directors.
14. Early Head Start employees must receive approval from Policy Council prior to start date. (New Hires Only)

## JOB POSTING

Effective Date: **September 25, 2017**

### PURPOSE/POLICY

NEOCOA, Inc. job posting procedures provide employees with information regarding job opportunities.

### PROCEDURE

1. Job openings will be posted [www.oesc.state.ok.us](http://www.oesc.state.ok.us) and [www.neocaa.org](http://www.neocaa.org) and will normally remain until position is filled. Each job posting notice can include, but is not limited to, the date of posting, job title, component/program, location, job summary, essential duties, skills and abilities necessary to perform the job, and degrees or certification required for the job.
2. Employees interested in applying for an opening should submit a résumé with a cover letter to Human Resources Manager. Employees must possess the necessary knowledge, skills, and abilities (KSA) to perform the work of the open position to be considered for an interview. Past work history, including attendance, will be considered in making the final determination.
3. Human Resources Manager and Program Director will determine the pool of candidates to be interviewed and conduct interviews in conjunction with the appropriate personnel. Human Resources Manager will extend offers of employment and will inform candidates who were not selected.
4. All decisions concerning promotions, transfers, demotions, etc., will be made without regard to race, color, religion, sex, national origin, age, disability (physical and mental), veteran status, pregnancy, marital status, medical, sexual orientation, or any other status protected under federal and state law.

## PREEMPLOYMENT INVESTIGATION/BACKGROUND CHECK

Effective Date: **September 25, 2017**

### PURPOSE/POLICY

To ensure Pre-employment checks are conducted within legal and professional limits to be employed in the position for which the candidate is applying, the Agency will conduct pre-employment investigation for all employees to determine or verify background information, including criminal history and information in compliance with the Fair Credit Reporting Act (FCRA). A conviction for a serious crime shall be considered strong evidence of lack of fitness for employment in a professional, fiscal or management position. Having a criminal history or criminal conviction will not necessarily preclude employment, but full disclosure of such records to the agency is required. The declaration excludes traffic fines and any offense (other than those related to child abuse and/or child sexual abuse or violent felonies) committed before the prospective employee's 18<sup>th</sup> birthday which was finally adjudicated in a juvenile court or under a youth offender law, any conviction the record of which has been expunged under Federal or State law, and any conviction set aside under the Federal youth Corrections Act or similar State authority. The agency will review each application for employment individually in order to assess the relevancy of an arrest, a pending criminal felony charge or a conviction. No person convicted of, or charged with, the commission of any felony crime, especially acts of child abuse or child sexual abuse or violation involving immoral acts, or which is charged as any violent felony shall be employed.

### PROCEDURE

1. Applicants who are chosen for interview are required to sign a release form authorizing the Pre-employment investigation and the release of information by former employers, educational institutions, or other Agencies as part of the reference and background checking process. A refusal to sign such a release form may disqualify the applicant from further consideration for employment. Early Head Start employees and child care workers must have fingerprints conducted as well as a physical exam and TB skin test.
2. Pre-employment investigation applies to all new hires, as a condition of employment. Employment will be contingent upon the results of the pre-employment investigation.
  - a. Human Resources Manager coordinates obtaining the pre-employment investigation. Executive Director will evaluate the relevance of any offense in accordance with federal and state laws.
  - b. An applicant who provides misleading, erroneous, or deceptive information on the application form, résumé, or in an interview will be eliminated from further consideration for employment.
3. Personal and professional reference checks should be conducted by Human Resources Manager before the job offer is made. Employment will be contingent upon the results of the pre-employment investigation.
4. Employees whose position requires licensure or certification are to provide a copy of their licensure or certification prior to beginning work. Where licensure or certification is required, renewal must be made according to state law and a copy of the current licensure or certification submitted to the Human Resources Manager. Failure to keep required licenses or certifications current may result in termination.

## PROCEDURE FOR EARLY HEAD START EMPLOYEES

1. In addition to the procedures above, when hiring employees working for the Early Head Start program 51% or more of the time, procedures below must be followed:
  - a. The Early Head Start Policy Council may be consulted in the decision-making process. This will be achieved by having a Policy Council member on the interview committee. The Policy Council can be called upon to give advice or information.
  - b. The Policy Council must approve decisions before the individual is hired and begins working. (New Hires Only)
  - c. The appointments of all other Early Head Start staff, other than those listed above, are subject to the recommendation of the Early Head Start Director of the applicable component and the organization Early Head Start Policy Council.
  - d. Current and former Early Head Start parents must receive preference for employment vacancies for which they are qualified.
  - e. The appointment of the Early Head Start program director is subject to prior approval from the Executive Director, Board of Directors, and the Policy Council and funding source.
  - f. Criminal background checks and fingerprinting must be completed prior to an individual starting their employment.

In addition to the details above all employees hired to positions within the Early Head Start program are required to declare all convictions related to child abuse and neglect and all convictions of violent felonies.

The Human Resources Manager will obtain at least three employment references for each EHS applicant before an offer of employment is made. After employment has been offered an initial health exam and every three years thereafter including TB screening is required as well as fingerprinting and background checks.

## **EMPLOYEE ORIENTATION**

Effective Date: **September 25, 2017**

### **PURPOSE/POLICY**

New employees must understand NEOCAA, Inc.'s mission, goals, and objectives. This includes the scope of services and location and an employee's contribution to the accomplishment of those goals and objectives. All newly hired employees and volunteers are required to participate in the Employee Orientation Program within 60 days.

### **PROCEDURE**

1. Supervisor Responsibilities:
  - a. Provide each new employee with orientation specific to his or her workplace.
  - b. Provide on-the-job training (OJT) needed for new employees to assume their responsibilities.
  - c. Provide new employees with the dates and locations of the orientation program.
2. New Employees' and Volunteers' Responsibilities:
  - a. Participate in appropriate orientation processes.
  - b. Seek information to enhance his or her orientation process.
  - c. Complete and return appropriate personnel forms.
3. Human Resources Manager Responsibilities:
  - a. Offer regularly scheduled sessions for new employee orientation.
  - b. Provide new employees with timely and relevant benefit information.
  - c. Provide information and resources concerning Agency-wide policies.
  - d. Provide program/components with strategies, resources, and tools for development of its workplace orientation process.
4. All staff members, volunteers, and consultants are to be provided with information and training about the underlying philosophy and goals of the program in which they work.

## IMMIGRATION POLICY

Effective Date: **September 25, 2017**

### PURPOSE/POLICY

NEOCAA, Inc. complies with the regulations of the Immigration Reform and Control Act of 1986 (IRCA) as enforced by the Department of Homeland Security. This Act requires that all employees provide appropriate documentation to prove that they are eligible to work in the United States.

### PROCEDURE

1. NEOCAA, Inc. requires, as a condition of employment, that all new hires must complete the employment eligibility verification INS Form I-9.
2. In addition to completing the I-9, all new hires must present the required documentation establishing identity and employment eligibility within the first three days of employment. Failure to do so may result in the offer of employment being withdrawn or withheld.
3. All former employees who are rehired are also required to complete a new I-9 if:
  - They did not complete an I-9 for NEOCAA, Inc. within the previous three (3) years.  
or
  - Their previous I-9 is no longer valid.  
or
  - Their previous I-9 was not retained.
4. I-9s will be maintained in a file separate from that of the employee's personnel file.

## ORIENTATION PERIOD

Effective Date: **September 25, 2017**

### PURPOSE/POLICY

All new and rehired regular employees and all current regular employees who have transferred or been promoted to a new position will be placed on orientation status.

The orientation period gives employees the opportunity to decide whether the position suits them and gives the Agency the opportunity to decide whether the employee meets the expectations of the position.

The orientation period will not be considered an employment contract nor that an employee is employed other than at will.

This policy does not apply to temporary employees or to those employees who are provided employment opportunities through special employment and training program agreements.

This policy will not change the policy of employment-at-will.

### PROCEDURE

1. The orientation period is defined as sixty days.
2. Supervisor will conduct a formal performance appraisal with the employee to review the employee's progress/performance to date before orientation period ends. Orientation periods may be extended, if deemed appropriate, by supervisor.
3. Transferred or promoted employees who do not meet job requirements in their new position during orientation period may be returned to their original job, if a vacancy exists, or be terminated at the discretion of the Agency.
4. Upon completion of the orientation period, an employee enters the "regular" employment classification and may be eligible for Agency-sponsored benefits.

## HUMAN RESOURCES RECORDS

Effective Date: **September 25, 2017**

### PURPOSE/POLICY

To ensure the proper handling of, and limiting Agency liability of, confidential information and paper records pertaining to employees and their personnel matters.

### PROCEDURE

1. Records should be secured in locked file cabinets and access will be controlled by Human Resources Manager.
2. At no time should employee files leave the premises.
3. Human Resources Manager is responsible for creating and maintaining employee personnel files. Main employee file should have a separate file for each employee and include information such as the following:
  - a. Employment application
  - b. Job title
  - c. Job description
  - d. Employee classification (exempt from overtime or nonexempt)
  - e. Hire date
  - f. Salary history
  - g. W-2 form
  - h. W-4 form
  - i. Employment contracts, if applicable
  - j. Employee authorization for release of information
  - k. Employee signature acknowledging receipt and review of policies and procedures and/or receipt of employee handbook
  - l. Employee résumé
  - m. Skills inventory
  - n. Performance appraisal
  - o. Discipline
  - p. Grievances
  - q. Performance goals
  - r. Scheduled training and completed training records
4. Employees are responsible for notifying Human Resources Manager immediately if there is a change in any of the following information:
  - a. Legal Name
  - b. Home Mailing Address
  - c. Telephone Number
  - d. Marital Status
  - e. Number and Names of Dependents
  - f. Number of Tax Exemptions on your W-4 form
  - g. Insurance Classification
  - h. Emergency Contacts
  - i. Beneficiary Changes
  - j. Driving record or status of driver's license, if you operate any Agency vehicles

- k. Military or draft status
- l. Training certificates
- m. Professional license

Failure to inform of personal data changes may have a significant impact on benefits and the ability to contact the employee or a family member in the event of an emergency.

