
PathStone



Connecting You to Opportunities

EMPLOYEE MANUAL

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SECTION I – CORPORATE OVERVIEW

A: INTRODUCTION

The purpose of this manual is to serve as a guide to PathStone Corporation's Human Resource policies and procedures. The manual sets forth the human resource policies and procedures of PathStone Corporation and replaces any previous versions. PathStone reserves the right to amend, add or eliminate any policies and procedures contained in this manual at any time.

This manual does not constitute an employment contract and should not be interpreted as such. In addition, this manual summarizes the official plan documents that legally govern the operation and administration of certain benefit plans. In the case of discrepancy or ambiguity related to benefit plans, the provisions of official plan documents will prevail.

Interpretative questions that arise shall be resolved by the Sr. Vice President of Human Resources.

B: MISSION STATEMENT

PathStone builds family and individual self-sufficiency by strengthening farm worker, rural and urban communities. PathStone promotes social justice through programs and advocacy.

C: ACTION PLEDGE

Farmworkers and other disenfranchised peoples live and work with others who often do not understand and/or support their struggle to achieve economic, social and political equality. Many clients served by PathStone personally suffer the effects of racism and discrimination because of their color, occupation or economic status. Many families have needlessly suffered generations of indignities because our government institutions have devalued their work and contributions to our communities. In concert with our mission statement, hereby commit ourselves to the principles contained herein:

1. We affirm the benefit and value of human and cultural diversity in our society and believe in the principles and practice of peaceful co-existence and harmony between and among all peoples.
2. We commit to pro-actively create opportunities to integrate diversity of; race, ethnicity, gender, gender identity, sexual orientation, differing abilities, levels of education, religious beliefs, rural and urban, rich and poor within our place of work and in our community.
3. We will identify and implement specific actions which will improve race, gender, and human relationships in our place of work, our community, organizations to which we belong, and others with whom we have relationships.

4. We will participate in and/or organize political and social action events, conferences and meetings which will educate and encourage ourselves and others to eliminate all forms of oppression and racism, create opportunities for reconciliation of divergent views and promote social and economic justice within our society.
5. We will oppose discrimination of any kind against all peoples and will work to create policies that are based on mutual respect and justice for all people, especially those groups who have historically been denied many human rights and experienced an oppressive life of separation and exclusion. We acknowledge that few, if any generalizations can accurately describe any group, race, or culture and will avoid making such assumptions that lead to hurtful stereotyping. We will work to remove all prejudice against groups of people who are stereotyped because of their race, gender, gender id entity, sexual orientation, ethnicity, income, differing abilities, and religious beliefs, place of residence, educational level, age, employment, family structure and personal interests.
6. We will make it a priority, in our daily activities; to use inclusive language that will unite all peoples; practice fairness and care towards all those we meet, and to respect the dignity and worth of all humankind.
7. We will become educated about the customs, history, desires, and problems of other races and cultures and actively share that information with friends, colleagues, and members of the community.
8. We will speak and act against any form of community and/or individual violence that may injure others and will actively work to create non-violent methods to resolve disputes.
9. We will commit our resources to respond to the pervasive poverty faced by many people in our community and will work constructively within the political and social arena to advocate for laws, resources and customs which will remove barriers for economically and socially disadvantaged people and enhance our/their escape from poverty.

D: COMMUNICATION

1. Geographic Diversity

- A. PathStone manages a multi-state operation consisting of over 45 year-round locations and numerous seasonal program sites.
- B. These locations function with the dedicated efforts of over 650 staff, serving a diverse group of program participants ranging in the thousands.
- C. PathStone administers a diverse and centralized program management system under the direction of program division directors and centralized agency wide administration located in Rochester, New York

2. Goals of the Communication System

- A. With this large geographic service area, we must always strive toward maintaining clear and effective communications. E-mail, memos, and manuals are used to distribute information to all staff. In person meetings as well as teleconferences are held to bring staff together in the most economical way.
- B. The success of our organization depends, in large part, upon our ability to communicate effectively with each other and foster direct and honest feedback from all staff.

3. Communication through E-mail

With operations spread across multiple states, e-mail has become an effective way of sharing information. As not all employees have access to e-mail, supervisors are responsible for sharing important information with staff that do not have access. This information should be shared at meetings, through memos, through copies, etc.

E: ORGANIZATIONAL STRUCTURE

1. Board of Directors – role includes:

- A. Hiring and supervising the President/CEO
- B. Establishing policy directives for sound implementation of goals
- C. Authorizing agreements, grants, etc.
- D. Evaluating programs and fiscal operations

