

Central Texas Regional Advisory Council
(CTRAC)

Employee Handbook



Revised

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MISSION STATEMENT

To provide the infrastructure and leadership necessary to reduce death and disability through coordinated efforts focused exclusively on the Emergency Healthcare System within Trauma Service Area L.

VISION

To be a model leader in Texas for meeting the needs of the entire Emergency Healthcare System. To provide coordination of acute medical services in mass casualty and disaster settings.

INTRODUCTION

The purpose of this handbook is to provide employees of Central Texas Regional Advisory Council (CTRAC) with general information regarding the policies, procedures, and expectations the CTRAC attempts to follow in most cases. Neither this handbook; nor any provisions contained herein, is an employment contract or any other type of contract.

This handbook cannot anticipate every situation or answer every question about employment. The policies set forth in this handbook may not apply in every situation. The CTRAC must demonstrate flexibility in the administration of policies and procedures, and reserves the right to change or revise policies, procedures, and benefits without notice when the CTRAC deems such action necessary.

THE EMPLOYMENT RELATIONSHIP

Your employment with the CTRAC is a voluntary one and is subject to termination by you, or the CTRAC at will, with or without cause, and with or without notice, at any time. Nothing in these policies shall be interpreted to conflict with or to eliminate or modify in any way the employment-at-will status of the CTRAC employees.

CODE OF ETHICS AND CONDUCT

The Sarbanes-Oxley Act (“Act”) was signed into law in July 2002. Passed in response to the corporate and accounting scandals of Enron, Arthur Anderson, WorldCom, and others in 2001 and 2002, the “Act’s” purpose is to restore public trust in the American Corporate sector. The “Act” requires publicly traded companies to adhere to significantly stricter standards of new governance that broadens the role of board members in overseeing the financial transactions and audit procedures of a company.

Although CTRAC is not publicly traded, CTRAC management and RAC Board of Directors have the primary responsibility for the establishment, maintenance, and monitoring of the CTRAC’s internal controls. The focus of the CTRAC system of internal controls has been expanded to cover **fraud and fraudulent reporting**; it is important to mitigate the chance of fraud occurring and going undetected within the organization and its financial reporting.

The Securities Exchange Commission (SEC) rules define “**code of ethics**” to mean written standards that are reasonably designed to deter wrongdoing and to promote the following five elements:

1. Honest and ethical conduct, including the ethical handling of actual or apparent conflicts of interest between personal and professional relationships.

2. Full, fair, accurate, timely, and understandable disclosure in report documents that a company files and in other public communications made by the company.
3. Compliance with applicable governmental laws, rules, and regulations.
4. The prompt internal reporting to an appropriate person, or persons, identified in the code of violations; and
5. Accountability for adherence to the code.

Business ethics are the principles of conduct governing an organization and the individuals within it. These principles are defined through the day-to-day behaviors of the CTRAC management and employees creating a culture in which everyone can observe management's actions and reactions in response to events.

The CTRAC will maintain certain policies to guide our employees with respect to standards of conduct expected in areas where improper activities could damage the CTRAC's reputation and otherwise result in serious consequences to the CTRAC and to the employees involved. The guidelines will include:

Honesty – To have the courage to speak the truth, and to be forthright in all cases, with our members, co-workers, vendors, communities, and others.

Integrity – To take personal responsibility for actions. To be willing to raise and address difficult issues that may affect safety, performance, or legal responsibility. To admit error and make amends where appropriate. To take the high road by practicing the highest ethical standards, and by honoring commitments.

Responsibility – To speak out without fear of reprisal in calling attention to any workplace violation of law, safety, ethical codes, community standards, discrimination, diversity, health, and related issues.

Trust – To recognize the position as stewards for RAC members. To place the best thinking, energies, and abilities into supporting enterprises. To be willing to raise issues if member practices are not in alignment with ethics policies.

Diversity – To value the skills, strengths, and perspectives of the RAC's diverse team. To foster a participatory workplace that enables people to be involved in making decisions about their work.

Quality – To strive for continuous quality improvements in all that the RAC does, so that the RAC will rank among the country's best Regional Advisory Councils. Employees will recognize the RAC's strength, what the competitive advantage is, and the consistent focus on the people of the Region.. To continually learn and share ideas and knowledge. The RAC encourages cooperative efforts at every level and across all activities in our Region.

FRAUD

Fraud is defined as “the intentional distortion of financial statements or other records by persons internally or externally to the CTRAC which is carried out to conceal the misappropriation of assets or otherwise for personal gain”. The act or intent to cheat, trick, steal, deceive, or lie is both dishonest and, in most cases, criminal. Intentional acts of fraud are subject to strict disciplinary action, including dismissal and possible civil and/or criminal action.

It is important to understand what fraud can entail, so employees can recognize it and avoid mistakes. Some examples include:

- Submitting false expense reports.
- Forging or altering checks.
- Payments to be approved or made with the intention that part is to be used for any purpose other than that described in the supporting documents.
- Misappropriating assets or misusing company property.
- The use of CTRAC assets for any unlawful or improper purpose is strictly prohibited.
- The misuse, destruction, or disclosure of all CTRAC documents.
- Undisclosed or unrecorded assets regardless of the established purpose.
- Unauthorized handling or reporting of transactions.
- Making any entry on company records or financial statements that is not accurate and in accordance with proper accounting standards.
- No employee shall engage in any arrangement to falsify entries in the financial books for any reason that results in a prohibited act.

Any employee who knows of any unrecorded assets or any prohibited act must promptly report the incident to the Executive Director or a Board of Director.

CTRAC Employees are encouraged to report suspected violation of the Codes of Ethics and Conduct to the Executive Director. If the Executive Director is in violation, the employee shall report to the Executive Committee of the RAC Board. Disciplinary action shall occur if any CTRAC employees violates the Code of Ethics and Conduct. Depending on the seriousness of the violation, the employee could be.

- Placed on administrative leave.
- Immediate dismissal.
- Filing of charges with appropriate law enforcement officials.
- Criminal and/or civil legal action.

CONFLICT OF INTEREST

To this policy, a conflict of interest is any interest that conflicts with the purposes, policies, or operations of your service with the CTRAC. The appearance of a conflict is what a reasonable person might view as a potential conflict. Conflicts apply equally to business relationships and personal activities.

A conflict of interest may exist when an employee or a member of his/her family involved with an activity or has a personal interest that could affect the employee's objectivity in making decisions concerning his or her duties and responsibilities with the CTRAC. Such interests may include:

- Outside employment with a member, a vendor, or another similarly situated RAC.
- Serving as a director, partner, consultant, or in a managerial or technical capacity with an outside enterprise, which does or is seeking to do business with or is a competitor of the CTRAC.
- Acting as a broker, finder, go-between or otherwise for the benefit of a third party in transactions involving or potentially involving the CTRAC or its interests.
- An actual conflict of interest does not need to be present to constitute a violation of this policy. Activities that create the appearance of a conflict of interest must also be avoided to ensure that the reputation of the CTRAC and its employees are not harmed.

- Employees should avoid any situation which involves or may involve a conflict of interest between their personal interest and the best interest of the CTRAC.
- Business is to be awarded on merit and on a competitive basis without favoritism. When selecting a vendor, the CTRAC should consider the value and cost of the written proposal (s) for the products and services to be provided.
- Employment with a competitor or ownership of more than an insignificant interest in a competitor is a conflict of interest. You own a prohibited interest unless all the following conditions are met:
 - A. The equity interests are traded on a national securities exchange or regularly reported on over-the-counter quotations in the financial press.
 - B. The equity interests owned by you and to your knowledge or belief owned by members of your immediate family do not exceed 1% of the outstanding equity interests of the competing entity, and
 - C. The fair market value of the equity interests so owned does not exceed 25% of your gross annual income. Accordingly, ownership of a distributorship, franchise or proprietorship that engages in activities that competes with any products or services offered by the CTRAC are a conflict of interest.

No outside activity should involve the use of CTRAC assets, funds, materials, facilities, or the services of other CTRAC employees unless properly authorized.

Gifts

It is inadvisable to accept gifts of greater than \$25.00 from anyone that the CTRAC does business with. If a gift, or offer, is greater than \$25, accepting it can create the appearance of a conflict of interest. It could be suggested, or inferred, that the gift-giver might receive favorable, or preferential, treatment. Any acceptance of a "gift" will require approval by the Executive Director. If the Executive Director receives a "gift", approval of the RAC Chair is required.

Non-disclosure

Employees often have access to confidential and proprietary information through their employment with the CTRAC and must use and/or disclose certain information learned or acquired in the performance of their jobs. Care must be taken to keep confidential any information (e.g., proprietary) of possible value to competitors, or information received under an express or implied obligation of confidentiality.

