“Helping CAO-DMU Move Forward”

Project Advisor: Brandi Robinson

August 4th, 2011

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“Board Orientation Team”

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August 4th, 2011

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COMMUNITY ACTION ORGANIZATION OF DELAWARE, MADISON, AND UNION COUNTIES, INC.

BOARD ORIENTATION MANUAL

06/28/11

Fiduciary Duties of Officers, Trustees and Directors of Charitable Organizations

INTRODUCTION

A significant portion of the contents of this guide were taken from the Board Strengthening Documents pamphlet provided by the Office of the Ohio Attorney General. This document is intended to enable trustees and board members of charitable organizations to understand the duties and responsibilities they accept when they volunteer to serve. *It is the responsibility of the individual to familiarize themselves with any and all legal responsibilities of a board member in any situation.*

TRUSTEE/DIRECTOR: THEY'RE NOT HONORARY TITLES

CAO-MDU depends greatly on volunteers for their governance. Volunteers donate their time for a variety of reasons: some are interested in the organization's programs, while others may feel that the position brings them some level of prestige. Most often, the motivation is a sense of civic duty and the satisfaction that comes from making a contribution to the community.

Organizations such as CAO-MDU often seek prominent members of the community for service on their boards, perhaps because of that individual's business and management reputation, or as a means of honoring that individual and boosting the image and credibility of the organization by having well known names listed among its trustees. Whatever the motivation of the individual or the charity, joining a board of trustees is a decision not to be taken lightly.

Prospective board members should investigate what such a commitment will entail, and understand the role, function, and responsibilities of a charity's governing body. This guide is intended to assist in that endeavor.

THE LEGAL DUTIES

Trustees and directors of a charitable organization, whether or not the organization is formally incorporated as a nonprofit corporation, have specific legal duties owed to the organization. The primary duties are :

1. The duty of care;
2. The duty of loyalty;
3. The duty to maintain accounts;
4. The duty of compliance.

THE DUTY OF CARE

The duty of care requires that a trustee be active in the CAO-DMU's affairs by attending board meetings and meeting of committees on which the trustee serves. A board member must keep himself or herself informed to determine if the policies established by the board are being followed, and should understand how the Organization is functioning.

This duty must be discharged diligently and in good faith. Board members must act with knowledge and after adequate deliberation, and should carefully establish organizational policy and regularly oversee its administration by a competent staff.

Some board members simply don't do their jobs. Board members who are regularly absent from meetings, are inactive, or who fail to conduct adequate research prior to making decisions are guilty of what might be called non-management. Board members should conduct themselves with the level of care, skill, and diligence exercised by prudent persons in the handling of his or her own affairs. Generally, a board member who knows the facts, analyzes the probable result of an action, exercises sound judgment, and keeps reasonable records acts prudently and fulfills his or her duty of care.

Understand the charity's mission by familiarizing yourself with the charity's articles of incorporation, constitution, by-laws, or other governing documents.

Attend board and committee meetings and be prepared for those meetings by reading and reviewing reports, minutes, and other materials distributed for the meeting.

Be prepared to ask questions and obtain the information needed for you to make informed decisions in approving and disapproving proposals. Included in your responsibilities is the oversight and review of the performance of the charity's executive director or chief executive officer. You should exercise your independent judgment and not merely accede to the executive director's requests.

THE DUTY OF LOYALTY

Many problems can be avoided if board members keep the duty of loyalty foremost in their thoughts. The duty of loyalty requires that the interest of the charity, and, as a consequence, the interest of the public, takes precedence over the board member's personal interests. A trustee must, loyally and without self-interest, further the charitable objectives of the organization by acting fairly and in the best interest of the charity.

Trustees may breach the duty of loyalty when they engage, directly or indirectly, in transactions between themselves as trustees and themselves as individuals or with family members or businesses in which they hold an interest. Board members should not engage in any transaction that is adverse to the charity, engage in any competing enterprise to the detriment of the charity, divert an organizational opportunity for personal gain, or derive any kind of secret profit or other advantage in dealing with or on behalf of the charity. Caution should be exercised in entering into any business relationship between the organization and a board member, and should be avoided entirely unless the board determines that the transaction is clearly in the charity's best interest.

The interest of the charity is always first.

Establish a written policy for dealing with conflict of interest situations, which should include procedures for written disclosures from board members concerning any business dealings with the charity.

You should disclose your financial interest whenever the charity proposes to enter into a business relationship with you, a member of your family, or a business in which you hold an interest. You should not vote on the transaction or participate in any debate on the merits of the transaction.

You should not divert an opportunity available to the charity for your own gain. **Transactions involving potential conflicts of interest and self-dealing situations should be avoided if at all possible.**

THE DUTY TO MANAGE ACCOUNTS

Board members are responsible for assuring the financial accountability of the charity. Procedures should be established to keep the organization fiscally sound and insure that it operates in a fiscally responsible manner. Care must be taken for the proper use of any restricted funds. Trustees should oversee the executive director and determine that the charity's purposes are fulfilled without waste. Preparation of a budget is important for providing clear directions for spending and translating program and management goals of the board into financial projections.

The organization should be able to demonstrate the wise use of its funds. Accurate records of all income, expenditures, transactions and activities must be maintained. Accurate minutes of board meeting should be taken in order to demonstrate board approval of certain expenditures and investments and to show that informed decisions were made with regard to these transactions.

Keep accurate records of income, investments, expenditures and transactions, and accurate minutes of board meetings.

Develop annual budgets that provide clear direction for spending at all levels of activities. The budget should be a blueprint of the board's program plans.

Establish appropriate internal accounting systems, including a system of checks and balances. No one person should retain total control over finances.

Prudently invest and reinvest assets.

Assist the organization in acquiring resources for its programs. Develop fundraising goals and policies. Make certain that fundraising appeals are presented honestly and fairly, and monitor the performance of fundraising professionals.

Shop around for the best values in goods and services through comparisons and informed bidding processes. This process should also be applied to contracts entered into with fundraising professionals.

THE DUTY OF COMPLIANCE

Board members have a duty to be faithful to the organization's purposes and comply with the charity's governing documents. They are also under a duty to be familiar with the laws that apply to the charity and to comply with those state and federal laws that relate to the charity and its business operations.

Be familiar with and follow the provisions of the charity's articles of incorporation, constitution, by-laws, or other governing documents.

Familiarize yourself with state and federal laws relating to nonprofit entities, fundraising, and tax related issues.

Comply with state and federal registration and reporting requirements, which may include filings with the Ohio Attorney General, the Ohio Secretary of State, and the Internal Revenue Service.

KEEPING THE BOARD VIGOROUS

To insure the continuing vitality of the charity and its awareness and responsiveness to community needs, board members should look for ways to continue to breathe new life into the board. Choose board members who have an interest in the charity's mission and represent diverse viewpoints. Actively recruit individuals whose skills and commitment will enhance the charity. Consider term limits and rotation off the board to other assignments as a means of avoiding stagnation, tunnel vision, and the perception that the board is merely an insider's club.

IS IT WORTH IT?

A board member who feels that his or her position as trustee is merely honorary is in for a shock. When you agree to serve on a charity's board, you accept stewardship responsibility for the funds donors have contributed. Donors are placing their trust in you, the public who benefit from the charity's services is depending on you, and regulators are watching you. These responsibilities need not frighten off any prospective board member. They need only to be active and involved, use sound judgment, act conservatively, responsibly, and in fairness to the charity, and always have the charity's best interests foremost in all actions. For board members who take their responsibilities seriously, the rewards of voluntary service are immeasurable.

Board Position Descriptions

Job description of the Board President

- Chairs Board and executive committee meetings
- Serves as ex-officio member of all committees
- Works in partnership with the chief executive to make sure Board resolutions are carried out
- Calls special meetings if necessary
- Appoints committee chairs and members
- Assists chief executive in preparing agenda for Board meetings
- Assists chief executive in conducting new Board member orientation
- Oversees searches for a new chief executive
- Coordinates chief executive's annual performance evaluation
- Works with the nominating committee to recruit new Board members
- Acts as an alternate spokesperson for the organization
- Periodically consults with Board members on their roles and helps them assess their performance

Job description of the Board Vice President

- Attends all Board meetings
- Serves on the executive committee
- Carries out special assignments as requested by the Board President
- Understands the responsibilities of the President and is able to perform these duties in the President's absence
- Participates as a vital part of the Board leadership

Job description of the Board Secretary

- Attends all Board meetings
- Serves on the executive committee
- Maintains all Board records and ensures their accuracy and safety
- Produces and/or reviews board minutes
- Assumes responsibilities of the President in the absence of the President and vice President
- Provides notice of meetings of the Board and/or of a committee when such notice is required

Job description of a Board Treasurer

- Maintains knowledge of the organization and has a personal commitment to its goals and objectives
- Understands financial accounting for nonprofit organizations
- Serves as financial officer of the organization and as chairperson of the finance committee.
- Manages, with the finance committee, the Board's review of and action related to the Board's financial responsibilities.
- Works with the chief executive and the chief financial officer to ensure that appropriate financial reports are made available to the Board on a timely basis.
- Assists the chief executive or the chief financial officer in preparing the annual budget and presenting the budget to the Board for approval.
- Reviews the annual audit and answers Board members' questions about the audit.

Board Member Service Commitment Pledge

I, _____ , recognizing the important responsibilities I am undertaking in serving as a member of the Board of Trustees of this organization, hereby pledge to carry out in a trustworthy and diligent manner the duties and obligations in my role as a board member.

MY ROLE:
I acknowledge that my primary role as a member of the THE ORGANIZATION Board of Directors is:
1. To contribute to the defining of THE ORGANIZATION's mission and governing the fulfillment of that mission, and,
2. To carry out the functions of the office of Board of Director as stated in THE ORGANIZATION's organizational by-laws, as amended from time to time.

My role as a board member will focus on the development of broad policies that govern the implementation of institutional plans and purposes. This role is separate and distinct from the role of the Executive Director, who determines the means of implementation.

MY COMMITMENT:
I will exercise the duties and responsibilities of this office with integrity, collegiality and care.

I PLEDGE:
1. To schedule and attend all meetings of the board and its committees on which I serve and, where possible, at all times provide a reasonable basis for any absences to the Board President in advance of any such absences.

2. To come prepared to discuss the issues and business to be addressed at scheduled meetings, having read the agenda and all background material relevant to the topics at hand.

3. To work with and respect the opinions of my peers who serve this board, and to leave my personal prejudices out of all board discussions.

4. To always act for the good of THE ORGANIZATION.

5. To represent THE ORGANIZATION in a positive and supportive manner at all times and in all places

6. To observe the parliamentary procedures and display courteous conduct in all board and committee meetings.

7. To refrain from intruding on administrative issues that are the responsibility of management, except to monitor the results and prohibit methods that conflict with board policy.

8. To avoid conflicts of interest between my position as a board member and my personal life. If such a conflict does arise, I will declare that conflict before the board and refrain from voting on matters in which I have conflict.

9. Represent the interests of all consumers served by this organization, and not favor special interests inside or outside of THE ORGANIZATION.

10. Not use my service on this board for my own personal interest or for the advantage of my friends or associates.

11. Keep confidential information confidential.

12. Never exercise authority as a board member except when acting in a meeting with the full Board or as the Board delegates to me.

13. To support in a positive manner all actions taken by the Board of Directors even when I am in a minority position on such actions.

14. To agree to serve on at least one committee, attend its meetings, and participate in the accomplishment of its objectives. If I chair the board committee, or a task force, I will:

A. call meetings as necessary until objectives are met;
B. ensure that the agenda and support materials are mailed to all members in advance of the meetings;
C. conduct the meetings in an orderly, fair, open and efficient manner;
D. make committee progress reports/minutes to the board at its scheduled meetings, using the adopted format.

15. To participate in:

A. the annual strategic planning process;
B. board self-evaluation programs;
C. board development workshops, seminars, and other educational events that enhance my skills as a board member at least twice a year
D. establishing specific annual personal goals and action steps consistent with THE ORGANIZATION's mission and annual priorities and that are measurable based on objective performance criteria.

If, for any reason, I find myself unable to carry out the above duties as best as I can, I agree to resign my position as a member of the THE ORGANIZATION Board of Directors.

Board Member Signature Date _____

Printed Name_____

New Board Member Application Form

THE ORGANIZATION

Name _____

Address_____

Phone : Home_____Office_____

Email address_____

Occupation_____

Why are you interested in joining THE ORGANIZATION?

Have you had past involvement with THE ORGANIZATION? If so, what was it?

What experience do you have with nonprofit Boards?

What knowledge and skills can you bring to the Board?

Would you commit the time to attend Board and committee meetings? _____

Would you make a financial commitment or do fundraising for THE ORGANIZATION? _____

Please describe the mission of THE ORGANIZATION as you understand it.

Signature_____ Date_____

New Board Member Checklist

Items for Board Manual

_____ Organization's Articles of Incorporation

_____ Organization's Bylaws

_____ Mission and Vision statement

_____ Strategic Plan

_____ Organization Chart/Senior staff listing

_____ Recent news articles about the organization

_____ Schedule of Board meetings and key dates

_____ Most recent annual report

_____ Most recent audit report

_____ Current Budget

_____ Most recent Form 990

_____ Minutes of previous three Board meetings

_____ Board member job description

_____ List of Board Members, addresses, phone numbers, and terms

_____ Board Committees (chairs and members)

_____ Board member Service Commitment Pledge

_____ Board conflict of interest form

_____ Most recent Board self-evaluation

_____ Board member training

Items for Discussion

_____ Introductions to key Board and staff

_____ Tour of facilities

_____ Identify interests for committee assignments

_____ Discuss about expectations of the new Board member

II. Introduction to the CAO/MDU

Community Action Agencies (CAA's) are non-profit private and public organizations established under the Economic Opportunity Act of 1964 to fight America's War on Poverty. This created the Office of Economic Opportunity (OEO), which oversaw federal funds for poverty programs. ***CAA's help people to help themselves in achieving self-sufficiency.*** CAA's are change agents, not simply service providers, and the focus of that change is the transition to self—sufficiency.

CAA's saw their formative years from 1964-1967, during which CAA's grew rapidly and procured large amounts of federal funds into communities, creating some CAA boards. This resulted in some discontent on the local level and several big city mayors began to communicate this to President Lyndon Johnson and, as a result, Congress earmarked new funds into congressionally-defined National Emphasis Programs.

The restructuring of CAA's took place between 1967-68. In late 1967, Congress passed the Green Amendment, which required that a CAA must be designated as the official CAA to operate in that community. After designation, OEO could then recognize the CAA and provide funds. Congress also passed the Quie Amendment which required CAA boards of directors be composed of one third elected officials, one third low income representative elected by democratic process, and the balance from the private sector.

By 1969, many successful self help programs had been initiated by OEO and the community action agencies, including heating assistance, legal services, VISTA, foster grandparents, economic development, neighborhood centers, summer youth programs and congregate meal preparations and others. Under President Ford, the Community Service amendments were passed. OEO was dismantled and the Department of Health and Human Services was created. Within that Department is the Office of Community Services (OCS) that now oversee's CAA's and their federal dollars. In September of 1981, Congress provided that all CAA's designated and recognized by OCS were eligible to be funded under the community services block grant, which is the largest source of funding for community service/poverty support programs.

The Community Action Organization of Delaware, Madison & Union Counties, Inc. (CAO/MDU) is a private non- profit agency, with IRS 501 (c) (3) status, dedicated to planning, implementing, and coordinating programs designed to impact social and economic problems. The Agency was established in 1965 as a result of the Economic Opportunity Act of 1964. CAO/DMU is a collaborative partner in the tri-county area with local governments, churches, social service agencies, business and industry, civic and community groups, and interested individuals. Funding for CAO/MDU's services and operations is solely derived from federal,

state, local, and private grants. CAO/DMU administers the Community Services Block Grant (CSBG) for the tri-county area. This Block Grant provides administrative and planning functions; client outreach; information and referral services; and emergency services associated with the Agency's programming.

Along with CSBG, other primary funding programs for the Agency are the Home Weatherization Assistance Program (HWAP), Home Energy Assistance Program (HEAP), and Emergency Home Energy Assistance Program (E-HEAP). HWAP provides weatherization assistance to eligible individuals in the form of insulation and draft alleviation to reduce heating bills and safety concerns. The Emergency HEAP provides limited assistance to individuals who are, or are about to be, shut-off from their primary heating source or have insufficient funds to purchase bulk fuel to heat their home. In addition to these major programs, CAO administers Delaware Council for Older Adults, Columbia Gas Warm Choice Program, Housing Trust Fund, Elderly Home Repair Program and various other fund limited emergency assistance program through the administrative support of CSBG. There is also Volunteer Income Tax Assistance, and The Ohio Benefit Bank "neighbors helping neighbors".

Our Mission: To improve the quality of life for individuals and families economic self sufficiency.

Our Vision: To alleviate poverty and be a leader in providing services to its communities.

D. Advisory Committee Responsibilities and Expectations.

E. Fiduciary and Legal Responsibilities and Ramifications—legal and financial responsibilities of the CAO/MDU.

F. Personnel Policies and Procedures—includes grievance policies, etc.

Current Administration and Contact Information

The Community Action Organization of Delaware, Madison & Union Counties, Inc.

648 Cymer Rd., Ste 130

Marysville, Ohio 43040

937-642-4986 or toll free 1-800-858-4452

Fax 937-642-1925

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Fiscal Department	Don Jolliff	djolliff@caodmu.org
	Deborah Abbey	dabbey@caodmu.org
Service Director	Marian Jacques	mjacques@caodmu.org

Union County

Manager/HEAP Coordinator	Kim Puckett	unionmgr@caodmu.org
Associate	Deanna Beightler	dbeightler@caodmu.org
Receptionist	Jessica Steffen	receptionist@caodmu.org

Delaware County

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Delaware Ohio 43015

740-369-3184

Fax 740-363-7505

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London Ohio 43140

740-852-3511

Fax 740-852-7101

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Residential Services

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Assistant	Amy Bryant	abryant@caodmu.org
Inspector	John Simpson	jsimpson@caodmu.org
Inspector	Bill Pinnick	bpinnick@caodmu.org

VITA/OBB

Manager	Diana Rice	vitamanager@caodmu.org
Union County Site Coordinator		unionvita@caodmu.org
Madison County Site Coordinator		

Office Hours: M-F, 8am to 4:30pm EST

Closed for the following Holidays

New Years Day	**Memorial Day**	**Thanksgiving Day**
Martin Luther King Jr	**Fourth of July**	**Day after Thanksgiving**
Presidents Day	**Labor Day**	**Christmas Day**
Columbus Day	**Veteran' Day**	

Board Roster for CAODMU

Delaware County

Public	**Private**	**Low Income**
Tommy Thompson		April Nelson
Delaware County Commissioner		354 N Franklin St
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Delaware Ohio 43015		740-369-4043

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Mona Reilly- chair

Dept of JFS, Director

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Madison County

Public

David Dhume – chair

Madison County Comm.