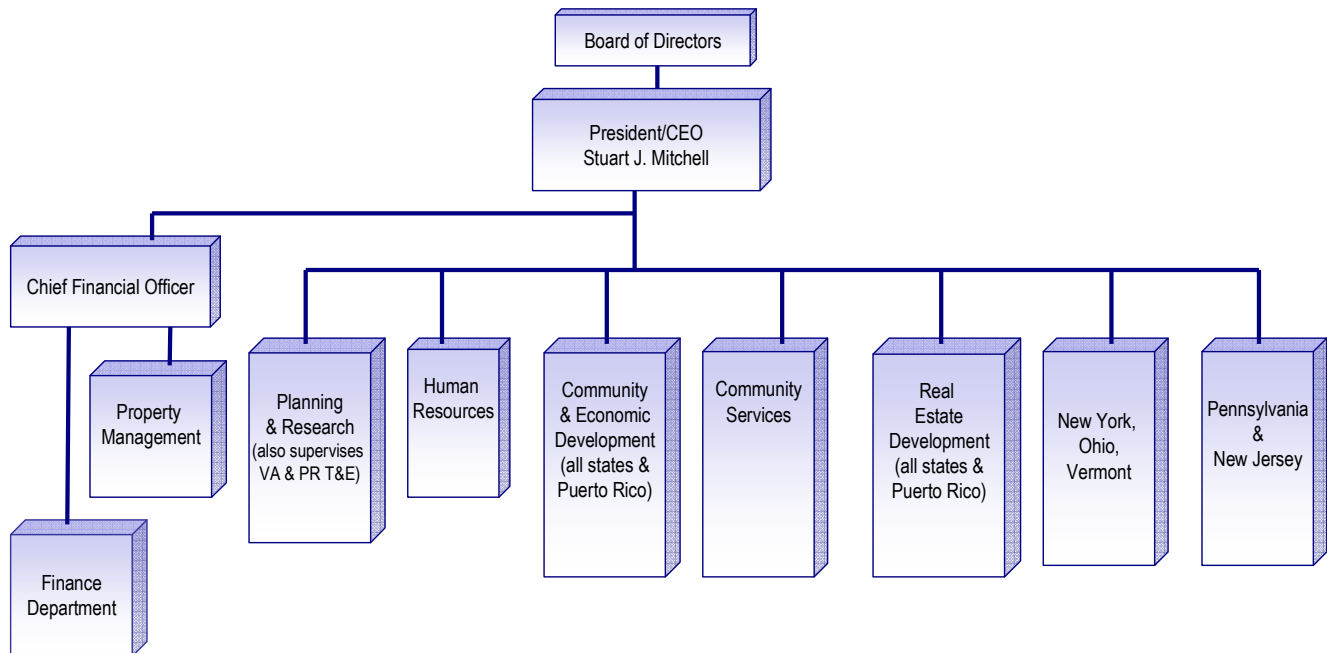
2. President/CEO

- A. Hires and manages the executive staff
- B. Monitors implementation of policy and program operations
- C. Evaluates effectiveness of program and fiscal operations supervised by the executive staff

3. Executive Staff

- A. Hire and manage all staff within their divisions
- B. Administer and evaluate administrative, program and fiscal procedures within their division

PathStone Corporation Organizational Chart



SECTION 2: EMPLOYMENT

A: PRINCIPLES OF EMPLOYMENT

1. Recruitment of a Diverse Workforce

- A. PathStone is committed to the recruitment of a diverse work force which mirrors the diversity of the populations we serve.

2. Direct, Open and Honest Communication is fostered as a means to increase understanding of cultural differences and the strength such differences bring to the work force.

3. Equal Opportunity Employment

- A. PathStone Corporation is an Equal Opportunity Employer.
- B. All Program Managers must adhere absolutely to our commitment of hiring, training, promoting, disciplining and discharging regardless of race, color, religion, national origin, disability, age, gender, marital status, genetic information, sexual orientation and any other protected characteristics.

4. Reasonable Accommodation:

- A. Defined as any modification or adjustment to the job application process, work environment, or the customary manner in which the duties of the position are performed to allow an individual with a disability to enjoy equal employment opportunities and/or perform the essential functions of the job.
- B. Reasonable Accommodation is made on a case by case basis. It should be documented, approved by the Division Director and reported to the Senior Vice President of Human Resources. If required, the Senior Vice President of Human Resources will assist in determining the nature and course of reasonable accommodation efforts.

B: JOB DESCRIPTIONS

Each position in the corporation shall be described in writing by a job description which shall be provided to every employee of PathStone upon hire.

The Senior Vice President for Human Resources is responsible for overseeing the maintenance of accurate and complete job descriptions for all positions. Each job description is comprised of factors deemed to be essential functions common to all positions within the company. Factor ratings shall be recorded and justified for each position as a part of the job description development process. All year-round and reoccurring seasonal job descriptions need to be approved by the Board of Directors.

C: RECRUITMENT

PathStone is committed to attracting and maintaining a diverse work force and providing equal employment opportunity for all applicants.

- All qualified job applicants will be considered for open positions.
- Efforts will be made to recruit qualified applicants that reflect the populations served by the agency.
- Applicants must comply with all State and Federal laws and regulations governing employment eligibility.

Procedures for Implementing Recruitment Policy

1. Posting and Advertising

- A. All year-round and recurring seasonal job descriptions must be approved by the Board of Directors before posting and circulating. Job descriptions which are created to fill a temporary need must be approved by the Division Director and Senior Vice President of Human Resources.

Temporary positions and appointments may not exceed 6 months.

- 1) A temporary job description is one which is created to fill a one-time need, for a short period of time, for example, to complete a special project.
 - 2) A temporary appointment occurs when a year-round position must be filled to meet an immediate business need.
- B. Notices of Position Vacancies for all available positions shall be circulated, posted, and advertised. See Supervisor's Appendix for more detail.

2. Applications

- A. Applications for employment with PathStone are accepted on a continuous basis.
- B. Applications should be submitted on the Standard Form, "Application for Employment."

3. Interviewing

- A. All applicants' resumes should be screened for qualifications and relevant experience. Only those applicants who meet the general qualifications should be selected for an interview.
- B. A selection team consisting of at least three (3) staff members, including the hiring supervisor will be responsible for interviewing the candidates. See Supervisor's Appendix for more detail.

4. **Reference Checking:** Prior to final selection, a reference check must be conducted either by mail or by telephone. A written record of the reference check must be submitted with the new employee paperwork.
5. **Salary/Hiring Range:** A range of additional steps above the base salary level may be authorized if there is sufficient funding available and if there are special considerations related to the qualifications of the candidate or market factors. See Supervisor's Appendix for more detail.

6. Relocation Expenses

In general, employees who relocate at the company's request may be eligible for reimbursement up to \$800 in moving expenses.

In addition, for senior level employees (positions at level six (6) or higher), PathStone may reimburse eligible relocation expenses, provided the relocation is in the best interest of the company, and not primarily for the benefit or convenience of the employee. A total maximum benefit of up to \$6500 per relocation may be provided by PathStone for relocation expenses incurred by senior level employees eligible for relocation benefits as outlined in this policy.

Reimbursement of relocation expenses will be provided based on a commitment by the relocated employee to remain with PathStone for at least one (1) year. If the employee voluntarily resigns from the company within a year, PathStone will require the employee to repay all or part of the reimbursed expenses.

To obtain reimbursement for eligible expenses, prior approvals must be obtained from the Sr. Vice President of Human Resources and the President/CEO. In addition, employees must complete and sign a relocation service agreement, a copy of which will be retained by the Senior Vice President of Human Resources. See Supervisor's Appendix for more details.

D: PROCEDURES FOR PROCESSING NEW EMPLOYEE PAPERWORK

Upon deciding to hire a candidate, the hiring supervisor should provide the prospective employee with the base salary for the position and inform the candidate that additional salary steps may be awarded, pending review of his/her qualifications. The supervisor should not make a salary commitment to the employee prior to the completion of the internal review process.

The supervisor will send a Request for Offer Letter and supporting documentation to the Executive Staff for the division and then on to Human Resources. HR will review the paperwork and issue an offer letter. More details may be found in the Supervisor's Appendix.

E: CONDITIONS OF EMPLOYMENT

Prior to hiring, applicants must be made aware of the following conditions of employments with PathStone. Any violation that is identified following employment will be grounds for immediate termination.