CTRAC operations and employee information is to remain confidential. Information concerning business affairs, salaries, personnel files, and other records and reports should not be discussed with other employees unless necessary in the performance of duties. The daily operations and activities of the CTRAC should not be discussed with any outside individual or corporate entity. The misuse, unauthorized access to or mishandling of confidential information, particularly personnel information, is strictly prohibited and will subject an employee to disciplinary action, up to and including immediate termination.

Conflicts of interest in scholarly, research and clinical activity

CTRAC recognizes that outside activities and relationship of its employees enhance the mission of the corporation; potential conflicts of interest and commitment are inevitable. Those outside activities and relationships however should not interfere with an individual's obligations to CTRAC. The following fundamental principles shall apply to all CTRAC Employees.

- External activities shall not compromise an individual's ability to perform all the activities expected of him or her as a CTRAC employee.
- Except for the CTRAC Executive Director, CTRAC employees shall not participate directly in the negotiation of research agreements, technology license agreements, equipment purchases, or other arrangements between the CTRAC and an organization in which the individual has a significant financial interest. If the Executive Director has a significant financial interest in the other party, the Chair or Executive Committee must be actively involved in the negotiation.
- CTRAC employees must receive prior approval from the Executive Director to receive any kind of compensation for scholarly events, research, or clinical activities. If the CTRAC employee is the Executive Director, the CTRAC Chair must approve the request. An employee may be required to utilize paid time off.

DOCUMENT RETENTION AND DESTRUCTION

To help maintain the integrity of the CTRAC financial management, record-keeping, and reporting systems, it is imperative to know, understand and comply with the CTRAC's Record Retention Policy, including how data is stored and retrieved.

All CTRAC employees are expected to comply fully and accurately with all audits, including responding in a timely fashion to requests for special record keeping or retention of documents; and documents or other material from or on behalf of CTRAC auditors, our attorneys and the CTRAC Directors.

SAVING DOCUMENTS AND FILES

The CTRAC's Record Retention Policy will specify all documents that must be retained for legal and business purposes. Specifically:

- No document including originals, drafts, duplicates, as well as computer files, disk drives, flash drives, CD-ROMs, or any other media, may be destroyed, altered, or removed from any file or premises where it is stored other than in accordance with the CTRAC's established document retention policy.
- Communicating false or derogatory information, as well as altering or the unauthorized destruction of any document, is a violation of company policy and in many cases, illegal. Employees doing so are subject to strict disciplinary action, including termination, as well as referral to appropriate authorities.
- The CTRAC will not destroy, alter, or falsify documents and records to prevent their use in Federal investigations and bankruptcy cases.

EQUAL EMPLOYMENT OPPORTUNITIES

The CTRAC provides equal employment opportunities (EEO) to all employees and applicants for employment without regard to race, color, religion, gender, sexual orientation, national origin, age, disability, marital status, amnesty, or status as a covered veteran in accordance with applicable federal, state, and local laws. The CTRAC complies with applicable federal, state, and local laws governing non-discrimination in employment in every location in which the CTRAC operates. This policy applies to all terms and conditions of employment, including, but not limited to, hiring, placement, promotion, termination, layoff, recall, transfer, leave of absence, compensation, benefits, and training.

Non-discrimination

The CTRAC strives to create and maintain a work environment in which people are treated with dignity, decency, and respect. The environment of the CTRAC should be characterized by mutual trust in the absence of intimidation, oppression, and exploitation. Employees should be able to work and learn in a safe yet stimulating atmosphere. The accomplishment of this goal is essential to the mission of the CTRAC. For that reason, the CTRAC will not tolerate unlawful discrimination or harassment of any kind. Through enforcement of this policy and by education of employees, the CTRAC will seek to prevent, correct, and discipline behavior that violates this Policy.

It is a primary responsibility of the Executive Director to respond to any inquiries or complaints from management and/or employees regarding discrimination, sexual harassment, other forms of harassment, or retaliation. The Executive Director will maintain records of these inquiries and complaints as well as their resolution. If the Executive Director is the effected party, then the RAC Chair handles actions.

All employees are expected to comply and to take appropriate measures to ensure that prohibited conduct does not occur. If an offense should occur, disciplinary action up to and including suspension and/or termination will take place.

PROHIBITED CONDUCT UNDER POLICY

Discrimination

It is a violation of this Policy to discriminate in the provision of employment opportunities, benefits, or privileges, to create discriminatory work conditions, or to use discriminatory evaluative standards in employment based on race, color, national origin, age, religion, disability status, gender, sexual orientation, or marital status.

Discrimination of this kind is strictly prohibited by federal and state laws, including Title VII of the Civil Rights Act 1964; the Age Discrimination Act of 1975; and the Americans with Disabilities Act of 1990.

HARASSMENT

Harassment, including sexual harassment, is prohibited by federal and state laws. This Policy prohibits harassment of any kind, and the CTRAC will take appropriate action to address any violation of this Policy. Harassment is defined as: verbal, written, or physical conduct designed to threaten, intimidate, or coerce. Verbal taunting (including racial and ethnic slurs) which, in the employee's opinion, impairs his or her ability to perform his or her job is also defined as harassment.

Examples of harassment are:

- Verbal: Comments, epithets, slurs or any negative stereotyping regarding a person's nationality, origin, race, color, religion, gender, sexual orientation, age, disability, appearance, marital or other protected status.
- Other conduct that demeans the dignity of an employee through insulting and/or degrading remarks or conduct, which creates an intimidating, hostile or offensive work environment, whether committed by supervisory, non-supervisory personnel or non-employees such as vendor or visitors are also prohibited.
- Sexual harassment includes any action or conduct unsolicited and unwelcome sexual advances, requests for sexual favors, or other verbal or physical conduct of a sexual nature. When such conduct by a supervisor, non-

supervisory personnel, non-employees such as, vendors or visitors threatens or insinuates, either explicitly or implicitly, that an employee's refusal to submit to sexual advances will adversely affect the employee's continued employment, compensation, performance evaluations, advancement, assigned duties or any other term or condition of employment or unreasonably interferes with an employee's work performance or creates an intimidating, hostile, or otherwise offensive environment.

Examples of conduct that may constitute sexual harassment are:

- Verbal: Sexual innuendoes, suggestive comments, jokes of a sexual nature, sexual propositions, lewd remarks, threats.
- Non-verbal: The distribution, display, or discussion of any written or graphic material, including calendars, posters, and cartoons that are sexually suggestive, or shows hostility toward an individual or group because of sex. Suggestive leering; staring; whistling; obscene gestures; content in letters, notes, facsimiles, or e-mail, sexual in nature.
- Physical molestation: Viewed as unwelcome, unwanted physical contact, including but not limited to, touching, tickling, pinching, patting, or cornering.
- Hostile work environment: Where the harassment creates an offensive and unpleasant working environment.

Complaint Procedure

Any employee that feels he or she has been a victim of discrimination or harassment must report the incident immediately to the Executive Director. If this is not appropriate, the incident must be reported to the Executive Committee of the Board of Directors.

EMPLOYEE BENEFIT PROGRAMS

This portion of the Employee Handbook contains a very general description of the benefits to which you may be entitled as an employee of the CTRAC. Please understand that this general explanation is not intended to, and does not, provide you with all the details of these benefits. Therefore, this Handbook does not change or otherwise interpret the terms of the official plan documents. To the extent that any of the information contained in this Handbook is inconsistent with the official plan documents, the provisions of the official documents will govern in all cases.

The CTRAC reserves the right in its sole and absolute discretion, to amend, modify or terminate, in whole or in part, any or all the provisions of the benefit plans described herein. Further, the CTRAC reserves the exclusive right, power, and authority, in its sole and absolute discretion, to administer, apply and interpret the benefit plans described herein, and to decide all matters arising in connection with the operation or administration of such plans.

EMPLOYEE ATTENDANCE

Employees are required to be at work at their scheduled time whether at an office, meeting, or working remotely. When an employee will not be able to work, it is their responsibility to notify their supervisor. If an employee does not call in prior to their report time, disciplinary action may be taken.

When an employee misses work, they are to update the PTO spreadsheet with the appropriate information, (i.e., vacation, sick, etc.) The time off should also be reported on the employee calendar and time sheet as appropriate.

HOLIDAYS

The CTRAC recognizes and observes the following holidays: New Year's Day, Good Friday, Memorial Day, July 4th, Labor Day, Thanksgiving Day, Day after Thanksgiving, Christmas Eve, Christmas Day, and New Year's Eve. All full-time employees are eligible for Holiday Pay at hire date.

VACATION

During the first year of employment, a full-time employee will receive a prorated number of days up to two weeks (10 days) of paid vacation. New employees will receive prorated vacation time from their start date but will not be allowed to take any vacation time until after their 90th day of employment.