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Crystal Martin

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Kristel_rin@hotmail.com

IV. Resources for BOT Members

NonProfit Internet Resources

- Alliance for Nonprofit Management http://www.allianceonline.org/ The Alliance has quite a few articles on Board Governance issues.
- BoardSource http://www.boardsource.org/ Boardsource provides information on board strengthening as well as workshops and training seminars.
- Council on Foundations www.cof.org The Council in Foundations provides information, opportunity, leadership and tools needed by philanthropic organizations.

- Foundation Center http://www.foundationcenter.org/getstarted/learnabout/foundations.html The Foundation Center provides training and information on foundations.
- Free Management Library http://www.managementhelp.org/boards/boards.htm Provides a comprehensive set of tools for assisting Boards in carrying out their functions.
- Guidestar http://www.guidestar.org/ Guidestar is a good general reference, and it gives you access to all nonprofit organizations' Forms 990.
- Idealist.org http://www.nonprofits.org/ Idealist provides lots of general reference information as well as information on 58,000 nonprofit organizations.
- National Council of Nonprofit Associations http://www.ncna.org/ NCNA is the national association OANO is the Ohio affiliate.
- Nonprofit Center of Northeast Florida http://www.nonprofitjax.org/resourcesoptions.asp?rmID=7 The Center has some excellent articles on nonprofit governance
- Ohio Association of NonProfit Organizations http://www.ohiononprofits.org/ OANO provides networking and training opportunities for Ohio nonprofit organizations.
- American Institute of Certified Public Accountants Audit Committee Toolkit http://www.aicpa.org/Audcommctr/toolkitsnpo/homepage.htm tools for strengthening the organization's audit capabilities.

By-Laws

Board Evaluation and Removal Policies

Holiday/Meeting Schedule or Template

“Strategic Planning”

Project Advisor: Brandi Robinson

August 4th, 2011

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Ohio Bureau of Worker’s Compensation
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Dave Finley
Deer Creek Golf Course
Ohio Department of Natural Resources
740.869.2005

Strategic Planning for the Community Action Organization of the Delaware, Madison and Union Counties, Inc.

Presented by Cohort 43 of the Ohio Certified Public Manager, 2011

Prologue

The Certified Public Manager Program of the State of Ohio (OCPM) was asked to review the organizational operation of the Community Action Agency of Delaware, Madison and Union Counties, Inc. (CAODMU) and to make suggestions to assist in the enhancement of the operation. A key area we have identified as a potential opportunity for improvement for CAODMU is the development and implementation of a Strategic Plan to use in the operation of the organization.

Introduction

A Strategic Plan "addresses strategic and operational perspectives, deployment of plans, adequate resources, how plans are changed if circumstances require a change, and how goals and strategies are measured and sustained… focusing on the future and long-term organizational sustainability are key strategic issues that need to be integral to an organization's overall planning."[1] In other words, it sets a clear direction for your organization's future that defines who you are, and in a perfect situation, what you hope to achieve. It also clearly lays out what your plans are to meet legal goals, financial goals, and goals defined by legislation. "From a governance perspective, it enables the Board to set policies and goals to guide the organization and provides a clear focus to the Executive Director and staff for program implementation and agency management."[2] It identifies the specific customers you will service and with what framework you will handle their needs and concerns. It will be created not just by those who oversee the operation of the CAODMU but by all stakeholders; the front line workers, the supervisors, the Board and the customers. In totality, it creates accountability throughout all aspects of your organization. A great source of reference for the CAODMU to base its strategic plan is VirtualCAP.org in the section entitled "Strategic Planning Tools". Not only are there excellent tools for your group's process, but a listing of over 20 sample plans from around the nation.

Project Overview

There are many different methods that can be used to develop a Strategic Plan. To assist you with this process, we have:

- Compiled a list of resources, found in the bibliography, which are an excellent source for sample Strategic Plans and process documents.
- Reviewed these many different methods and compiled a ten step process you can use for implementation of the Strategic Plan. The steps are as follows:

    1. Agree on need for a Strategic Plan and Team Members
    2. Develop a Scope for the Strategic Plan
    3. Identify your Past and Present
    4. Assess your Strengths, Weaknesses, Opportunities and Threats (SWOT)
    5. Define the organization's Values, Vision and Mission
    6. Define the organization's Goals and/or Objectives
    7. Identify Strategic Issues and Planning
    8. Write the Strategic Plan
    9. Implement the Strategic Plan
    10. Review, Alter and Keep it Moving

(Steps one through five can be accomplished with the smaller strategic planning team. Steps six and seven should be completed at a strategic planning meeting involving representatives of all levels of the organization. Steps eight through 10 are accomplished after the meeting by the core strategic planning team)

Step One: Agree on need for a Strategic Plan and Team Members.

The Board of CAODMU must first determine if a Strategic Plan is needed. If it is <u>not</u> needed, your project is done. If there is a need, you should agree upon a Strategic Planning Lead for the project. The Lead will be responsible for keeping the process on time and on budget while keeping all members on task. This person (group) needs to be committed to the process and willing to dedicate the time necessary to making the Strategic Planning process work.

The Board and the Lead, if not a Board Member, will need to determine if a third party is needed; whether to hire a consultant to assist in the process, or to appoint a Facilitator for the creation of the plan. A Facilitator is someone who can help a group understand their common objectives and assists them in planning without taking a particular position in the discussion. The Facilitator will keep the meeting moving while serving as a mediator should heated discussions arise. You can also ask the Facilitator to maintain the articles used during the creation of the plan.

The Board, Lead and Facilitator should now decide who is to be included on the work group or "Team". Be sure to bring a sampling of the many stakeholders you have for the CAODMU: your board, your employees, your internal customers, your external customers, suppliers and even your contractors. Do not only include people who are agreeable with how you operate at this time. Look for your critics; the local devil's advocate; your biggest supporter; and maybe even someone who knows very little about what services you provide. Fresh minds and opinions will help you verify your present status and help provide needed direction for the future. If you exclude any of the aforementioned stakeholders, be sure to seek input at some point in the process.

As you get into the individual steps, you may find it helpful to have small but diverse sub-groups to coordinate individual projects.

Step Two: Develop a Scope for the Strategic Plan

Now that you have a Facilitator, Lead, and Team members, your focus is to form the Scope of the Strategic Plan. A Scope is a contract to help you stay on track thus helping ensure the success of the process. The Scope will include the following areas:

1. Come to a consensus on the meeting guidelines. Some things to consider:
    - When and where will you be holding your meetings?
    - Is there a large enough space for your team at the CAODMU location(s)?
    - If more than one meeting will be held, what will be the frequency to meet at each location?
    - Will you meet off site, as to not encumber resources which may be needed?

2. Define the time period that you plan to perform the process. Some things to consider:
    - Do you have a short window to get this done due to mandates or are you able to take a longer period of time?
    - How much time can individuals devote to the process? Do you want to only devote one hour to the process or are the members willing to commit to over 40 hours during the process?

    This will help you define the size of the finished product; a schedule; and checkpoints throughout the process to benchmark your progress.

3. Determine the specific needs with this strategic plan. Are they Fiscal; Human Resources; Operations; or only a Customer focus? Be as broad as you like, but remember that the more areas you address in the plan, the longer it will take to perform the process. You'll need to ensure that this is in-line with your time constraints as identified in the two steps above.
4. Identify any associated costs for this process. If there are costs involved, your committee will need to plan for and address these costs. Costs may include:
    - Additional time/compensation team members may need for work outside of their normal schedule or work duties.
    - If meetings are off site, team member travel time or mileage.
    - Materials for meetings and research, such as markers, Post-it-notes, easel pads, refreshments, etc.
5. Determine the length of time or how far reaching your Strategic Plan will be. For example, are you going to create:
    - Short term goals, 3 months to a year, that current members will be here to see through; or
    - Long term goals, 15 to 20 years into the future, when many of the present members will no longer be with the organization?

    This is an area that many organizations do not like, because it defines a period of time that evaluations must occur. Remember, the point of creating a Strategic Plan is to create accountability. Based on the length of the plan, you'll need to create corresponding points of evaluation for you to rate the progress of the CAODMU.

Finally, determine the depth and detail of your Strategic Plan. For example, will it be a:

- Large document with many specific processes and procedures; or
- Short document making it easier to communicate or even memorize?

Remember, the shorter and more simple the document, the more likely it will be that all stakeholders will buy into and achieve the Strategic Plan's goals.

The information in the above steps, and other information you may include, need to be placed into a document and provided to all members of the committee. If all are agreeable you can move on to Step Three.

Step Three: Identify your Past and Present.

It is important for everyone to understand your history and where you are now, before you can effectively plan for the future. Below are some sample questions you may use to do the assessment of your organization:

1. What is the history of the CAODMU?
2. Why was it created?
3. What was its original mission?
4. Who were its original customers?
5. What were its original funding sources?
6. What has changed since we created the CAODMU?
7. Why did our organization change?
8. What services are we performing today?
9. Have our target customer changed and if so why?
10. What are our current funding sources?

These questions are important to answer as they clarify the reason for the CAODMU's existence. Thoroughly researching and analyzing these questions are important in order to plan for the future. However, remember to stay within the Scope of the ground rules you set in the planning process. Though it may be nice to know all the answers to the listed questions above, if you are only dealing with the human resources aspect of your organization, stay only within that area. Over-researching can throw you off track and you can lose your focus costing you time and money.

Step Four: Assess your Strengths, Weaknesses, Opportunities and Threats (SWOT)

This step will assist CAODMU with identifying necessary information to effectively develop and define its' mission, vision and values. This step also involves specifying the objective of the CAODMU and identifying the internal and external factors that are favorable and unfavorable to achieve your mission. These are defined as follows:

- **Strengths**: characteristics of the CAODMU that give it an advantage over other service agencies in your community.
    - What advantages does your organization have?
    - What do you do better than anyone else?
    - What unique resources can you draw upon that others can't?
    - What do people in your counties/communities see as your strengths?
    - What factors lead members of your community to utilize your services?
    - What is your organization's unique service?
- **Weaknesses**: characteristics that place the COADMU at a disadvantage relative to other agencies.
    - What could you improve?
    - What are your organization's limitations (publicly, economically, or socially)?
    - What should you avoid?
    - What are people in your community likely to see as weaknesses?
    - What factors cause you to lose clients?
- **Opportunities**: external chances to make a stronger influence in the communities.
    - What good opportunities can you spot?
    - What interesting trends are you aware of?
    - Any changes in technology and markets on both a broad and narrow scale?
    - Any changes in government policy related to your community?
    - Any changes in social patterns, population profiles, lifestyle changes, etc?
    - Any local events?
- **Threats**: external elements in the community or world that could cause trouble for the business.

- What obstacles do you face?
- Do you face any competition for your services?
- Are quality standards or specifications for your job, products and services changing?
- Is changing technology threatening your organization?
- Do you have bad debt or cash-flow problems?
- Could any of your weaknesses seriously threaten your business?

Once completed, the SWOT analysis determines what may assist the organization in accomplishing your objectives, and what obstacles must be overcome or minimized to achieve desired results. A key tool is the SWOT Matrix (Shown Below) which allows you to visually see your progress.

A lot of time and effort should be put into a SWOT analysis for it to be beneficial. When done thoroughly, a SWOT analysis can offer many benefits to your organization's strategic planning process including:

- A perspective of the state of the CAODMU and the risks to be managed
- A look at the effectiveness of your current operations, and possibly identifying new services that may entrench the CAODMU in the communities it serves
- The generation of data that can be used to help in creating tactics and strategies and
- Identification of relationships between internal and external issues and concerns

Step Five: Define the organization's Values, Vision and Mission

The first step in this process is to identify CAODMU's values. Values are shared beliefs and principles that guide the direction of the organization. They are the basis of existence for the organization. Values rarely change and all members of the organization see the values as the reason the organization exists.

Next is the "Vision" process, which is a method of defining your organization's vision by focusing on its values and the information identified in the evaluation of your past and present as well as the results of your SWOT analysis. The Vision not only encompasses what you foresee for the community in the future but also how CAODMU will best strategize to operate in order to fulfill its values and achieve its vision. For this step, it is critical you keep in mind how far reaching you decided to go in your Scope document from Step Two. It should answer questions such as:

1. What size do you expect the organization to be in the time frame of your Strategic Plan?
2. What is the future role of the CAODMU in the communities it serves?
3. Who do you foresee as making up your organization, partnerships, and relationships?
4. What do you foresee as funding sources?

Be realistic but visionary. Do not let the present political environment or economic situation skew your beliefs of the future. Plan for "in a perfect world" this is what we hope for our organization. It can be as short as one sentence or several pages long. Example statements are as follows:

1. The Community Action Organization of Delaware, Madison and Union Counties will be recognized as the premier service provider in the State of Ohio.
2. The Community Action Organization of Delaware, Madison and Union Counties will provide superior support services to all members of our communities who cannot physically or financially support themselves.

You can also list the services you hope to provide, for example:

> In 2020, the Community Action Organization of Delaware, Madison and Union will be nationally recognized for providing the following services to our community members:

1. Home Weatherization Program
2. Elderly Home Repair Program
3. Home Energy Assistance Program
4. Emergency Food Assistance Program

The list could go on forever. The idea is to be realistic and believe in what you plan to become.

You can also create a "Community Vision Statement" at this point. This is what you envision for the Delaware, Madison and Union counties if all your beliefs and actions are realized. This would be a picture of your perfect world at your checkpoints in three, five or even ten years (or months for short term goals) into the future.

Last, a Mission Statement is your direct statement of how the CAODMU will change the world. A Mission Statement defines what an organization is, why it exists, and its reason for being. At a minimum, your Mission Statement should define who your primary customers are, identify the products and services you produce, and describe the geographical location in which you operate.

Start by writing down one sentence about your organization and build from that point. It should be more directed to the employees who perform the function and services than the customers you serve. It can be a single statement or a list of statements. Below are examples of Mission Statements:

- To mobilize resources to combat the conditions of poverty by providing services and programs to enhance the quality of life for low-income individuals and families in Delaware, Madison and Union Counties.
- To empower low-income citizens with the knowledge, skills, opportunities and resources they need to achieve their goals of self-sufficiency.
- To be an advocate for the poor to assure that the issues and concerns for the poor are effectively heard and addressed.
- To provide services to low-income communities and make provisions for decent housing that is affordable to low and moderate-income persons in our service area. [3]

Although these are just examples, you may want to make your Mission Statement broad enough to cover a majority of the services the CAODMU provides. Creating this is easily done by having one small group or even an individual prepare a sample statement, then having the other members of the Team add or delete to create by consensus a far-reaching yet effective mission statement. When completed, post it for the committee to visit throughout the process to use as a frame or to alter should you deem fit.

Step Six: Define the organization's Goals and/or Objectives

After creating your values, vision and mission the organization is now ready to develop goals that will specifically accomplish the mission and drive the organization towards meeting its vision. The creation of goals should be developed by a larger committee that is representative of the entire organization; from front-line employees up to the Board and Chief Executive, ensuring to involve all stakeholders in the process. By representing all levels in your organization, you will be able to create buy-in with the strategic planning process, ensuring all members of the organization support and work towards achieving the established goals.

Vision and values statements are often actually goal statements, so it is important to establish goal statements that will move the organization towards meeting its vision. Creating "SMART" goals is important as using this process will help create well-written goals that can be attained in a stated time-period. SMART goals are defined as follows:

- **Specific.** A specific goal will more likely be attained versus a general goal. A specific goal will answer the six "W" questions.
    - **Who:** **W**ho will be involved?
    - **What:** What is our organization trying to accomplish?
    - **Where:** What areas or locations are we looking at?
    - **When:** What will our time-frame be?
    - **Which:** What are we required to do, and what are our limitations?
    - **Why:** What will our goal accomplish specifically?

- **Measureable.** Making goals measureable creates accountability as it is important to set specific criteria for measurement of your goals. When you measure the progress of the goals you set, you are more likely to meet timeframes established and attain the desired outcome of the goals. In order to determine if your goals are measureable, ask questions such as:
    - How will we know when our goals have been achieved?
    - How much will we increase our service?
    - How many clients will we service in a given period of time?
- **Attainable.** When an organization identifies goals that are important to its operation, it becomes easier for the organization to achieve those goals. The organization begins to develop attitudes, skills, abilities and the financial capabilities to reach the established goals. Sometimes, even overlooked opportunities become realized, which brings the organization closer to achieving its goals.
- **Realistic.** When establishing a goal, make sure you are being realistic as the goal must be something your organization is both willing and able to work towards. Setting high and realistic goals are important but only the organization will know how high of a goal to set. Be sure the goal will achieve substantial progress. High goals are often easier to achieve than lower goals since they create a motivational response throughout the organization and create ownership in the goal.
- **Timely.** Goals should be bound within a time frame. Without establishing a time frame, there will be no sense of urgency for your organization to achieve your stated goal.

Now that your organization has developed its goals, it is a good idea to revisit the SWOT analysis and create strategies to align the organization's goals with meeting its vision.

Step Seven: Identify Strategic Issues and Planning

With values, vision, mission and goals established, you will now able to create a list of your Strategic Issues**.** Strategic Issues are "a fundamental policy choice or challenge affecting an organization's mandates, mission, product or service level and mix, clients or users, costs, financing, structure, processes or management." [3]

Creating a clear strategy for the organization to deal with these Strategic Issues has many advantages, such as providing a sense of direction and purpose behind which all services should be aligned. The ideal goal is to establish a unique and valuable plan involving the services of the CAODMU. It could also cause internal conflicts based on the decisions about what services or activities to provide. It will set a framework in which daily service and operational decisions can and should be made based on the clear and concise directives in the Strategic Plan.

You can now develop the Strategic Plan to effectively meet the needs of the community based on the foundation you have built with the:

- Scope, Vision and Mission Statements developed;
- Strengths, weaknesses, opportunities, and threats clarified; and
- Strategic Issues identified.

Step Eight: Write the Strategic Plan

As described in Step Two, the final product of all this hard work may be a small card all employees can place in their pocket; a poster for all to see; or a book the size of "*War and Peace*". It is up to the committee to decide. The point is to remember that when completed, it must be usable by all it covers. If you make it too detailed or confusing, it may end up collecting dust on the shelves of the director's office. The purpose of the Strategic Plan is to provide a guidance document for the CAODMU to strive for excellence.