1. **Employment Eligibility Verification:** The Immigration Reform and Control Act of 1966 requires that employers verify employment eligibility and identification of all new hires. The verification must be done in such a way as not to discriminate against applicants on the basis of national origin or citizenship status. All newly hired employees must provide evidence of both identity and eligibility to work.
 - A. All new hires must provide evidence of both identity and authorization to work. To do this, employees must follow instructions on the I-9 form and provide either:
 - One original document as proof of both employment authorization and identity
 - A combination of two original documents, one that establishes job eligibility and another that proves identity
 - B. The supervisor responsible for hiring the employee will be responsible for reviewing documentation for validity and obtaining a copy for the personnel file.
 - C. The law requires that this employment verification occur within the first three days of employment
2. **Telephone:** All supervisors are required to have an operating telephone and make their numbers available to their immediate supervisor.

3. Other Requirements

Certain programs/funding sources have specific requirements that employees must comply with prior to being employed. For example, all Child and Family Development Programs must run background checks and administer physicals on all staff annually, prior to the beginning of program service year.

PathStone may also conduct background checks on candidates being considered for employment, depending on the nature of the position. PathStone uses a third party to conduct these background checks. PathStone will obtain written consent from applicants prior to ordering reports from third-party providers, and will provide a description of applicant rights and all other documentation as required by law to each applicant or candidate in accordance with FCRA and applicable state and federal statutes. Job offers may be made contingent upon successful completion of a background check.

F: INTRODUCTORY EMPLOYMENT PERIOD

All newly hired, rehired, promoted or transferred employees will be carefully monitored and evaluated during an introductory employment period. This initial period will be ninety (90) days for year-round employees and sixty (60) days for seasonal and temporary employees.

Note: Supervisors have the right to extend the introductory employment period for further evaluation of employee performance.

G: NEW EMPLOYEE ORIENTATION

Newly hired employees are provided an orientation to the history of PathStone, its programs, governance structure, human resource and fiscal policies and procedures, and program specific information. Additionally, employees receive job-specific orientation/training in order to perform their duties and responsibilities. It is the supervisor's responsibility to ensure that new employees receive proper orientation upon employment with PathStone.

1. Employee Training Modules

The modular employee orientation system covers the following seven topics:

- Module I – Study of PathStone
- Module II – Governance
- Module III – Human Resources
- Module IV – Communications
- Module V – Planning & Evaluation
- Module VI – Fiscal
- Module VII – Program Operations

Year-round employees must complete Modules 1 thru 3 within the first ninety (90) days of employment and the remaining modules within one (1) year of employment. Employees may complete the modules on their own or in a group setting.

Upon completion of the modules, all year-round employees must take a test and submit it to the Human Resources department for scoring. A minimum score of seventy (70%) must be obtained in each module. A certificate indicating successful completion of orientation will be sent to the employee upon passing all tests.

2. Supervisor Training Modules

In addition to the seven (7) basic orientation modules (Level 1) listed above, supervisory and management staff members must attain competency in additional modules. These modules, known as Level 2 Modules, include more detail on the following: Human Resources, Planning & Evaluation, Fiscal, and Program Operations. Supervisors must successfully complete Level 2 modules within one (1) year of hire (if hired into a supervisory position) or within one (1) year of appointment to a supervisory role.

H: DRIVING FOR PATHSTONE BUSINESS RELATED PURPOSES

Employees who are required to drive as an essential function of their position with PathStone will be required to complete certain documentation and follow specific guidelines, as outlined in this policy. Job descriptions will detail whether driving is an essential function of the position, and each position will fall into one of the following three categories:

- Category 1: Employees who are required to drive PathStone vehicles as part of their responsibilities, or who transport participants for PathStone business, in any vehicle
- Category 2: Employees who are required to drive their personal vehicles for PathStone business but do not transport participants
- Category 3: Employees who are not required to drive as an essential function of their job.

1. Employees Required to Drive for Business

A. All PathStone employees whose job descriptions fall into categories 1 and 2 above must have on record with Human Resources the following documentation:

- 1) A valid driver's license, defined as a current license valid in the state of employment that is not subject to any type of suspension by the courts or motor vehicle department
- 2) Department of Motor Vehicles (DMV) required consent form
- 3) Evidence of proper insurance, which must include the following minimums:

Minimum of \$300,000 combined single limit

OR

Bodily Injury: Minimum of 100,000/250,000 and Property Minimum 50,000

B. All PathStone employees whose job descriptions fall into categories 1 and 2 above are expected to maintain a safe driving record, defined as:

- 1) Less than three (3) moving violation convictions within the most recent 39 month period, or
 - 2) Less than two (2) at fault accidents within the most recent 39 month period. or
 - 3) Any combination of moving violation convictions or accidents which total three (3) or less within the past 39 months, and
 - 4) NO CONVICTIONS OF DWI (Driving While Intoxicated), DWID (Driving While Impaired by Drugs) OR DWAI (Driving While Ability Impaired) WITHIN THE MOST RECENT FIVE (5) YEAR PERIOD. (Staff should note that some prescription and over-the-counter drugs may impair driving ability).
- C. Employees whose license is suspended or revoked, or whose insurance is not in force, will not be allowed to continue driving for PathStone business purposes. These employees may be reassigned to another position if one for which they are qualified is available, or the employee may be terminated if no such reassignment is possible.

Employees who fail to maintain a safe driving record, as defined above, will not be allowed to drive PathStone vehicles. If the employee is able to maintain his/her license and insurance

with the minimum levels listed above, he/she may drive his/her own vehicle for business purposes, but may not transport participants or other staff.

- D. Should any change occur relative to the documentation listed above, if the employee's driver's license is suspended or revoked, or if the employee fails to maintain a safe driving record, the employee must immediately notify her/his immediate supervisor and the Senior Vice President for Human Resources. Failure to do so will result in suspension or termination of employment.
- E. PathStone periodically obtains Department of Motor Vehicle (DMV) Reports on all employees who are required to drive (categories 1 and 2, above). These reports are used to verify compliance with this policy and are done for insurance purposes.
 - 1) These reports list all charges, convictions, accidents and license status.
 - 2) Reports are confidential and are used only to initiate corrective actions when employees have not followed established procedures of notification.
 - 3) Employees are required to report motor vehicle accidents and violations to their supervisor. If PathStone performs a DMV check and finds accidents and/or violations which were not reported, the employee may be subject to disciplinary action.

2. PathStone Company Owned Vehicles

- A. PathStone vehicles are to be used only for company business. Employees found to be using company owned vehicles for personal use may be subject to disciplinary action.