5. The ED or immediate supervisor (need to know basis) needing access to an employee's file should contact the Human Resources Manager.
6. Employee files must be reviewed in Human Resources Manager's office.
7. Employees should not provide references or any comments, written or verbal, to individuals requesting information on current or former employees. All requests for information should be referred to the Human Resources Manager.
8. Only basic employment information (i.e., dates of employment, title of position held, and confirmation of salary) for employment verifications and those requests meeting legal requirements will be provided by the Human Resources Manager or his or her designee.
9. Detailed personnel information will not be released to anyone outside the Agency without prior written consent by the employee. Exceptions will only be made as required by law as in the case of subpoenas or other court orders.
10. Employees have the right to review their file contents. With reasonable advance notice, employees may review their own personnel files in the Human Resources Manager's office, on the employee's own time, and in the presence of an individual appointed by the Agency. Employees who wish to review their own file should make a written request to the Human Resources Manager. NEOCAA, Inc. will fulfill within seven (7) business days of the written request.

Exceptions to this include:

- a. Letters of reference.
- b. Materials relating to employer staff planning and business development.
- c. Information of a personal nature about another person, the disclosure of which could constitute an unwarranted invasion of privacy.
- d. Investigatory or security records maintained by the employer to investigate employee misconduct or other conduct which could be harmful to the Agency.

**HEALTH INSURANCE PORTABILITY  
AND ACCOUNTABILITY ACT**

Effective Date: **September 25, 2017**

**PURPOSE/POLICY**

NEOCOA, Inc. complies with the proper handling of all private information and individually identifiable health information and outline steps in appropriate Health Insurance and Portability and Accountability Act (HIPAA) compliance.

**PROCEDURE**

1. Any Protected Health Information (PHI) is confidential and may not be discussed with anyone except on a “need-to-know” basis in order to perform job duties.
2. PHI is a record that contains individually identifiable information. Information relating to individuals such as names, addresses, birth dates, telephone numbers, fax numbers, electronic mail addresses, social security numbers, health plan beneficiary numbers, or any other unique identifying number, characteristic, or code.
3. The regulations are applicable to all health information held or created by NEOCOA, Inc.
4. NEOCOA, Inc. is prohibited from using or disclosing health information except as authorized by the employee or specifically permitted by the regulation. This includes all personally identifiable health information.
5. NEOCOA, Inc. privacy officers will be responsible for developing and implementing privacy policies and procedures as well as ensuring general compliance.
6. Any complaint of a violation will be reported to a privacy officer. They will investigate and take appropriate action to ensure that privacy practices are being followed.
7. Records should be secured in locked file cabinets and access will be controlled by the HIPAA Compliance Officer.

## **ATTENDANCE**

Effective Date: **September 25, 2017**

### **PURPOSE/POLICY**

NEOCOA, Inc. understands occasions arise when an employee must be absent from work. At the same time, it is important for employees to understand that in order for NEOCAA, Inc. to operate efficiently, regular attendance of all employees is imperative. Employees need to be present and accountable during their scheduled work time, and there are attendance expectations.

### **PROCEDURE**

1. Authorized Absence—The employee notifies immediate supervisor in advance and obtains approval to be away from, or late, to work. This includes absences such as vacations, holidays, personal days, etc.
2. Unauthorized Absence—An employee not showing up for work, not calling in, and not having a valid reason for an absence, as determined by the administration. Advance notification of an absence is necessary to make arrangements to handle work in the absence of a scheduled employee.
3. Tardiness—A non-exempt employee may not be late for work, or leaving early from work on any work day without giving prior notification and receiving approval for the tardiness.
4. A nonexempt salaried employee who does not work or does not work his or her full shift will be paid only for the actual time worked. If an employee has not called in to the supervisor before the start of scheduled work time, the employee will be considered as having an unauthorized absence without pay. Timesheets will be noted accordingly.

### **Excessive Absenteeism/Tardiness**

1. Excessive Absenteeism or Tardiness—Absenteeism or tardiness that affects job, program, and or Agency performance. If it is determined that absenteeism or tardiness has become unreasonable, supervisor should determine the appropriate action.
2. An employee who is chronically or excessively absent or tardy may be subject to disciplinary action up to and including termination.

**CONFIDENTIALITY OF  
AGENCY INFORMATION**

Effective Date: **September 25, 2017**

**PURPOSE/POLICY**

NEOCAA, Inc. has information that should not be discussed with anyone outside the Agency, except when required in the normal course of business. Information concerning the activities or operations of the Agency, or concerning service recipients, must be treated as confidential or on a need-to-know basis.

**PROCEDURE**

1. All information pertaining to NEOCAA, Inc. clients is confidential and must not be discussed with or divulged to anyone unless the performance of their official duties requires access to the information. Even the presence of a particular client should not be acknowledged to others without proper authorization.
2. If an employee leaves, the employee must surrender all information-bearing items in his or her possession, whether or not containing confidential information, including but not limited to, diskettes and other storage media, notebooks, reports, and other from any third party, or containing NEOCAA, Inc. confidential information.
3. Confidential information is to be used only in connection with the legitimate functions of an employee's job duties. The release of confidential information other than in the treatment of clients will occur only with proper authorization. If contacted personally about confidential information, the employee should direct the inquiring party to Program Director. Client files should not be removed from the offices of NEOCAA, Inc., unless required by job duties and approved by supervisor.

## PROMOTIONS

Effective Date: **September 25, 2017**

### PURPOSE/POLICY

Each employee should have equal access to opportunities for growth and development. First consideration will be given to internal candidates who have a history of satisfactory performance and meet the job qualifications for the vacancies. In all its selection and promotion decisions, NEOCAA, Inc. complies with equal employment opportunity requirements.

### PROCEDURE

1. Two types of advancement opportunities are outlined below:
  - a. A promotion is the movement from one position to another position which is in a higher salary grade and may involve a salary increase. A promotion may be within a program or between programs and may result in a title change.
  - b. A reclassification is an approved change in pay grade of an existing position as a result of significant changes in the duties and responsibilities of that position. A reclassification may result in a pay grade and/or title change.
2. Every effort is made to fill vacancies by promoting qualified employees. Supervisors are encouraged to identify employees for promotion. Employees must possess the necessary skills, abilities, and knowledge to satisfactorily perform the work of the advanced position. Past work history, including attendance, will also be reviewed in order to make this determination.
3. Employees are encouraged to maintain an awareness of vacancies and to seek job opportunities for which they qualify. An expression of interest in a promotion, either by submitting an application to Human Resources Manager as a result of a job posting or through discussions with supervisor, will not have any adverse effect on the status of the employee's current position.
4. Program Director will select the appropriate candidate for promotion. Refer to the policy on Recruitment and Selection for more information.
5. The newly promoted employee will be subject to an orientation period. Refer to the policy on orientation Period for more information.

## JOB DESCRIPTIONS

Effective Date: **September 25, 2017**

### PURPOSE/POLICY

To utilize a job plan to measure all jobs, create job descriptions, and properly determine exemption status for every job according to the Fair Labor Standards Act (FLSA). Records will be maintained of all authorized positions within the Agency.

### PROCEDURE

1. Supervisors will be responsible for ensuring that employees and consultants are performing the tasks included in their job. Each description will include, but is not limited to:
  - a. Job's purpose and function
  - b. Principal duties and responsibilities
  - c. Education, credentials, and experience qualifications
  - d. Salary information
  - e. Bona fide occupational qualification (BFOQ)
2. Job descriptions will indicate whether the position is exempt or nonexempt.
3. Classification is determined based on the FLSA criteria.
4. Newly created positions or changes in position qualifications that may result in salary adjustment require the budget review and approval of Executive Director.
5. After review, Human Resources Manager will assign the position to a recommended salary grade and appropriate FLSA exemption status.
6. All new or revised job descriptions will be approved by Executive Director.

## PERFORMANCE MANAGEMENT

Effective Date: **September 25, 2017**

### PURPOSE/POLICY

Evaluate strengths and areas of improvement in performance of all employees in a fair and equitable manner. The Performance Appraisal (PA) process is intended to be a positive experience. Discussions regarding an employee's job performance are recommended on an informal basis as needed. Performance management is completed to modify staff performance agreements as necessary, assist staff in improving skills and professional competencies, and to identify training and development needs.

### PROCEDURE

1. Human Resources Manager will provide notification of upcoming appraisals to the individual responsible for writing an evaluation. Notification should occur 10 days prior to the performance appraisal's due date. Performance appraisals will be conducted on an annual basis using the standardized performance appraisal system, which is designed to ensure reviews are conducted objectively.
2. The schedule for performance appraisals is:
  - a. Each employee's performance will be evaluated before completion of the orientation period and at least once annually thereafter.
  - b. Twelve-month employees will be evaluated on their hire anniversary date.
3. Supervisors will complete the performance appraisal and then schedule a review with the employee.
4. The reviewer and the employee may discuss the following topics:
  - a. Previous performance plans and achievement of past goals.
  - b. Current performance appraisal including demonstrating appreciation for employee contributions.
  - c. Providing constructive feedback on employee's performance.
  - d. Setting future expectations and goals.
  - e. Identifying employee training needs and professional development opportunities.
5. The employee may submit comments or statements on the performance appraisal form.
6. Employee and Supervisor will sign the completed form. The employee will sign the completed review acknowledging that they have read and understand it, although they may not necessarily agree with the appraisal. A refusal to sign should be documented by supervisor.
7. Early Head Start and childcare employees may require self evaluation to comply with STARS program through OKDHS.

8. Performance appraisals will be placed in the employee's personnel file and may be used for such actions as transfers, promotions, pay adjustments, and salary considerations.
9. Leaves of absence and breaks in service may affect the timing of performance appraisals.

## SECTION 3

### **EMPLOYEE BENEFITS PROCEDURES**

#### HOLIDAYS

Effective Date: **September 25, 2017**

#### PURPOSE/POLICY

Holidays are recognized as non-work days for employees. NEOCAA provides regular full-time employees the benefit of all paid holidays.