Step Nine: Implement the Strategic Plan

There are several key points to the successful implementation of the Strategic Plan for the CAODMU:

1. Full and active support by the Board and Executive staff.
2. Clear and concise communication of the plan to the staff.
3. Active employee involvement with positive motivation.
4. Constant support and follow-up of the plan.

It cannot be stressed enough that support for the Strategic Plan from all Board members and employees is crucial, especially at the executive and management levels. If someone cannot support the Strategic Plan, they should reevaluate their position and future employment. Although it would be unfortunate, it may be necessary to remove someone from the organization. Any broken cogs will only make your operation break down.

Finding key individuals to champion and show support for the Strategic Plan can be helpful in helping others see the importance of it. Consider holding a 'Kick-Off" party or event for the Plan. Treat it like a living, breathing thing as its future growth and success will cause the same for the CAODMU. Now comes the time to make it happen.

Step Ten: Review, Alter and Keep it Moving

The true test of your Strategic Plan will be based on the evaluation of how the CAODMU is succeeding and meeting the strategies set forth in the plan. In Step Two, when setting up your Scope, you needed to set future review checkpoints, and now comes the time to make it happen. At this time, you will again form a team to review and update your supporting documents, such as the SWOT, and evaluate the effectiveness of the plan. There may have been changes in the political and/or economic landscape that may force changes in the plan. Now is the time to address these needs. Questions you may ask in this process:

- Has technology changed your operation?
- Has global warming changed our seasons?
- Has the size of the community or the ethnic/socio-economic make-up made it so you need additional or different services?
- Are there services that you no longer perform or maybe should not be providing?

Once you have completed Step Ten, if there are any changes, you will need to go back to Step Nine for the implementation of these changes, thus making this a living document as identified early on in the process.

Endnotes

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Human Resources Policies for the Community Action Organization of the Delaware, Madison and Union Counties, Inc.

Presented by Cohort 43 of the Ohio Certified Public Manager, 2011

Prologue

The Certified Public Manager Program of the State of Ohio (OCPM) was asked to review the organizational operation of the Community Action Agency of Delaware, Madison and Union Counties, Inc. (CAODMU) and to make suggestions to assist in the enhancement of the operation. A key area that was identified as a potential opportunity for improvement for CAODMU is the development of a Human Resources policy handbook to use in the operation of the organization.

Introduction

A Human Resources handbook outlines policies, procedures and work rules that are applicable to those employed by a particular organization or company. The use of a handbook helps an organization or company to remain consistent and concise with the application and enforcement of work rules or policies.

Project Overview

The team was charged with three tasks related to a Human Resources handbook for CAODMU. First, the team was responsible for providing CAODMU with a “best practice” handbook. Second, the team created four policies to meet the immediate needs of CAODMU. Third, the team designed a template that COADMU will be able to use for all policies.

“Best Practice” Recommendation

After review and analysis of the handbooks presented, the team recommends that CAODMU use the handbook currently in use at Supports to Encourage Low Income Families (SELF) as a model for future policy creation. This recommendation is based on the following reasons.

- The scope of services provided by SELF is similar to the services provided by CAODMU. For example, SELF does not provide any child services (i.e. HeadStart), which normally require a different set of policies.
- Like CAODMU, SELF does not have collective bargaining employees. As a result, the SELF handbook does not contain policies specific to collective bargaining. The SELF handbook deals with employees similar to those employed by CAODMU.
- The SELF handbook has standard and clear policies that are easily adaptable to the needs of CAODMU.

Created Policies

To meet the immediate needs of CAODMU, four policies were created that can be immediately implemented. The four policies cover the following areas: Hiring and Recruitment, Absenteeism and Leave, Corporate Assets, and Employee Code of Conduct. These policies were created through review of the “best practice” agency handbooks, state agency handbooks and other

sources as needed. Each policy provides a statement regarding the CAODMU's policy, procedure and applicability.

Template Recommendation

The template that was created and has been recommended was designed based on the policy template in use at the Industrial Commission of Ohio and the Lima/Allen Council on Community Affairs (LACCA). If used, policies will now stand on their own rather than have one policy start on the same page on which another policy has ended and provide several benefits to CAODMU.

- Individual policies may be reviewed, edited, approved and implemented without having to update the entire handbook.
- Similarly, new polices may be created, approved and inserted into the handbook as needed, rather than having to update the entire handbook.
    - Both of these scenarios will be financially beneficial for CAODMU, as time and printing costs will be lessened.
- The template shows which agency the policy is for, what the title of each policy is, what its given policy number may be, when and who approved it and any possible revision dates.
    - Having the agency and policy title and the policy number visible at the top of each policy will help to keep the handbook organized and aid employees in any search for individual polcies.
    - For review purposes and relevance, it will help to have the approval date and signature along with any revision dates.
- Lastly, having the page number and number of pages to a particular policy at the bottom of each page, allows for easy review and a clear understanding of where each policy begins and ends.

Appointing Authority Signature	Policy Number:
	Approval Date:
	Revision Date(s):

AUTHORITY

The Executive Director, or appointed designee, is authorized by the Board of Directors to recruit and hire personnel within the guidelines set forth by the Board of Directors. The Board's Personnel Committee shall recruit and select the top candidate for the Executive Director's position, subject to ratification by the Board of Directors.

As an employee who is "at will" by law you have the ability to resign at any time. Likewise, the employer may discharge an employee at will with or without cause and without notice at any time. It is further understood that this "at will" employment relationship may not be changed by any written document or by conduct unless such change is specifically acknowledged in writing and signed by an authorized executive of CAODMU.

ADVERTISING

CAODMU hires only the best qualified and suited applicants for every vacant position, whether from internal recruitment sources or external. Therefore, in-house applicants shall not be guaranteed appointment or given preference to vacancies over external applicants who are more qualified and suited for the position. All positions may be posted at the local employment office.

Advertising for all positions shall contain the statement "Equal Opportunity Employer (EOE)." All position advertisements and job descriptions must contain notice of the equivalent experience, which would qualify individuals for the positions in lieu of the formal qualifications.

In-House

All position vacancies shall be posted in writing for five (5) working days prior to listing in area newspapers or other advertising

No employee will be eligible for consideration as an in-house applicant when that employee's performance evaluations within the past two years do not substantiate performance to expected standards, or when the employee's personnel file includes one or more records of discipline within the past two years.

In-house announcements are intended to give opportunity for current employees to apply for positions in which they are interested and believe they are qualified, and to offer career paths and opportunities to current employees

This policy is not a guarantee that a current staff member will be hired; however, consideration will be given to staff (and parents) having equivalent qualifications before outside applicants, provided applications are submitted within the posting period. Staff must have successfully completed 1 year of employment for consideration of any CAODMU in-house position.

External Advertising

Vacancies may be advertised simultaneously as determined by Human Resources. Human Resources shall be responsible for determining the advertising sources, as well as, placing advertisements in

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relevant news media including but not limited to recruiting sources specified in the CADMU Affirmative Action Plan.

APPLICATION FOR EMPLOYMENT

CAODMU shall accept employment applications and resumes only when a position is currently open, or is anticipated to be vacated, and for which CAODMU is currently advertising.

All applicants must complete an agency application and submit proof of qualifications. All applications must be received in Human Resources by the deadline date to be considered for a position. Incomplete, false or dishonest information provided on the application will disqualify the applicant, and if the applicant is hired, and it is subsequently discovered that the information provided during the hiring process was false or incomplete, or if it is discovered that any other disqualifying criteria apply, the employee will be subject to discharge from employment.

Candidates not chosen for the position will be notified by mail. If any candidate not chosen for the position is considered qualified for another position, they may be considered for the other position.

Resumes and applications for all candidates will be kept on file for six months.

Verification

The accuracy of all information given on the application for employment, with signed consent of the applicant, shall be subject to verification, including police checks, educational background, BCI checks, salary and former employer check, and references. All findings shall be preserved in writing in the applicant's file.

Interview

In-house applicants who meet the minimum qualifications for a job and who timely apply in accordance with in-house posting instructions will receive an interview. Outside applicants are eligible to be considered for an interview when they meet the minimum qualifications for a job and timely apply in accordance with instructions included in the job advertisement however, only the best qualified and suited applicants from that group will actually be called for an interview.

Applicant Notification

Applicants selected for a position will receive written notification. Candidates interviewed but not selected for a position will be notified, in writing, that the position has been filled.

POST-OFFER REQUIREMENTS

Motor Vehicle Record (MVR) Checks

Motor Vehicle Record (MVR) checks shall be required for any position in which driving is an essential job requirement. All offers of employment for these positions are conditional upon receipt of MVR results

Criminal Check

Appointing Authority Signature	Policy Number:
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Criminal background checks are required~~,~~ as a condition of initial hire for all positions. All offers of employment are conditioned upon successfully passing a criminal background check.

Applicants who have been convicted of, or plead guilty to, crimes listed in specified applicable sections of the Ohio Revised Code are not eligible for employment in certain positions. In other positions, CAODMU will determine the relevancy of the criminal convictions, and will determine if the conviction disqualifies the applicant from further consideration for employment. Arrest records, in which there was no conviction, are not considered in making the determination.

Drug Testing

Pre-employment drug screening is required for all positions, and all offers of employment and appointments are conditional upon receipt of a negative drug and alcohol screening. Any applicant with a confirmed positive test will be denied employment.

Orientation

CAODMU requires all new hires to complete a formal new employee orientation program~~, to~~ introduce and orient each new employee to CAODMU's' work culture, its vision and mission, job expectations, policies and other requirements of employment. Regardless of the amount and type of orientation provided however, each new employee is responsible for seeking out the information needed, and to ask questions to ensure that the employee performs the job expected performance and conduct standards.

NEPTOSIM

An employee may not hold a position that is within the supervisory chain of a member of their family or their spouse's family. For purposes of this policy, "family" is defined as mother, father, stepmother, stepfather, husband, wife, brother, sister, step-brother, step-sister, children, stepchildren, guardian, ward, grandparents, grandchildren, aunts, uncles, nieces, nephews, first cousins, or the corresponding relatives of their spouse.

An employee may hold a position at the same location [but not in the same supervisory chain] as a family member, provided that both the Director of the department and Human Resources have approved the working relationship, and provided the working relationship does not interfere with business operations or services, present a conflict of interest, or if it otherwise creates disruption or other problems to normal business. Approvals to work together in the same location are conditional based on each of the employees demonstrating compliance with this policy through their conduct and performance.

An employee may not hold a position while they, or a member of their immediate family, serves on the Board of Directors or any committee that sets policy relating to the employee's job. In addition, due to the nature of the work inherent to the following positions, family members will not be considered for employment in a top level management position.

POLITICAL

Appointing Authority Signature	Policy Number:
	Approval Date:
	Revision Date(s):

Employment shall not be offered as a consideration or reward for political support of any political party or candidate for public office. Nor, may any employee engage in partisan political activities during work hours as prohibited by Chapter 15 of Title 5 of the United States Code (The Hatch Act).

ASSIGNMENT/TRANSFER

The quality and efficiency of services we provide to our families is of prime importance to the Community Action Organization of Delaware, Madison & Union Counties, Inc. It is the right of management to assign and transfer employees as needed.

All employees must be willing to work as assigned, and be appointed to other job assignments on a temporary basis in order to meet our mission. As much notice as possible of changes in your normal work schedule or duties will be given. Employees who refuse transfer may be subject to termination.

SPECIAL HIRES

Acting

CAODMU may appoint a regular employee to an acting position when there is a position opening due to a temporary or permanent vacancy. Employees filling an acting position will maintain their current benefits. Generally, the appointment to an acting position will not exceed 6 months. However, extensions to this time limit may be made on a case-by-case basis in consideration of business need, but must be approved by the the Executive Director, or appointed designee.

Temporary/On-Call

CAODMU may hire a temporary or on-call employee when there is a need for additional staff to complete a special project, to substitute for employees on approved leave, or when workloads exceed the ability of staff to accomplish the work in a timely and efficient basis. An employee in a temporary or on-call position does not receive benefits.

Rehired Employees

Employees who have been discharged involuntarily are not eligible for rehire. Employees who resigned voluntarily or were laid off permanently are eligible for rehiring, but with prior authorization from the Director of the department, and with the concurrence of Human Resources following a review of the former employee's employment record.

If determined eligible for rehire, the former employee will be considered on the same qualifying criteria as other applicants for the position in determining fitness to perform the job as compared to other job applicants.

Appointing Authority Signature	Policy Number:
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The Attendance Management Policy applies to all employees of CAODMU, including all temporary or contract workers.

CAODMU expects all employees to conduct themselves in a professional manner during their employment. This includes practicing good attendance habits. All employees should regard coming to work on time, working their shift as scheduled, and leaving at the scheduled time as essential functions of their jobs, i.e., good attendance habits form an integral part of every employee's job description.

Regular attendance is essential to CAODMU efficient operation and is a necessary condition of employment. When employees are absent, schedules and customer commitments fall behind, and other employees must assume added workloads.

Employees are expected to report to work as scheduled and on time. If it is impossible to report for work as scheduled, employees must call their manager before their starting time. If your manager is unavailable, a voice message should be left. If the absence is to continue beyond the first day, the employee must notify their manager on a daily basis unless otherwise arranged. Calling in is the responsibility of every employee who is absent. Absence for three consecutive work days without notifying the manager is considered a voluntary termination.

Employees will be advised of their usual work schedule at the beginning of employment or with a new assignment. Hours of attendance have been carefully thought out and employees are required to work the hours and days for which they have been scheduled.

Temporary and permanent schedule changes may be required to effectively utilize staff. Employees who refuse a schedule change will be subject to disciplinary action, including termination.

Failure to notify your immediate supervisor or central office in a timely manner will be considered unexcused absence. Employees will not be permitted to use available leave time for unexcused absence other than those covered by FMLA and will be subject to disciplinary action.

This policy shall be amended from time to time and it is your responsibility to keep your policy updated. Revisions and changes shall be supplied to you and will be available as soon as possible after adoption.

Definitions:

- ***Exempt:*** Salaried employees not eligible to receive overtime pay. Exempt employees may be expected to work additional hours in order to finish projects.
- ***An absence*** -Any leave without pay or the use of sick time.
- ***Non-Exempt:*** Hourly employees that are eligible to receive overtime pay.
- ***Tardiness*** – Failure to report for duty at the time scheduled and/or failure to return to duty promptly at any point during the normal schedule (lunch, breaks, etc.).
- ***Unauthorized Leave*** – Failure to report an absence of any duration according to this policy or to leave or be absent from the worksite without proper authorization.

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- ***Serious Health Condition --***A "Serious health Condition" means an illness, injury, impairment, or physical or mental condition that involves one of the following:
- ***Absenteeism*** – Failure to report to work or to remain at work as scheduled, regardless of reason. This includes tardiness, unauthorized leave, unanticipated use of sick leave, and emergency use of any accrued leave. Absenteeism does not include appropriately scheduled leave such as vacation, personal leave, compensatory leave, military leave, medical leave, medical appointments, maternity or other long-term medical leaves.
- ***Occasion of Absence*** – One continuous period of absence for the same reason and/or a period of absenteeism related to a single cause. A medical certificate is required to support non-consecutive absences related to the same cause if they are to be counted as a single occasion.
- ***Abuse of Sick Leave*** –Use of sick leave for reasons other than those defined under Personnel Policies for Management and Confidential Professional Personnel (hereafter referred to as "Management/Confidential Personnel Policies") Abuse of sick leave includes, but is not limited to: 1) Falsely reporting that sick leave is being used for that purposes; 2) Excessive absenteeism; or 3) Failure to provide medical documentation supporting an absence(s).
- ***Pattern of Absences*** – Absence occurring in patterns (same day of week, same time of year, adjacent to a weekend, holiday, vacation, or other leave, etc.) may be indicative of an attendance problem.
- ***Mitigating Circumstances*** – There are circumstances that may warrant a deviation from the general rating guidelines identified in this procedure. Mitigating circumstances include, but are not limited to, major illness or injury, ongoing therapy or medical treatment, approved family or medical leave, etc. When a supervisor deviates from these general rating guidelines of these procedures, they are required to specify the reason for non-conforming with the rating scale.
- ***"Good attendance habits":***
    - appearing for work no earlier than 7 minutes prior to the start of the shift and no later than the start of the shift;
    - being at your work station ready for work by the start of the shift;
    - remaining at your work station unless the needs of the job require being elsewhere, except during authorized breaks (including restroom breaks);
    - taking only the time normally allowed for breaks;
    - remaining at work during your entire shift, unless excused by a supervisor;
    - not leaving work until the scheduled end of your shift, unless excused by a supervisor;
    - leaving promptly at the end of your shift, unless you have been given advance permission from your supervisor to work past that point; and
    - calling in and personally notifying your supervisor or another member of management if you are going to be either absent or tardy, unless a verifiable emergency makes it impossible for you to do so (see "Notice of Absence or Tardiness" for details).
- **Definition of Immediate Family**

Husband	Mother/Mother-in-Law	Grandmother
Wife	Father/Father-in-Law	Grandfather
Son (Step/Son-in-Law)	Brother	Grandson

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Daughter (Step/Daughter-in-Law) Sister Granddaughter

Step Parents

EMERGENCY CLOSING

If the employee has called in sick previous to the agency closing, or made previous arrangements for a medical appointment or procedure, you will not be required to use this as a sick day unless you have reached your maximum of (5) days off for severe weather.

INTERMITTENT/REDUCED SCHEDULE LEAVE

For intermittent leave or leave on a reduced leave schedule, there must be a medical need for leave, and it must be that such medical need can be best accommodated through an intermittent or reduced leave schedule. The treatment regimen and other information described in the certification of a serious health condition meets the requirements for certification of the medical necessity of intermittent leave or leave on a reduced leave schedule. In addition, CAODMU may assign an employee to an alternative position with equivalent pay and benefits that better accommodates the employee's intermittent or reduced leave schedule.

SICK LEAVE

Sick leave is time off with or without pay for periods of illness or incapacity resulting from non-occupational or occupational injury, as well as for medical, dental, or optical examinations or treatments.

Sick leave may be used when the employee's condition interferes with or makes it impossible for the employee to satisfactorily perform his/her assigned duties.

Absences that are due to illness should be reported as soon as possible, or before the scheduled workday on the first day of absence by contacting the immediate supervisor. If you are unable to report to work for any reason, you must notify your immediate supervisor or central office in direct phone contact at least one hour prior to your scheduled starting time. Efforts must be made by employee to speak with their immediate supervisor. If immediate supervisor is not available you must contact the Program Director and /or chain of command. If the employee is going to be out more than 1 day,

Excessive absence, even though reported, may result in disciplinary action, which may lead to termination. Any absences during 12-month period may indicate a pattern of excessive absenteeism.

Management reserves the right to require a doctor's certificate indicating that the employee is able to return to full duty work.