3. Requirement to Have Personal Vehicle

- A. All PathStone employees who are required to drive their own vehicles as an essential function of their job (employees in Category 2 and some employees in Category 1) must have a vehicle available to perform the duties and responsibilities of their position.
- B. Any staff person experiencing a vehicle breakdown that will require more than one (1) day to repair which results in the inability to perform their job must report the impaired vehicle problem to his/her immediate supervisor. Upon notification, the supervisor will advise the employee in writing that he/she will be allowed one (1) week to secure a vehicle. A copy of this notification must be sent to the Division Director.
- C. If after one (1) week, the employee fails to secure a vehicle and work performance continues to be interrupted, the supervisor will initiate disciplinary action by placing the employee on probation/suspension for a period not to exceed three (3) weeks. The supervisor will conduct a corrective interview with a Notice of Disciplinary Action reflecting probation.
- D. Any employee who fails to secure a vehicle for work within a four week period and continues to interrupt job performance will be terminated.

4. Defensive Driving Courses

- A. PathStone will reimburse employees in categories 1 and 2 above 100% of the tuition for completing a Defensive Driving Course approved by the National Safety Council.
- B. PathStone reserves the right to require employees in category 1 and 2, above, to complete a Defensive Driving Course.

5. Volunteer Drivers

- A. Volunteers who drive for PathStone business related purposes are held to the same driving requirements as are employees.
- B. Volunteer drivers must submit all required documentation as listed prior to the start of driving for PathStone Corporation
- C. If a volunteer driver has a driver's license but not his/her own car or personal auto insurance, he/she may be authorized to drive a company-owned vehicle provided that all other conditions of this policy are met.

I: EMPLOYMENT OF RELATIVES

It is PathStone's policy to avoid the hiring, transfer or promotion of immediate family members of employees into situations that may result in favoritism or conflict of interest. Therefore, employees in an administrative or supervisory position may not have their immediate family member working in the same program or under the same supervisory chain.

This policy covers all PathStone employees as well as any member of the Corporate Board of Directors (not including Program Area Advisory Committees or members of Affiliate Boards of Directors).

Applicants will not be hired, nor will employees be promoted or transferred into a position where an immediate family member is currently employed as a supervisor, have any administrative capacity, or where the employees will fall under the same line of supervision, regardless of program or geographic location.

Employees whose marriage would result in a violation of this policy must request a transfer of one family member to another program and chain of command or decide which family member will resign from the company. PathStone will attempt to accommodate a transfer request whenever possible. However, the availability of a transfer is dependent upon various factors including funding constraints, and the availability of another open position.

Employees and applicants who do not disclose their relationship to supervisors or employees in an administrative capacity who are later found to be immediate family members will be subject to termination.

1. “Immediate family members” are defined as:

- Husband/wife
- Son/daughter
- Mother/father
- Stepparent/stepchild
- Stepsister/step brother
- Domestic partner
- Sister/brother
- Grandparent/grandchild
- Aunt/uncle
- Niece/nephew
- Mother-in-law/father-in-law
- Son-in-law/daughter-in-law
- Sister-in-law/brother-in-law

Exceptions to this policy may be recommended by a Division Director due to local conditions or unusual circumstances. However, the intent of the policy must be maintained in all circumstances. Final approval must be obtained from the Senior Vice President of Human Resources and the President/CEO.

J: CONVICTIONS OF A FELONY

The application for employment with PathStone includes questions regarding convictions of a felony. This information must be disclosed by all applicants. Likewise, current employees who are convicted of a felony must disclose this fact to his/her supervisor, the Division Director, and the Sr. Vice President of Human Resources.

Such a conviction will be considered in relation to the applicant or employee's position, but will not, in and of itself, disqualify a person for employment with the agency. There are, however, programs which have specific requirements regarding this, and those requirements/regulations must be followed.

K: REHIRE OF FORMER YEAR-ROUND EMPLOYEES

Former employees are encouraged to apply for open positions. If selected for a position, the amount of time in former employment is taken into account for the purpose of determining anniversary dates and seniority.

1. Year-round Employees rehired within 3 months of lay-off

- A. Employee retains original hire date
- B. Employee retains same personal leave accrual rate as they had when they left
- C. If hired into same salary group, employee retains same rate of pay as when they left

2. Year-round Employees rehired after termination or after more than 3 months of lay-off

- A. Employee receives rate of pay based on position hired into
- B. Credit will be given for personal leave accrual rate for time previously worked with PathStone

SECTION 3: EMPLOYEE PERFORMANCE & CONDUCT

A: PERFORMANCE MANAGEMENT

The performance of each employee will be evaluated by his/her immediate supervisor on a continuous basis. In addition to the evaluation upon the completion of the Introductory Employment period (60 days for Seasonal/Temporary staff and 90 days for Year-Round staff), employees will be formally evaluated on an annual basis. Division Directors are responsible for ensuring that the performance of each employee within their division is evaluated and documented annually. Key objectives of the performance evaluation process include:

- Evaluate employee performance against established, measurable goals.
- Identify training and development needs.
- Provide feedback to enhance future employee performance.

1. Work Plans

- A. All year round employees are required to follow a work plan. Seasonal employees may also be required to follow a work plan, depending on the length of the season and the responsibilities of the employee, per the direction of the supervisor.
- B. A Work Plan is a specific set of measurable goals, objectives, and activities assigned to an individual staff person consistent with his/her job description, and used to direct daily activities toward the accomplishment of program goals. The Work Plan is used by supervisors to direct daily activities, to provide support and assistance, and also to monitor and evaluate performance.
- C. Work Plans are developed at least once annually, but may be required more frequently depending on the employee's specific situation and as directed by the supervisor.
- D. The quantitative objectives contained in an employee's Work Plan are developed from program office goals and objectives. Supervisors work closely with their Executive Director in assigning quantitative goals to individual staff.
- E. Steps in Developing a Work Plan
 - 1) Each job responsibility listed in the job description should be analyzed to develop at least one measurable goal, objective or activity on the Work Plan.

- 2) When a year-round employee is first hired, the initial Work Plan is developed. This Work Plan should be utilized for the duration of the new employee's 90-day introductory period.
- 3) The assigned tasks should be specific, measurable, and must relate to the overall goals and objectives of the plan. Whenever possible, specific numbers and clearly defined tasks should be outlined.

Examples of measurable goals include:

- The Employment and Training Caseworker will recruit 25 eligible participants for the Employment and Training Program.
 - The Housing Caseworker will conduct 15 inspections per week.
 - The Program Office Director will conduct one Program Area Advisory Council Meeting each quarter.
- 4) Once the Work Plan is developed, a copy is provided to both the employee and the Executive Director.
 - 5) A sample format for Work Plans is contained in Section 10.