#### PROCEDURE

1. The following are recognized by as a holiday
  - a. New Year's Day
  - b. Martin Luther King, Jr. Day
  - c. Presidents' Day
  - d. Good Friday
  - e. Memorial Day
  - f. Independence Day
  - g. Labor Day
  - h. Thanksgiving Holiday (3 days)
  - i. Christmas Holiday (3 days)
2. Employees on a paid approved leave of absence are eligible for holiday pay. If the approved leave of absence is not paid, the employee is not eligible for holiday pay.
3. If any full time employee has obtained prior approval from supervisor to work on recognized holiday, they must take that holiday within the next pay period.
4. Holiday pay will not be counted as hours worked for the purposes of determining overtime.
5. Early Head Start and childcare holiday schedule listed below:  
  
New Years Day  
Memorial Day  
Independence Day  
Labor Day  
Thanksgiving Holiday (2 days)  
Christmas Holiday (2 days)

## **ANNUAL LEAVE**

Effective Date: **September 25, 2017**

### **PURPOSE/POLICY**

All regular full-time employees will accrue annual leave at the rate of 5.7692% per hour worked beginning the first day of employment in accordance with the guidelines outlined below. Early Head Start and childcare employees will accrue annual leave at the rate of 1.9231% per hour worked.

### **PROCEDURE**

1. Annual Leave is based on the number of hours worked. The amount of leave eligible employees have earned is displayed on the employee's check stub.
2. Employees should whenever possible, request approval in writing in advance before taking vacation. Scheduled absences are preplanned with immediate supervisor in accordance with department guidelines, negotiating the least impact to the work area.
3. When scheduling conflicts arise, priority for annual leave will be established at the discretion of management.
4. Annual leave off can be taken in half-hour increments.
5. Any unused annual leave may be carried over up to 240 hours.
6. Any earned, but unused, vacation will be paid at the time of termination, up to 80 hours. Annual leave may not be used to extend the termination date, unless approved by the Executive Director. Early Head Start and childcare employees will be paid up to 40 hours of annual leave upon termination.
7. Annual leave will not accrue during any unpaid period of time.

## SICK LEAVE

Effective Date: **September 25, 2017**

### PURPOSE/POLICY

All regular full-time employees will accrue sick leave at the rate of 5.7692% per hour worked beginning the first day of employment in accordance with the guidelines outlined below. Early Head Start and childcare employees will accrue sick leave at the rate of 1.9231% per hour worked.

### PROCEDURE

1. Sick Leave will begin to accrue at the rate of 5.7692% per hour worked beginning the first date of employment. Early Head Start and childcare employees will accrue at 1.9231% per hour.
2. Employees may request use of sick leave for themselves or immediate family members. Time must be taken in half hour increments.
3. Sick Leave may not be used as additional annual leave, but is granted when a person is unable to perform his or her assigned duties because of illness or injury. This could include appointments with physicians, dentists, or other recognized practitioners, or for a serious illness, disability, or injury of an immediate family member.
4. Each employee is responsible for notifying their immediate supervisor before the regular starting time that he or she intends to utilize sick leave for that day
5. Employees who have breaks in employment, including leaves of absence (e.g., military leave) will not accrue sick leave during their absence.
6. Employees receiving workers' compensation benefits are not entitled to illness pay.
7. If a serious health condition absence exceeds three (3) consecutive work days, the employee will be asked to provide medical certification to support the absence. Also, a release to return to work from a physician may be required.
8. Sick leave may accumulate up to a total of 240 hours. If the employee's benefit reaches this maximum, further sick leave benefits will not accrue until the employee has reduced the balance below the limit.
9. If all earned leave (i.e. sick leave, annual leave), has been used and the employee requires more time off, they may request Leave of Absence without pay from immediate supervisor. FMLA provisions may also cover such leaves of absence.
10. In the event of inclement weather full time employees may use sick leave if they are unable to make it into the office.
11. Unused sick leave will not be paid out upon termination.

## **PERSONAL LEAVE**

Effective Date: **September 25, 2017**

### **PURPOSE/POLICY**

All regular full-time employees may be allowed to use 2 (two) days of Personal Leave for approved use during orientation period only in accordance with the guidelines outlined below.

### **PROCEDURE**

1. New full time employees hired may be allowed to use up to 2 (two) days of personal leave if approved by the supervisor.
2. Personal Leave does not carry over after orientation period ends and if not used will be forfeited.
3. The time may be used for personal use in the case where sick leave does not apply and must be used in half hour increments.
4. The time will be paid at the employee's regular hourly rate of pay and is not used in the calculation of overtime.
5. Requests for planned time off should be made at least two weeks in advance.

## LEAVE OF ABSENCE

Effective Date: **September 25, 2017**

### PURPOSE/POLICY

Personal leaves of absence are authorized, without pay, to full-time employees only by the Executive Director.

### PROCEDURE

1. Employees who wish to continue benefits coverage during their leave of absence must bear the full cost of those benefits.
2. Employees on extended personal leave of absence will be informed prior to the leave as to whether or not they are guaranteed that their position or a similar position will be available when they return from their absence. If a comparable position is not available at the time the employee returns to work, the employee may be offered a lesser position. If no acceptable position is available at the time the leave expires, the employee's employment with NEOCAA, Inc. will be terminated.
3. The agency will be supportive of employees that need to utilize a leave of absence due to extended illness to ensure that they maintain their position if at all possible.

## **MILITARY SERVICE**

Effective Date: **September 25, 2017**

### **PURPOSE/POLICY**

It is the policy of the Agency to comply with all applicable statutes that require reservists and National Guard personnel to be given leave of absence for active duty and training exercises under Uniformed Services Employment and Reemployment Rights Act (USERRA) of 1994.

### **PROCEDURE**

1. It is the employee's responsibility to inform immediate supervisor as soon as orders for military duty have been received. When requesting a military leave of absence, the employee should present a copy of the training orders.
2. Employees will continue to receive full pay while on leave for those military-related absences that are two weeks or less. The portion of any military leave of absence in excess of two weeks will be unpaid. Employees may use any available paid time off for the absence.
3. Continuation of health insurance benefits is available as required by USERRA based on the length of the leave and subject to the terms, conditions, and limitations of the applicable plans for which the employee is otherwise eligible.
4. Benefit accruals, such as vacation, illness leave, and holiday benefits will be suspended during the USERRA leave and will resume upon the employee's return to active employment.
5. When an employee returns from military leave, he or she will be assigned to a position as required by law. Military leave time is immediately credited to the employee's length of service and all benefits would apply as if the employee had never left his or her job. The employee's salary will be equal to or greater than the salary at the time the leave commenced unless salaries have declined.

## JURY DUTY

Effective Date: **September 25, 2017**

### PURPOSE/POLICY

The policy of NEOCAA, Inc. is to accommodate all employees who are called to serve on jury duty.

### PROCEDURE

1. All regular full-time employees are eligible for jury duty leave while on jury duty.
2. When an employee receives a summons for jury duty, he or she must present a copy of the summons to immediate supervisor and Human Resources Manager.
3. Employees are expected to report for work whenever the court schedule permits. Employees are allowed at least one half (1/2) day of leave to allow for travel time.
4. Jury duty pay is calculated based on employee rate of pay at the time of the absence and the number of hours the employee would have been scheduled to work. If an employee was not scheduled to work, they will not be paid. Any pay received by the employee will be endorsed over to the agency.
5. Jury duty leave is not used in the calculation of overtime.
6. Employees will continue to receive and accrue benefits during jury duty including vacation, illness leave, holiday pay, and health insurance coverage.

## **BENEFIT PLANS**

Effective Date: **September 25, 2017**

### **PURPOSE/POLICY**

To provide a brief summary of medical insurance, dental insurance, life insurance, short-term disability (STD) insurance, cancer insurance, heart/stroke insurance, accident and retirement benefits offered by NEOCAA, Inc. Employees should refer to their Summary Plan Description (SPD) for plan details. In the event of any discrepancy between this document and the SPD, the latter will prevail. NEOCAA, Inc. provides a portion of medical premium group insurance for its employees. The following section provides a summary of benefits provided by the Agency's current insurance provider. All insurance benefits are available after new hire orientation is completed.

### **PROCEDURE**

#### **Medical Insurance**

1. The first day of the month following 60 days of employment, regular full-time employees become eligible for health insurance.
2. A SPD and information on cost of coverage will be provided to eligible employees in advance of enrollment. Contact Human Resources Manager for more information about the health insurance benefit and its cost. A portion of the premium for health insurance is paid for by the agency.

#### **Dental Plan**

1. The first day of the month following 60 days of employment, regular full-time employees become eligible for the dental plan.
2. A SPD and information on cost of coverage will be provided to eligible employees in advance of enrollment. Contact Human Resources Manager for more information about the dental plan benefit and its cost. Dental insurance is not paid for by the agency.

#### **Vision Plan**

1. The first day of the month following 60 days of employment, regular full-time employees become eligible for the vision plan.
2. A SPD and information on cost of coverage will be provided to eligible employees in advance of enrollment. Contact Human Resources Manager for more information about the vision plan and its cost. Vision insurance is not paid for by the agency.

#### **Life Insurance**

1. The first day of the month following 60 days of employment, regular full-time become eligible for our life insurance coverage.

2. A SPD and information will be provided to eligible employees in advance of enrollment. Contact Human Resources Manager for more information about the life insurance benefit. \$20,000 of Life insurance coverage is provided at no cost to the employee.

### **Short-Term Disability – Accident – Cancer – Heart/Stroke Insurance**

1. The first day of the month following 60 days of employment, regular full-time employees will become eligible for short-term disability insurance, accident, cancer and heart/stroke.
2. A SPD and information will be provided to eligible employees in advance of enrollment. Contact Human Resources Manager] for more information about the short-term disability insurance benefit. STD is not paid for by the agency.

### **403(b) Savings Plan**

1. Beginning the first day of employment regular full-time and regular part-time employees (that work more than 1000 hours annually) are eligible to participate in employee elective deferrals.
2. Employees are eligible for Agency matching after completing one year of service. This is a one time requirement.
3. The Agency will contribute up to 10% of the employee wages that the employee has contributed.
4. Information will be provided to eligible employees in advance of enrollment. Contact Human Resources Manager for more information about the 403 (b) savings plan.