Temporary or Substitute employees are not eligible to earn or accumulate sick time.

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Full-time/Part Year employees accumulate a pro-rated amount of sick leave.

An employee out on sick leave for more than three (3) consecutive working days will be required to submit to his/her supervisor a written statement from a physician indicating status/condition of illness and/or ability to return to work.

Sick leave with pay will not accrue to an employee during any period, which the employee is on an unpaid leave.

No sick leave may be taken in advance of being earned.

Illness extending beyond earned sick leave will be charged against earned annual leave if applicable, unless an employee requests, and is approved for leave of absence without pay.

Sick leave may not be granted for a period of time less than one (1) hour.

No accrued sick leave shall be paid upon termination of employment, or during the terminal week of employment.

Sick leave will be accrued during the defined period of provisional employment, but any time off taken during this interval will be without pay except for scheduled holidays.

Application for sick leave with intent to defraud, will result in dismissal and refund from the employee to CAODMU for salaries or wages paid during such sick leave.

Sick leave credit shall be computed on the basis of hours in active pay status.

VACATION

Whenever possible, vacation request will be honored, but shall be subject to the need of CAODMU in the performance of its mission. A vacation request can be denied based upon the program scheduling and physical staff requirements for uninterrupted CAODMU services.

Vacation shall not be granted for periods of less than one (1) hour.

Request for emergency vacation must be submitted to the employee's immediate supervisor as soon as the need for such leave develops.

Employees will earn vacation time as outlined below. Employees are not eligible to use vacation time until they have completed nine (9) consecutive months of full time employment. Employees will be entitled to their vacation days on the day of their anniversary date with the agency. Vacation days can be carried over to the next year.

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Scheduling of vacation time requires prior approval from employee's supervisor. A request for vacation time is to be submitted to the immediate supervisor in writing at least ten (10) working days in advance of requested time off.

No vacation may be taken in advance of being accrued.

Holidays occurring during the period approved for vacation will not be charged against such leave.

In the event of any employee's hospitalization while on vacation, at the employee's request, the vacation may be cancelled effective with the first day of illness and the employee may be paid from accrued sick leave. Hospitalization or illness must be verified by a physician.

Employees who terminate for any reason before they have completed 90 working days of continuous service are ineligible to receive pay for accrued vacation.

They will receive pay for accrued vacation if they are laid off or are discharged for reasons other than cause.

They will not receive pay for accrued vacation if they are discharged for cause.

Part-time/full year employees shall accumulate prorated hours according to the time worked each 2-week time period.

Temporary or substitute employees are not eligible to earn or accumulate vacation time.

The CAODMU does not permit employees to routinely take leave without pay. Any leave without pay must be approved by your immediate supervisor and will only be granted for extenuating circumstances.

VACATION

- Vacation time is a key element in helping to achieve a healthy work/life balance. As such, no more than [five] vacation days can be carried over into the next [calendar, fiscal] year. Any remaining vacation time will be [paid out, forfeited] if not taken by [the end of January of the following year].

- The amount of vacation time given to each employee depends on the number of full time (or equivalent) years of employment with CAODMU, or in specific cases, recognized industry experience. The reference period used to calculate vacation time is the [calendar, fiscal] year ([put example here]).

Number of years experience	**Number of vacation time or percentage paid**
0 – 4 years (in full)	10 (0.83 days/month), 4%
5 – 9 years (in full)	15 (1.25 days/month), 6%

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10 years and over	20 (1.66 days/month), 8%

- For any partial years of employment, vacation time will be calculated as follows:
  - Salaried employees: number of months of employment (times) days per month earned.
  - Hourly employees: gross salary (as defined by Employment Standards) earned by pay-out date (times) percentage paid.
- A vacation time component is included at the time of payment for commissions and performance bonuses for all employees.
- Newly hired employees are authorized to take vacation time only after their probation period is over, unless otherwise agreed to by their direct manager.
- Vacation dates must be approved by the direct manager at least [two] full business days before the vacation time is to take place.

TARDINESS

Employees require time away from work for various reasons and durations, some paid and others unpaid. This policy outlines the many reasons that employees require time away from work and how each situation should be handled.

Reoccurrences of tardiness may result in further disciplinary action.

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PERSONAL LEAVE

- While employees are expected to be present for all working days in a calendar year, except for vacation time, statutory holidays and CAODMU approved general holidays, there are times when an employee cannot be at work.

- CAODMU supports full-time, salaried employees by providing up to [4] paid days of personal leave per calendar year.

- Employees paid hourly are not authorized to take personal leave days.

- Acceptable reasons for personal leave from work include:

    - Illness, personal appointments (where scheduling during non-working hours is outside of the employees control), family emergencies, personal family care and bereavement.

    - Any other reason for personal leave must be discussed with the full-time, salaried employee and their direct manager. The Human Resources department should be notified of all exceptions of this policy immediately following a decision by the direct manager.

- Personal leave days must be approved by the direct manager [on, [48 hours] before] the day the personal leave is required.

- If a full-time, salaried employee takes more than [4] personal leave days in one calendar year, the employee will owe CAODMU the difference [on the next pay date, upon leaving the company].

- Personal leave days cannot be rolled over into the subsequent calendar year, be credited to the subsequent calendar year, nor do they have monetary value.

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References:

http://www.wcsu.edu/hr/policies/attendance.asp (April 6, 2011)

http://www.hrvillage.com/PandP/ALL.HTM (April 8, 2011)

www.macomb-mi.gov/HR/attendnce**Policy**.pdf (May 8, 2011)

http://humanresources.about.com/od/attendancepolicy/g/Attendance.htm (July 7, 2011)

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Purpose:

The purpose of this policy is to protect the corporate assets (facilities, vehicles, equipment, supplies, telephone, etc) of the Community Action Organization of Delaware, Madison, and Union Counties, Inc (CAODMU) and ensure that money is not spenton unnecessary replacement or repair of those assets.

Policy:

Employees of CAODMU will use corporate assets to conduct agency business only. Personal use of agency vehicles, supplies, and/or technology is strictly prohibited. In addition, any employee assigned an agency vehicle in connection with the performance of his/her job duties will have that benefit treated in accordance with the IRS regulations regarding taxable compensation of fringe benefits.

On rare instances employees may request to use an agency asset for extenuating circumstances (example: Use of an agency computer to do online coursework for agency sponsored education classes). The Executive Director must approve these requests. In these instances, the employee will be required to reimburse the agency for any expenses incurred as a result of their personal use.

Employees who are voluntarily or involuntarily terminated from employment with CAODMU must surrender all pass-codes, keys/e-keys, cell phones, and agency documents to CAODMU before their final paycheck is dispensed. Employees may be charged for replacement costs if such assets are not returned, or damaged in any way. Based on the level of responsibility, terminated employees may be asked to vacate agency premises immediately and will have access to security and network denied to protect sensitive information.

Violation of this policy may be subject to discipline up to and including removal.

Applicability:

This policy applies to all employees of CAODMU.

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Purpose:

The purpose of this policy is to provide written guidelines and notify all employees regarding the written rules of conduct that specify prohibited behavior and penalties.

Policy:

All persons employed by the Community Action Organization of Delaware, Madison, and Union Counties, Inc. are expected to conduct themselves in a professional, law-abiding manner. All employees must follow the Standards of Employee Conduct. Failure to comply with the Standards of Employee Conduct shall result in discipline, up to and including removal.

Applicability:

This policy applies to all persons employed by the Community Action Organization of Delaware, Madison, and Union Counties, Inc.

Procedure:

A. Upon employment, all employees will receive a copy of the Standards of Employee Conduct. Employees shall sign an Employee Acknowledgment Certificate of Information Received acknowledging that a copy of the standards was received. The Certificate of Information Received form is to be maintained within the employee's personnel file. It is the responsibility of the employee to familiarize themselves with the contents of the standards.

B. It is the responsibility of the Community Action Organization of Delaware, Madison, and Union Counties, Inc., and the Board of Director's, to review and update the Standards of Employee Conduct as needed. All employees are to receive a copy of updated or revised Standards of Employee Conduct. Upon receipt of updated or revised Standards of Employee Conduct all employees shall sign a new Employee Acknowledgment Certificate of Information Received form stating that a copy of the standards was received. The Certificate of Information Received form is to be maintained within the employee's personnel file.

C. When a violation of the Standards of Employee Conduct is suspected, it is the responsibility of the Executive Director or designee to follow the procedures set forth for investigating suspected violations and to follow through with the disciplinary process if such action is warranted.

PERSONAL CONDUCT

The Community Action Organization of Delaware, Madison, and Union Counties, Inc. has a reasonable expectation that all employees will conduct themselves in such a manner that their activities, both on and off duty, will not adversely affect their ability to perform their duties as employees for the Agency. Agency employees must recognize their persons, property, and vehicle are subject to search at any time

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and that they have no expectations to privacy in their desks, lockers, offices, e-mail, or anything introduced to the worksite by the employee.

While performing duties in work locations other than those of the Agency, employees will conduct themselves professionally and in accordance with Agency work rules and policies as well as adhering to the work rules and policies of those other locations. Employees will at all times refrain from discourteous treatment of the public, volunteers, contractors, or fellow employees regardless of work location. It is essential to the orderly operation of the agency that employees conduct themselves in a professional manner. Employees shall recognize the limitations of their authority and at no time use the power of their position for personal gain or advantage.

ILLEGAL ACTIVITIES

The Agency is responsible for the implementation and distribution of funding and community support to clients. The very nature and purpose of the Agency demands that its employees be held to the highest standards of conduct at all times, including personal and business affairs. An employee's visibility to the public as well as to those entrusted to the Agency requires the display of exemplary conduct at all times. Illegal conduct on the part of any employee, whether on or off duty, in addition to being unlawful, reflects upon the integrity of the Agency and betrays the trust and confidence placed in it by the public. It is a reasonable expectation that employees will not only obey the letter of the law but the spirit of the law, whether engaged in personal or official activities. In the event any employee is arrested for, charged with, or convicted of any felony or degreed misdemeanor (except for a minor misdemeanor), or is required to be a defendant in any court action, that employee shall immediately notify his/her Appointing Authority. In the event the Employer pursues disciplinary action against an employee for such conduct, a reasonable nexus (tie) to job performance must be established.

DRUG FREE WORKPLACE

The Community Action Organization of Delaware, Madison, and Union Counties, Inc. is committed to maintaining a drug-free workplace. The employer recognizes that chronic substance abuse is an illness, and considerations may be made by an Appointing Authority in determining disciplinary action for an employee who is participating in a substance abuse program. Consideration may also be given to an employee who elects to participate in the Employee Assistance Program. The Agency will adhere to procedures for imposing discipline in cases of employees' substance abuse in or outside of the workplace.

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INVESTIGATIONS

All Agency employees are required to immediately report to their Appointing Authority or designee, any violation or attempted violation of any law, regulation, act, or omission by any person, which may result in a breach of agency security or jeopardizes the safety of others.
The Appointing Authority or his/her designee will investigate all allegations of misconduct. During the course of any official investigation, employees are under an affirmative duty to cooperate fully with investigators by answering all inquiries truthfully, and by providing any and all pertinent information of which they possess. Failure by any employee to answer any inquiry truthfully, fully, and to the best of the employee's knowledge shall be grounds for disciplinary action, up to and including removal from employment.

SCHEDULE OF RULE VIOLATIONS AND PENALTIES

The attached Disciplinary Grid is a standardized list of offenses and associated penalties for determining appropriate discipline for violations of the Standards of Employee Conduct. The offenses listed are not intended to be all-inclusive. All offenses and associated penalties allow the Executive Director to consider circumstances, which may mitigate or aggravate a penalty.

The penalties imposed for violating a rule or rules are determined by considering all relevant mitigating and aggravating circumstances. An employee may be disciplined for violating more than one rule arising from the same incident. In all cases the Agency will adhere to the principals of "just cause" when contemplating employee discipline.

Under the Standards of Employee Conduct, there are two separate "tracks" for progression of discipline. A track of discipline is defined as the grouping of offenses that will be considered as same and similar in nature. There is an attendance-related track (titled "Absenteeism Track" on the attached grid) where all violations of rules related to attendance are grouped together for progressive discipline purposes. Additionally, there is a performance-based track (titled "Performance Track") where standards of conduct related to the performance of duties and responsibilities connected to employment with the Agency are found. The tracks are separate and distinct for discipline purposes. The continued violation of Agency work rules within the same track shall lead the employee through progressive discipline.

PROGRESSIVE DISCIPLINE

The purpose of the providing standardized penalties for offenses is to provide a measure of consistency in application and progression of disciplinary actions. This consistency, however, does not require that the Employer must administer the exact same level of disciplinary action specified in the Standards of Employee Conduct the same way in each and every instance. Each instance of a violation of the

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Standards of Employee Conduct turns on its own facts and distinguishing variables such as prior disciplinary history, length of time since the last discipline and mitigating or aggravating circumstances. The Standards of Employee Conduct are designed to impose progressive discipline in either the Absenteeism track or the Performance track.

PENALTIES WITHIN THE DISCIPLINE PROCESS

The following penalties, as referenced in the attached disciplinary grid, will be utilized to impose discipline.

OR	Oral Reprimand
WR	Written Reprimand
1	Either a 1 day fine, suspension, or working Suspension
2	Either a 2 day fine, suspension, or working Suspension
5	Either a 5 day fine, suspension, or working suspension
R	Removal
to	Used when a range of options may be used
or	Used when either option may be used when appropriate

Note: The term "day" as used in the Standards of Employee Conduct will be calculated on the employee's number of regularly scheduled hours for the particular day.

DISCIPLINARY GRID
ABSENTEEISM TRACK
OFFENSE

	1ST	2nd	3RD	4TH	5th
1. Any violation of ORC 124.34-… and for incompetency, inefficiency, dishonesty, drunkenness, immoral conduct, insubordination, discourteous treatment of the public, neglect of duty, violation of such sections or the rules of the Agency or the commission, or any	WR or 1 or R	2 or R	5 or R	R	

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failure of good behavior, or any other acts of misfeasance, malfeasance, or nonfeasance in office.					
2. TARDINESS					
A. Failure to report for duty at scheduled starting time	WR	1	2	5	R
B. Failure to attend/stand roll call when required or to clock-in ten (10) minutes prior to the start of shift when required.	WR	1	2	5	R
3. ABSENTEEISM					
A. Failure to work specific hours or shifts when required (mandatory overtime or in-service training).	WR or 1	2	5	R	
B. Failure to notify a supervisor of absence or to follow call-off procedure.	WR or 1	2	5	R	
C. Failure to submit a completed Request for Leave within the specified time.	WR or 1	2	5	R	
D. Pattern Abuse	WR or 1	2	5	R	
E. Failure to provide documentation of absence when required.	WR or 1	2	5	R	
F. Failure to provide physician's verification when required.	WR or 1	2	5	R	
G. Leaving the work area/post/ facility without the permission of a supervisor.	WR or 1	2	5	R	
H. Being absent without proper Authorization	WR or 1	2	5	R	
I. Misuse of sick leave.	WR or 1	2	5	R	
J. Excessive absenteeism/abuse of leave.	WR or 1	2	5	R	
K. Unauthorized overtime	WR or 1	2	5	R	
4. Job Abandonment – 3 or more consecutive workdays without proper notice.	R				

DISCIPLINARY GRID
PERFORMANCE TRACK
OFFENSE

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	1st	2nd	3rd	4th
5. Purposeful or careless act(s) which result in one or more of the following:				
A. Loss	WR or 1	2	5	R
B. Damage, loss or misuse of property of the State to include but not limited to vehicles and telephones	WR or 1	2	5	R
C. Damage, loss, or misuse of property to include, but not limited to property of any employee, any individual under the supervision of the Department or a member of the general public.	WR or 1	2	5	R
D. Unsafe act	WR or 1	2	5	R
E. Delay in work production	WR or 1	2	5	R
F. Damage, loss, or misuse of Agency owned or leased computers, hardware/software, e-mail, internet access/usage.	WR or 1	2	5	R
6. Insubordination: Disobedience or inappropriate delay in carrying out a direct order of a supervisor.	2	5	R	
7. Failure to follow post orders, administrative regulations, policies, or written or verbal directives.	WR or 1	2	5	R
8. Failure to carry out a work assignment or the exercise of poor judgment in carrying out an assignment.	WR or 1	2	5	R
9. Felony conviction	R			
10. Sleeping on duty	2	5	R	
11. Inattention to duty	WR or 1	2	5	R
12. A. Making obscene gestures or statements, or false, abusive, or inappropriate statements.	WR or 2	5	R	
B. Discourteous treatment of the public, volunteers, contractors, or fellow employees.	WR or 2	5	R	

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13. Improper Conduct - Acts of discrimination or harassment on the basis of race, color, sex, age, religion, national origin, disability, sexual orientation, gender identity or military status.	2	5	R	
14. Theft	5 or R	R		
15. Engaging in political activities in violation of ORC 124.57	WR or 1	2	5	R
16. Misusing official position for personal gain, to include but not limited to the accepting or soliciting of bribes in the course of carrying out assigned duties.	2	5	R	
17. Failure to report accidents or unsafe work conditions.	WR or 1	2	5	R
18. Threatening, intimidating or coercing another employee or a member of the general public.	2 or R	5 or R	R	
19. Striking, fighting or otherwise engaging in a physical altercation with another employee or member of the general public.	2 or R	5 or R	R	
20. Involvement in horseplay	WR or 1	2	5	R
21. Unauthorized use, release or misuse of information.	WR or 1 or R	2 or R	5 or R	R
22. Falsifying, altering, or removing any document or record.	WR or 1 or R	2 or R	5 or R	R
23. Interfering with or failing to permit an official search of person or property.	2 or R	5 or R	R	
24. Interfering with, failing to cooperate in, or lying in an official investigation or inquiry.	2 or R	5 or R	R	
25. Failure to immediately report a violation of any work rule, law, or regulation.	WR or 1	2	5	R
26. Failure to immediately report any personal arrest or criminal charge.	2	5	R	

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27. Failure of a supervisor to properly supervise or enforce work rules or failure to properly process employee payroll forms.	WR or 1 or R	2 or R	5 or R	R
28. Loss of control of any instrument that could result in a breach of security or jeopardize the safety of others, to include but not limited to weapons, class "A" tools, keys, communication devices, etc.	WR or 1 or R	2 or R	5 or R	R
29. Purposeful or inappropriate display of weapons, batons, mace, explosives, or facsimiles thereof.	WR or 1 or R	2 or R	5 or R	R
30. While on duty or on agency owned or leased property the:				
A. Conveyance, distribution, possession, or consumption of alcoholic beverages and/or drugs of abuse.	R			
B. Unauthorized conveyance, distribution, misuse or possession of weapons, restraints, batons, mace, explosives, ammunition or facsimiles thereof.	R			
C. Unauthorized conveyance, distribution, misuse, or possession of other contraband.	2 or R	5 or R	R	
D. Unauthorized conveyance, distribution, use or possession of tobacco.	WR or 1 or R	2 or R	5 or R	R
31. Promotion of gambling or gambling on state owned or leased property.	WR or 1	2	5	R
32. A. Participation in a work stoppage or other cessation or disruption of services, either in full or in part (e.g. sick out, slowdown, en masse refusal to work	2 to R	R		

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overtime, etc.).				
B. Organizing, leading, coordinating, promoting or planning a work stoppage or other cessation of services as defined in Rule 32A.	R			
33. Misuse of agency funds.	5	R		
34. Knowingly, punching/swiping or electronically recording the time record of another employee or having one's time record altered by another employee without employer authorization.	2	5	R	
35. The posting or removal of any matter on a bulletin board without authorization.	WR or 1	2	5	R
36. Actions that could harm or potentially harm the employee, fellow employee(s) or a member of the general public.	WR or 1 or R	2 or R	5 or R	R
37. Actions that could compromise or impair the ability of an employee to effectively carry out his/her duties as a public employee.	WR or 1 or R	2 or R	5 or R	R
38. Any act, or failure to act, or commission not otherwise set forth herein which constitutes a threat to the security of the facility, staff, any individual under the supervision of the Department, or a member of the general public.	2 or R	5 or R	R	
39. Any act that would bring discredit to the employer.	WR or 1 or	R 2 or R	5 or R	R

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Purpose:

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Policy:

Applicability:

SELF Personnel Policies Manual

SUPPORTS TO ENCOURAGE LOW-INCOME FAMILIES

Effective January 1, 2004

(Revised and Approved by Board of Directors January 8, 2009)

Supports to Encourage Low-Income Families
P.O. Box 1322, 1790 S. Erie Hwy, Suite A&B
Hamilton, Ohio 45012

(513) 868-9300

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I. Introduction

Welcome to employment with SELF, Supports to Encourage Low-income Families, Butler County's community action agency. Our organization depends upon the ongoing commitment of its employees to accomplish the admirable goal of helping low-income families achieve self-sufficiency. SELF values its employees and their well being, for it is through this caring that we demonstrate our commitment to helping others.