2. Performance Appraisals

- A) The expectations in the employee's job description and the quantitative objectives in the employee's Work Plan should be the basis for rating the employee's performance.
- B) Prior to completing the Annual Performance Appraisal, the supervisor will give the employee a Self Appraisal Form and set up a meeting to conduct the evaluation.
- C) At the time of the meeting, the supervisor and the employee will discuss both the Annual Performance Appraisal and the Self Appraisal.
- D) The original Annual Performance Appraisal and the Self Appraisal forms must be sent to the Executive Staff member by the established deadline. Copies will also be sent to Human Resources for inclusion in the employee's personnel file.
- E) .If a new supervisor has not supervised the employee for the entire appraisal period, then the employee's Work Plan and/or their previous supervisor should be used as guides in completing the appraisal.
- F) . The Performance Appraisal Form is contained in Section 10.

3. Performance Based Increases

- A. PathStone is committed to recognizing employees whose job performance exceeds established expectations. Employees who have demonstrated superior job performance as documented in their annual performance appraisal and through completion of all items on their work plan may be eligible to receive up to an additional 3% performance based increase in addition to the 2% COLA for a total increase of between 2% - 5%.

B: EMPLOYEE CONDUCT

1. Conflict of Interest:

A conflict of interest may exist when an employee or member of his/her immediate family benefits financially, or in any other economic way from a business relationship. It also includes when their interests or concerns may be regarded as competing with the interests or concerns of PathStone. A variety of situations raise conflict of interest concerns, including, but not limited to the financial and the other interest situations that are described below. PathStone employees shall avoid conflict of interest, or the appearance of conflict of interest when awarding financial assistance and in the conduct of procurement activities.

A. Financial Interests

- 1) Conflict may exist where an employee or member of his/her immediate family directly or indirectly benefits or profits as a result of a decision made, or a transaction entered into by PathStone.

Employees are prohibited from receiving gifts, fees, loans, or favors from suppliers, contractors, consultants, or financial agencies that obligate or induce compromised responsibilities to negotiate, inspect, audit, purchase or award contracts with the best interest of PathStone in mind.

Examples include situations where:

- a) PathStone contracts to purchase, or leases goods, services or properties from an employee, family member, or associate of an employee.
- b) PathStone purchases an ownership interest in, or invests in a business entity owned by an employee, family member, or associate of an employee.
- c) An employee is provided with a gift, gratuity, or favor over \$50 in value from a person or entity that conducts business with, or seeks to conduct business with PathStone.

B. Other Interests

- 1) Conflict may also exist where an employee or member of his/her family obtains a non-financial benefit or advantage that he or she would not have obtained in the absence of his/her relationship with PathStone, or when his/her duty or responsibility owed to PathStone conflicts with a duty or responsibility owed to some other organization. Examples include situations where:

- a) An employee seeks to make use of confidential information obtained from PathStone for his or her own benefit, or for the benefit of an associate and/or family member.

- b) An employee seeks to take advantage of an opportunity, or enable an associate or family member to take advantage of an opportunity, which he or she has reason to believe would be of interest to PathStone.

Disclosure of Actual or Potential Conflicts of Interest

Employees are expected to avoid situations which might be construed as conflicts of interest. All employees are under a continuing obligation to immediately disclose any actual or potential conflict of interest as soon as it is known, or reasonably should be known. All employees shall:

- Complete the annual Conflict of Interest questionnaire to fully and completely disclose the material facts about any actual or potential conflicts of interest.
- Complete the annual disclosure statement upon hire and update annually thereafter. An additional disclosure statement shall be filed at such time as an actual or potential conflict arises.

Procedures for Addressing Conflicts of Interest

Where an actual or potential conflict exists between the interests of PathStone and an employee with respect to a specific proposed action or transaction, the following procedures shall apply:

- An employee who has an actual or potential conflict of interest with respect to a proposed action or transaction of the corporation shall not participate in anyway in, or be present during, the deliberations and decision making of PathStone with respect to such action or transaction. The employee may, upon request, be available to answer questions or provide material factual information related to the proposed action or transaction.
- The President/CEO shall first determine whether an actual conflict of interest exists between PathStone and the employee. If it is determined that a conflict of interest does not exist, this policy will not apply to the proposed action or transaction.
- If a conflict of interest is determined to exist, the President/CEO shall determine whether the terms of the proposed transaction are fair and reasonable to PathStone and whether it would be possible, with reasonable effort, to find a more advantageous arrangement with a disinterested party or entity. In determining whether a more advantageous transaction or arrangement is available with a non-employee, the President/CEO is not required to take extraordinary steps, but is permitted to undertake an investigation into an alternative as is reasonable due diligence based on the existing facts and circumstances.
- The President/CEO may approve the proposed action or transaction with an employee upon finding that it is in the best interests of the corporation.

Violations of Conflict of Interest

If the President/CEO has reason to believe that an employee has failed to disclose an actual or potential conflict of interest, he/she shall inform the employee of the basis for such belief and afford the employee an opportunity to explain the alleged failure to disclose.

If, after hearing the response of the employee and making such further investigation as may be warranted in the circumstances, the President/CEO or board chairperson (as appropriate) determines that the employee has in fact failed to disclose an actual or possible conflict of interest, it shall take appropriate disciplinary and/or corrective action.

2. Dress Code:

PathStone employees represent the company each time they interact with clients, colleagues, and PathStone business partners. Therefore, each employee's dress, grooming, and personal hygiene should be appropriate for their work site and the job they perform.

A. General Dress and Appearance Standards with which all employees must comply:

- 1) Employees are expected to dress in a manner that is normally acceptable in similar business establishments.
- 2) Employees must report to work in neat, clean attire. Torn, dirty, or frayed clothing is unacceptable.
- 3) Clothing that is suggestive is not acceptable.
- 4) Clothing with words or images that may be offensive to other employees, clients or business partners is unacceptable. This includes images that are political or religious in nature, are sexually explicit, or use profanity.
- 5) Clothing that reveals an employee's stomach, back, chest, cleavage or undergarments is not permitted in the workplace.
- 6) At its discretion, PathStone may allow employees to dress in a more casual fashion than is normally required. On these occasions, employees are still expected to present a neat appearance and adhere to the dress and appearance standards outlined above.
- 7) Certain employees may be required to meet special dress and grooming standards such as uniforms, depending on the nature of their job.

B. Grooming Standards with which all employees must comply:

- 1) Hair must be neatly combed and groomed. Facial hair such as sideburns, moustaches, and beards must be neatly trimmed.
- 2) Tattoos should not be visible.