Open Enrollment will be held once a calendar year, typically in the Fall. Each employee that is offered agency benefits will have an opportunity to make changes to benefit plans that will be effective January 1<sup>st</sup> of the following year. This opportunity is open for a few weeks and after enrollment closes no mid year changes will be allowed without a qualifying event (marriage, divorce, birth/adoption of a child, move out of state or loss of other group coverage).

Premium	Health Choice High	Employer	Monthly Out of Pocket	Per Pay Period
Individual	526.88	315	211.88	105.94
Spouse	1,188.10	315	873.1	436.55
Child	794.38	315	479.38	239.69
Children	939.6	315	624.6	312.3
Spouse + Child	1,455.60	315	1,140.60	570.3
Spouse + Children	1,600.82	315	1,285.82	642.91

Premium	Health Choice Basic	Employer	Monthly Out of Pocket	Per Pay Period
Individual	397.82	315	82.82	41.41
Spouse	886.2	315	571.2	285.6
Child	625.64	315	310.64	155.32
Children	748.96	315	433.96	216.98
Spouse + Child	1,114.02	315	799.02	399.51
Spouse + Children	1,237.34	315	922.34	461.17

Premium	HCHDP	Employer	Monthly Out of Pocket	Per Pay Period
Individual	345.86	315	30.86	15.43
Spouse	767.62	315	452.62	226.31
Child	542.94	315	227.94	113.97
Children	648.78	315	333.78	166.89
Spouse + Child	964.70	315	649.7	324.85
Spouse + Children	1,070.54	315	755.54	377.77

\*Major medical, Dental, Vision and Life coverage is available for covered dependents with full premium being paid by employee

<b>Other Options</b>
**If you elect not to have Medical Coverage
\$100 per month
<i>Other Options Include:</i>
Short-Term Disability, Accident, Cancer, Heart, Life & Auto Club
Contact HRM for a complete list of options available through AFLAC by phone (918) 253-4683 ext. 117 or by e-mail <a href="mailto:khelsel@neocaa.org">khelsel@neocaa.org</a>

## **CONSOLIDATED OMNIBUS BUDGET RECONCILIATION ACT (COBRA)**

Effective Date: **September 25, 2017**

### **PURPOSE/POLICY**

When an eligible employee terminates employment with NEOCAA, Inc., the employee or qualified beneficiary is entitled to continue participating in the Agency's group health plan for a prescribed period of time, usually 18 months. In certain circumstances, such as an employee's divorce or death, the length of coverage period may be longer for qualified dependents. A summary of the Consolidated Omnibus Budget Reconciliation Act of 1985, better known as COBRA, is discussed below.

### **PROCEDURE**

1. Initial notice will be sent to employees and spouses covered by the plan within 90 days of individual's coverage date.
2. Written notice of continued health insurance coverage will be provided to the terminated employee and/or dependents by the Human Resources Manager.
3. All correspondence thereafter must be between the employee and the Insurance carrier.

## **WORKERS' COMPENSATION**

Effective Date: **September 25, 2017**

### **PURPOSE/POLICY**

Employees hurt on the job, regardless of fault, may be entitled to benefits under Workers' Compensation.

### **PROCEDURE**

#### **Employee Responsibilities**

1. Inform immediate supervisor of the injury or accident as soon as possible. The employee should immediately fill out (DOL) form which will include the following:
  - a. Date, time, and place of injury or accident.
  - b. Brief description of and conditions that caused the injury or accident.
  - c. Description of injured parts of the body or disease resulting from the injury or accident.
2. Request doctor to promptly provide information requested by the employer about the condition of the employee.
3. Keep records of all bills, dates of treatment, compensation payment dates worked and not worked, to whom the injury or accident was reported, and any other information relating to the employee's injury or accident.

#### **Supervisor Responsibilities**

1. Promptly conduct a thorough investigation to determine if the injury or accident was caused by a work-related injury or accident.
2. Notify Human Resources Manager of the accident or injury and work with them to resolve or correct the cause of the accident or injury.
3. Fill out a First Report of Injury form.

## TRAINING AND DEVELOPMENT

Effective Date: **September 25, 2017**

### PURPOSE/POLICY

NEOCAA, Inc. supports the development of employees' and volunteers' skills through both in-house and outside training opportunities.

### PROCEDURE

1. It is a joint responsibility between Program Directors and employees to identify training opportunities and needs.
2. Safety training and employee orientation will be provided to all employees. Please see specific policies for details.
3. Other training courses are offered on an "as needed" basis and may include, but are not limited to, the following:
  - a. Computer training
  - b. Diversity training
  - c. Harassment training
  - d. First aid and CPR
4. It is the responsibility of Supervisors/Program Directors to assign employees to the training sessions to ensure they receive the required training on a regular basis.
5. An employee desiring training must complete a written request for the specific training to Supervisor/Program Director for review and approval.

## SECTION 4

### **TIMEKEEPING AND PAYROLL**

#### HOURS OF WORK

Effective Date: **September 25, 2017**

#### PURPOSE/POLICY

NEOCAA, Inc. maintains work hours in accordance with federal and state regulations and in accordance with workload, program participants' requirements, and the efficient management of personnel resources.

#### PROCEDURE

1. The workweek of the Agency begins on Tuesday, 12:01 a.m. and ends Monday 11:59 p.m. (Must be 168 hours). Employees may be required to work hours different from their regular schedule, such as evenings or weekends, depending on the needs of the Agency.
2. Standard working hours are 8:00 a.m. to 4:30 p.m. Monday through Friday.
3. Immediate Supervisor must approve any deviations from regularly scheduled work hours in advance. Executive Director must approve all overtime hours in advance and initial employee's time card/activity reports. Disciplinary action may be taken if no prior approval for overtime was obtained, refusal to work required overtime, or failure to record overtime worked.
4. Nonexempt (hourly) employees scheduled to attend a meeting, training class, workshop, or seminar at the request of the Agency will be paid for the hours of the meeting or seminar and the travel time to and from the work site. Training and travel time will be counted as time paid in the calculation of overtime.
5. The Agency retains the option to determine the mode of transportation for which it will pay travel time for any given trip. An employee will not be paid for travel time exceeding the time required for selected mode of transportation.
6. Travel time to and from home is not considered work time.
7. Exempt employees that attend a meeting or class will not receive additional compensation since such training is considered part of their job.

## TIMEKEEPING

Effective Date: **September 25, 2017**

### PURPOSE/POLICY

Federal and state law and regulations require NEOCAA, Inc. to maintain accurate records of all time worked by employees. Employees must record all time actually spent on the job performing assigned duties or other work-related projects.

### PROCEDURE

1. New employees will receive training during orientation on procedures for completing time sheets/personal activity reports (PAR).
2. All employees must accurately record the following daily:
  - Beginning and ending work time.
  - Beginning and ending time of any split shift or other personal departures from work.
  - Approved time-off (vacation, holiday, jury, etc.).
3. Employees are responsible for recording and verifying their own time worked. Tampering, altering, or falsifying time records or recording time on another employee's time sheet is not allowed and may result in disciplinary action, up to and including suspension/termination. Under no circumstances is an employee allowed to record time for another employee.
4. Employees who are late to work should record the time they actually started work. Lateness may be reflected in paychecks. Excessive tardiness may be cause for disciplinary action (see Policy on Attendance).
5. Time sheets/activity reports must be submitted to Human Resources Manager by 15<sup>th</sup> and last date of each month. It is the responsibility of the employee to submit the time sheet/activity report on schedule. Failure to do so may result in not receiving a check for time worked until the next pay period.
6. It is the employee's responsibility to sign time records to certify the accuracy of all time recorded. Supervisors will review and sign the time records before they are submitted and processed for payroll. In addition, if corrections or modifications are made to the time record, both the employee and Human Resources Manager must verify the accuracy of the changes by initialing the time record.
7. Any exceptions to the above procedures must be approved by Executive Director.

## **PAYCHECK DISTRIBUTION**

Effective Date: **September 25, 2017**

### **PURPOSE/POLICY**

NEOCOA, Inc. is committed to maintaining appropriate control regarding the security and distribution of employee paychecks.

### **PROCEDURE**

1. The pay period runs from the 1<sup>st</sup> through the 15<sup>th</sup> and the 16<sup>th</sup> through the last day of each month.
2. Employees will receive paychecks or direct deposit vouchers on a semi monthly basis (5<sup>th</sup> and 20<sup>th</sup>).
3. Payroll checks will be electronically deposited to an account at a financial institution that the employee designates. Employees are responsible for notifying Human Resources Manager of any change in banks or bank accounts to ensure the proper direct deposit of payroll to the employee's account.
4. Employees are responsible for keeping their mailing addresses current.

## WAGE AND SALARY ADMINISTRATION

Effective Date: **September 25, 2017**

### PURPOSE /POLICY

Being responsive to market influences federal and state prevailing wage requirements, NEOCAA, Inc. strives to recruit and retain highly qualified individuals. Equitable and compliant wage and salary administration not only recognizes different performance levels among employees, but also provides financial incentive for employees at all levels of the Agency.

### PROCEDURE

1. Employees will receive fair and equitable compensation not to exceed salaries for similar positions in the community, and will not receive less than minimum wage. NEOCAA, Inc. will have an established pay schedule as part of an approved salary plan.
2. Any increase in salary must be able to be sustained by the funding source on a long-term basis.
3. Employees may receive wage/salary adjustment based on the following situations:
  - a. Workload or job responsibilities adjustment
    - Adjustment for substantial, documented reassignments or changes in the duties/responsibilities within the same position may be initiated after consultation with Executive Director.
  - b. Change in position
    - An employee who moves from one position to another with a higher pay grade must be paid at least the minimum of the new pay range.
    - Employees whose current salary is already within the pay range for the higher level position may be granted a salary increase dependent upon the availability of funds, internal equity, and other pertinent factors.
    - Change to a position in the same pay grade is not eligible for an increase, and change to a lower pay grade may be subject to a corresponding salary reduction.
    - For EHS completion of degree plan as approved

**NORTHEAST OKLAHOMA CAA - EARLY HEAD  
START  
SALARY SCALE  
2017 - 2018**

*New employees will be paid based on this Salary Schedule.*

POSITION	BEGINNING HOURLY RATES	
Substitute F/T Available	7.38	
Teacher EHSCCP	9.00	11.00
Cook	12.22	
Teacher EHS	13.23	
Center Director	14.00	
Family Service Workers	12.22	
Managers	15.00 - 22.83	

## Davis Bacon Act

The [Davis-Bacon Act](#), as amended, requires that each contract over \$2,000 to which the United States or the District of Columbia is a party for the construction, alteration, or repair of public buildings or public works will contain a clause setting forth the minimum wages to be paid to various classes of laborers and mechanics employed under the contract. Under the provisions of the Act, contractors or their subcontractors are to pay workers employed directly upon the site of the work no less than the locally prevailing wages and fringe benefits paid on projects of a similar character. The Davis-Bacon Act directs the Secretary of Labor to determine such local prevailing wage rates.