II. SELF's Personnel Values

Our organization desires to be a positive, performance-driven organization. The SELF Board of Directors feels so strongly about demonstrating its concern for staff that it passed the following statement of personnel values at its August 1, 1996 meeting:

SELF'S PERSONNEL VALUES

1) All employees should be treated with respect and dignity in all matters.

2) The Board of Directors and Executive Director will adhere strictly to SELF's anti-discrimination policy in all of its employment procedures.

3) SELF values diversity and seeks to encourage such diversity in its employee base.

4) SELF strives both to be a family-friendly organization and to conduct efficient and effective operations. Policies and procedures will attempt to take both into account.

5) Performance appraisals are to summarize annually ongoing guidance and input to the employee and to provide new direction. Therefore, they represent an opportunity to review job objectives and should present no surprises to the employee.

6) Employees should be provided a fair wage, as SELF's budget and pay plan allow, for their diligent efforts.

7) Employees should be rewarded for extraordinary performance, as SELF's budget and policies allow.

8) SELF's Board of Directors and Executive Director are committed to the growth and development of their employee(s) and will, budget permitting, encourage and sponsor reasonable opportunities for additional training and education for each staff member.

9) SELF's Board of Directors will strive to establish personnel policies that maximize flexibility of staff operations and promote job performance that is responsible, positive, and creative.

This manual has been prepared to explain the personnel policies under which SELF operates and to detail the benefits being offered to SELF employees. Its purpose is to ensure consistent personnel practices to best utilize the human resources of SELF in the achievement of its goals and objectives.

All employees shall be given a copy of this manual and asked to sign a statement that they have received it. However, this manual does not represent a contract with an employee. Employees of SELF are employed "at will."

SELF's Board of Directors reserves the rights to modify, including eliminate portions of this manual, at any time. This policy manual will be reviewed by SELF's Personnel Committee on a bi-annual or as needed basis.

The Board of Directors is the sole source of authority in issuing personnel policies for all staff. The Executive Director is responsible for the implementation of these policies and for the development of

procedures to meet the policies' intent. When necessary, the Executive Director may delegate specific authority and responsibility to other staff to carry out these policies and procedures.

This manual was approved by the SELF Board of Directors on October 9, 2002. At that time, the Board voted that the policies become effective November 1, 2002. *Subsequent additions or amendments are so noted at the end of the document.*

III. SELF's Mission and Vision Statements

MISSION STATEMENT

SELF's mission is "to enhance the quality of life for county residents by impacting the causes of poverty and empowering individuals to achieve, sustain, and advocate self-sufficiency."

VISION STATEMENT

On September 11, 1997, the SELF Board of Directors approved a vision statement and was re-affirmed in 2001.

"Through SELF's efforts, an environment is created in which…

1. individuals and families have the opportunity, resources and tools to make decisions which lead to self-sufficiency and the development of their full potential

2. the community is inspired to actively contribute to the goal of self-sufficiency and personal development

3. policy makers are advocates for the needs of all within the community

4. a cycle of self-sufficiency is perpetuated which raises the quality of life in the community

IV. Community Action Code of Ethics

SELF operates under a Community Action Code of Ethics that was adopted by the Board of Directors at its meeting on June 13, 1996. [It is based on a recommended code by the Ohio Department of Development and the National Association of Community Action Agencies]

Community Action Code of Ethics

We, as community action professionals (staff and board members), dedicate ourselves to eliminating poverty in the midst of plenty in this nation by opening to everyone the opportunity for education and training; the opportunity to work; and the opportunity to live in decency and dignity with respect for cultural diversity, commit ourselves to:

1. Recognizing that the chief function of the community action movement at all times is to serve the best interests of the poor thereby serving the best interests of all people.

2. Accept as a personal duty the responsibility to keep up to date on emerging issues and to conduct ourselves with professional competence, fairness, impartiality, efficiency, and effectiveness.

3. Respect the structure and responsibilities of the Board of Directors, provide them with facts and advise as a basis for their making policy decisions, and uphold and implement policies adopted by the Board of Directors.

4. Keep the community informed about issues affecting the poor; facilitate communication between the poor, locally elected public officials, and the non-poor private sector.

5. Conduct our organizational and operational duties with positive leadership exemplified by open communication, creativity, dedication, and compassion.

6. Exercise whatever discretionary authority we have under the law to promote the interests of the poor.

7. Serve the community action movement with respect, concern, courtesy, and responsiveness, recognizing that service to the poor is beyond service to oneself.

8. Demonstrate the highest standards of personal integrity, truthfulness, honesty, and fortitude in all our community action activities in order to inspire confidence and trust in the community action movement.

9. Avoid any interest or activity which is in conflict with the conduct of official duties.

10. Respect and protect privileged information to which we have access in the course of official duties.

11. Strive for personal professional excellence and encourage the professional development of our associates and those seeking to become community action executives.

V. Background on SELF

SELF is a private non-profit, 501(c)(3) organization governed by a 15-person Board of Directors with equal representation from the three sectors: client, private and public. SELF was established with the leadership of the late Janet Clemmons, Butler County Commissioner, to provide community action programs for low-income families of Butler County. SELF's primary objectives are to plan, formulate, operate and administer programs designed to bring about the permanent economic upgrading of the poor. Important dates in the development of SELF include:

September 4, 1994	Transition committee of community action commission organized and first transition committee meeting held
May 14, 1995	SELF is incorporated by the Ohio Secretary of State
August 9, 1995	First Board Meeting of SELF held
September 20, 1995	SELF's By-laws are adopted by the Board of Directors
April 1, 1996	SELF is designated as Butler County's Community Action Agency by the Ohio Department of Development, entitling it to Community Services Block Grant funding
April 1, 1996	SELF's first Community Services Block Grant application is approved
April 30, 1996	SELF's first employee, the Executive Director, assumes his responsibilities
May/July, 1996	Program Coordinator, Social Services Specialist, and Office Secretary assume their positions

SELF's core funding is from a Community Services Block Grant from the Ohio Department of Development, which receives and administers the money from the U.S. Department of Health and Human Services.

CSBG funding guidelines require that clients receiving service have income of not more than 125 percent of the federal poverty guidelines. Other funding may set different income limits for client eligibility.

VI. Harassment

Harassment of or by co-workers or outside organizations or clients on the basis of their race, color, religion, sex, sexual orientation, national origin, age, marital status, disability, citizenship or any other protected status is prohibited.

Sexual harassment including inappropriate jokes, gestures, propositions or in any other form is specifically prohibited.

Harassment whether sexual or based on characteristics listed above, may take many forms. By way of example, harassment may include but is not limited to the following:

Verbal Conduct - such as dirty jokes, derogatory comments, name calling instigating, taunting, demeaning slurs, threats, innuendoes, or unwanted sexual advances.
Visual Conduct – such as leering, derogatory and/or sexually provocative pictures, cartoons, drawings, graffiti, electronic mail, or gestures.
Physical Conduct – such as assault, offensive touching, blocking of normal movement, or interfering with work.

*** Fighting on company property is specifically prohibited and may be cause for immediate termination. ***

The harassment of another employee by an employee will lead to disciplinary action up to and including termination.

Any employee who experiences or observes conduct believed to constitute harassment should immediately speak to his or her supervisor, or if the supervisor is not appropriate, anyone in management in the attempt to reach resolution. It is the manager's duty to listen to such complaints and to refer them to the appropriate authority.

Employees can raise concern and make reports without fear of reprisal. There will be no retaliation against any employee who reports a complaint or who provides a witness statement during the investigation of any complaints. Any employee who believes he or she is being subjected to retaliation should promptly report this to one of the individuals listed above.

Reports of alleged harassment will be handled in a timely manner with as much discretion and confidentiality as possible.

VII.

VIII. Recruitment and Hiring

A. Authority

The Executive Director, or appointed designee, is authorized by the Board of Directors to recruit and hire personnel within the guidelines set forth by the Board of Directors. The Board's Personnel Committee shall recruit and select the top candidate for the Executive Director's position, subject to ratification by the Board of Directors.

B. Advertising

Advertising for all positions shall contain the statement "Equal Opportunity Employer (EOE)." All position advertisements and job descriptions must contain notice of the equivalent experience, which would qualify individuals for the positions in lieu of the formal qualifications.

C. Application for Employment

All prospective employees who are interviewed shall complete an application and shall certify that the information is correct. Incomplete, false or dishonest information provided on the application which

would be relevant to the employment decision shall be grounds for rating the applicant ineligible for employment with SELF, or for discharge after employment.

D. Verification

The accuracy of all information given on the application for employment, with signed consent of the applicant, shall be subject to verification, including police checks, educational background, BCI checks, salary and former employer check, and references. All findings shall be preserved in writing in the applicant's file.

E. Drug Test, Bureau of Motor Vehicle and Bureau of Criminal Investigation Check

All candidates who are offered a position with SELF will be asked to submit to and pass a drug test SELF's expense and at a facility selected by SELF. They also will be asked to supply their driver's license number for check of their driver's record. They will be required to fill out a BCI fingerprint card and take it to the Butler County Sheriff's Office where they will be fingerprinted and they will return it to SELF for mailing and processing with BCI. Candidates who do not wish to submit to the drug test, Bureau of Motor Vehicle check or BCI check shall excuse themselves from further consideration for employment with SELF.

F. Non-Selected Candidates

Candidates interviewed but not selected shall be notified within five (5) days after the selected candidate starts work at SELF that the position has been filled.

IX. Conditions of Employment

A. Conflict of Interest

1. No employees shall have any direct or indirect interest or activity which directly or indirectly conflicts with their employment with this agency.

2. No employee shall use or attempt to use their position with this agency to secure anything of value for themselves that would not ordinarily accrue to them in the performance of their duties.

3. No employee shall have a conflict of interest.
   A conflict of interest shall arise when an employee has directly or indirectly, any substantial interest in any contract or business dealings or transactions with the agency. The term "substantial interest" includes the following:

   a. Any direct or indirect financial interest in the specific sale or rental transaction, including a share of the proceeds, the prospect of promotion, a profit, or any other form of financial reward of more than a token monetary value.

   b. Any of the following interests in the business which is supplying the goods, space, or services to the purchasing or renting grantee or delegate agency: ownership; partnership interest or other beneficial interest of 5% or more; ownership of 5% or more of stock; employment as an executive officer; or membership on the board of directors or other governing board.

   c. A conflict would also occur when an employee accepts, directly or indirectly, any gift of more than a token monetary value, gratuity, favor, or any other thing of more than a token monetary value from any person, group, agency or corporation which has, or is presently seeking to obtain, contractual or other business or financial relationship with the agency, or who may be in competition with the agency.

d. A conflict of interest or responsibility shall arise when the employee has outside interest or responsibility, which interferes with the efficient performance of their duties, or responsibility with this agency.

e. Any other interest or activity from which the employee seeks monetary payment or other financial gain during the employee's regular or assigned working hours for the agency shall be a conflict of interest or responsibility.

f. Determination of conflict with regard to outside activity shall be within the sole discretion of the agency and decided upon a case-by-case basis.

4. Employees who believe there is a possible conflict of interest, should request in writing an opinion from the Executive Director. Employees will provide a complete description of the activity and/or situation what they believe to be a conflict of interest or responsibility.

   a. The employee shall not pursue or engage in the activity unless said employee receives approval by the Executive Director in writing within ten (10) working days of the request, granting him/her permission to pursue the activity. Said letter shall define the scope of or extent to which the outside activity will be allowed.

   b. Every request by an employee for such an opinion letter shall be subject to immediate and continuing review by the Executive Director. If the employee's activity exceeds the scope of permission, the employee shall cease such activity immediately. The scope of permission shall be decided by the agency.

   c. Decisions by the Executive Director may be appealed to the Personnel Committee. Potential conflicts of interest involving the Executive Director shall be determined by the Personnel Committee.

5. All employees have the responsibility for the general well being of the agency. During and following the period of their employment or services, employees shall not disclose or use for their personal profit, without appropriate authorization, any information acquired by them in the course of their duties which has been clearly designated to them as confidential.

6. All of the above provisions regarding conflict of interest and responsibility apply to all employees on a continuing basis. As a result, any employee who has outside interests, employment, commitments or responsibilities which presently do not give rise to a conflict of interest or responsibility under these provisions still may be found to be in a conflict of interest situation in the future as a result of the agency's adoption of new programs or new business activities.

B. At will Employment

1. No policy in this Policy Manual is intended to create an employment contract between the employee and SELF.

C. Outside Employment

1. Outside employment must not involve a conflict of interest; conflict with the employee's efficient performance of duties; or, otherwise adversely affect the operation of the agency.

2. Outside employment must not involve the performance of duties which an employee neglects to perform as part of employment with SELF.

3. Full-time employees whose job responsibilities include being available for duty during evenings or weekends may engage in outside employment as long as they are available to SELF on a first-priority basis.

4. Employees shall be on either Earned Time Off or leave without pay while engaging in outside employment during regular scheduled duty hours.

5. Employees may not use any part of the agency's facility, equipment or resources for outside employment activities.

6. Employees who believe that their outside employment may conflict with agency policy may request in writing a determination from the Executive Director. Decisions by the Executive Director may be appealed to the Personnel Committee.

7. Employees engaging in outside employment found to be in conflict with the agency's policies may be subject to personnel actions up to and including discharge.

D. Nepotism

1. Board members and their immediate family members (as defined below) will be excluded from consideration for employment by the organization.

2. Employees shall not hold a position with the organization while they or members of their immediate family (as defined below) serve on the Board of Directors or any committee of the Board.

3. Employees may not hold a job over which a member of their immediate family exercises supervisory authority. In only this section and sections 1 and 2 above, immediate family includes: husband, wife, son, son-in-law, daughter, daughter-in-law, father, father-in-law, mother, mother-in-law, brother, brother-in-law, sister, sister-in-law, grandparents and grandchildren.

E. Criminal Records

1. All applicants for employment must disclose fully any felony or misdemeanor convictions or pending charges. Falsifying an application will be grounds for termination if applicant is hired.

2. All employees must disclose fully any felony or misdemeanor convictions or pending charges.

3. Criminal records of current employees or applicants for employment shall be considered in relation to the position held or applied for.

4. When an employee is arrested or charged with a felony or misdemeanor and it is determined that retaining the employee is detrimental to the interest of the agency or potentially injurious to the employee, his/her fellow workers or the general public, the agency may take action, prior to the final disposition of the criminal charges, determined to be in the best interest of SELF.

5. In cases of employees with pending charges, any decision by SELF that adversely affects the employment status of the individual is subject to the agency's grievance procedure.

6. Criminal records are part of the employee's confidential personnel file and are covered under the policy section under Personnel Records.

F. Automobile Use

The following policy was approved by SELF's Board of Directors on June 13, 1996:

SELF recognizes that traffic crashes cause a tremendous toll in lives lost, in serious injuries sustained and significant costs incurred by motorists and the general public. Therefore, it is in the best interests of the organization to promote proper traffic safety precautions to its employees, Board members and its clients.

It is recognized that each employee of SELF will, from time to time, be responsible for using his/her private motor vehicle and/or a SELF vehicle for official SELF business. With this in mind, the Board of Directors has determined that each employee's Ohio Bureau of Motor Vehicles driving record will

be checked—after receiving the individual's approval--as a condition of employment and to assure a positive driving record prior to confirmation of any employment offer.

Each employee is expected to show proof of adequate liability coverage for their personal vehicles used for business purposes. The following coverage is required as a minimum: $100,000 per person for bodily injury; $300,000 per accident.

Each employee while using any motor vehicle for official SELF business shall:

- Have a valid driver's license;
- Operate that motor vehicle in a safe and responsible manner;
- Obey all local, state and federal traffic laws, including, but not limited to, safety belt use, adhering to posted speed limits, and not driving while under the influence of illegal, non-physician prescribed drugs and/or alcohol; also, paying traffic fines in a timely manner; and
- Report to their immediate supervisor as soon as possible any traffic crash or incident occurring while on official business. Should alcohol be a determining factor in the crash or incident, the Executive Director and/or Board of Directors will consider disciplinary action up to and including discharge.

Material violations of any of these provision or repeated minor traffic violations while on official business shall be cause for possible disciplinary action up to and including discharge.

G. Political Activities

Employment shall not be offered as a consideration or reward for political support of any political party or candidate for public office. Nor, may any employee engage in partisan political activities during work hours as prohibited by Chapter 15 of Title 5 of the United States Code (The Hatch Act).