Full time employees will continue to earn 10 paid vacation days for each year until the January after their 5th anniversary. The January following an employee's 5th anniversary, the employee will receive an additional 5 paid vacation days for a total of 15 days. The January following an employee's 7th anniversary, the employee will receive 5 additional paid vacation days for a total of 20 days. Starting in the January following the 10th anniversary, an employee will earn an additional 5 days every 10 years until separation.

Part-time and Temporary employees are ineligible for vacation benefits. Any vacation days added due to tenure will take effect in the January following the employee's anniversary date.

Employees are expected to use vacation benefits in the calendar year in which vacation is earned. Employees may carry over unused vacation from one year to the next only with the approval of the Executive Director or RAC Chair if the Executive Director.

UNUSED VACATION TIME UPON SEPARATION

Unused vacation time will be paid to employees who have been employed with CTRAC for more than 12 months if a proper notice is received. Any employee leaving CTRAC prior to 12 months of service will have their vacation time prorated if a proper notice is given. Any time used after the proration will be paid to that employee. If an employee has used more time than the proration calculated, then those days will be held out of his/her final paycheck. If an employee terminates prior to being eligible, the CTRAC is not liable to pay out time.

All unscheduled absences will be considered vacation time unless employee has a doctor's note or is admitted to the hospital. Employee's supervisor must approve use of vacation time. If the employee is ineligible for vacation, any absence will be considered unpaid leave. Vacation time deficits will not be allowed.

SICK TIME

Sick leave benefits are earned on a prorated basis of one day (8 hours) per month for full-time employees beginning at first day of employment; however, sick time may not be taken until after the 90th day of employment. Part-time and Temporary employees are not eligible

for paid sick leave benefits. Use of sick leave is subject to approval by the employee's supervisor.

Unused sick leave can accumulate from year to year up to a maximum of 30 days (240 hours = 6 weeks) for full-time employees. No sick leave benefits are paid upon separation of employment from CTRAC for any reason. If an employee's illness or injury requires a consecutive absence of three (3) days or more, physician documentation may be required.

*CTRAC may recommend that the employee apply for state disability insurance (SDI).

Additionally, employees may use Sick Time to care for immediate family members. Employees must use vacation time for the first day and then may use Sick Time with approval of the Executive Director or Board Chair as appropriate.

It is at the Executive Director's discretion to send an employee home if the employee is showing signs of illness.

Other options include accessing donated vacation and/or sick hours. See the Executive Director for more information.

EXTENDED LEAVE

The CTRAC is not required to follow the guidelines for the Family and Medical Leave Act (FMLA) because it employs less than 50 employees. However, an employee who has been employed by the CTRAC for at least one year and has worked at least 1,250 hours in the previous twelve months may take up to six weeks of unpaid leave during the calendar year, with approval of Executive Director, or RAC Chair if requested by the Executive Director, for any of the following reasons:

1. the birth and care of a son or daughter.
2. the placement with the employee of a son or daughter for adoption or foster care.
3. when needed to care for the employee's spouse, child, or parent with a serious health condition; or,
4. Because of the employee's serious health condition that makes the employee unable to perform the functions of his or her job.

Notice and Application

An employee should attempt to provide at least thirty days advance notice before the family or medical leave is to begin. If thirty-day notice is not practicable, then the employee must provide as much notice as is practicable. An employee completes a Request for Extended Leave Form, available from his or her supervisor, when requesting leave, or as soon after that as is practicable. The employee must list on this form the reasons for the requested leave, the expected start of the leave, and the expected length of the leave. If the employee is requesting intermittent leave or a reduced leave schedule, the employee states the reasons why the intermittent leave or a reduced leave schedule is medically necessary and the expected schedule of treatment. Documentation to support this may be requested from the treating physician. (Intermittent leave and reduced leave schedule are not available for birth or adoption leaves but is available during pregnancy for medical appointments during pregnancy.)

Medical Certification

An employee requesting leave to care for his or her spouse, child, or parent, or due to the employee's serious health condition, must submit a medical certification completed by the health care provider of the employee or the employee's ill family member, demonstrating the need for the leave. The CTRAC will provide a form for this. If the employee's leave (whether full time, intermittent, or on a reduced schedule) is for more than thirty days, then he or she shall submit a new medical certification after thirty days, and each additional thirty days after that.

Pay and Benefits

All Extended Leaves are without pay unless vacation or sick time is available. Sick time and vacation time must be used up completely before moving to unpaid leave. Extended leaves are without benefits. Employees-members on Extended Leave do not accrue any leave while in unpaid status.

Return from Extended Leave

Employees must inform their supervisor in writing of the date they will be able to return to work no later than one week in advance. An employee on medical leave due to the employee's own serious health condition must, as a condition to returning to work, submit a medical certificate releasing the employee to return to his or her job. Employees who fail to return to work at the end of Extended Leave will be assumed to have voluntarily quit their employment with the CTRAC.

JURY DUTY

Any employee, full time, or part time, who is called for jury duty, will be excused from work with no loss of seniority or job status.

In the event an employee has completed jury duty prior 1:30 PM, the employee should call their immediate supervisor to determine if the employee should report to work for the remainder of the workday. If the employee is to report for jury duty in the afternoon, (after 1:00 pm), the employee should call their immediate supervisor to determine if the employee should report on that morning. **The employee must present their jury summons as proof of jury duty.** A copy of the summons shall be attached to the appropriate time sheet for personnel file.

In the event an employee is subject to legal proceedings of a personal nature, vacation time will be applied towards employee leave, or an approved unpaid leave of absence may be requested. Number of days will depend on severity of need.

UNIFORMED SERVICES LEAVE (USERRA)

The following is a summary of an employer's obligations under federal law: Under the "Uniformed Services Employment and Reemployment Rights Act of 1994 (USERRA) 38 U.S.C. § 4301 et seq., it is unlawful for an employer to refuse an employee's uniformed services leave of absence, or to discriminate in employment or reemployment based on service in the uniformed services and/or service in the National Disaster Medical System, including non-career service. USERRA provides up to 26 weeks of unpaid leave to an employee who is a spouse, child, parent or next of kin of an injured or deceased service member. USERRA extends reemployment rights for up to five (5) years to individuals who have been absent from a position of employment due to duty in the "uniformed services" which are defined as:

- Army, Navy, Marine Corps, Air Force, or Coast Guard.
- Army Reserve, Naval Reserve, Marine Corps Reserve, Air Force Reserve, or Coast Guard Reserve.
- Army National Guard or Air National Guard.
- Commissioned Corps of the Public Health Service.
- Any other category of persons designated by the President in time of war or emergency.

For more information pertaining to Uniformed Services Leave or the “USERRA” and your rights under Federal Law, please see the Executive Director or the RAC Chair.

BEREAVEMENT POLICY

Employee shall receive five (5) days bereavement leave (more than vacation & sick time) for a death in their immediate family. To this policy, “immediate family” is defined as Spouse, Children, Mother, Father, Brother, Sister, Grandmother, Grandfather, Grandchildren. It shall also include stepparents, stepchildren, and in-laws. Not identified, as “immediate family” is aunt, uncle, cousin, niece, or nephew unless “loco parentis”.

Upon approval from the Executive Director, additional days may be requested; however, these days will be charged against employee leave. Requests of the Executive Director will be addressed by the RAC Chair.

For other deaths, CTRAC may grant time off for attendance at a funeral with proof (i.e., obituary).

HUMAN RESOURCES

WORKING FROM HOME DEFINITION:

CTRAC employees who are in “work from home” status must be fully functional for and engaged in their duties while outside the office. This includes but is not limited to being available for/answering email, answering calls and/or voice mails, to cell phone and texts. If the employee feels that they will not be able to comply with any of the items listed above, the employee must take a vacation day.

PERSONAL APPEARANCE

CTRAC employees are expected to be **appropriately** and **professionally** dressed. Personnel should use discretion and good judgment in their selection of attire. The Executive Director and/or RAC Chair reserve the right to determine appropriateness. In other words, if in doubt, do not wear it.

Occasionally, employees are invited to participate at certain off-site functions where alcoholic beverages are sold. CTRAC Employees are prohibited to consume alcohol while wearing CTRAC logo attire. Failure to adhere, will be grounds for disciplinary action up to and including termination.

While the CTRAC observes a business casual dress environment, there may be situations requiring more formal attire. If you are conducting or attending meetings, seminars, roundtables, etc. where you meet other business professionals, you are expected to represent the CTRAC in a professional manner and dress appropriately for conducting such business. Know your audience, remember what you represent and dress accordingly. If you

are unsure of the appropriate attire for a seminar, please call the provider. The same holds true on days when CEO, COO & Board Members meet, and tours are scheduled throughout our office. Every effort will be made to inform our employees of tours and high-level meetings.