<http://www.dol.gov/whd/programs/dbra/whatdbra.htm>

- Minimum wages:
  - Paid unconditionally
  - Paid once a week
  - Without subsequent deduction or rebate (except payroll deductions as permitted by regulations)
  - Appropriate wage rate and fringe benefits for the classification of work actually performed, without regard to skill
  - Laborers and mechanics could perform work in more than one classification—payroll records must accurately set forth time spent in each classification
- Davis-Bacon poster (WH 1321) will be posted at work site.
- Procedures for getting wage determinations for classifications not listed in wage determination.
- Contractor will pay fringe benefit or another bona fide benefit or hourly/cash equivalent.
- Contractor may consider as wages reasonable costs to provide benefits.
- WH-347 file originally once weekly

## PAYROLL DEDUCTIONS

Effective Date: **September 25, 2017**

### PURPOSE/POLICY

Paycheck deductions are made from employee paychecks according to various laws and to pay for elected benefits, where necessary. Various federal and state laws require NEOCAA, Inc. to make deductions for federal, state, and local income taxes and payments, as well as social security. In addition, eligible employees may voluntarily authorize deductions from their paychecks to cover contributions to the pension plan, health insurance, etc.

### PROCEDURE

1. Mandatory deductions and wage attachments that are required by law will automatically be made from all paychecks issued by NEOCAA, Inc. These deductions may change as they are affected by changes in the amount earned, by legislation, and by the number of dependents declared.
2. Employees desiring to change the amount withheld for taxes may submit a revised W-4 form to Human Resources Manager no later than end of pay period.
3. Additional deductions the Agency is authorized to make, or which are required by law (e.g., garnishments, child support) are automatically deducted and will not be stopped until proper documentation has been received.
4. Court orders, wage deduction summonses, tax levies, and other similar orders against an employee should be immediately forwarded to Human Resources Manager.
5. Human Resources Manager will:
  - a. Notify the employee of the legal action being taken against him or her.
  - b. Provide the employee with a copy of the official court order or tax levy.
  - c. Inform the employee of the dates the garnishment will be deducted from the employee's paycheck.
  - d. Advise the employee of his or her rights under the Consumer Credit Protection Act (CCPA).
2. In the event that garnishment or similar proceedings are instituted against an employee, the Agency will deduct and remit the required amount from the employee's paycheck in accordance with CCPA guidelines.
3. An employee may not be terminated for having a garnishment served against him or her or for filing a petition for bankruptcy.

## TRAVEL/EXPENSE REIMBURSEMENT

Effective Date: **September 25, 2017**

### PURPOSE/POLICY

Employees will be reimbursed for actual and necessary travel and other expenses incurred while conducting Agency business. This policy outlines the procedures and authority for expenditures and reimbursement.

### PROCEDURE

1. Employees required to travel for business must obtain advance approval from Executive Director.
2. Employees will sign a form to repay advances where receipts are not submitted within 15 days or the amount will be deducted from their pay.
3. NEOCAA, Inc. will reimburse employees for meal, transportation, lodging, and per diem rates while traveling for business purposes. Employees are expected to limit expenses to reasonable amounts and within the standard, approved rates as stated at [www.gsa.gov](http://www.gsa.gov) and/or House Bill 2619/OMES depending on funding source.
4. NEOCAA, Inc. does not reimburse for personal activities while traveling or other expenses such as entertainment, liquor, and dry cleaning.
5. Employees should submit a travel expense report containing receipts within 60 days of completion of travel.
6. Employees are also required to attach meeting/training agenda.
7. Mileage will be reimbursed at the prevailing IRS rate according to [www.gsa.gov](http://www.gsa.gov) and/or House Bill 2619/OMES depending on funding source (which encompasses expenses for general maintenance, insurance, gas, oil, etc.) for travel other than to and from the employee's residence and regular work site and includes:
  - a. If an employee travels from his or her residence to a different meeting site (or returns) further than the regular work site, only the additional mileage will be reimbursed. If the mileage is less, no reimbursement will be made.
  - b. Travel from the regular work site to a different site of official business and subsequent return to the regular work site is reimbursable for the mileage in both directions.
8. NEOCAA, Inc. requires employees to provide proof of a current driver's license and/or MVR (motor vehicle report) each year and proof the employee is insurable and has adequate liability and comprehensive insurance before driving any vehicle on NEOCAA, Inc. business.
9. An employee who is involved in an accident while traveling on business must promptly report the incident to supervisor and Financial Manager. Vehicles owned by the Agency, leased, or rented while traveling on business for NEOCAA, Inc. may not be used for personal use.

10. Agency vehicles should be utilized for agency business. Prior approval must be obtained in order for travel to be reimbursed from employees own vehicle.
11. Employees driving or riding in any vehicle on Agency time are expected to observe area traffic laws, and wear seatbelts. NEOCAA, Inc. does not reimburse employees for tickets, fines, bail bonds, etc., incurred by the employee.
12. Prior approval must be obtained from Executive Director before expensing any items not listed here.
13. The Agency will use current General Services Administration (GSA) per diem rates. [www.gsa.gov](http://www.gsa.gov) and/or [House Bill 2619/OMES depending on funding source.](#)
14. Anyone not employed by the agency may not ride in an agency vehicle without prior authorization by Program Director.

***Editor's Note: If the Agency follows all General Services Administration Guidelines, then refer to General Services Administration, Title 41 Parts 301-4, 301-7, 301-8, 301-11, and 302-2, Federal Travel Regulation; Computation of Per Diem Allowance for a Partial Day of Travel.***

***Editor's Note:***

- 1. Normal travel from home to work and from work to home** —Travel at the beginning of the day and the end of the day is not work time, and the employer need not pay for this amount of time.
- 2. Travel that is all in the day's work** —Travel that occurs within an employee's workday (for example, from one location to another) is always considered work time.
- 3. Home to work on a special one-day assignment** —When an employee undertakes a one-day assignment outside his or her normal work location, all travel time is considered to be an integral part of the employee's principal activities and is considered time worked. However, that normal commuting time may be deducted from the travel time that occurs on that day.
- 4. Travel "away from the home community"**—Travel that keeps the employee away from home overnight needs only to be considered work time when it cuts across the employee's normal work day.
- 5. Work performed while traveling**—Any work that is required is considered work time and must be paid. An employee who drives a vehicle, including his or her personal vehicle, is considered working while driving, notwithstanding the foregoing rules.

## SECTION 5

### **EMPLOYEE CONDUCT**

#### SAFETY

Effective Date: **September 25, 2017**

#### POSE/POLICY

To provide employees with a safe place to work, NEOCAA, Inc. operates as safely as possible in accordance with the Occupational Safety and Health Administration (OSHA) and other applicable federal and state laws and regulations.

#### PROCEDURE

1. Supervisor is responsible for establishing and communicating all safety policies and procedures including, but not limited to:
  - a. Inspecting work areas.
  - b. Training employees in health and safety matters, and ensuring that all staff and volunteers can demonstrate safety practices.
  - c. Maintaining safe practices in work areas.
  - d. Identifying unsafe conditions and eliminating any possible hazards present.
  - e. Investigating all accidents immediately.
2. All safety and/or health-related inspections, accidents, or incidents will be reported to supervisor immediately.
3. Each employee, as a condition of continuing employment, is required to work safely, to observe all safety rules and regulations, to wear required safety equipment, and to perform his or her job in a manner to avoid accidents and injury to others.
4. Each location will post a list of emergency telephone numbers that are readily accessible to employees.
5. Human Resources Manager will complete, submit, and maintain records and reports in accordance with established OSHA and the Department of Labor requirements including:
  - a. A log of all recordable occupational injuries.
  - b. Information and services with the insurance carrier.
6. NEOCAA will promote safety awareness among children and parents by incorporating it into child and parent activities as well as in interactions with all clients served.
7. Early Head Start and child care will maintain readily available, well-supplied first aid kits appropriate for the ages served. The first aid kits will be maintained at each location and available on outings away from the site. Each kit will be accessible to staff members at all times and will be kept out of the reach of children.

## **MEDICATION-ADMINISTRATION AND STORAGE**

Effective Date: **September 25, 2017**

### **PURPOSE/POLICY**

To establish appropriate guidelines for NEOCAA regarding the administration, handling and storage of medication when necessary.

### **PROCEDURE**

1. All medications, including those required for staff and volunteers, must be labeled and stored under lock and key and refrigerated, if necessary.
2. Only employees designated are allowed to administer, handle and store medications.
3. Parents must obtain physicians' instructions and written parent or guardian authorizations when appropriate for all medications administered by NEOCAA.
4. An individual record of all medications dispensed will be appropriately maintained and reviewed regularly with the child's parents.
5. All changes in a child's behavior that have implications for drug dosage or type will be recorded and employee will provide assistance to parents in communicating with their physician regarding the effect of the medication on the child.

## SECURITY/INSPECTION

Effective Date: **September 25, 2017**

### PURPOSE/POLICY

This policy establishes the use and the right to inspect all NEOCAA, Inc. equipment and property.

### PROCEDURE

1. Operations often require others to have access to work areas, desks, files, or computers. There is **no** guarantee of privacy. Authorized individuals may have access and business needs to retrieve information on personal voice mail and e-mail.
2. All passwords should be kept confidential.
3. All equipment and property are here for business purposes. Management has the right to access and inspect them.
4. Security concerns may warrant inspection of a facility and any personal property on the premises, including vehicles, purses, backpacks, lunch containers, and other items.