H. Probationary Period for New Employees

1. All new employees shall experience a probationary period both to afford them an opportunity to determine their satisfaction with their employment with SELF, and to demonstrate to SELF their ability to perform the job consistent with the quality and quantity standards of the organization. For salaried employees, this probationary period shall be the first six (6) months. For hourly employees, this period shall be the first ninety (90) days. A performance appraisal of each new employee shall be completed before the probationary period ends. Completion of the probationary period and positive performance appraisal shall not necessitate a salary increase. Many considerations go into the determination for a salary increase, including available funds, performance, as well as others.

2. During the probationary period, the employee or the organization may terminate the relationship without the usual advance notice.

3. A performance appraisal of each new employee shall be completed before the probationary period ends. Employees receiving an unsatisfactory appraisal may be given an extension of probation or terminated. For hourly employees, an extension of 90 days may be granted. For salaried employees, an extension of six months may be granted. Such probationary period extensions are granted at the discretion of the Executive Director except when the position is that of the Executive Director. For the Executive Director, additional probationary time may be granted by the Board of Directors.

   An employee may only receive one probation extension. An employee receiving a second unsatisfactory appraisal at the conclusion of the probation extension shall be terminated.

4. An employee dissatisfied with their probationary appraisal may note that dissatisfaction in writing and have it attached to the appraisal for inclusion in the employee's personnel file.

5. During the probationary period, the employee is entitled to fringe benefits as established in this policy manual, except that no ETO may be taken until after ninety (90) days of employment, unless otherwise approved in advance by the their immediate supervisor or the Executive Director. Earned Time Off will accumulate, however, from the date of employment according to the designated accrual rate.

I. Employee Conduct

Employees shall always appear and behave professionally to reflect positively on the organization. Other policies regarding employee conduct include:

1. An employee should exercise the utmost discretion in regard to all matters of official business and records. Any information which has been received by an employee on a confidential basis must be maintained in confidence.

2. Statements to the media: only the Executive Director or appointed designee may make statements to the news media regarding any agency records, policy or position, programs, activities, personnel or general business operations.

3. Public appearances: any employee asked by an outside agency or organization to appear as a guest speaker or invited program participant representing the agency must obtain prior clearance from the Executive Director or appointed designee.

4. Appropriate Dress: as role models for our clients, SELF expects employees to dress modestly and professionally. The following guidelines are provided:

   Jewelry – Piercings should be professional and discreet.
   Tattoos – No visible offensive tattoos.
   Shoes – Must be worn at all times.

   Permitted (Monday through Thursday)
   - Women's Plain T-shirts
   - Slacks, Khakis
   - Dresses, skirts (no shorter than 3 inches above the knee)
   - Blouses, Dress shirts, ties, polo shirts
   - Sweaters, Dress jackets
   - Dressy Capri pants

   Not Permitted (Monday through Thursday)
   - Denim of any type color
   - Sweatshirts or pants, running pants (any athletic attire), wind suits
   - Hats are not permitted unless for religious or medical reasons
   - Stretch pants or Spandex pants
   - Low cut, cropped, tube, halter or tank tops
   - Shorts of any kind (unless permitted due to an emergency situation)
   - Any T-shirt other than women's plain

Friday will be considered a casual day. Employees may dress more casual except in cases where they are representing the organization. The following dress will be permitted on casual Friday:

- Capri pants
- Denim (provided that is not faded, torn, patched, fringed or tattered)
- Tennis shoes

J. Non-smoking Environment

For the health and safety of all employees, volunteers and clients and in accordance with Chapter 3794 of the Ohio Revised Code, SELF will maintain a smoke-free environment in all of its facilities.

K. ELECTRONIC COMMUNICATION SYSTEMS

1. <u>Purpose and scope of policy</u>

This sets forth SELF's policy with regard to access to and disclosure of information sent or stored on all electronic SELF communication systems, including electronic mail (E-mail), computers (including Internet access), voicemail, fax machines, telephones, two-way radios, and any other device used for communication (collectively referred to as "Communication Systems"). Use of the Communication Systems constitutes a commitment by employees to observe and be bound by the provisions of this policy.

2. <u>Use of communication systems</u>

The Communication Systems are provided and intended for business purposes. Non-business use of SELF Communication Systems is prohibited. Provided, however, that reasonable, incidental and occasional use of SELF's Communication Systems is permitted (*e.g.* "Let's meet for lunch next week") but such messages will be treated no differently than other messages with respect to this policy. Any personal use of the Communication Systems that interferes with any employee's work performance or burdens or compromises the effectiveness of the Communication Systems is strictly prohibited.

Employees may not browse, retrieve, display or disseminate any offensive, inflammatory, pornographic or unlawful communications, including sexually and racially explicit or pejorative material.

Employees may not compose, send or forward communications that reasonably could cause another employee to feel offended, embarrassed, or harassed including any material relating to race, national origin, sex, sexual preference, age, disability or religion.

Employees may not send or forward any communications that mask or misrepresent their identity as the sender, or that are encrypted except as authorized by management.

3. <u>Access to the communication system</u>

Only SELF employees may use SELF's Communication Systems. Employees are prohibited from using codes, accessing files, or retrieving any stored communication not addressed to them without prior clearance from an authorized SELF representative. Employees must use only their own passwords and must inform SELF of their passwords and provide access to their computer files upon request.

4. <u>Monitoring of the communication system</u>

SELF can and will monitor and access communications sent, received and stored on the Communication Systems as necessary to conduct its business or protect its rights, property and interests including, but not limited to, investigate breaches of security and violations of SELF policy. Consequently, employees shall have no expectation of privacy in their use of the Communication Systems. SELF may use programs that monitor electronic messages electronically, checking for particular words or patterns of activity, for purposes of assuring system security and compliance with SELF policies. Authorized SELF representatives may inspect and disclose the contents of electronic messages in the course of such monitoring or any follow-up investigation as necessary. Unauthorized or improper use or monitoring of SELF's Communication System may lead to disciplinary action, including discharge.

5. <u>Downloading and uploading software and files</u>

Use of the Communications Systems to receive, copy or transmit information, software or other materials protected by copyright law, or information SELF considers confidential or

trade secrets is prohibited. No employee should install any software or download any files without management approval.

6. **Discipline for violation**
   Any employee found to be in violation of this policy is subject to disciplinary action including termination. Employees learning of misuse of the Communication Systems should report it to their supervisor.

X. Employee Development

A. Orientation

On the first day of work, the employee shall receive printed material on organization policies and fringe benefits.

B. Training

In-service training shall be provided by the agency, utilizing available resources, which shall provide staff with the skills, training and experience necessary to enhance job progression. Attendance at meeting and conferences is recognized as an important means of staff development. Within the budget limitations, expenses may be paid by the agency for such meetings.

C. Promotions and Transfers

Efforts shall be made to fill position vacancies by first considering qualified and interested current employees. Present staff may apply for any vacancy and be granted an interview if their qualifications meet the minimum requirements necessary to fill the vacancy.

D. Performance Appraisals

1. Performance appraisals are to summarize annually ongoing guidance and input to the employee and to provide new direction. Therefore, they represent an opportunity to review job objectives and should present no surprises to the employee. Additionally, they may provide a basis for periodic salary adjustments when budgets allow.

2. Probationary period performance appraisals are covered under Section IX, subsection G.

3. All employees shall receive a performance appraisal at least annually at the time of their service anniversary.

4. Each employee will have the option of completing a self-appraisal of their performance. All managers, supervisors will be required to complete a self-appraisal. This self-appraisal then will be provided to the employee's supervisor and Executive Director, who shall consider the employee's comments when completing their appraisal of the employee's performance. It is the employees responsibility to submit the self-evaluation prior to their annual review date.

5. The final appraisal shall be reviewed and discussed with the employee, who is then requested to sign it as evidence of having read the report.

6. Any employee dissatisfied with their appraisal may submit an appeal in writing to the Executive Director for review.

7. Executive Director Appraisal: As stipulated in SELF's amended by-laws (Aug. 1, 1996), the Personnel Committee, in conjunction with the Executive Committee, shall provide concrete

guidance to and an annual formal review of the Executive Director. The Personnel Committee also shall recommend pay increases to the full Board for the Executive Director.

XI. Positions and Salaries

A. Policy

The agency shall monitor on an ongoing basis job qualifications, responsibilities, and salary standards for its employees.

B. Job Analysis - Job Descriptions

The agency shall periodically conduct a job analysis program on each position in the agency. From this, job descriptions shall be written or revised for each position. A copy of the applicable job description shall be given to each employee, and a copy shall be filed in the employee's personnel file.

C. Wage Comparability

The agency shall periodically conduct wage and salary comparability studies. Salaries shall be comparable for similar responsibilities in the program area and between agency programs, insofar as the budgets allow.

D. Salary Schedule

Salary ranges and schedules shall be determined for each job title. Changes in salary ranges or creation of salary ranges shall be recommended by the Executive Director to the Board of Directors. Budget projections are based on the salary schedules.

E. Classification of Positions

Refer to Section XIII of Personnel Manual (Page 18)

F. Personnel Records

1. A personnel record for each employee is considered confidential material and shall be kept in a secure location. This record shall include all documents which the individual may have been required to complete, any letters of recommendation, self-appraisals and appraisals by the supervisor, letters of commendation or discipline and any other items considered to be necessary for either the application and hiring process or the appraisal, and when appropriate, the discharge process.

2. The Executive Director or designee, the Director of Fiscal Operations, the Program Director, the employee's immediate supervisor, the Chair of the Personnel Committee and the President of the Board of Directors shall be the only persons having direct access to the records. No other persons are permitted to have access to an employee's personnel record without the written consent of that individual whose record is being reviewed.

3. Information in the person's record may be made available to those persons who are authorized by the Executive Director, such as the individual's supervisor, for the purpose of review and appraisal of the individual's performance.

4. In the case of the Executive Director, the Board President or the Chair of the Personnel Committee shall maintain and supervise a duplicate copy of the record. The original shall be kept with the other employee records.

5. Employees have the right of access to their personnel record, except those confidential statements which were collected as references in the hiring procedure or other information which is legally protected from disclosure.

6. Employees may review their files but only in the presence of either the Executive Director, the Chair of the Personnel Committee or the President of the Board of Directors. Personnel records are property of SELF and may not be removed from SELF's office.

XII. Payroll and Work Schedules

A. Pay Days

Pay periods and the first day of each pay week begin on a Sunday and end on a Saturday. The pay period is two weeks long and paydays are all paid biweekly on a Friday. The payday is the second Friday following the end of the pay period. Direct deposits shall be issued prior to the close of the regular working day. When a payday falls on an agency-observed holiday, direct deposits shall be issued on the preceding workday.

B. Payroll Deductions

1. Mandatory - Federal, Social Security, State and Local Taxes.

2. Voluntary, if any, shall be made upon written authorization from the employees and approval of the agency.

3. Reimbursement to the agency of the employee's share of any cost of benefit coverage or any other funds due from the employee.

4. Any other agency approved deduction and court-ordered deductions.

5. Direct deposit to the employee's financial institution.

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C. Work Schedule

1. Work schedules shall be arranged by the Executive Director to ensure the effective operation of the agency's programs.

2. Regular working hours for all full-time personnel shall be 8:30 a.m. to 5 p.m. with one-half hour for lunch, unless otherwise approved by the Executive Director or Board of Directors.

3. Evening or weekend hours may be scheduled as projects warrant.

4. Part-time personnel shall work an established schedule subject to change in writing according to the needs of the organization.

5. Salaried staff should schedule their work week to meet the minimum 40 hours. It is recognized that their schedules may fluctuate in terms of daily start and finish times. It is recognized that responsibilities will also cause extended work weeks.

6. Hourly staff needs to arrange their work schedules to complete their work in the normal workweek. The immediate supervisor must approve overtime in advance and in writing. Overtime will be paid in accordance with the law, but calculated based on hours worked in excess of 40 hours per week. Hours paid in an excused absence (use of scheduled ETO, holiday and other paid time off, not including unscheduled ETO) will be used in the calculation of overtime.

7. Any change in the established work schedule must be authorized in advance by the immediate supervisor. Employees requesting a change must do so in writing and provide a full explanation.

8. Employee breaks may be taken by all staff as needed and coordinated with other staff within their area of responsibility so as to maintain consistently efficient office operation. Break length and frequency should be kept to a minimum. Incidents of misuse of the employee break policy will be handled on an individual basis by immediate supervisors. All employees will advise the receptionist upon leaving the office.

D. Salary/Hourly Increases

Salary/hourly increases shall be determined by the pay plan and salary pool established by the Board of Directors and shall be based on satisfactory performance appraisals and/or other factors determined by the Board of Directors.

XIII. Eligibility for Employee Benefits

A. Full-Time

1. Full-time receive full benefits offered by the organization.

2. Temporary Full-Time receive only as defined below.

   Usually seasonal or temporary full-time: those employees who work a regular schedule of over 25 hours per week for a period of thirty (30) days or more and generally less than one (1) year. Generally these employees are seasonal or funded by a non-continuing program. They receive paid holidays commensurate with the normal hours scheduled to work and only if scheduled to normally work on that day. In accordance with our personnel policies, these employees also accrue Earned Time Off at ½ the accrual rate of full-time employees. No other benefits are received, except those required by law.

B. Part-Time – Less than 25 hours per week

Receives paid holidays and Earned Time Off at one-half (1/2) the rate of full-time employees. No other benefits are received, except those required by law.

XIV. Employee Benefits

A. Earned Time Off

Supports to Encourage Low-income Families (SELF) provides an Earned Time Off (ETO) benefit, as described in this policy, to all eligible employees based on their length of service and employment status. This program combines traditional vacation, sick days, personal leave and emergencies into one plan. An eligible employee earns ETO hours for hours paid within each pay period and is paid for unused ETO hours upon termination in accordance to SELF policy contingent upon the provisions of all applicable employment and wage and hour laws. Employees are not eligible to use any ETO during the first 90 days of employment, unless unusual circumstances exist and prior approval is received from the Executive Director, Designee or Board of Directors. Also, employees shall not receive payment for unused ETO in the first 90 days of employment should they leave the agency voluntarily or involuntarily (see termination with or without cause).

The purpose of the ETO benefit is to give eligible employees a chance to take time off work without loss of pay to meet a variety of needs, including the employee's own illness or injury, rest and recreation, personal business or other reasons. SELF believes that providing this benefit is necessary and beneficial for employees and can increase an employee's well-being and performance when he or she returns to work.

Supervisors must take into account the staffing needs of the organization when considering each employee's request for paid time off work. To maintain a proper balance of work and family time, employees are encouraged to accrue as many ETO hours as possible in their individual "banks" to provide adequate coverage for vacations, short-term disability protection or other reasons that arise.

1. Procedure

Time off Approval Process: Requests for time off from work must be made in writing. You can obtain time off request forms from your supervisor. The supervisor must approve all requests for time off in advance, except where unexpected illness prevents advance approval. Because of the nature of SELF's business and the resulting staffing needs, time-off requests should be made at least five working days in advance of the date for which time off is requested. Supervisors will consider reasonable requests that are not made five days in advance. However, employees should be fully aware that the chances of a particular time-off request being approved, by necessity, will decrease in proportion to amount of notice given by an employee. ETO requests are approved or denied based on the business needs of SELF and at the discretion of management.

2. Eligibility

- All regular full-time and part-time employees are eligible to accrue ETO hours.
- Full-time is defined as a minimum of 25 scheduled hours per week. Part-time is defined as less than 25 hours per week.
- New employees may not use ETO during the initial 90-day employment period.
- All part-time and temporary employees will accrue at one-half the minimum rate.

3. Accruals

Here are some general rules that apply to the accrual of ETO:

- All eligible employees begin accruing ETO hours on their first day of employment with SELF.
- An eligible employee accrues a specific amount of time per pay period as long as the employee is in active pay status. (Active pay status refers to an active employee receiving pay through the payroll system; it does not include a terminated employee still receiving pay or an active employee on short or long term disability leave or leave of absence without pay.)
- The maximum ETO an employee can have in their account at any time is forty (40) hours in excess of their annual accrual. Any time accrued in excess of this amount is not vested and will be forfeited.
- An employee does not accrue hours after his or her employment ends. In addition, ETO is not accrued for:
    - Paid time over 80 hours a pay period.
    - Unpaid leaves of absence.
    - Periods during which an employee is receiving SELF-provided disability or Workers' Compensation benefits.
- The rates at which employees accrue ETO are shown below (unless otherwise approved by the Board of Directors):

Years of Service	Maximum Annual Accrual	Accrual per Pay Period

1-4	19 days per year	5.85 hours
4-7	23 days per year	7.08 hours
7+	28 days per year	8.62 hours
10	33 days per year	10.16 hours

4. Using ETO

- ETO generally is used in minimum increments of no less than one hour.
- Under normal circumstances, ETO should be scheduled as far in advance as possible by requesting time from the supervisor.
- In the case of unscheduled absences, the supervisor determines if an absence may be excused and may request documentation, such as a physician's statement. If an employee develops a pattern of unscheduled, unexcused absences, he or she may be subject to disciplinary action.
- An eligible employee may request time off without pay, subject to his or her supervisor's approval. See other leave policies for limitations.
- ETO hours may not be "borrowed" in advance of the date they are earned and accrued.
- ETO may not be paid while an employee is receiving Workers' Compensation or SELF-sponsored disability benefits.
- ETO does not accrue while an employee is receiving SELF sponsored disability benefits.

5. Annual ETO Cash Out

- Employees may elect to receive an ETO cash bonus check for up to twenty-four (24) hours of unused ETO as long as they retain a balance of forty (40) hours in their ETO account after payment is made. Employees may request this payment from the Administration department no more than once in a 12-month period on their respective anniversary date (date of hire). It is the employee's responsibility to assure that accrued days will not be lost at the end of the year.
- Employees can carry forward a maximum of forty (40), plus their annual accrual, hours of unused ETO at year-end to use during the next year. Any remaining amount must be used, paid as a cash out in accordance with policy or it will be forfeited by the employee.
- To receive ETO cash out, the employee must request the payment in writing to their supervisor.
- The ETO hours that are paid out are deducted from the employee's accrued ETO bank.
- Any withholdings that apply to the employee's regular payroll also apply to ETO cash outs.

6. ETO Payouts at Termination

   - A terminating employee receives payment for unused ETO according to the employee's direction, in accordance with Supports to Encourage Low-income Families' (SELF) termination policies, in a lump sum on the final direct deposit for the full amount. This payment is made to employees whose separation is on voluntary basis in accordance with section XVII.

   - An employee whose employment is terminated with cause will not be eligible to be paid for unused ETO at the time of termination. Employees whose employment has been terminated without cause, through resignation with proper notice, or the estate of deceased employees, are eligible to be paid for unused ETO.