CTRAC may provide CTRAC logo shirts to employees. CTRAC shirts should be worn to meetings, conferences, events, etc.

HUMAN RESOURCE RECORDS

The CTRAC establishes a record of each employee's work history. Employee files are maintained by the Executive Director, are considered confidential and will be treated accordingly to protect the employee's right to privacy. Internal disclosure of information about an employee will be made available only to authorized persons on a need-to-know basis and for an established business purpose. External disclosure of information about an employee will not be made without explicit written authorization from the employee.

Representatives of government or law enforcement agencies, during their business, may be allowed access to file information. This decision will be made at the discretion of the Executive Director and the RAC Chair in response to the request, a legal subpoena, a court order, or in an emergency.

- Personnel files are to be reviewed in the Executive Director's office.
- Personnel files may not be taken outside of the Executive Director's office.
- Access to personnel files by current and former employees will be provided with advance written notice of not less than 48-hours.

PERSONNEL RECORDS

Every employee of the CTRAC must have a completed application for employment on file. All employees must be 18 years of age or older to work at the CTRAC. The following required documents would be kept as part of your permanent personnel record:

- Completed I-9 Form (Immigration Reform Act of 1986)
- Completed W-4 Tax Withholding Form
- Criminal History Information Report
- Degrees and Transcripts Subject to Verification
- Verification of Past Employers

The CTRAC also requires the following information be provided and kept as part of the employee's permanent record:

- Continuing Education Records
- Current Resume or Curriculum Vitae
- Court Ordered Wage Garnishments

It is important to both the employee and the CTRAC that your personnel records be correct and up to date. It is your responsibility to notify the Executive Director of any changes in your name, address, or telephone numbers.

NEW HIRE EVALUATION AND PROBATIONARY PERIOD

The first 90 days of an employee's tenure is a probationary period. The employee may receive a formal evaluation during that period. The probationary period may be extended to a maximum of one year, with continued quarterly evaluations.

VERIFICATION OF EMPLOYMENT FOR PAST EMPLOYEES

Personnel inquiries should be directed to the Executive Director for the appropriate information and response. The CTRAC will confirm dates of employment of former employees, the positions held and verification of salary.

PERSONNEL INFORMATION DISCLOSURE TO OUTSIDE PARTIES

Prospective employers, financial institutions and residential property managers routinely contact the CTRAC requesting information on former and current employee's work history and salary. All such requests of this type shall be referred to and completed by the Executive Director. For written requests, information will be provided on a form, that clearly identifies the party making the request and ONLY when it is accompanied by the former or current employee's signed authorization to release the information. The written form will be returned to the requesting party via facsimile or 1st Class mail. In the interest of protecting our former and current employee's privacy, information will not be provided through telephone requests.

ACCESS TO PERSONNEL FILES

Employees can examine their own personnel files, but only under the supervision of the Executive Director or RAC Chair. No document may be copied by the employee or removed from the file without the written permission of the Executive Director and/or RAC Chair.

HIRING OF RELATIVES

The CTRAC allows relatives of current employees to work for the CTRAC if the position applied for is not in direct or indirect reporting in relationship to their relative. The definition of "relative" includes parents, children, spouses, aunts, uncles, brothers, and sisters. If employees in a reporting relationship marry or otherwise become relatives, or if a job bid, transfers, or promotion would result in a direct or indirect reporting relationship, the employees must notify the Executive Director who will determine an appropriate resolution. Employees should speak to the Executive Director about any questions relating to this policy. If a relative of the Executive Director, then the Executive Committee will make the determination.

EMPLOYEE EVALUATIONS

Evaluations provide a means for discussing, planning, and reviewing the performance of each employee. The CTRAC Executive Director is responsible for the timely and equitable assessment of the performance and contribution of RAC employees. Evaluations shall be completed a minimum of once annually.

Performance evaluations will be discussed and signed by the employee and the Executive Director to ensure that all strengths, areas for improvement and job goals for the next review period are clearly communicated.

The Executive Director will be reviewed by the RAC Board of Directors annually. The RAC Chair will collect input from the Board. The Executive Committee will discuss and approval the final evaluation. The RAC Chair is responsible for ensuring and delivering the Executive Director's annual review.

TERMINATION OF EMPLOYMENT

CTRAC has established processes involved in removing an employee from employment and recovering CTRAC property assigned to the employee. Employees may leave employment for several reasons including retirement, resignation, layoffs, and dismissal.

On the employee's last physical day on the job, the supervisor will collect equipment assigned to the employee and conduct an exit interview. The CTRAC reserves the right to withhold all vacation time if employee is terminated.

RESIGNATIONS AND RETIREMENTS:

The CTRAC encourages employees to give at least two (2) weeks' written notice of their intent to resign or retire. The CTRAC may opt to give employees two (2) weeks' pay in lieu of the employee working during the two-week period. The CTRAC encourages employees to give at least four (4) weeks' notice if currently in the Executive Director position.

On employee's last physical day on the job, the supervisor conducts an exit interview, collects CTRAC equipment, and tells the employee when to expect the final paycheck.

Within 30 days, the CTRAC will pay the former employee for all unused vacation time, if applicable.

NOTE: The CTRAC does not pay for unused vacation time if the employee gave less than two (2) weeks' notice of his/her leaving, leaves before completing the probationary period, or is terminated.

LAYOFFS:

When the CTRAC has a financial short fall or reduces or discontinues a program, the CTRAC may lay off employees. However, prior to laying off regular employees, the CTRAC attempts to manage the situation by:

- asking employees to take early retirement.
- eliminating part-time positions where practical
- allowing natural attrition to ease the situation.
- Transferring employees from terminated positions to vacant positions within the CTRAC, provided the employee has the qualifications and satisfactory performance in the previous position.

In determining which regular employees to lay off, Executive Director and Executive Committee of the Board consider employees':

- special training
- past performance
- job specialty and responsibilities
- Recommendations

The Executive Director will notify employees of the beginning date of the layoff should one be needed. If the Executive Director is to be laid off then the RAC Chair is responsible for notification.

SEPARATION

The CTRAC will pay the separated employee within six (6) business days after his/her last day of employment or normal payment cycle (whichever is closer).

The CTRAC will withhold the separated employee's final paycheck until the employee returns all CTRAC issued equipment (e.g., computers, phones, tablets, cars, CTRAC shirts, cash advances, office keys, ID Badges,). If the items are damaged or missing, the CTRAC deducts the value from the final paycheck or expense check.

EXIT INTERVIEW

The Executive Director conducts the exit interview in a private area during work hours no later than the employee's last physical day on the job. If the employees prefer, another member of the management team may conduct the interview.

The person conducting the interview keeps feedback provided by the departing employees within the CTRAC and does not include the information in the exit interview documentation. The employee has the option of declining to discuss the reason(s) for leaving.

SOLICITATIONS

Solicitations, posting and/or distribution of commercial products and services, solicitation for funds and charitable contributions, and the distribution of advertising matter, circulars, or leaflets in connection with commercial products and services, by employees are prohibited on CTRAC premises unless prior written approval has been secured from the Executive Director or the RAC Chair.

PROFESSIONAL DEVELOPMENT, MEMBERSHIPS, CERTIFICATIONS & LICENSURES

The CTRAC believes in job-related education and training. The CTRAC encourages and supports its employees in their career development. The CTRAC highly recommends participation in professional development activities such as seminars and workshops, membership in professional associations or societies, and certification or licensure in an employee's profession.

PAYROLL

The CTRAC classifies its employees as either Salary (Exempt) or Hourly (Non-Exempt). The purpose of employee **classifications** is for salary administration and eligibility for overtime payments and employment benefits.

HOURS OF OPERATION FOR SALARY/EXEMPT EMPLOYEES:

Salary / Exempt Employee members are expected to accomplish the responsibilities and assignments associated with their position in the organization. In some circumstances, these responsibilities will require the salaried/exempt employee to work beyond their designated work schedule if that is necessary to adequately complete their job duties. Salaried/exempt employees working significant amounts of hours beyond their designated work schedule may be allowed additional time-off at the discretion of the Executive Director and/or Board of Directors.

HOURS OF OPERATION FOR HOURLY/NON-EXEMPT EMPLOYEES:

Hourly employees are expected to work the hours provided by their supervisor. Hours worked over the prescribed schedule that exceeds a total of 40 hours a week shall receive

Overtime (OT) rate of pay, defined as 1.5 times their hourly rate. **ALL** OT hours must be preapproved by the Executive Director and/or RAC Chair.