## WORKPLACE ACTIVITY MONITORING

Effective Date: **September 25, 2017**

### PURPOSE/POLICY

NEOCAA, Inc. maintains the right to conduct workplace monitoring for the purposes of quality control, employee safety, security, and the satisfaction of those serviced by NEOCAA, Inc. NEOCAA, Inc. is sensitive to the legitimate privacy rights of staff, volunteers, and those served. Every effort will be made to conduct workplace monitoring in an ethical and respectful manner.

### PROCEDURE

1. Employees who regularly communicate with those served by NEOCAA, Inc. may have their telephone conversations monitored or recorded. Telephone monitoring is used to identify positive interactions and to collect and correct performance problems through targeted training.
2. NEOCAA, Inc. may conduct video surveillance of non-private workplace areas. Video monitoring is used to identify safety concerns, maintain quality control, detect theft and misconduct, and discourage or prevent acts of harassment and workplace violence.
3. Employees can request access to information gathered through workplace monitoring that may impact employment decisions. Access will be granted unless there is a legitimate business reason to protect confidentiality or an ongoing investigation.

## WORKPLACE VIOLENCE

Effective Date: **September 25, 2017**

### PURPOSE/POLICY

To prevent workplace violence and to maintain a safe work environment, NEOCAA, Inc. does not tolerate acts of workplace violence committed by or against employees and/or all persons involved in the NEOCAA, Inc. operation. Employees are prohibited from making threats or engaging in violent acts.

### PROCEDURE

1. All employees, volunteers, and community members should be treated with courtesy and respect at all times. Employees are expected to refrain from fighting, horseplay, or other conduct that may alarm or be dangerous to others.
2. All threats of violence, or violence acts, whether direct or indirect, should be reported immediately to Executive Director. This includes threats by employees, community members, vendors, solicitors, or other members of the public. Executive Director should attempt to obtain the most specific and detailed information as possible from the affected individual.
3. All suspicious individuals or activities should also be reported as soon as possible to Services Director/Executive Director.
4. Conduct that threatens, intimidates, or coerces another employee, parent, child, or member of the public at any time, including off-duty periods, will not be tolerated. This prohibition includes all acts of harassment (refer to Harassment Policy).
5. NEOCAA, Inc. will thoroughly and promptly investigate all reports of threats of violence, actual violence, or suspicious individuals and activities.
6. Anyone determined to be responsible for threats of or actual violence or other conduct is in violation of these guidelines and will be subject to prompt disciplinary actions up to and including suspension/termination and/or legal action as appropriate.
7. There will be thorough and prompt investigations of disputes or differences among employees. These will be brought to the attention of Executive Director before the situation escalates into potential violence. NEOCAA, Inc. is eager to assist in the resolution of employee disputes and will not discipline employees for raising such concerns.
8. Dangerous or hazardous devices or substances are prohibited on the premises.

## WEAPONS

Effective Date: **September 25, 2017**

### PURPOSE/POLICY

To prevent violence and to maintain a safe work environment, NEOCAA, Inc. prohibits all persons who enter its premises from carrying a handgun, firearm, knife, or other prohibited weapon of any kind regardless of whether the person is licensed to carry the weapon or not.

This policy does not pertain to authorized security or law enforcement personnel.

### PROCEDURE

1. Any individuals in violation of this policy will be subject to disciplinary action, up to and including suspension/termination and/or legal action as appropriate.
2. All individuals are encouraged to report incidents of threats or acts of physical violence of which they are aware. The report should be made to the Services Director/Executive Director.

## **SMOKING/TOBACCO USAGE**

Effective Date: **September 25, 2017**

### **PURPOSE/POLICY**

In order to promote wellness and maintain a safe, healthy, and efficient work environment, all programs and services will be conducted in a tobacco-free environment. This policy applies to all persons in the NEOCAA, Inc. facilities.

### **PROCEDURE**

1. No one may use tobacco anywhere on NEOCAA, Inc. premises at any time.
2. Employees who want to use tobacco during work hours must leave the premises (building and property) during designated breaks.
3. HRM is responsible for overseeing compliance with this policy.
4. Complaints for violation of this policy should be submitted to Human Resources Manager.

## **FIRE SAFETY/PREVENTION**

Effective Date: **September 25, 2017**

### **PURPOSE/POLICY**

To prevent fires and to communicate appropriate procedures for all persons to follow in case a fire should occur within NEOCAA, Inc. buildings, all persons involved in NEOCAA, Inc. should follow outlined fire prevention and evacuation procedures as specified below.

### **PROCEDURES**

#### **Fire Prevention:**

1. Know the location of the nearest fire extinguisher(s) and ensure it is (they are) kept accessible at all times.
2. Notify the Services Director if an extinguisher is used or if the seal is broken. Extinguishers rated A, B, or C can be used for paper, wood, or electrical fires.
3. All flammable liquids must be stored in approved and appropriately labeled safety cans and not exposed to any ignition source.

#### **In Case of Fire:**

1. If the fire is small and contained, locate the nearest fire extinguisher. This should only be attempted by employees who are knowledgeable in the correct use of fire extinguishers.
2. Dial 911 or the local fire department if necessary.
3. If possible, immediately contact Services Director/Executive Director. Evacuate all people from the area.
4. If the fire is out of control, leave the area immediately. No attempt should be made to fight the fire.
5. Proceed in an orderly fashion to a parking lot away from the building. Be present and accounted for during roll call.

When the fire department arrives, direct the crew to the fire. Do not re-enter the building until directed to do so by the fire department.

**Emergency Evacuation:**

1. Stop all work immediately.
2. Contact outside emergency response agencies, if needed.
3. Shut off all electrical equipment and machines, if possible.
4. Walk to the nearest exit, including emergency exit doors.
5. Exit quickly, but do not run. Do not stop for personal belongings.
6. Proceed in an orderly fashion to a parking lot near the building. Be present and accounted for during roll call.
7. Do not re-enter the building until instructed to do so.

## DRUG AND ALCOHOL USE

Effective Date: **September 25, 2017**

### PURPOSE/POLICY

NEOCAA, Inc. ensures the health and safety of others in accordance with the Drug Free Workplace Act of 1988. Accordingly, the unlawful manufacture, distribution, dispensing, possession, use, and being under the influence of a controlled substance, including cannabis and alcohol, are prohibited on NEOCAA, Inc. premises.

Any employee that has engaged in drug abuse violations occurring in the workplace will be suspended/terminated immediately.

### PROCEDURE

1. Employees are required to notify Human Resources Manager of any criminal conviction under a drug or alcohol statute for a violation occurring in the workplace no later than five days after such conviction.
2. Employees who have a problem with the use of controlled substances are encouraged to seek professional advice and assistance. One source of assistance may be a drug rehabilitation program acquired through health insurance provider or an Employee Assistance Program. If job performance is adversely affected by the use of a controlled substance, an employee will be instructed to seek help from their health provider. Participation in the rehabilitation program is confidential and is encouraged by NEOCAA, Inc.; however, it will not preclude normal disciplinary action or relieve an employee of responsibility for performing assigned duties.
3. An employee with a drug or alcohol problem that has not resulted in, and is not the immediate subject of, disciplinary action may request approval to take unpaid time off to participate in a rehabilitation or treatment program under NEOCAA, Inc. health insurance benefit coverage or another legitimately recognized rehabilitation program. Leave may be granted if the employee agrees to abstain from use of the problem substance; abides by all policies, rules, and prohibitions relating to conduct in the workplace; and provided that such leave will not cause NEOCAA, Inc. undue hardship.
4. The legal use of controlled substances prescribed by a licensed medical physician is permitted and will not be considered a violation of this policy as long as it does not impair the employee's ability to perform the essential functions of the job effectively and in a safe manner that does not endanger persons involved at NEOCAA, Inc. We encourage employees to volunteer this information to Human Resources Manager to ensure that all health and safety precautions are taken for all persons involved.

5. NEOCAA, Inc. has the right to require urine samples in any of the following situations:
  - a. All candidates for employment will be required to submit urine samples as a condition of an employment offer. In the event that the drug test is positive, the employment offer will immediately be rescinded.
  - b. Each prospective employee will be informed of our drug-free workplace policy at the time of the interview and again at the time of the employment offer.
  - c. A current employee involved in any accident involving injury or Agency property damage at the work site or while on duty.
  - d. NEOCAA, Inc. has reasonable suspicion that an employee's behavior is being influenced by one or more illegal drugs, alcohol, or misuse of a controlled substance.
6. Employees refusing to submit to a test or testing positive for drugs or alcohol will be subject to disciplinary action up to and including suspension/termination. NEOCAA, Inc. will determine, on a case-by-case basis, whether first-time offenders will be allowed to seek counseling/rehabilitation as an alternative to suspension/termination.
7. Any employee testing positive has the right to appeal the results and have the original sample retested at his or her own expense. If the test again indicates a positive result, NEOCAA, Inc. may take disciplinary action up to and including immediate suspension/termination.

## ELECTRONIC MEDIA USE

Effective Date: **September 25, 2017**

### PURPOSE/POLICY

All persons with access to Internet, intranet, and e-mail systems are responsible for seeing that they are used properly and in accordance with the following policy. Questions concerning the policy should be directed to Human Resources Manager.