3. Handling Confidential Information:

All corporate, employee, and participant information is the property of PathStone Corporation. PathStone is committed to maintaining the confidentiality of this information at all times. Employees must be careful to take steps to safe-guard confidential information.

- A. The affairs of PathStone programs are confidential. Disclosures shall not be made to other employees or outside persons without specific approval from the responsible supervisor.
- B. Unauthorized disclosures of confidential business or client information and unauthorized removal of confidential material from personnel, accounting or program files are grounds for disciplinary action, up to and including immediate termination. This includes, but is not limited to client files, contracts, memoranda of agreement, correspondence, grant packages, fiscal or data reports and materials.
- C. The President/CEO, Executive Staff, Human Resources, and other necessary staff as designated by the President/CEO shall be the only individuals with access to employee personnel files. After contacting the Division Director, employees may view their own files under the supervision of the Human Resources Department.
- D. Employees of PathStone shall treat as confidential all information obtained from participants. Eligibility determinations, family development plans, assessments, and other program related client services planning records shall be used for demographic, reporting, and compliance purposes only. Any other use without written permission from the client may result in disciplinary action, up to and including immediate termination.
- E. All personal and personnel information relative to employees of PathStone is also confidential. Any requests for information must be processed according to agency policy. Employee references are included.
- F. In compliance with state and federal laws, PathStone is committed to protecting the privacy of its employees and participants. PathStone restricts access to information or documents containing social security numbers to individuals who have a legitimate business reason to access such information or documents. No employee of PathStone shall knowingly obtain, store, transfer, use, disclose, or dispose of a social security number that PathStone obtains or possesses except in accordance with the privacy policy.

4. Public Statements:

Employees of PathStone must receive prior approval from an Executive Director or the President/CEO in order to speak on behalf of the company. When designated to speak on behalf of the company, employees should ensure the accuracy of their statements and also respect the opinions of others at all times. Failure to adhere to the above standards may be grounds for disciplinary action, including termination of employment.

5. Outside Employment:

PathStone employees may hold paid positions outside of the company provided the following conditions are met:

- Outside employment does not interfere with or adversely affect the employee's ability to perform his/her job responsibilities.

- A conflict of interest does not exist.

6. Political Activities:

PathStone Corporation and its affiliates may not make contributions to Political Action Committees or to political campaigns. Employees may make personal contributions but may not direct others to make contributions. PathStone complies with the provisions of the Federal Hatch Act which prohibits employees of federally funded companies from engaging in certain partisan political activities.

A. Prohibited political activities:

- 1) Being a candidate for any public elective office in a partisan election.
- 2) Coercing fellow employees to make political contributions, contribute their time, or contribute items of value for political purposes.
- 3) Influencing employees to buy political fund-raising tickets.
- 4) Using authority or influence for the purpose of interfering with or affecting the results of an election or a nomination for office.
- 5) Denying promotion to any employee who does not vote for certain candidates.

B. Permitted Political Activities (conducted on personal time)

- 1) Registration and voting.
- 2) Expressing individual opinions on political subjects and candidates.
- 3) Being a candidate for public office in non-partisan elections. Under this statute, a nonpartisan election is one in which none of the candidates is to be nominated or elected as representing a national or state political party.
- 4) Making contributions to a political organization, or soliciting and collecting voluntary political contributions.
- 5) Campaigning for a candidate in a partisan election by making speeches, writing on behalf of the candidate, or soliciting voters to support or oppose a candidate.
- 6) Attending political meetings and rallies and serving on a committee that organizes or directs activities at a partisan campaign meeting or rally.
- 7) Being a member of or holding office in a political party, organization or club. And also attending meetings or taking an active part in the management of the club, organization or party.
- 8) Participation in political conventions, including being a candidate for or serving as a delegate.

- 9) Being a candidate in partisan elections for position of officer of a political party convention.
- 10) Originating, circulating and signing nominating petitions for candidates in a partisan election.
- 11) Participation in voter registration drives.
- 12) Using private automobiles to transport voters to the polls.
- 13) Serving as an election officer or clerk at the polls on Election Day.
- 14) Working on behalf of a partisan candidate or political party by acting as a checker, watcher, challenger, or similar position.

7. Interactions with Elected Representatives:

Communication and consultation with federal, state and local legislators, exclusively for the purpose of providing the necessary information in order to accomplish business goals, is not considered lobbying and is permitted. On the other hand, lobbying is not permitted during work hours.

8. Acceptance of Gifts, Favors and Entertainment:

PathStone employees may not give or accept gifts, payments, fees or services or other favors that influence, or appear to influence, the performance of their duties. In particular, PathStone employees shall not solicit nor accept any gift from an individual or organization that: (1) has or is seeking to obtain contractual or other business relations with PathStone; (2) conducts an operation or activity that may be affected by PathStone activities; or (3) has an interest that may be affected by the performance or nonperformance of the employee's duties.

The acceptance of meals and refreshments or entertainment of nominal value on infrequent occasions in the normal course of business is not prohibited. In addition, the acceptance of unsolicited gifts of nominal value (generally considered to be less than \$50 total value per gift, no more than twice per year per donor) is not prohibited when the gifts are of such nature as to indicate that they are merely tokens of respect or friendship and could not be construed as a bribe, payoff or secret compensation.

Employees with questions concerning the appropriateness of a gift or other item of value should contact the Senior Vice President for Human Resources, who will make a decision as to the disposition of the gift.

9. Representing PathStone:

Employee participation on boards of other corporations is encouraged. However, employees may not sign any agreements on behalf of another organization that involve PathStone funds.

Note: Staff invited to participate as an PathStone representative on another agency board must notify their supervisor and Division Director.

C: FRAUD AND ABUSE

The misuse of company resources including financial resources, work or leave time, or any other company resource is strictly prohibited. Confirmation of allegations of fraud or abuse may result in termination of employment, criminal charges and various other actions. Employees must cooperate with investigations.

1. Investigating Charges

- A. The Division Director will be notified immediately.
- B. The Division Director will review the information relating to the charge.
- C. If evidence supports allegations of fraud and abuse:
 - 1) The supervisor will meet with the employee to discuss the allegations and documentation.
 - 2) If as a result of step #1, the allegations are not dismissed, the employee will be subject to discipline up to and including termination, for the misuse of agency funds.
 - 3) The President/CEO will be notified of any termination for fraud and/or misuse of company resources.
 - 4) Local law enforcement will be notified in cases involving theft of funds or company equipment.
 - 5) If the company should suffer a financial loss through employee fraud and abuse, the Sr. Vice President of Human Resources will notify PathStone's Insurance Broker to determine the status of eligibility for coverage under the fidelity policy.
- D. If upon completion of an investigation, fraud or abuse is not found but improprieties or the appearance of misconduct is discovered, the employee will be confronted with the issue and placed on disciplinary probation.