FLEX SCHEDULING FOR EMPLOYEE OFFICE HOURS:

The CTRAC Management realizes that there is significant benefit to the employee, and therefore to the organization, to offer flex scheduling. Rush-hour traffic concerns, additional education/classes, family/spouse schedules all come into play and the CTRAC is dedicated to ensuring a healthy work environment as much as feasible within the organization's mission. Salaried/exempt employees are eligible for flex scheduling. Salaried/exempt employees who elect to utilize flex scheduling must submit their preferred daily arrival time to their supervisor for approval. All employees should report to the CTRAC office by 8:00am on regular workdays unless employee has an approved flexible schedule. Employees who are unable to report to work on time or unable to report for a full day must inform the Executive Director at least one hour ahead of their designated arrival time. Valid reasons must be provided for tardiness or absence. Excessive tardiness and or absences can result in disciplinary actions up to and including termination. Employees' requirements may warrant a stricter call-in procedure.

SOCIAL SECURITY

CTRAC matches the employee contributions withheld for Social Security toward employee benefits under the Social Security Act.

PAY PERIODS

All employees will be paid Semi Monthly on the 15th & the last day of each Month. If payday falls on a weekend, then employees will be paid the Friday prior to that payday.

If an employee resigns, final settlement of wages will be made no earlier than the next regular pay cycle, or in accordance with state law, whichever is sooner. If separation from employment is "for disciplinary reasons" outstanding wages will be processed and paid within six (6) business days in accordance with state law. **This last paycheck may be a live check and not direct deposit.**

PAYROLL DISTRIBUTION

Your payroll checks and/or direct deposit receipt will be verified for accuracy, sorted, and distributed accordingly on your respective pay-date.

PAYROLL ADVANCES

The CTRAC does not permit payroll advances.

PAYROLL ERRORS

All payroll errors must be submitted in writing to the Executive Director and RAC Chair to properly investigate the complaint.

DIRECT DEPOSIT

Direct deposit is a convenience and allows you to electronically deposit your payroll check. This alleviates the necessity in having to make the trip to your bank to deposit your check personally. With direct deposit, you can designate up to two different accounts in which your payroll check will be deposited. Direct deposit is required.

W-2'S

W-2s are generally issued to active employees, no later than the 3rd week of January of the new tax year. W-2s are reviewed and reconciled to ensure "Pre-tax" wages are calculated properly. W-2s for current, active employees will not be mailed and will be distributed accordingly. W-2s for current employees who are not active (e.g., leave of absence, FMLA, etc.) at the time of distribution will receive via U.S.P.S., 1st Class mail. W-2s will be mailed to all former employees who earned wages during the previous tax year. It is the responsibility of each employee, to ensure his or her address on file is correct and up to date.

DUPLICATE W-2 FORMS

Duplicate W-2s will be issued for each lost or damaged form requested. A fee may be incurred. You must complete and submit your request for a duplicate W-2 forms in writing to the Executive Director. The \$5.00 fee must be paid at the time your request has been submitted. You can get the form from the Executive Director. Once received, the request will be processed within 5 business days.

PAYROLL RECORDS, TIMECARDS AND SIGN IN SHEETS

It is the policy of the CTRAC to comply with State and Federal laws requiring records of all hours worked by each employee are maintained. In accordance with the Fair Labor Standards Act (FLSA) and the Uniform Grants Management System (UGMS), **hourly, non-exempt**, and **salaried non-exempt** employees must maintain a record of actual time worked. Copies of time sheets and/or employee's calendars are kept in the employees' personnel file.

To assist the CTRAC in meeting this requirement, all CTRAC employees will be required to document their time worked using timesheets and back up documentation. The CTRAC reserves the right to amend or revise the way work time is recorded for compliance purposes under the FLSA.

OVERTIME POLICY

In accordance with the Fair Labor Standards Act (FLSA), **non-exempt** employees are eligible to receive overtime pay at the rate of one and one-half (1 1/2) times of their regular pay for time worked more than 40-hours per workweek.

Scheduling and Working Overtime

- Before overtime is worked, the employee must have written approval from the Executive Director.

Time Worked

- Approved absences, including but not limited to employee leave, holiday leave, extended leave, military leave, jury and witness duty, bereavement leave and voting time off, are not counted as time worked for the purposes of computing overtime.

Violation of the Overtime Policy shall result in disciplinary action at the discretion of the Executive Director.

Exempt employees are not eligible for overtime; they are expected to work as many hours as required to perform the duties of the position.

SALARY RANGES

Salaries for each job title are based on a variety of factors including, but not limited to, the following:

1. The diversity and complexity of duties
2. The amount of responsibility and judgment exercised.
3. Qualifications/Credentials required
4. Location of position within the organizational chart
5. Market survey

Each employee's salary is reviewed annually. These reviews consider the employee's performance, level, or increased/decreased responsibilities, and the organization's financial position.

Raises

All Salaries are gross salaries and are subject to mandatory and/or voluntary deductions.

1. Salary increases are based on merit and performance as indicated in the written evaluation. Remaining in a job for a certain period in a position does not justify a salary increase.
2. Salary ranges for any job classification may be increased (or decreased in time of financial difficulty).
3. Salary increases depend on the RAC's ability to meet its budget. Since the sources of CTRAC income include state funds, organization income is not entirely dependent on the organization itself and its operations. Therefore, any changes to income by those sources can affect the organization ability to provide raises.
4. The CTRAC Board of Directors must approve all salary adjustments.

Bonuses

The Board of Directors have the discretion to give bonuses to an employee or employees for exceptional work, special occasions, or any situation that Board thinks should be recognized financially.

TECHNOLOGY POLICY

Employees of the CTRAC can communicate and gain information through approved e-mail correspondence and Internet use. Employees are encouraged to communicate with other agencies around the nation through the Internet and other electronic information system/networks provided they stay within the boundaries of the law and CTRAC policies and procedures.

INTERNET ACCESS

Internet access is a resource for employees' overall business. The CTRAC reserves the right to monitor and access all information systems at any time with or without an employee's advance notice or consent by the Executive Director designated by the CTRAC Board of Directors. Employees are responsible for knowing and following the generally accepted etiquette of the Internet, to use civil forms of communication, respect the privacy of others, and respect all applicable State and Federal regulations and the legal protection provided by copyright and license to program data.

E-MAIL

The CTRAC's technology policy requires that all employees and authorized users treat e-mail and other electronic correspondence with the same respect and confidentiality as all other workplace generated communications. The guidelines below are provided to help the CTRAC's employees and other authorized users understand their rights and responsibilities.

All e-mail, computer generated files and/or documents are CTRAC Records and the sole property of the CTRAC. The CTRAC reserves the right to monitor and access all information systems at any time.

Personnel are prohibited from the unauthorized access of another employee's email messages and computer files. The CTRAC does not condone nor tolerate any unauthorized access of another employee's email messages and computer files.

CTRAC LAPTOP COMPUTERS

All CTRAC employees who have been assigned a laptop are responsible for any costs related to lost or damaged laptops during periods of use.

For a listing of what is considered "acceptable and unacceptable" uses, please refer to your Acceptable Use / Best Practices area of the Technology Policy.

ALL OTHER DEVICES

All CTRAC employees who use personal laptops, cellular phones, or other devices to connect to the CTRAC domain or either directly or indirectly to the CTRAC infrastructure must utilize some form of password protection to add a layer of security to access of files and proprietary information within the CTRAC. Failure to comply with this directive may be subject to reprimand. Any questions of ability to secure a device will need to be resolved prior to connection to the CTRAC domain or infrastructure or must have approval from IT and/or the Executive Director.

SUPPLIED PHONES

This policy is established as guidance to employees, who by the nature of their work, are required to be accessible by telephone regardless of the time of day, day of the week, or geographical location. The Executive Director will determine service equipment and the type of services necessary to fulfill specific CTRAC responsibilities. Costs related to these services will be the responsibility of the CTRAC. Excessive personal calls are discouraged and may be subject to reprimand.

This policy establishes guidelines for procurement, possession, and appropriate use of CTRAC-owned cellular phones. The policy is designed to reduce unnecessary cell phone costs to the CTRAC and to avoid violation of state mandates regarding cellular phone use. All CTRAC full and part-time employees, including wage employees, are affected by this policy. This policy also governs cell phones acquired via grants and contracts awarded in the CTRAC's name.

LOSS/DAMAGE OF EQUIPMENT

All CTRAC employees are responsible for the care and maintenance of equipment assigned to them or under their care and control. Employees may be responsible for any costs related to any lost or damaged equipment.

ACCEPTABLE USE / BEST PRACTICES FOR TECHNOLOGY

Although this list is not a full encompassing documentation of usage, it is given as examples for usage within the CTRAC domain and infrastructure. Any questions or guidance should be directed to your immediate supervisor.