   - Any withholdings that apply to the employee's regular payroll also apply to ETO payouts at termination.

C. Bereavement Leave

1. Any employee who experiences the death of a member of their immediate family may receive up to three (3) days leave with pay. The definition of immediate family shall be as defined as:

   spouse, significant other, child, grandparents, brother, sister, brother-in-law, sister-in-law, daughter-in-law, son-in-law, father, father-in-law, mother, mother-in-law, grandchild, a legal guardianship, step-parents, step-children, step-grandchild, step-brother, step-sister.

2. For the death of relatives not previously stipulated, the employee may take off the day of the funeral with pay.

3. It shall be within the discretion of the Executive Director to grant other bereavement leave under unusual circumstances.

4. Any additional time off beyond the three-day period must be approved by the Executive Director or appointed designee and shall be without pay or the employee may utilize accrued ETO time.

D. Family Leave

1. A regular, full-time employee who has been employed for at least one year is eligible for Family Leave not to exceed a period of 12 weeks. This time period may be extended by the Executive Director or appointed designee if deemed appropriate. Family Leave is defined as maternity, paternity, or time needed to care for an ailing family member as defined in the ETO section. Maternity leave may be covered under SELF's short term disability benefit.

2. An employee is required to use all available ETO prior to receiving unpaid Family Leave.

3. Once ETO is exhausted, additional time shall be taken as leave without pay.

E. Military Leave

Any employee who is a member of the National Guard or a military reserve unit will still be expected to meet normal obligations for their position with SELF. Employees presenting written official orders requiring their attendance for a period of training or other active duty shall be entitled to military leave for a period not to exceed thirty-one (31) days in any employment year. The employee will be paid the difference between their military pay and the regular salary for that time period.

F. Jury Duty

SELF encourages employees to exercise their civic responsibility of jury duty and shall grant paid time off for such service. If the employee receives compensation for their time for performing jury duty, the compensation will reduce the amount received from SELF. The intent is for the employee to be fully compensated, but not to be paid more than they earn with SELF. If the employee is reimbursed for parking, travel, food or other expenses, that reimbursement will not be used in the calculation of what SELF will pay the employee.

G. Leave of Absence

An approved leave of absence is leave without pay. It is intended for an employee to handle necessary prolonged absences from work without having to resign. Such leave should be for the purpose of self-improvement for the employee and have some benefit to the agency.

1. The granting of leave is at the discretion of the Executive Director or appointed designee. The approved length of leave shall be determined by the needs of the employee as well as the needs of the agency.

2. During this leave of absence, all benefits cease and ETO accrual will cease. If the leave of absence exceeds thirty (30) days, the employee's seniority will be adjusted by the number of days the employee is off on the leave of absence. Also, the employee must pay the cost of health insurance if the leave exceeds thirty (30) days and the insurance is continued. If the employee decides to cancel the insurance, reinstitution of the insurance can only be made in accordance with the policies of the insurance SELF.

3. After return from leave of absence, the employee is not guaranteed to return to their prior position. It is the policy of SELF to attempt to place them in a position within the organization.

H. Holidays

1. SELF observes the following holidays: New Year's Day, Martin Luther King Day, Memorial Day, Independence Day, Labor Day, Thanksgiving Day and the day after Thanksgiving, and Christmas Day and the day after Christmas*.
   All employees must work their regularly scheduled day before and the day after a holiday or have been approved for a scheduled day off in advance. In the event that an employee is ill on a workday preceding or following a holiday, he/she must bring in a doctor's note indicating inability to work to receive holiday pay. If the employee is out on the day before or the day after a holiday with no doctor's note, the entire time will be charged against the employee's available ETO.

2. If a holiday occurs on Saturday, it will be observed on the preceding Friday. If a holiday falls on Sunday, it will be observed on the following Monday.

3. *If a holiday occurs during an ETO period, the employee shall not be charged for sick or vacation leave.

4. Other religious holidays may be observed provided the employee is given approval from the Executive Director to use ETO.

I. Snow Policy

SELF recognizes that employees may not be able to come to work on days that inclement weather takes place. The following policy is established to allow for proper handling.

1. Clients will be advised through the posting of signs at all entrances that SELF may be closed or delay opening during inclement weather and asked to call SELF on the day of their appointment to confirm that SELF is open. The Executive Director is responsible for changing or having changed the voice mail message when inclement weather closing or delays occur.

2. Employees can visit the Butler County Sheriff's website at www.butlersheriff.org to obtain the level of snow emergency.

Plan A: When Butler County reaches a Level 1 Snow Emergency, the SELF offices will automatically be on a 2-hour delay. All offices will open at 10:30 am and employees will be expected to arrive at their regular location at this time. It is the responsibility of the employee to listen to or watch area news broadcasts to determine if there is a snow emergency. Employees arriving at or before 10:30 am will receive pay for an entire day and will not need to use available ETO.

- Incentives to employees that come in during Plan A Schedule:
    1) SELF will allow a "dress down" day when a Plan A as been issued to allow for employees that may need to shovel driveways or otherwise be hampered by traveling in deep snow. The same guidelines apply as to dress down on Fridays.
    2) All employees that come in to the office during a Plan A schedule will receive an additional three hours of ETO, if they work the balance of the day. This time will be recorded by their direct supervisor and used in the same manner as other ETO.

Plan B: When Butler County reaches a Level 2 Snow Emergency, the Executive Director may determine that traveling to the office would prove hazardous and he/she may close the office for the entire day. In this event, the Executive Director will be responsible for contacting all supervisors. Supervisors will be responsible for or making arrangements for contacting the employees in their department. It is the responsibility of the employee to make sure there is sufficient means for the supervisor to contact them. When the SELF office is closed due to inclement weather, all employees will be paid as a regular day.

Plan C: When Butler County reaches a Level 3 Snow Emergency, the SELF office will automatically close. All employees will be paid as for a regular day.

J. FICA/Social Security

SELF participates in the federal Social Security program by paying the employer's share of such tax and deducting the employee's portion from their pay.

K. Workers' Compensation

All employees are covered by the State of Ohio's Workers' Compensation law, if the employee is injured or disabled as a result of a job-related injury or disease. There is no cost to the employee for such protection. Any absence caused by injury not covered under Workers' Compensation shall be covered by use of ETO according to the employee's eligibility.

L. Unemployment Compensation

SELF employees are eligible for Unemployment Compensation except where not required or prohibited by law. This is without cost to the employee.

M. Health Insurance / Dental Insurance

The organization pays for a portion toward health and dental insurance for each full-time permanent employee and their family. (The percentage paid by SELF is approved by the Board of Directors and is always subject to change).

N. Disability and Life Insurance

SELF offers short-term and long-term disability policies at no cost to the eligible employee. Eligible employees will be covered by the policies only if approved by the carrier's medical underwriting. Refer to the current brochures for the established waiting periods and benefit amounts. As stated in subsection A, number 4, ETO will be coordinated with the short-term and long-term disability plan benefits. Thereby, employees would receive no more than their regular pay during the covered period of leave due to sickness or illness.

O. Tax-deferred Annuity (TDA)

SELF contributes to a tax-deferred annuity in the name of each eligible employee. For all new employees hired after February 1, 1997, there is a six-month waiting period in order to be eligible for employer contributions in the tax-deferred annuity. Employer contributions will begin after the sixth month for eligible employees. The TDA provider and the amount contributed (currently 4.4 percent of gross wages) is at the sole discretion of the Board of Directors. Employees are immediately vested when contributions are made.

P. Other Benefits

Upon approval from the Board of Directors and SELF'S funding agencies and budget availability, SELF may introduce new benefits for employees from time to time.

Q. Employee Assistance Program

SELF offers an Employee Assistance Program at no cost to employees. All full time, part time and seasonal employees (during months of employment) and their household members are eligible for this benefit.

XV. Employee Expenses

A. Reimbursement

Employees will be reimbursed for on-the-job expenses subject to the prior authorization of the Executive Director or appointed designee. Travel and per diem payments will follow and not exceed the limits set by the funding sources and the Board of Directors. Receipts for expenditures are to be submitted along with an expense report. Per diem expenses do not require receipts in accordance with our Financial Procedures Manual. Expenses over thirty (30) days old will not be honored unless reasonable circumstances exist and are approved by the Executive Director.

B. Mileage

Mileage for travel on agency business shall be reimbursed to the employee at a rate established by the Board of Directors. The established rate has been tied to the rate paid by the Butler County Commissioners to their employees. If the County's rate changes, SELF's rate will automatically change. Reimbursable mileage is computed as the distance from SELF's office(s) and the destination; however, when the point of departure is closer than SELF, that point will be used. All employees using a personal auto for agency business must carry liability insurance see Automobile Use Policy in Section IX, subsection E).

C. Out-Of-Town Expenses

Out-of-town travel shall mean all travel outside SELF's program territory of Butler County, Ohio. All out-of-town travel must be authorized in advance by the Executive Director. Out-of-town, on-the-job expenses will be paid subject to the authorization of the Executive Director or appointed designee.

Travel and per diem payments may not exceed the limits set by the funding sources and Board of Directors. Receipts for expenditures should be submitted within 30 days.

D. Meal Expenses

An employee's meal expense will be reimbursed when the employee is required to attend a meeting at a normal meal time at the request of the Executive Director or because of the employee's job description.

E. Other Expenses

1. Reimbursement shall be made for authorized supplies which an employee buys and are not in the category of petty cash. Receipt must be provided.

2. Use of petty cash as the purchase method is governed by the Board of Directors' Petty Cash Policy. All expenditures require the Executive Director or designee's approval. Receipts are required.

3. Whenever possible, purchases should be charged.

4. SELF's tax-exempt number should always be used.

XVI. Attendance Policy

ATTENDANCE – ABSENTEEISM / TARDINESS

Regular, consistent, and prompt attendance is a requirement of all jobs. SELF expects all employees to assume diligent responsibility for their attendance and promptness. Consequently, failure to maintain regular and consistent attendance will result in discipline, as set forth below.

SELF recognizes that not all situations can be specifically addressed, and circumstances may arise when unpaid leave of absence is necessary. Such situations will be dealt with on a case-by-case basis.

Discipline will generally be based on the number of “occurrences” accumulated by the employee in a rolling twelve-month period (including the initial ninety days of employment.) This policy, however, does not affect the at-will nature of the employee’s employment. SELF retains the right to impose whatever discipline it deems necessary, up to and including termination.

Occurrences include the following:

- Absence from work 1 occurrence
(other than previously scheduled in writing and approved ETO)

- Consecutive absences related to the same illness/injury, without prior approval 1 occurrence

- Failure to call in properly 1 occurrence

- Tardiness 1 occurrence

  - reporting to work after the start of scheduled work time
  - leaving work before the end of the shift
  - late return from lunch period

- No-call / No-show	2 occurrences (1 occurrence for absence, plus 1 occurrence for failure to call in properly)

The following do not constitute occurrences for the purpose of this policy:

- Workers Compensation Leave
- Bereavement Leave
- Jury Duty
- Military Leave
- Doctor's Excused Leave With Prior Approval
- Previously scheduled in writing and approved ETO

Call-in requirement: Employees must telephone their supervisor a minimum of one (1) hour before the start of their shift if they anticipate being absent. If unable to reach the immediate supervisor, the employee must telephone the supervisor's supervisor as soon as possible. In some cases employees might be unable to notify their supervisor before their reporting time and the failure to call in properly will be reviewed on a case-by-case basis to determine if a disciplinable occurrence has taken place.

The following disciplinary action may be imposed for occurrences:

3 occurrences	Verbal Counseling
6 occurrences	Written Warning
9 occurrences	Final Warning – Mandatory meeting with Program Director and Executive Director
10 occurrences	Termination

During the initial 90-day probationary period, an employee will receive a written warning for one occurrence, a final warning for two occurrences, and termination for three occurrences.

If an employee exhibits perfect attendance, i.e., no occurrences, for a three-month period, one occurrence will be removed from the employee's record.

Absences due to illness or injury that last more than three consecutive work days must be reported to the Program/Executive Director. The employee may be required to provide a statement from his/her physician before being permitted to return to work.

XVII. Employment Separation

Employees of SELF are employed "at will". Either the employee or SELF may terminate employment at anytime, for any reason, with or without notice.

A. Voluntary Resignation

1. This is considered as separation of employment without cause and is at the choice of the employee.

2. In the case of voluntary resignation, all supervisory personnel are asked to give in writing notice of intent to leave no later than four (4) weeks prior to resignation, except during the initial probationary period. Non-supervisory personnel are asked to give at least two (2) weeks notice in writing of intent to leave, except during the initial probationary period.

3. Employees who voluntarily resign and give a minimum of two weeks notice are entitled to be paid for accumulated ETO, (no ETO is paid if the employee departs before the first ninety (90) days of employment is completed).

i. Failure to report back following a leave of absence or taking Earned Time Off (ETO) (not making proper notification) without prior authorization from the Executive Director or designee shall be considered a voluntary resignation.

ii. Failure on the part of the employee to properly notify their supervisor, the Executive Director or designee when absent for three (3) or more days is considered a voluntary resignation. Notice given by a close relative is acceptable if the employee is incapacitated.

B. Agency Lay-Off

1. This type of employment separation is due to the reduction or elimination of funds or because of re-organization.

2. Agency lay-offs do not require the agency to give written notice to the employee, but if possible the agency will give the employees affected at least two (2) weeks' notice in advance.

3. Lay-off must be authorized by the Executive Director or appointed designee under conditions outlined below.

4. The operational needs, as defined by the Executive Director, of the agency shall take priority over seniority in determining lay-off. Employees may be laid off on the basis of seniority/length of service. In that case, seniority shall be computed in terms of years, months and days of uninterrupted service to the program, contract, or service location. Leave of absence shall not count in determining length of service.

5. Employees who have full-time status and are laid off will be eligible for recall up to six months after lay-off, if needed agency funds are restored. Employees, if recalled, shall have their prior service, less the period of non-employment, used to compute their length of service.

6. As agency funds are restored, employees laid off shall be returned to service according to seniority within the affected program area and in accordance with the operational needs mentioned in 4 above.

7. The employee laid off is entitled to be paid for unused and accrued ETO.

C. Discharge with cause

Discharge shall be construed as the involuntary separation of an employee from the employment with the organization.

It is SELF's intent to use discharge only under serious situations. While discharge may result from unsatisfactory performance (see Section X, Employee Development, subsection D), it may also be the result of repeated minor infractions, in which progressive discipline has been used (see Section XVIII, Employee Counseling/Discipline).

Also, certain actions of the employee may result in immediate discharge with cause, including, but not limited to:

- When an employee’s conduct adversely affects the agency’s operation and/or reputation.
- Breaking confidentiality.
- Insubordination defined as failure to comply with written or oral specific instructions from supervisor.
- Abuse or misuse of agency funds or property, defined as misappropriation of funds, theft, falsifying records, unauthorized use of property, destruction of property, etc.
- Assault of employee, volunteer or client.

- Excessive absenteeism as defined as inability to complete job as a result of absenteeism.
- Reporting to work under the influence of alcohol and/or non-physician prescribed drugs.
- Serious criminal convictions.

Work Rules and Counseling

It is the philosophy of SELF that employees are given rules to follow regarding conduct as guidelines, and that the mature individual will behave in a manner expected in a working environment. However, if people do not work within the guidelines, action must be taken to correct the situation and to protect all people involved.

Certain situations and events occurring in the employment relationship require the administration of discipline. The following forms of discipline may be used when appropriate: verbal counseling; written counseling; suspension (punitive) and discharge from employment.

The above listed disciplinary measures are set forth as illustrations of the measures that may be used by SELF. The listing, however, is not exhaustive and does not obligate SELF to administer discipline on a progressive basis. (Except in the instance of Attendance policies listed in section XVI) SELF has the right to use any disciplinary measure that in its view is appropriate in light of the conduct involved and the use of any such measure does not affect the at-will employment relationship.

Violation of any of the following rules may result in discipline, up to and including discharge. This listing is merely illustrative and is by no means an exhaustive list of the acts for which discipline may be imposed. Other inappropriate actions may result in disciplinary action. Likewise, this listing does not affect either party's right to terminate the employment relationship at any time and for any or no reason.

- Negligence or willful inattention to work.
- Discourteous or insubordinate conduct.
- Divulging confidential information.
- Theft or dishonesty.
- Possession, use or being under the influence of alcohol or controlled substances.
- Habitual tardiness, excessive absenteeism.
- Failure to establish and maintain a harmonious working relationship.
- Failure to perform duties adequately and properly or interference with other employees' work.
- Falsification of records.
- Negligence of safety and health rules.
- Unprofessional conduct or conduct detrimental to the best interest of SELF.

XVIII. Grievances

A. Coverage

The grievance procedure is established as an avenue for the expression of employee concerns that relate to working conditions. The procedure is open to all employees who believe that the treatment received is inequitable or unfair. With the exception of dismissal caused by loss or reduction of funding, layoffs, or voluntary resignation, employees may appeal any condition or action related to employment that may allegedly infringe on their rights.

B. General Provisions

1. It shall be SELF's policy that an employee may present a grievance through this procedure free from restraint, interference, coercion, discrimination, harassment or reprisal, and that any action taken shall be consistent with agency personnel policies or procedures.

2. It is the duty of this agency to conduct fair and impartial grievance reviews. However, legal rules of conduct will not govern the procedure.

3. Employees failing to adhere to the time limitations or procedures as outlined in each step shall waive their rights unless provisions have been made to extend time limits, to alter procedures, or to consider extenuating circumstances.

C. Grievance and Appeals Time Table

Grievance Time Table

Procedure	**Time Frame**
Initial Grievance Filing	within 5 working days of the incident.
Meeting between grievant & supervisor	within 5 working days of grievance filing.
Meeting between supervisor & other parties involved (if grievance involves person(s) other than or in addition to the supervisor). At this meeting, the grievance must be shown to the individual(s) involved	within 5 working days of meeting between supervisor and grievant.
Supervisor prepares a report summarizing the meeting, which is signed by all parties and submitted to the Executive Director, or the supervisor renders a decision if the grievance is against another individual.	within 5 working days of the meeting.
The Executive Director reviews the report and any other data deemed necessary and renders a written decision.	within 10 working days of receipt of the report

Appeals Time Table

Procedure	**Time Frame**
If the grievant is not satisfied with the decision rendered, they may file an appeal with the Chairperson of the Personnel Committee.	within 5 working days of the rendering of the decision
The Chairperson of the Personnel Committee notifies in writing all individuals involved that an appeal has been filed and is under consideration of the Personnel Committee.	within 5 working days of receipt of the appeal by the Chairperson of the Personnel Committee.
Meeting between the grievant, the immediate supervisor, the Executive Director, the individual(s) against whom the grievance was filed, and a majority of the Personnel Committee. At this meeting, the grievance shall be available for review by the individual(s) involved, but a copy will not be given. If it is not possible for a majority of the Personnel Committee to attend this meeting, the Board President shall appoint additional members of the Board to attend the meeting.	within 10 working days of receipt of the appeal by the Chairperson of the Personnel Committee.
The Personnel Committee renders a decision in writing, and a copy of the decision is mailed to all those attending the meeting.	within 5 working days of the meeting.