Examples of inappropriate behavior include, but are not limited to: residential assistance payments made to members of the employee's immediate family who own rental property; staff involved in personal relationships with participants who authorize supportive services payments to the client.

D. WHISTLEBLOWER

PathStone is committed to the highest level of business conduct while ensuring a workplace that promotes openness and fairness. The company will not retaliate against an employee who in good faith has raised a complaint against some practice of PathStone or of another individual or entity with whom PathStone has a business relationship. Claims must be based on the reasonable belief that the practice is in violation of law, or a clear mandate of public policy.

This policy is intended to cover serious financial or programmatic concerns that could have significant impacts on the company, such as actions that violate company policy, may result in inaccurate reporting, or are fraudulent. This policy is intended to supplement, not replace the

administrative chain of command, personnel policies, or routine operational procedures. All employees are expected, in the normal course of business, to bring information regarding errors, or suggestions for improvement, to their supervisor.

PathStone intends to adhere to all laws and regulations that apply to the organization. The support of all employees is needed to attain the organization's goal of legal compliance.

1. Reporting Procedures:

A. *Level 1: Use specific procedures currently in place:* If a specific process already exists, employees are expected to follow procedures using the channels currently in place. Examples include reporting matters related to sexual harassment or conflicts of interest.

B. *Level 2: Inform supervisor:* If no specific procedure is in place for reporting the matter, employees are strongly encouraged to report to their supervisors in good faith, any breach of law, regulation, or company policy without fear of retaliation.

C. *Level 3: Inform Executive staff:* If an employee does not wish to report a breach to his/her supervisor or if no action has been taken at the local level, the employee may file a report with the Senior Vice President of Human Resources or the President/CEO. Allegations must be submitted in writing and may be reported anonymously, however, employees are encouraged to provide their names since follow-up questions may be necessary. Anonymous concerns may be investigated with the following being considered:

- Seriousness of the issue raised
- Credibility of the concern
- Likelihood of confirmation of the allegation from attributable sources

2. Evidence: Employees are not expected to prove the truth of an allegation. However, employees must demonstrate that there are reasonable grounds for concern and that these concerns are most appropriately handled through this procedure.

3. Investigation of the Complaint: After receiving the complaint, a Committee comprised of impartial Executive staff members will determine whether an investigation is the appropriate course of action. If an investigation is deemed appropriate, the form of investigation will be determined by the Committee. The employee will receive within ten (10) business days of the receipt of the written complaint:

- Acknowledgement that the complaint was received
- Indication (if known) as to how the matter will be dealt with

Upon resolution, a final report will be provided to the CEO and Board of Directors.

4. Harassment or Victimization: Harassment and/or victimization of an employee for providing information in accordance with this policy by any other PathStone employee will not be

tolerated. If an employee is determined to harass or victimize another employee complying with this policy, disciplinary action will be taken, up to and including termination.

- 5. False or Malicious Allegations:** Intentionally false, malicious or erroneous allegations are potentially damaging to the mission, reputation, and morale of PathStone. Employees making such insincere allegations may be subject to disciplinary action, up to and including termination.

E. DISCIPLINE

1. Policy

- A. It is the policy of PathStone that all employees are expected to comply with PathStone's standards of behavior and performance. Any non-compliance with these standards must be remedied.
- B. Under normal circumstances, PathStone endorses a policy of Progressive Discipline in which several attempts of varying degrees of severity are made to provide employees with notice of deficiencies and an opportunity to improve. PathStone does, however, retain the right to administer discipline in any manner it sees fit.
- C. This discipline policy does not modify the status of employees as employees-at-will or in any way restrict PathStone's right to bypass the disciplinary procedures outlined in this section.
- D. Disciplinary action may be taken for a number of reasons, including but not limited to:
 - 1) Insubordination – the willful refusal to follow a legitimate business-related request that is made by a supervisor or manager, or disrespectful language toward a supervisor or manager.
 - 2) Tardiness
 - 3) Unexcused or excessive absences-including the repeated use of Leave Without Pay
 - 4) Unsatisfactory job performance
 - 5) Use of Illegal Drugs or alcohol during PathStone Work Time
 - 6) Stealing or other misuse of agency or co-workers resources
 - 7) Willful violations of workplace safety procedures
 - 8) Any other conduct on the job not in keeping with acceptable standards of behavior generally associated with employment.
- E. The specific type of disciplinary action to be taken will be determined by the circumstances of each situation. The Division Director, in conjunction with the employee's immediate supervisor will determine the appropriate course of action.

- 1) Documentation of the reason for disciplinary action must be made in writing by the supervisor or other responsible employee recording such an occurrence.
 - 2) Such documentation must be placed in the employee's personnel file and she/he must be made aware of its contents.
 - 3) Such documentation shall be given to the Division Director and shall be used in determining disciplinary action.
- F. The Division Director has the authority to suspend any employee, with or without pay.
- G. Any employee involved in any type of disciplinary action must be notified in writing of any such action.

2. Progressive Discipline Procedure:

The following steps may be used to provide the employee with an opportunity to improve unsatisfactory performance. These steps are a guide, and PathStone is under no obligation to follow each step, as stated previously.

A. Step 1: Verbal Warning,

- 1) Meeting with the employee to discuss the matter and the action necessary to correct it
- 2) Document the meeting with a memo or note in the supervisor's own records indicating that the meeting has taken place.

B. Step 2: Written Warning. If there is a second occurrence, the supervisor should hold a corrective interview with the employee and take the following action:

- 1) Issue a written notice to the employee using the "Corrective Interview Form."
- 2) Warn the employee that a third incident will result in more severe disciplinary action; and
- 3) Prepare and forward to Human Resources a written report describing the first and second incidents and summarizing the action taken during the meeting with the employee. This information will be included in the employee's personnel file.

C. Step 3: Probation. If there are additional occurrences, the supervisor should take the following action, depending on the severity of the conduct:

- 1) Invoke disciplinary probation using the Notice of Disciplinary Probation.
- 2) Develop a written Corrective Work Plan specifying the actions, performance, attitude, etc. improvements that must be made if employment is to continue.