- Be polite. Do not get abusive or threatening in your messages to or about others.
- Use appropriate language in conversation and online. Do not swear or use vulgar words.
- The Executive Director must approve social media usage sites such as Facebook and file sharing services like Drop Box in advance.
- Obscene or sexually explicit material cannot be used with CTRAC purchased hardware or while connected to the CTRAC domain or infrastructure.
- No activity that is generally accepted as being illegal while online, via VPN or while on CTRAC premises.
- Copyrighted material may not be used without owner's permission. This includes piracy of computer software.
- Only CTRAC employees and contracted IT company are permitted to load software on CTRAC owned or maintained computers.
- Attempting to harm others' data, computer equipment, or network performance is prohibited. This includes computer viruses.

SAFETY

The CTRAC views the safety and welfare of employees and visitors an integral part to carrying out the CTRAC mission. Our goal is a continued and combined effort to reduce the frequency of injury in the workplace and to continue a proactive approach on safety issues. The CTRAC will comply with federal, state, and local safety regulations and will develop documented comprehensive plans, regulations, procedures, and programs to ensure the continuing safety of the CTRAC community.

WORKERS COMPENSATION

The CTRAC provides Worker's Compensation benefits to all covered employees who may be injured in the course of their employment. The coverage provides medical treatment and weekly income benefits during periods of work-connected disability or death. For an incident/injury occurring during working hours, employees should notify the CTRAC Executive Director for instructions for seeking medical help. If incident/injury occurs on a weekend or after working hours, employees will be sent to the nearest emergency department. For a complete listing of in network providers under our Texas Mutual Insurance, please visit the following website: <http://www.texasmutual.com/> and click on provider directory.

As of September 1, 2005, the Texas Department of Insurance was enacted, in part, to provide the mechanism for an injured worker who sustains a compensable injury in the course and scope of employment to receive medical and income replacement benefits.

THE AMERICANS WITH DISABILITIES ACT (ADA)

Enacted to protect people from discrimination based on disability. CTRAC will address the needs of this population and make accommodations the RAC has control of.

SMOKING POLICY

Smoking is not allowed on CTRAC grounds or offsite while representing the CTRAC. All employees must refrain from smoking while working. The CTRAC supports and enforces a smoke-free environment.

WEAPONS IN THE WORKPLACE

The carrying or possession of any type of weapons or firearms on the premises of the CTRAC is strictly and absolutely prohibited. **This prohibition excludes those persons licensed to carry concealed firearms and have received prior approval from the Executive Director and Board of Directors.** For purposes of this policy, premises of the CTRAC are defined as any property, building or portion of a building or property that the CTRAC owns or occupies, whether on a temporary or permanent basis, and any off-site premises where the CTRAC is conducting any activity sponsored by the CTRAC.

This includes all parking lots, parking areas, sidewalks, and walkways, and all CTRAC owned or leased vehicles and equipment.

Any person violating this policy will be required to leave the CTRAC's premises immediately. Any employee found to be in violation of this policy will be subject to discipline, including immediate termination.

Furthermore, any individual or employee found to be in violation of this policy would also be subject to arrest for criminal trespass pursuant to the Texas Penal Code §30.05(a).

SECURITY

To provide as much protection as possible for the security of our employees, as well as our property, certain items such as credit cards, keys to the building and designated rooms will be issued only to those employees whose responsibilities require them.

In the interest of a safe workplace for all employees, the CTRAC reserves the right to inspect and/or search employee work areas, desks, packages, person, and vehicles on CTRAC property as well as any CTRAC vehicle.

KEYS, CREDIT CARDS AND OTHER RESTRICTED ACCESS ITEMS

The Executive Director will determine the designation of what is included under restricted items as appropriate. Examples of such items include security keys, office or room keys, file, desk, and cabinet keys, CTRAC issued credit cards, policy and procedures manuals, and employee handbooks.

- All restricted access items will be the responsibility of the Executive Director.
- Policy and procedures manuals and employee handbooks are the responsibility of the Executive Director. In most cases, employees will be responsible for signing a form indicating that they have received a particular item and understand that it is the property of the CTRAC.
- Duplication of any restricted access item (keys, policy manuals, handbooks, etc.) is prohibited without written consent of the Executive Director or RAC Chair.
- The borrowing and use of CTRAC property by employees must be requested by a written request to the Executive Director for approval. Employees will be responsible for damage and/or loss of CTRAC property.
- Loss of any restricted access item should be reported to the issuing party as soon as the loss is discovered.

- The employee may be charged an appropriate fee for the replacement of any lost restricted access item.
- Upon leaving employment with the CTRAC for any reason, all restricted access items will be returned prior to final processing. The employee exit form must be completed by all parties involved prior to the release of final pay, in accordance with the Resignation/Termination policy.

WORKPLACE VIOLENCE POLICY

The CTRAC is committed to preventing workplace violence and to maintaining a safe work environment. To ensure a safe workplace and to reduce the risk of violence that may occur during business hours or on its premises, all employees should review and understand all provisions of this workplace violence policy.

Prohibited Conduct

- Threats, threatening conduct, or any other acts of aggression or violence in the workplace will not be tolerated. Any employee determined to have committed such acts will be subject to disciplinary action, up to and including termination.
- Non-employees engaged in violent acts on the employer's premises would be reported to the proper authorities and fully prosecuted.
- Criminal and/or civil action

This list of behaviors, while not inclusive, provides examples of conduct that is prohibited.

- Causing physical injury to another person
- Making threatening remarks
- Aggressive or hostile behavior that creates a reasonable fear of injury to another person or subjects another individual to emotional distress.
- Intentionally damaging employer property or property of another employee
- Possession of a weapon while on CTRAC property or while on CTRAC business without prior consent of Executive Director and the Board of Directors.
- Committing acts motivated by, or related to, sexual harassment or domestic violence.

Reporting Procedures

Any potentially dangerous situation must be reported immediately to the Executive Director and/or RAC Chair. Reports can be made anonymously, and all reported incidents will be investigated.

SEVERE WEATHER AND EMERGENCY CLOSINGS

At times, emergencies (such as severe weather, fires, power failures, etc.) can disrupt CTRAC operations. The CTRAC will make every effort to maintain normal work hours even during inclement weather. In extreme cases, these circumstances may require the closing of the CTRAC office. In such event CTRAC employees will receive communication with details of the office closing and instructions on working from home.

When the office is officially closed due to emergency conditions, the time off from scheduled work will be paid and will not require the use of employee leave for the time off.

DISCIPLINARY GUIDELINES

The following steps may be used by the CTRAC in imposing discipline:

First Offense – Verbal warning (documented for personnel file)

Second Offense – First written warning

Third Offense – Final written warning and/or discharge.

Written warnings are intended to protect employees from excessive discipline, to keep employees always apprised of their status, and to afford employees the time and opportunity to correct problems.

In most instances, discharge will be considered a last resort. However, the CTRAC reserves the right to discharge an employee, as it alone deems necessary without any prior disciplinary action.

Any employee whose conduct, actions or performance violates or conflicts with the CTRAC's policies may be terminated immediately and without warning. Employees who violate any CTRAC rule or regulation will be disciplined fairly, consistently, and in proportion to the seriousness of the circumstances.

RESTRICTED CONDUCT

The following guidelines may be applied at the discretion of the Executive Director, or Board of Directors if the Executive Director. In deciding whether an employee should be disciplined and in determining the type and severity of such discipline, the Executive Director and/or Board will take into consideration the circumstances involved, including the type and severity of the offense and the employee's work history with the CTRAC.

The following are examples of conduct, which can result in suspension or immediate dismissal of an employee:

- Breach of trust, or other acts of dishonesty.
- Larceny or unauthorized possession, or use of property belonging to the CTRAC, any co-worker, visitor, or client of the CTRAC.
- Insubordination.
- Falsification, omissions, or misrepresentation on any CTRAC records (including, but not limited to, employment applications, time records, inventory, etc.)
- Intentional misrepresentation in recording or reporting merchandise ordered, purchased, received, distributed, or sold.
- Willful destruction of, damage to, or abuse of CTRAC property or removal of CTRAC property from premises without proper authorization.
- Failing to maintain the confidentiality of the CTRAC, disclosing confidential information without authorization.
- Violation of the Anti-harassment and/or Equal Opportunity Policies.
- Malicious acts or demonstrating grossly unprofessional or substandard conduct that reflects adversely on other employees or the CTRAC.
- A criminal conviction and/or indictment.
- Failing to disclose a criminal conviction or indictment.
- Fighting or gambling on CTRAC property.
- Possession of a firearm, or other dangerous weapons or explosive devices on CTRAC property.