In matters of appeals, the Personnel Committee's decision shall be considered final.

XIX. Employee Counseling/Discipline

A. Policy

Employees are to be informed of behavior expected of them and the rules, regulations, policies and practices by which they must abide.

B. Conduct

Commonly accepted standards of employee conduct normally required in any place of employment shall be the standards of employee conduct whether or not such are in writing.

C. Appeals

Disciplinary Actions may be appealed as outlined in the Grievance Procedure, Section XVIII.

D. Disciplinary Actions

1. Disciplinary action depends on the nature of the infraction.

    a. The general procedure shall be used in cases of minor infractions.

    b. Major infractions may begin at any point in the process, including discharge, depending on the nature of the infraction.

2. The general procedure of progressive discipline shall include the following steps:

    a. Verbal counseling

    b. First written warning

    c. Second written warning

    d. Discharge

3. Verbal counseling shall be confirmed in writing and made a part of the personnel file.

4. Infractions shall be considered as follows:

    a. Any infraction shall be combined and considered as part of any other infraction - considered collectively, not individually.

    b. Minor infractions shall include, but not be limited to:

        Equipment/building care
        Not following verbal instructions
        Lateness or absenteeism

    c. Major infractions would also include violations of SELF's General Non-Discrimination and Sexual Harassment policies.

5. Warning letters shall remain in effect for discipline purposes for a period of one year from occurrence. All warning letters shall remain as part of the permanent personnel file. If improvement is made, a memorandum noting the improvement will be placed in the file after one year.

E. Immediate Discharge

Certain actions of the employee may result in immediate discharge with cause, thereby the above progressive discipline policy would not be followed.

XX. Use of Alcohol and Other Drugs

SELF is committed to providing an alcohol and drug-free workplace. Pursuant to the Drug Free Workplace Act of 1988, unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance in the workplace is prohibited. Any employee or volunteer who violates the above rule is subject to disciplinary action, including discharge. In addition, employees or volunteers working under the influence of illegal drugs or alcohol are also subject to disciplinary action, including discharge.

SELF will distribute materials and/or hold in-service meetings as part of an on-going drug-free workplace program to inform employees about:

- the dangers of drug abuse in the workplace;
- SELF's policy of maintaining a drug-free workplace;
- agencies which can provide SELF staff with drug counseling and rehabilitation; and
- the penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.

All SELF staff will receive a copy of this Drug-Free Workplace Act statement as part of this manual.

As a condition of employment under federally-funded grants, the employee must:

- abide by the terms of the above statement; and
- notify the SELF Executive Director and/or Board President in writing of any criminal drug statute conviction for a violation occurring in a workplace no later than five (5) calendar days after such conviction. (Please note: as specified in Section IX. Conditions of Employment, item D., employees are required to report any felony or misdemeanor arrests when they occur.)

The SELF Executive Director and/or Board President will take appropriate personnel action against such an employee within thirty (30) days of receiving notice with respect to the employee's conviction. Personnel action is specified in paragraph one of this section. SELF may, at its discretion, waive or suspend disciplinary action or a referral to SELF’s EAP for a violation of this policy contingent upon the employee's satisfactory completion of a mandatory drug abuse assistance, or rehabilitation program approved for such purpose by a federal, state, or local health or law enforcement agency.

Usage of alcohol, either during working hours outside the office and/or while representing SELF, shall not impair expected job-related performances or reflect unfavorably upon the agency.

XXI. Review and Amendments

SELF's Board of Directors reserve the rights to modify, including eliminate portions of policies, at any time. The Board of Directors is the sole source of authority in issuing personnel policies for staff.

A. Review

1. This policy manual will be reviewed by SELF's Personnel Committee on bi-annually or as needed basis.

B. Amendment Process

1. Amendments to the Personnel Policies Manual may be recommended at any regular meeting of the Board of Directors or its designated Personnel Committee.

2. After study by the Board of Directors or its designated Personnel Committee and opportunity for comment has been provided to the Executive Director, an amendment may be adopted by a

majority of the members present of the Board of Directors at any regular Board meeting, provided that all members of the Board of Directors have been mailed a copy of the proposed amendment at least five (5) days prior to the meeting, if possible.

3. Amendments to this Personnel Policies Manual adopted by the above procedure shall be given in writing to all employees.

This document was amended at a Regular Board of Directors meeting on June 12, 1997 per recommendations in Stephenson and Warner Management Letter to include more details on the Drug-Free Workplace Act. It was amended at a Regular Board of Directors meeting October 10, 2002, to provide for a general review and update. Also, it was revised by the Board of Directors of SELF at the meeting on **December 11, 2003,** in order to meet the requirements of the ODOD Audit changes.

The Board of Directors of SELF reviewed and made changes to this manual on January 8, 2009.

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CAODMU
Project Presentation

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Project Teams

Project Management Team

- Todd Gable (Lead)
- Mike D'Arcy (Recorder)

Board of Directors Team

- Jen Dennison (Team Lead)
- Pam Koshar

Strategic Planning Team

- Ed Connors (Team Lead)
- Dave Finley
- Joe Koehl

Human Resources Team

- Nick Newnham (Team Lead)
- Belinda Lauer
- Greg Lewis
- Vernise Robinson

Project Advisors: Brandi Robinson and Cindy Holodnak

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Strategic Plan Team

- Ed Connors (Team Lead)
- Dave Finley
- Joe Koehl
- Todd Gable

Presents

1. Strategic Planning for CAODMU
2. Strategic Plan Process - Work Flow & Scheduler
3. Strategic Planning Resources

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Prologue

- We were asked to review CAODMU organizational operation and make suggestions to assist in the enhancement of the operation.
- A key opportunity identified is the development and implementation of a Strategic Plan.

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Introduction

A Strategic Plan sets a clear direction for your organization's future that defines:

- Who you are;
- What you hope to achieve; and
- Clearly lays out what your plans are to meet legal, financial, and legislative goals.

Project Overview

We have:

- Compiled a list of Strategic Plan Resources
- Reviewed these many different resources and compiled a “Ten Step Process” you can use for implementation of a Strategic Plan
- Developed a “Strategic Plan Process - Work Flow & Scheduler”

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Ten Step Process

1. Agree on need for a Strategic Plan and Team Members
2. Develop a Scope for the Strategic Plan

3. Identify your Past and Present
4. Assess your Strengths, Weaknesses, Opportunities and Threats (SWOT)
5. Define the organization's Values, Vision and Mission
6. Define the organization's Goals and/or Objectives
7. Identify Strategic Issues and Planning
8. Write the Strategic Plan

9. Implement the Strategic Plan
10. Review, Alter and Keep it Moving

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Strategic Plan - Work Flow & Scheduler

The “Strategic Plan Process - Work Flow & Scheduler” is an Excel spread sheet designed to help you plan, schedule, and manage the 10 Step process.

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Resources

There are many excellent resources for this process:

- *Creating and Implementing Your Strategic Plan, A Workbook for Public and Nonprofit Organization.*
- Free Management Library, Authenticity Consulting, LLC.
- Online Integrated Library for Personal, Professional, and Organizational Development
- *Achieving Excellence in Community Action; A Guide to Achieving the Community Action Standards of Excellence*
- Managance Consulting, *Sample Strategic Plan, The ABC Service Agency.*
- HR Funda, HR Guru
- Susan M. Heathfield, About.com Guide, *Make Strategic Planning Implementation Work*

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Strategic Planning Q & A

Strategic Plan Team

- Ed Connors (Team Lead)
- Dave Finley
- Joe Koehl

Board of Directors Team

- Jen Dennison (Team Lead)
- Pam Koshar

Presents

Board of Trustees Team Report

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Project Purpose

- To create a document to assist new board members and employees as they transition into new roles with CAODMU.
- Create a unified process and document that would allow all employees and board members to receive the same, consistent information.
- Allow the E.D. to monitor the orientation of new members and employees.

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Project Planning

- Obtained key documents:
  - Bylaws, board roster, organizational history
    - Sources: executive director, website
- SWOT Analysis
  - Looked at similar organizations around the state.
    - LACCA, SELF, other smaller, multi-county agencies that didn't have Head Start.

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Project Planning

- Obtained key documents:
  - Bylaws, board roster, organizational history
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Project Results

- 17 page Board Orientation Manual
  - Contents include:
    - Roles of board members, officers
    - Commitment pledge
    - Board member application
    - New Board Member checklist, including a suggested list of items to include in the manual.
    - Introduction to CAODMU
    - Current Board Roster
    - Online Resources for Board Members
    - Suggested items to be included later (bylaws, board evaluation and removal policies, meeting schedules, etc.)

Fiduciary Duties of Officers, Trustees and Directors of Charitable Organizations

- Trustee/Director- not honorary titles
  - Charitable organizations rely on volunteers for their governance.
  - People volunteer for service for variety of reasons
  - Volunteering for service on a board of trustees should not be entered into without a clear understanding of what this commitment will entail.

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Legal Duties Of BOT

- Trustees and directors of charitable, non-profit organizations have specific legal duties owed to the organization.

- The primary duties owed to an organization from board members are:
  - The duty of care
  - The duty of loyalty
  - The duty to manage accounts
  - The duty of compliance

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Legal Duties

- Keep board vigorous
- Look for ways to continue to breathe "new life" into board
- Actively recruit new volunteers

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Board Positions Descriptions

- Board President
- Board Vice President
- Board Secretary
- Board Treasurer

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Board Member Service Commitment Pledge

- Developed to clearly outline responsibilities associated with joining board
- Defines what commitment is expected of board members
- Signature is promise by board members to uphold all duties associated with board membership

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Board Member Application Form

- Proposed revision to existing CAODMU form
- User friendly for both applicants and screeners
- Document should be readily accessible to interested persons both in hard copy and on website

New Member Checklist

- Created a new board member checklist
- Part of orientation packet for all new board members and can be modified to fit CAODMU new staff hires
- Items included on check list: copies of by-laws, schedule of meetings current budget reports, etc
- Brief history of CAO's, including mission and vision statements for CAODMU.

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Current Board Information

- Current board member information with readily accessible contact information
- Should be stored in a format that can be easily updated as new members are recruited

Non-Profit Internet Resources

- Alliance for Nonprofit Management www.allianceonline.org
  The Alliance has quite a few articles on Board Governance issues.

- BoardSource www.boardsource.org
  Boardsource provides information on board strengthening as well as workshops and training seminars.

- Council on Foundations www.cof.org
  The Council in Foundations provides information, opportunity, leadership and tools needed by philanthropic organizations.

- Foundation Center www.foundationcenter.org
  The Foundation Center provides training and information on foundations.

Resources for BOT members

- Free Management Library www.managementhelp.org
  Provides a comprehensive set of tools for assisting Boards in carrying out their functions.

- Guidestar www.guidestar.org
  Guidestar is a good general reference, and it gives you access to all non-profit organizations' Forms 990.

- Ohio Association of Non-Profit Organizations www.ohiononprofits.org OANO provides networking and training opportunities for Ohio non-profit organizations.

- National Council of Nonprofit Associations www.ncna.org
  NCNA is the national association; OANO is the Ohio affiliate.

Resources for BOT members

- Non-profit Center of Northeast Florida ww.nonprofitjax.org
  The Center has some excellent articles on non-profit governance

- Idealist.org www.nonprofits.org
  Idealist provides lots of general reference information as well as information on 58,000 non-profit organizations.

- American Institute of Certified Public Accountants Audit Committee Toolkit www.aicpa.org Tools for strengthening the organization's audit capabilities.

Additional Items for Consideration

- By-Laws
- Board evaluation forms
- Board removal policies
- Holiday and Meeting schedules

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Human Resources Team

- Nicholas Newnham (Team Lead)
- Vernise Robinson (Recording Secretary)
- Belinda Lauer
- Greg Lewis

Presents

- Introduction
- Team Dynamics
- Team's Mission
- Handbook Recommendation
- Created Policies
  - Recruitment & Hiring
  - Absenteeism & Leave
  - Corporate Assets
  - Code of Conduct
- Template Recommendation

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Team Dynamics

- Nicholas Newnham (Team Lead)
- Vernise Robinson (Recording Secretary)
- Belinda Lauer (Presentation Lead)
- Greg Lewis

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Team's Mission

Human Resources Handbook and Policies

- Current state at CAODMU
- Area to be address
- Team's plan
  - ✓ Handbook recommendation
  - ✓ Policy creation
  - ✓ Policy template recommendation

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Handbook Recommendation

- Objective
- Importance
- Benefits
- Identification of four “Best Practice” agencies
  - Similar programs
  - Similar staff
  - Similar demographics
  - Awards, recognition, and recommendations

Handbook Recommendation

- Supports to Encourage Low Income Families (SELF)
- Similar programs to CAODMU
- Similar staff to CAODMU
- Basic and easily adaptable
- Clear and concise

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BELINDA LAUER

Bureau of Workers' Compensation

Presents

Recruitment & Hiring Policy

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Recruitment & Hiring

OBJECTIVES

- Understand why the policy is important
- Be aware of the method used to write the policy
- Know who will benefit from the policy & why
- Obtain an overview knowledge of policy content

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Recruitment & Hiring

WHY IS IT IMPORTANT?

- Hiring and selection is conducted in a consistent manner
- Ensures a process for impartial selection
- Adherence to the laws – EO employer

Recruitment & Hiring

HOW WAS THE POLICY WRITTEN?

- Selection of CAOs the same or similar to CAODMU
- Policies were reviewed for best practices
- Consolidated and personalized to CAODMU dynamics

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Recruitment & Hiring

WHO WILL BENEFIT?

- **Applicants**
  - ✓ fair & consistent process
- **Agency**
  - ✓ resource to ensure consistency
  - ✓ applicable laws are followed

Recruitment & Hiring

COMPONENTS OF THE POLICY

- **Authority**
- **Advertising**
  - ✓ *In-house*
  - ✓ *External advertising*
- **Application for Employment**
  - ✓ *Verification*
  - ✓ *Interview*
  - ✓ *Applicant notification*

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Recruitment & Hiring

COMPONENTS OF THE POLICY

- **Post-offer Requirements**
  - ✓ *Motor vehicle record (MVR) checks*
  - ✓ *Physical examination*
  - ✓ *Criminal check*
  - ✓ *Drug testing*
  - ✓ *Orientation*
- **Nepotism**
- **Political**

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Recruitment & Hiring

COMPONENTS OF THE POLICY

- **Assignment/Transfer**
- **Special Hires**
  - ✓ *Acting*
  - ✓ *Temporary/On-call*
  - ✓ *Rehired employees*

Recruitment & Hiring

SUMMARY

- Importance
- Method for Writing
- Who Benefits
- Policy Content

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GREG LEWIS

Department of Mental Health

Presents

Absenteeism and Leave Policy

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Absenteeism and Leave

OBJECTIVES

To create a consistent and uniformed policy

Absenteeism and Leave

WHY IS IT IMPORTANT?

Employees

- Uniformed practice (eliminates the guessing)

Agency

- Improves the efficiency of the operation
- Discourages favoritism

Absenteeism and Leave

HOW WAS THE POLICY WRITTEN?

Retreaded using the best practices from:

- Western Connecticut State University
- HRVillage.com
- Macomb Township (Michigan)
- Lima-Allen Council on Community Affairs

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Absenteeism and Leave

WHO WILL BENEFIT?

All Employees

- Full-Time
- Part-Time
- Temporary Staff
- Contracted Workers

Agency

Community

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Absenteeism and Leave

COMPONENTS OF THE POLICY

- Absenteeism
- Tardiness
- Leave
- Defines Immediate Family Members

Absenteeism and Leave

SUMMARY

This essential policy should be applied to all employees, full, part-time, temporary, and contracted workers in order to meet the essential functions of their job and meet the needs of the CAOMDU and its customers.

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NICHOLAS NEWNHAM

Industrial Commission

Presents

Corporate Assets Policy

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Corporate Assets

- Objective
- Importance
- Creation
- Benefits

VERNISE ROBINSON

Department of Rehabilitation and Correction

Presents

Code of Conduct Policy

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Code of Conduct

OBJECTIVES

Code of Conduct

WHY IS IT IMPORTANT?

- Provides written guidelines for conduct
- Notifies all employees regarding the written
- Specifically addresses prohibited behavior

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Code of Conduct

HOW WAS THE POLICY WRITTEN?

- Selection of CAOs the same or similar to CAODMU
- Policies were reviewed for best practices
- Consolidated and personalized to CAODMU dynamics

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Code of Conduct

WHO WILL BENEFIT?

All persons employed by the Community Action Organization of Delaware, Madison, and Union Counties, Inc.

Code of Conduct

COMPONENTS OF THE POLICY

- Public Statement
- Employee Recognition
- Safeguarding Assets
- Confidentiality
- Conflict of Interest

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COMPONENTS OF THE POLICY

- **Disciplinary Action**
  - ✓ *Verbal warning/Reprimand*
  - ✓ *Written warning*
  - ✓ *Investigatory suspension*
  - ✓ *Suspension*
  - ✓ *Termination*
- **Employee's Personal Items**
- **Personal Appearance**
- **Political Activities**

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COMPONENTS OF THE POLICY

- Sexual Harassment/Harassment
- Smoke Free Workplace
- Substance Abuse Control
- Substance Abuse/Bus Drivers
- Business Telephone Calls

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Code of Conduct

SUMMARY

- Importance
- Method for Writing
- Who Benefits
- Policy Content

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Template Recommendation

Organization Name: CAODMU	Policy Name
Appointing Authority Signature	Policy Number:
	Approval Date:
	Revision Date(s):

Page **1** of **5**

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OCPM Courses Applied

- Effective Presentations
- Writing Advantage
- Project Management for Managers

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Conclusion

- **Team Dynamics**
- **Team's Mission**
- **Handbook Recommendation**
- **Policy Recommendations**
  - ✓ Hiring & Recruitment
  - ✓ Absenteeism & Leave
  - ✓ Corporate Assets
  - ✓ Code of Conduct
- **Template Recommendation**
- **Courses Applied**
  - ✓ Effective Presentation
  - ✓ Writing Advantage
  - ✓ Project Management for Managers

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Thank you

Questions?