### PROCEDURE

1. The Internet, intranet, and e-mail systems are for business purposes. Conducting personal business should be limited to lunch, breaks, before or after work.
2. At no time should any subject matter of a sexual nature be viewed.
3. There is no personal privacy in any matter created, received, or sent from the Internet or e-mail system. NEOCAA, Inc. at its discretion, reserves the right to monitor and access any matter created in, received through, or sent from the Internet or e-mail system or any NEOCAA, Inc. owned equipment.
4. Messages sent during working hours should be sent only with good business reason for doing so. Copies should be forwarded only for good business reasons.
5. Each employee is responsible for the messages that are sent from his or her computer. Employees with e-mail passwords should not share their passwords with anyone.
6. All e-mails must follow Agency policy banning solicitation and distribution. Chain letters, pyramid schemes, and other solicitations are prohibited.
7. No e-mail that constitutes intimidating, hostile, or offensive material on the basis of race, color, religion, sex, national origin, age, disability (physical or mental), veteran status, pregnancy, marital status, medical condition, sexual orientation, or any other status protected by federal, state, or local law or regulation may be created, sent, or received at any time. NEOCAA, Inc. policy against harassment applies fully to the Internet and e-mail system.
8. The unauthorized use, installation, copying, or distribution of copyrighted, trademarked, or patented material on the Internet or on NEOCAA, Inc. owned equipment or media is expressly prohibited. Employees are also responsible for ensuring that the person sending any material over the Internet has the appropriate distribution rights.
9. To ensure a virus-free environment, no files may be downloaded from the Internet unless the origin of the message is known. E-mail messages and attachments should not be opened unless the sender is known to the receiver.
10. NEOCAA, Inc. purchases and licenses the use of various computer software for business purposes and does not own the copyright to this software or its related documentation. Unless authorized by the software developer, neither NEOCAA, Inc. nor any of its employees may reproduce such software for use on more than one computer.

11. Employees who become aware of misuse of the Internet, intranet, e-mail system, or NEOCAA, Inc. owned equipment should promptly contact Human Resources Manager.
12. Employees should understand that the cloud is a shared environment. Never attempt to install personal software (e.g. iTunes) on the cloud.
13. Employees should refrain from unnecessary or personal use of streaming media via NEOCAA, Inc. internet. This reduces the band width for staff to carry out agency business. This includes downloading or uploading of files. This includes downloading or uploading of files and listening to streaming radio programs via the internet. Other music devices are allowable.

## **DRESS POLICY AND APPEARANCE**

Effective Date: **September 25, 2017**

### **PURPOSE**

All employees are required to present a positive image to the public and clients. Accordingly, each employee is required to wear appropriate attire while conducting business. Appropriate dress is defined below, although job and work location should be taken into account as well.

### **PROCEDURE**

1. At all times appearance will be neat and professional. Individuals with community and client contact will be expected to wear appropriate attire.
2. HRM is responsible for monitoring the dress policy.
3. All Clothing must be clean, neat and free of holes.
4. During warm weather, staff may wear shorts if they are within 4" of the top of the knee, in good repair and hemmed. Biker shorts are not permissible.
5. Dresses and skirts may be worn if they are within 4" of the top of the knee.
6. Jeans and slacks may be worn if they are in good repair and hemmed. Length of pants appropriate for the individual's job performance will be determined by Program Directors based on work assignment.
7. Shirts that advertise alcohol or tobacco or have other objectionable words are not allowed, as well as any other type of shirt that reveals the bra straps.
8. All clothing must fit properly, without pulling too snugly, or hanging too loosely, at no time will the midriff, cleavages and/or back area be showing.
9. It is permissible to wear nice wind-suits or sweat suits, as long as they are well fitting and not too worn.
10. Jewelry such as facial or a tongue piercing that are deemed questionable or inappropriate will not be allowed. This will be left up to the discretion of the supervisor and program director.
11. Body markings, such as tattoos that use inappropriate language or graphic images will not be allowed. This will be left up to the discretion of the supervisor and program director.
12. If it is determined that an employee/volunteer is inappropriately dressed or groomed, he or she will be instructed to go home, make necessary changes, and to return to work in a reasonable amount of time. This time will not be compensated. Any questions regarding what is or is not appropriate attire at our Agency, consult with Human Resources Manager.

13. Child Care workers are not allowed to wear any sandal without a secured heel because they present a danger to staff and their ability to help a child quickly.

Certain additional restrictions apply to Cooks

- No open toe shoes or sandals
- No sleeveless shirts
- Hair nets must be worn at all times (this also applies to all staff while they are preparing or serving food)
- No rings, earrings, bracelets or fingernail polish may be worn
- Aprons must be worn while food is being prepared

## **PERSONAL PHONE CALLS, MAIL, AND SUPPLIES**

Effective Date: **September 25, 2017**

### **PURPOSE/POLICY**

Use of telephone and mail facilities will be available during working hours for effective communication with the Agency's service recipients and business associates. NEOCAA's facilities should not be used for personal telephone calls or personal mail except in cases of emergency.

### **PROCEDURE**

1. Use of the Agency's telephone lines should be confined to business calls. Incoming and outgoing personal telephone calls should be limited to those that are absolutely necessary and should be as brief as possible.
2. In order to avoid adding to the increasing volume of mail, employees may not receive personal mail.
3. Office supplies are not for personal use. Agency stationery may not be used for personal correspondence as any communication sent out on Agency stationery might be considered official communication.
4. Use of cellular telephones is not permitted in the classroom during scheduled classroom activities for Early Head Start and childcare employees.

## **AGENCY BULLETIN BOARDS**

Effective Date: **September 25, 2017**

### **PURPOSE/POLICY**

The NEOCAA, Inc. agency bulletin board is placed behind the front desk to be used to communicate employment information to employees.

### **PROCEDURE**

1. Information on those boards must be approved in advance by HRM.
2. HRM is responsible for authorizing and maintaining communication posted on display boards.
3. HRM must approve and supervise the posting of all materials on authorized boards. Postings will be limited to Agency-related matters.
4. HRM will place job postings on bulletin boards in order to give current employees the opportunity to apply.

## **STANDARDS OF CONDUCT**

Effective Date: **September 25, 2017**

### **PURPOSE/POLICY**

NEOCAA, Inc. expects all persons involved in the Agency act in a professional and responsible way at all times. Some of the more obvious unacceptable activities are noted below; however, this list is not all-inclusive and other inappropriate conduct may result in disciplinary action.

### **PROCEDURE**

1. All persons involved in NEOCAA, Inc. must abide by these standards of conduct.
2. Contact Human Resources Manager with any questions concerning any standard of conduct or the unacceptable activities listed.
3. The Executive Director may initiate an investigation of reports of employee misconduct and pursue disciplinary action if the investigation warrants.

### **Unacceptable Activities**

Unacceptable activities include, but are not limited to, the following:

1. Violation of any Agency rule or policy; any action that NEOCAA, Inc. deems detrimental to its efforts to operate.
2. Negligence or any careless action which endangers the life or safety of another person.
3. Being under the influence of a controlled substance or alcohol while at work; use, possession, or sale of a controlled substance in any quantity while on Agency premises, except medications prescribed by a physician which do not impair work performance.
4. Unauthorized possession of firearms, weapons, or explosives in the workplace or while on duty.
5. Engaging in criminal conduct or acts of violence, or making threats of violence toward anyone on NEOCAA, Inc. premises or when representing the Agency; disorderly conduct, fighting, or provoking a fight on Agency property.
6. Insubordination or refusing to obey instructions issued by supervisor and/or Executive Director pertaining to job responsibilities and performance.
7. Threatening, intimidating, or coercing fellow employees at any time, for any purpose.
8. Engaging in an act of sabotage; negligently causing the destruction or damage of Agency property, or the property of all persons involved in NEOCAA, Inc. in any manner.
9. Theft or unauthorized possession of Agency property or the property of fellow employees; removal of any Agency property, including documents, from the premises without prior permission from management; unauthorized use of NEOCAA, Inc. equipment or property for personal reasons; using Agency equipment for profit.

10. Dishonesty, falsification, misrepresentation, or material omission on application for employment or other work records; lying about medical or personal leave; falsifying reason for a leave of absence or other data requested by the Agency; alteration of Agency records or other Agency documents.
11. Violating confidentiality policy; giving confidential or proprietary information of the NEOCAA, Inc. to competitors or other agencies or individuals or to unauthorized Agency employees; working for a competing business while an Agency employee; breach of confidentiality of personnel information.
12. Unsatisfactory or careless work.
13. Any act of harassment, sexual or racial; telling sexist or racist jokes; making racial or ethnic slurs.
14. Leaving work before the end of a work day or not being ready to work at the start of a workday without approval of immediate supervisor; stopping work before time specified for such purposes.
15. Sleeping or loitering during working hours.
16. Excessive use of NEOCAA, Inc. telephone for personal calls.
17. Creating or contributing to unsanitary conditions.
18. Failure to report an absence or late arrival; excessive absence or lateness.
19. Obscene or abusive language toward any person; any disorderly/antagonistic conduct on Agency premises.
20. Failure to immediately report damage to, or an accident involving, Agency equipment.
21. Leaving the premises during working hours without supervisor's knowledge or permission.
22. A child may not be left alone or unsupervised while under the program's care.
23. Failure to use positive methods of child guidance and engaging in corporal punishment, emotional or physical abuse, or humiliation. In addition, employ methods of discipline that involve isolation, the use of food as punishment or reward, or the denial of basic needs.
24. Violating eligibility determination regulations.

## **DISCIPLINE PROCEDURE**

Effective Date: **September 25, 2017**

### **PURPOSE/POLICY**

NEOCOA, Inc. policy provides for progressive disciplinary action to change an employee's performance or behavior from unacceptable to acceptable. This policy in no way alters the policy of employment-at-will.

### **PROCEDURE**

1. Progressive discipline will be used when the supervisor determines the employ may correct the performance issue. Progressive discipline may not be appropriate in all cases.
2. Depending on the circumstances involved, discipline issued may be a verbal warning, a written warning, suspension without pay, or termination.
3. Depending on the nature of the violation and other circumstances including, but not limited to, the employee's past conduct, one or more "steps" may be repeated or skipped.
4. In some circumstances, immediate termination may result.
5. Following are steps in the progressive discipline process:

#### **Informal steps**

- a. Training
- b. Counseling

#### **Formal steps**

- a. Oral warning/reprimand
- b. Written warning/reprimand
- c. Suspension – paid or unpaid
- d. Termination

6. All steps in the above process will be documented by the supervisor. Such documentation shall be kept in a secure place.

**Documentation shall:**

Be factual concerning the unacceptable conduct with no conclusions, opinions, or emotions. Include objectives the employee is to achieve to correct the identified problem; include actions by the supervisor which will assist the employee to achieve desired objective; and state actions which may be taken if the problem is not resolved.

7. All supervisors will complete training on the implementation of progressive discipline.
8. Informal steps will be completed and documented by the supervisor, generally with involvement of the reviewing supervisor.
9. Formal steps shall be taken only after consultation with reviewing supervisor and HRM. Suspension and termination shall be used only after approval by the Executive Director.