- Negligent, or disorderly conduct, which results in property damage or personal injury.
- The possession, sale, distribution, or use of, illegal drugs, inhalants, intoxicants, narcotics, or alcoholic on premise, including parking lots, in CTRAC vehicles or while on CTRAC duty. Reporting to work while under the influence of illegal drugs, inhalants, or other intoxicants in direct violation of the CTRAC's Drug-Free Workplace Policy.
- Discourteous, abusive, or gross misconduct directed toward any member/client.
- Accepting unauthorized gifts or items of value from suppliers or others with whom the CTRAC does business, which creates a conflict of interest.
- Willfully tampering with CTRAC products, equipment or facilities including removing safety devices from equipment or facilities.
- Violent or threatening behavior, acts of violence or threats of violence.

The following list, while not all-inclusive, includes examples of conduct or performance of an employee deemed sufficient for disciplinary action:

- Leaving the work premises without authorization during work hours without permission.
- Excessive absenteeism excused or unexcused or tardiness.
- Failure to report absence, violation of attendance policy.
- Horseplay or disorderly conduct.
- Failure to follow directions/instruction or to carry out assigned duties.
- Failure or refusal to cooperate with fellow workers.
- Use of offensive or abusive language or conduct toward fellow employees or others.
- Inattention to duties or misuse of working time.
- Violation of CTRAC rules governing solicitations and distributions.
- Deliberate non-performance of work.

GRIEVANCE PROCEDURE

When an employee believes a problem, work condition or treatment is unjust, inequitable, or is a hindrance to effective and cohesive working relations, the employee is encouraged to discuss the condition or treatment with the Executive Director or member of Executive Committee.

Misunderstandings or conflicts can and do arise in any organization. To ensure effective working relations, it is important that such matters be resolved before serious problems develop. Most incidents resolve themselves naturally; however, should a situation persist that you believe is detrimental to your employment with the CTRAC, you should follow the procedure described below for bringing your complaint to management's attention.

When disagreements arise between employees:

- Parties involved should be encouraged to discuss the issue and attempt to resolve the problem.

If resolution is not found, the employee should:

- Request a meeting with the Executive Director. To resolve the problem, the Executive Director will consider the facts and may investigate.
- If no agreement is forthcoming, the Executive Director enters the negotiations.

- If a solution is not reached, the Executive Director may decide, which is binding, or request two Executive Committee Board members to join the negotiations. At that point, a binding decision will be made.
- In the event the Executive Director is the subject of the grievance, the Executive Committee Board members should be notified.

The CTRAC will not tolerate any form of retaliation against employees availing themselves of this procedure. The procedure should not be construed, however, as preventing, limiting, or delaying the CTRAC from taking disciplinary action against any individual up to and including termination, in circumstances where the CTRAC deems disciplinary action is appropriate.

TELECOMMUTE POLICY

CTRAC will allow employees to telecommute or work from a remote location with approval of the Executive Director or Executive Committee.

DEFINITIONS:

Telecommuting: A work arrangement that allows employees who normally report for work at an office to complete part or all their designated work assignments from a different location on a regular basis.

Remote work locations: A work location other than the CTRAC offices.

PROVISIONS:

1. The determination for an employee to telecommute shall be based on time and cost effectiveness, after receiving input from the employee. Jobs acceptable for telecommuting are those that can be performed without diminishing the quality of work, productivity, or level of service.
2. Telecommuting or working from a remote location does not modify the applicability of benefits, personnel policies, responsibilities, or any other terms and conditions of employment.
3. Telecommuting is a privilege, not a right. As such, employees should make every effort to ensure all work/tasks are completed during telecommuting sessions.
4. CTRAC may provide tools and supplies necessary for the employee to perform the appropriate job function. CTRAC will not pay for additional phone lines (installation or monthly fees) or for Internet access in employees' residence or other locations not on CTRAC property. CTRAC will not reimburse charges for phone calls made on personal residence and/or cell phones because of a telecommuting arrangement.
5. The Executive Director will be responsible for monitoring the effectiveness of employees' performance based on established performance measurements. If it is determined telecommuting/working from a remote location is no longer time or cost effective, or the employee is not meeting the established performance measurements for the job function, the employee will be asked to return working at the CTRAC office.
6. Employees are expected to maintain the same standards of health and safety at their telecommuting/remote work location as they have at the CTRAC office. For all practical purposes, the employee is at the office when they are telecommuting.

7. CTRAC's workers' compensation program provides coverage for injuries or illnesses incurred in the course and scope of employment. Injured employees must notify their supervisor immediately if one is injured while on telecommuting or remote work status.
8. Employees telecommuting from their residence remain solely liable for injuries to members of their family or any other third party, or any damages to real or personal property that occur on the employees' premises.
9. Employees may experience changes to personal tax liabilities or insurance. Compliance with tax and insurance laws are the responsibility of the employees. Employees are encouraged to consult with their personal tax and/or legal advisors.
10. Employees are required to take precautions at the telecommuting/remote work location to ensure the security of data and confidential information, as well as equipment or other department provided supplies.
11. While working remotely, employees must ensure that they are aware of their responsibilities to store information safely, to protect it from loss, destruction, or damage. This requires storage that is secure against theft and damage, and the protection of systems from computer fraud and virus attacks.
12. Employees will be held responsible for any abuse or fraudulent use of access provided for working remotely.
13. The Executive Director will be responsible for monitoring what work will be completed while employee is telecommuting or working remotely.
14. The Executive Director will provide a brief overview of the proposed work arrangement including assignments/work responsibilities that will be completed at the telework/remote work site.
15. The Employee will meet with the Executive Director on a regular and on-going basis to receive specific assignments and duties, to identify measurable outcomes and /or results and to review work in progress as well as completed work. The employee is to complete all assigned work according to work procedures mutually agreed upon by the employee and the Executive Director according to standard operating procedures.

SOCIAL NETWORKING POLICY

PURPOSE:

CTRAC is committed to ensuring that the Internet conduct of its employees complies with all applicable laws and does not damage our reputation and business interests. CTRAC has a legitimate business interest in monitoring Internet activity, regardless of where or when it occurs, when that activity could affect CTRAC's reputation, the reputation of others, the trust others place in us, or working relationships with other organizations.

CTRAC is required under the Health Information Portability and Accountability Act of 1996 ("HIPAA") to ensure that any protected health information ("PHI") that we create, receive, use, or store is not improperly used or disclosed through any means, including electronic means. CTRAC also has a fundamental interest in protecting confidential and proprietary information about the organization, as well as the reputation of CTRAC.

The intent of this policy is not to restrict the flow of useful and appropriate information, but to minimize the risks, legal and otherwise, to CTRAC and its employees. The intent of this

policy is to help avoid claims against CTRAC or its personnel for things like HIPAA violations, invasion of privacy, breach of confidentiality, and defamation or slander. This policy is also intended to provide guidelines for maintaining a respectable and ethical work environment and to ensure that employees is acting in a manner that is consistent with CTRAC's mission.

This policy is not intended or designed to prohibit the lawful exercise of employees' rights under applicable federal or state law. This policy will not be applied in any way that might limit any applicable legal rights of CTRAC employees. This includes, but is not limited to, any rights under federal or state law.

This policy is designed to balance our employees' desire to engage in social networking and information sharing with CTRAC's interests in protecting proprietary information and its reputation. CTRAC regards social networking, blogs, and other forms of online communication as a primary form of communication among individuals and recognizes and respects that it is a valuable method of communication today.

SCOPE:

This policy applies to all CTRAC employees. Internet media includes but is not limited to social networking sites such as Facebook, Twitter, Flickr, etc., and other social interaction media (such as web blogs) - virtually any website where employees can post information. This policy applies to Internet activity:

- Performed on duty and off duty.
- Performed while using CTRAC issued or personal equipment; and
- Whether it occurs on or off the premises of CTRAC.

In short, this policy generally applies 24/7 to any content posted on the Internet, unless otherwise prohibited by federal or state law.

PROCEDURE:

Unless prohibited by law, CTRAC may monitor the Internet activity of its employees, consistent with the terms of this policy. CTRAC will apply this policy in a fair and non-discriminatory manner, consistent with all applicable laws. CTRAC may discipline employees if it is determined that an employee Internet conduct violates this policy or any other policy of the organization, including our Code of Conduct.

When CTRAC Will Monitor Internet Activity

The CTRAC will only view or monitor employees Internet activity when it has a legitimate business-related interest in doing so. Legitimate business-related interests include, but are not limited to:

- Ensuring employee productivity
- Keeping employee morale high
- Protecting confidential information and proprietary information of the CTRAC
- Protecting the CTRAC from lawsuits
- Protecting CTRAC's reputation
- Protecting the reputation of others – such as CTRAC's business partners or its members
- Safeguarding CTRAC assets, money, time and other CTRAC resources

CTRAC may view or monitor Internet content posted by employees if it learns from any source about such content and it believes there is a legitimate business- related interest at stake. For example, if an employee notifies an Executive Director that another employee posted inappropriate information to his/her Facebook profile, CTRAC may view the posting.

Members of the CTRAC management are discouraged from becoming "friends" of employees on social networking sites as this could lead to challenging employee relations issues. For example, supervisors who are friends with an employee with a direct reporting relationship may be obligated to report online misconduct.

What Internet Sites CTRAC May Monitor

Unless prohibited by law, CTRAC may generally monitor the Internet activity of its employees on any website, including social networking profiles and similar sites. However, CTRAC will not attempt to gain access to private websites through false or deceptive means. For example, the CTRAC Executive Director may not create a false profile to gain access to a private website.

Notwithstanding, this policy should not be construed to prevent CTRAC from viewing Internet conduct that is legitimately accessed by another party. For example, an employee may show an Executive Director a post of a coworker when that employee has legitimate access to the coworker's post (*e.g.*, the employee is "Facebook Friends" with the coworker and pulls up the coworker's profile for the Executive Director).

What Employees May NOT Post on the Internet - Specific Prohibitions

Posting the following types of information on the Internet is specifically prohibited under this policy. Posting any of the following types of information will likely lead to immediate discipline up to and including termination. If you have a question about what an appropriate posting is or use of information, please consult Executive Director.

Protected Health Information (PHI). Employees may not post or otherwise disseminate PHI, including posting any patient-related information on the Internet. PHI includes, but is not limited to the patient's name, address, age, race, extent or nature of illness or injury, hospital destination, and crewmember names - anything that could possibly be used to identify a patient. No information should be posted about any patient-related incident, even if portraying that incident in a favorable light.

Posting photos, videos, or images of any kind that could potentially identify patients, addresses, vehicle license plate numbers, or any other PHI is strictly prohibited. In addition, employees should refrain from taking any photos, videos, or images of any kind while on duty, unless expressly authorized to do so by CTRAC.

Photos, Videos, or Images That Identify CTRAC without Prior Approval. Employees may not, without the prior approval of management, post photos, videos or other images of themselves or other employees if the image or video depicts employees while on duty or while in CTRAC uniform. CTRAC will consider the context in which the image or video is going to be displayed when deciding whether to permit the employee to post it. Employees should not be taking photos or videos while on duty at CTRAC, unless authorized by CTRAC to do so.

Confidential or Proprietary Information About CTRAC or Our Clients, Partners or Other Business Associates. Employees may not post confidential or proprietary information about CTRAC or anyone that CTRAC interacts with in conducting business. Confidential and proprietary information includes but is not limited to discussions of company policies, business plans, personnel decisions, employeering decisions, and anything that relates to the company. Basically, anything learned about CTRAC's business activities or the activities of the CTRAC's business partners may not be posted on the Internet when the information is considered confidential or proprietary by CTRAC.

Content That Could Disparage CTRAC, or the CTRAC's Services, Executive Director, Employees or Business Partners. Employees may not post content that could adversely affect CTRAC's reputation in the community or disparage those working for the CTRAC. Examples would include criticism of the organization, criticism of other employees, and criticism of other organizations and agencies the CTRAC works with.

Obscenity or Profanity. Employees should not use language considered to be obscene or profane on the Internet.

Content That Could Disparage Any Race, Religion, Gender, Sexual Orientation, Disability, or National Origin. Employees may not post content on the Internet that could be offensive, or which targets a protected group. Examples would include abusive comments about groups because of their immutable characteristics, such as age, race, sex, sexual orientation, national origin, disability, religion, etc.

Explicit Sexual Content. Employees may not post lewd photographs, images, or comments of a sexual nature or otherwise discriminatory nature.

References to Illegal Behavior. Employees may not post any content that would in any way imply that the employee has participated in or plans to participate in illegal behavior of any kind. For example, employees should not refer to illegal drug use.

Content Which Violates Some Else's Copyrights or Intellectual Property. Employees may not post, copy, or redistribute any images, files, movies, music, documents, etc. where doing so would violate someone else's copyrights, trademarks, or intellectual property rights.

General Guidelines for Posting on the Internet – Specific Situations

Posting Online Comments on Third-Party Sites About CTRAC – News Sites, Public Blogs, etc. Employees should consult with the Executive Director prior to engaging in communications related to CTRAC through blogs or comment sections of any articles or other materials posted on the Internet. For example, employees should not post comments to an online news story that involves CTRAC without first consulting management. If an employee posts any comments about CTRAC they should:

- Disclose his/her connection with CTRAC.
- Use good judgment and strive for accuracy in any post or Internet communication, because errors and omissions reflect poorly on CTRAC and may result in liability for the employee or CTRAC.

- Use a personal email address (not their CTRAC email address) as their primary means of identification.
- Be respectful and professional to fellow employees, community partners, co-responders, and patients.
- Avoid using unprofessional online personas.

Posting Comments to Personal Blogs, Social Networking Sites, etc. Whenever possible, employees should make it clear that they are speaking for themselves and not on behalf of CTRAC when posting online. In these circumstances, the following disclaimer is recommended:

"The views expressed on this [blog; website] are my own and do not reflect the views of my employer."

Furthermore, employees should consider adding this language in an "About me" section of their blog or social networking profile. Notwithstanding, this disclaimer does not by itself exempt employees from discipline if the blog contains content that would violate this policy. Employees should remember that their online behavior should still be consistent with CTRAC's established standards of conduct.

Employees should always ask the Executive Director if they have any questions about what is appropriate to include in their personal blog or social networking profile. Employees should remember that if they would not want their Executive Director or others at CTRAC to see their comments, it is unwise to post them to the Internet.

Posting on CTRAC Sites, Pages, etc. CTRAC may use various Internet and social networking tools to communicate and engage the public and our employees. Those tools (Facebook, YouTube videos, Twitter, etc.) may be used in support of CTRAC's business objectives. If CTRAC engages in such communication, the following procedures apply - both on CTRAC sponsored sites and in official comments on other sites:

- CTRAC's social networking or blog posts and comments will be accurate and factual and CTRAC will acknowledge and correct mistakes promptly.
- On any official sites, pages, or blogs, CTRAC will delete spam and comments that are off-topic and will reply to emails and comments when deemed appropriate in the sole discretion of CTRAC.
- Any employee posts to an official CTRAC site or page must be approved and coordinated through the appropriate party, and CTRAC may remove any post from an employee that it deems to be inappropriate or inconsistent with CTRAC's mission and standards of conduct.

General Expectations of CTRAC Employees

Employees will always consider the confidential nature of our work in any interaction or communication they have with others, particularly the importance of maintaining the privacy, respect, and dignity of the members we serve.

Employees will never describe any member/employees encounters in a way that could identify or potentially be used to identify a member or employees.

Employees will remain cognizant that any comments made on the Internet about CTRAC should be general in nature and should reflect favorably on the Company, our organization, and our profession.

Employees should be aware that any Internet activity performed on a CTRAC owned, operated, or controlled device may be monitored to ensure that only appropriate sites are accessed. CTRAC employees may not access any unlawful sites or any lewd or sexually explicit sites (such as pornography sites) through CTRAC equipment and/or through the CTRAC network.

Employees should be aware that others, including Executive Director, peers, and other employees, might be actively reading what is published online. In choosing words and content, it is a wise practice to consider that the Executive Director or your family members may read anything you post. Employees should exercise sound judgment and common sense before posting anything.

Employees will not engage in social networking activities while engaged in member activities, while performing work duties, or when work assignments are not completed. Employees are permitted to access CTRAC approved social networking sites for personal reasons, but only when they are not on working time. Working time is time when you are engaged in actual work activities, when work activities should be performed, or when with a member.

Employees will practice the well-established principles of “situational awareness” (paying attention and watching for potential hazards or risks all around and anticipating those hazards or risks where possible) when engaged in work activities, especially when company vehicles are in operations, or while engaged on a call. Examples of prohibited conduct include Accessing the internet or a social networking site from a personal device while on board a company vehicle, texting or using any electronic device while operating a CTRAC vehicle (other than official radio and computer equipment for business purposes).

MEDIA POLICY

Media inquiries need to be referred to the Executive Director or the RAC Chair.

EMPLOYEE HANDBOOK ACKNOWLEDGMENT FORM

I hereby acknowledge receipt of the CTRAC Employee Handbook issued on the date of signature and understand that it is my responsibility to read and comply with the policies mentioned and/or referred to in this handbook and any revisions made to it in the future.

I also understand that any questions I may have regarding the contents of this handbook must be addressed with the Executive Director and/or RAC Chair.

Signature: _____

Printed Name: _____

Date: _____