## SUSPENSION/TERMINATION

Effective Date: **September 25, 2017**

### PURPOSE/POLICY

Either the employer or employee may terminate the employment relationship at any time for any reason or no reason at all.

Voluntary terminations are those initiated by the employee and include:

- Resignation
- Retirement
- Death
- Failing to report to work as scheduled
- Failing to return from an approved extended leave of absence
- Failing to provide notification and obtain approval for absences of three or more consecutive days

Involuntary terminations are those initiated by the Agency and may include:

- Exhaustion of approved leave of absence
- Inability or failure to perform duties or to meet prescribed standards on the job
- Conduct not in the best interest of the Agency
- Layoff resulting from changes in services, resources, or qualification requirements for designated programs or projects
- Violations of the "Standards of Conduct" Policy

### PROCEDURE

1. The entire matter will be reviewed by immediate supervisor and HRM. If supervisor is satisfied the employee has been given sufficient guidance and time to improve, suspension/termination will be approved.
2. Suspension/Termination may be initiated by supervisor but must be reviewed by Human Resources Manager and approved by the Executive Director.
3. An exit interview is conducted by Human Resources Manager, documented, and made a part of the personnel record. See the Exit Interview policy for more information.

### **Early Head Start Specific**

1. In the event that unsatisfactory performance continues, prior approval for termination is required from the Early Head Start Policy Council.
2. In cases of severe misconduct requiring an employee's immediate removal from his or her position (suspension), the Early Head Start Policy Council will be notified immediately at their next regularly scheduled monthly meeting. Layoffs do not count as terminations and do not require the approval of the Early Head Start Policy Council. All notifications of termination will be documented in the minutes of the meeting at which the notification was made.
3. Employees recommended for termination will be suspended with/without pay pending the Early Head Start Policy Council decision.
4. The Early Head Start Policy Council will approve or disapprove the termination at its next regularly scheduled meeting. The termination, if upheld, will be effective upon the initial notice. If termination is not upheld, the matter will be treated in accordance with the Problem Resolution procedure.

## **Fraud Prevention Policy**

Effective: **September 25, 2017**

### **Introduction**

NEOCOA's Fraud Policy is established to facilitate the development and enforcement of controls which will aid in the prevention and detection of fraud or theft against the agency. This policy applies to any fraud or theft or suspected fraud or theft involving an employee (including management), a consultant, vendor, contractor, outside agency, or person doing business with the agency or in any other relationship with the agency.

NEOCOA does not tolerate any type of fraud or theft. The agency's policy is to promote consistent, legal, and ethical organizational behavior by:

- assigning responsibility for reporting fraud or theft;
- providing guidelines to conduct investigations of suspected fraudulent behavior;

Failure to comply with this policy subjects an employee (including management) to disciplinary action, including immediate termination. Failure to comply by a consultant, vendor, contractor, outside agency, or person doing business with the agency or in any other relationship with the agency could result in cancellation of the business or other relationship between the entity and the agency.

NEOCOA will pursue prosecution if the results of an investigation indicate the possibility of criminal activity.

### **Definitions and Examples of Fraud and Waste**

**Fraud** is defined as an intentional deception designed to obtain a benefit or advantage or to cause some benefit that is due to be denied. Examples of fraud include:

- Forgery or alteration of any financial document or account belonging to the agency;
- Forgery or alteration of a check, bank draft, or any other financial document;
- Theft of a check or other diversion of a payment;
- Misappropriation of funds, securities, supplies, or other assets;
- Impropriety in the handling or reporting of money or financial transactions;
- Accepting or seeking anything of material value from contractors, vendors or person providing services/materials to the agency;
- Destruction, removal or inappropriate use of records, furniture, fixtures, and/or equipment (including computer equipment and internet access);
- Disclosing confidential and proprietary information to outside parties;
- Misuse of company resources for personal use;
- Abuse of paid time for non-work related activities.
- **Theft** is defined as the act of taking something from someone unlawfully. An example of theft is taking home equipment or supplies belonging to the agency and keeping them for personal use.

## **Responsibility to Report Suspected Fraud**

Each employee is required to report any suspected fraud or theft in writing to the Program Director or Executive Director.

The identity of an employee or complainant who reports suspected fraud will be protected to the full extent allowed by law in accordance with the agency's Whistleblower Policy.

Suspected improprieties and/or misconduct concerning an employee's ethical conduct should be reported to agency management. Note that there are many instances of prohibited actions that do not rise to the level of fraud, such as an improper relationship with a vendor.

## **Guidelines for Handling a Report of Suspected Fraud or Theft**

When an initial report is made to management the reporting individual should receive the following instructions and information:

- Do not contact the suspected individual in an effort to determine facts or demand restitution.
- Allow NEOCAA management to conduct the investigation. Do not further investigate the allegations.
- Observe strict confidentiality. Do not discuss the case, facts, suspicions, or allegations with anyone unless specifically asked to do so by agency management.
- Retaliation will not be tolerated. The agency will not tolerate any form of retaliation against individuals providing information concerning fraud or suspected fraud.
- Every effort will be made to protect the rights and the reputations of everyone involved, including the individual who in good faith alleges perceived misconduct as well as the alleged violator(s).
- The identity of an employee or other individual who reports a suspected act of fraud will be protected as provided by the agency's Whistleblower policy.

## **Responsibility of Management**

On receiving a report of suspected fraud, agency management shall document the contact and conduct a preliminary investigation to determine the credibility of the report. If the report is credible, agency management shall follow the investigation guidelines provided in this policy.

Agency management shall make every effort to protect the rights and the reputations of everyone involved in a report of suspected fraud, including the individual who in good faith alleges perceived misconduct, as well as the alleged violator(s). Management staff also shall make every effort to protect the identity of a person who in good faith reported the suspected fraud. However, disciplinary action may be taken as provided by this policy if a report is made in bad faith.

On determining that a report is not credible or is not a report of fraud, management staff shall document this determination. Documentation shall include support for the determination.

Management staff is responsible for reporting confirmed fraud to the appropriate state, local and federal authorities in the manner required by state/federal law.

Management staff is responsible for the administration, revision, interpretation, and application of this policy.

### **Guidelines for the Investigation of Suspected Fraud**

Management staff is responsible for the full investigation and documentation of suspected fraud.

Management staff has primary responsibility for the investigation of reported wrongdoing and all suspected fraud. Each employee involved in an investigation of suspected fraud shall keep the content of the investigation strictly confidential to the full extent provided by law. Investigation results shall not be disclosed or discussed with anyone other than those who have a legitimate need to know.

Any required investigative activity shall be conducted without regard to the suspected wrongdoer's length of service, position/title, relationship to the agency, or any other perceived mitigating circumstance.

Management staff shall maintain appropriate documentation regarding incidents of fraud.

If an investigation substantiates fraudulent activities, Management staff will prepare an incident report as soon as possible after the fraud is confirmed and shall document the content of the investigation, the findings, and any disciplinary action taken as a result of the finding.

Any inquiries from the suspected individual, his or her attorney/representative, or any other inquirer shall be directed to Management staff. If necessary, Management staff will refer these inquiries as deemed appropriate.

### **Disciplinary Action**

Failure to comply with any part of this policy is grounds for disciplinary action, including immediate termination.

An employee who:

- has engaged in any form of fraud or theft;
- suspects or discovers fraudulent activity and fails to report his or her suspicions as required by this policy; or
- intentionally reports false or misleading information

is subject to disciplinary action, including termination.

**Employee Protection (Whistleblower) Policy**

Effective Date: **September 25, 2017**

If any employee reasonably believes that some policy, practice, or activity of Northeast Oklahoma Community Action Agency, Inc. is in violation of law, a written complaint must be filed by that employee with the Executive Director or the Board Chairperson.

It is the intent of Northeast Oklahoma Community Action Agency, Inc. to adhere to all laws and regulations that apply to the organization and the underlying purpose of this policy is to support the organization's goal of legal compliance. The support of all employees is necessary to achieving compliance with various laws and regulations. An employee is protected from retaliation only if the employee brings the alleged unlawful activity, policy, or practice to the attention of Northeast Oklahoma Community Action Agency and provides Northeast Oklahoma Community Action Agency with a reasonable opportunity to investigate and correct the alleged unlawful activity. The protection described below is only available to employees that comply with this requirement.

Northeast Oklahoma Community Action Agency will not retaliate against an employee who in good faith, has made a protest or raised a complaint against some practice of Northeast Oklahoma Community Action Agency, or of another individual or entity with whom Northeast Oklahoma Community Action Agency has a business relationship, on the basis of a reasonable belief that the practice is in violation of law, or a clear mandate of public policy.

Northeast Oklahoma Community Action Agency will not retaliate against employees who disclose or threaten to disclose to a supervisor or a public body, any activity, policy, or practice of Northeast Oklahoma Community Action Agency that the employee reasonably believes is in violation of a law, or a rule, or regulation mandated pursuant to law or is in violation of a clear mandate of public policy concerning the health, safety, welfare, or protection of the environment.

This protection from retaliation is not intended to prohibit supervisors from taking action, including disciplinary action, in the usual scope of their duties and based on valid performance-related factors. Individuals making complaints must be cautious to avoid baseless allegations; employees who intentionally make false allegations are subject to disciplinary action in accordance with the CAA Personnel Policies.

## **EXIT INTERVIEWS**

Effective Date: **September 25, 2017**

### **PURPOSE/POLICY**

Exit interviews may be conducted for employees leaving NEOCAA, Inc to discuss wages and benefits.

### **PROCEDURE**

1. Human Resources Manager utilizes the standard exit interview form to conduct an exit interview with the terminating employee.
2. Human Resources Manager is responsible for tracking and analyzing exit interview data and following up on issues identified in exit interviews to ensure resolution.

I have received a copy of the Northeast Oklahoma Community Action Agency, Inc. Personnel Policies effective September 25, 2017 through September 25, 2018. I have read, understand and agree to abide by these policies.

By signing this paper, I am stating that I have read, understand and agree to comply. Furthermore, I understand that any noncompliance will be grounds for disciplinary action.

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Employee Signature

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Printed Name

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Date