D. Step 4: Suspension

- 1) Suspension with pay for up to five (5) working days OR
- 2) Suspension without pay for up to five (5) working days
- 3) Suspension allows a supervisor time to discuss the situation with the Division Director, arrange a hearing if necessary, and develop a plan of action, to determine the final form of disciplinary action to be applied to the specific case.
- 4) A “Notice of Suspension” form will be completed by the immediate supervisor with verbal approval from the Division Director.
- 5) A copy shall be given the employee.
- 6) The original will be sent to Human Resources for filing in the employee’s personnel file.
- 7) Suspension without pay – a hearing should be arranged as soon as administratively possible.
- 9) The maximum period allowed for such suspension should be 30 working days.

E. Progressive Discipline procedures described above may also be applied to an employee who is experiencing a series of unrelated problems involving job performance and/or behavior.

3. Exceptions to the use of Progressive Discipline:

In cases involving serious misconduct, or any time the supervisor determines it is necessary, such as a major breach of policy or violation of law, the steps in Progressive Discipline may be disregarded. Upon consultation with the Division Director, the supervisor should suspend the employee immediately and if appropriate, recommend termination of the employee. Examples include, but are not limited to, violations such as:

- Stealing or other acts of dishonesty
- Drug or alcohol use on the job
- Extreme unexcused absenteeism
- Fighting or other violence in the workplace
- Bringing weapons to work
- Threats of violence
- Other serious health or safety violations

4. Employees Suspended Without Pay:

A. Employees suspended without pay from work will not accrue personal leave time, as no hours are being paid.

- B. Employees suspended without pay who have personal leave time accrued may choose to take their leave time to supplement their salary while on suspension
- C. Employees suspended without pay will not be paid any holidays that fall during the period of suspension

F. HARASSMENT

PathStone has a long-standing policy expressly prohibiting any and all forms of harassment in the work place, including behaviors and actions that foster a hostile work environment. All employees have the right to work in an environment that is free of all discrimination, including sexual harassment. It is the responsibility of management to keep the workplace free of any type of harassment based on race, color, religion, national origin, sex, age, sexual orientation or disability. Harassment is illegal and against company policy.

1. PathStone Harassment Policy

- A. PathStone prohibits offensive verbal or physical conduct of any nature.
- B. PathStone prohibits any and all unwelcome sexual advances toward staff, participants or volunteers.
- C. If such conduct is verified, disciplinary action, including the possibility of immediate termination will be taken.
- D. Employees who feel victimized by sexual harassment or any other form of harassment are encouraged to tell co-workers when their behavior is unwelcome. In addition, employees experiencing any form of harassment should immediately contact the Senior Vice President of Human Resources or the President/CEO. The allegations will be thoroughly investigated in a confidential manner, and if confirmed, appropriate corrective action will be taken.
 - 1) The information provided by individual employees in the course of an investigation, including their identities, will be kept confidential to the extent possible.
 - 2) No employee will be subject to any form of retaliation or discipline for pursuing a sexual harassment complaint or assisting in an investigation.
- E. Senior managers are responsible for communicating this policy, including informing subordinates of the behaviors and actions covered by this policy, and the consequences of these violations.

2. Definition of Sexual Harassment: Sexual Harassment is defined as undesirable, inappropriate sexual attention at work. Prohibited actions are those that link employment actions to sex, or that the recipient makes clear are unwelcome and uncomfortable. Examples of conduct prohibited by this policy include:

- A. Unwelcome, unwanted, or uncomfortable sexual advances or conduct.

- B. Requests for sexual favors.
- C. Other verbal or physical conduct of a sexual nature.

Example: A supervisor promises to promote or subordinate in return for a sexual relationship. If the subordinate refuses, the promotion is denied.

- D. Regular or repeated acts that unreasonably interfere with job performance or create an intimidating, hostile, or offensive work environment.

Examples: Offensive language, jokes, gestures, comments and displays of sexual pictures, cartoons, or objects.

- E. Intentional physical conduct that is sexual in nature, including but not limited to touching, pinching, patting, grabbing, hugging, kissing, or brushing up against another employee's body.
- F. Nonverbal actions including staring at a person's body, leaning over someone at a desk, offensive gestures, or circulating material depicting sexually explicit content.
- G. Physical assaults on another employee, including but not limited to: rape; sexual battery; molestation; or attempts to commit these acts.

3. Incidences that do not Constitute Sexual Harassment

- A. Complimenting a co-worker on his/her appearance in a matter-of-fact, non-sexual manner, without accompanying sexual gestures or looks.
- B. Co-workers mutually agreeing to have a personal relationship outside of the workplace. This situation would become harassment if one party chooses to end the relationship, the other party does not and continues pursuing the relationship, or if one party makes the relationship a condition of employment for purposes of continued employment, promotion opportunities, favorable performance appraisals, etc.

4. Conduct Guidelines:

- A. Always treat others with the same courtesy and respect with which you expect to be treated.
- B. Refrain from making statements that you would not make in the presence of those you respect, such as a supervisor or family member.

G. DRUG FREE WORKPLACE

1. Policy on a Drug and Alcohol-Free Workplace

- A. Statement of Purpose:

Employees are expected and required to report to work on time and in mental and physical condition to perform their job duties. Employees are therefore prohibited from reporting to work under the influence of drugs or alcohol. It is PathStone's intent and obligation to provide a drug and alcohol-free, healthful, safe and secure work environment. Drug and alcohol dependency are illnesses and a major health problem. These dependencies can also pose potential safety and security problems for employees, their co-workers, participants and the company. Employees requiring help in dealing with such issues are strongly encouraged to seek assistance. PathStone provides an Employee Assistance Program (EAP) to help employees deal with substance abuse and other problems that they and their family members may encounter. The EAP provides education and referral services for assessment and rehabilitation. Self-referrals to the EAP are kept confidential. Employees actively involved in substance abuse treatment may continue employment providing their illness does not interfere with their ability to safely and competently perform the duties of their position.

- B. PathStone prohibits the unlawful manufacture, distribution, dispensing, possession or use of controlled substances in the workplace. If such prohibited activities are discovered, specific action will be taken to eliminate prohibited activities and discipline any involved employee(s).
- C. Condition of Employment: As a condition of employment, all PathStone employees must comply with this policy.

Definitions	
Illegal Drugs	A controlled substance as it is used in schedules I through V of Section 202 of the Controlled Substances Act (21 U.S.C. 812), and further defined by regulation at 21 CFR 1300.11 through 1300.15.s.
Sale of drugs	Includes receipt of cash, other goods or services having a value and "gifts" as defined by New York State Law.
Use	Consumption by any means (injection, inhalation, etc.).
Possession	Ownership, presence in clothing, purses, bags, briefcases, or other items belonging to the individual, including desks and files.

2. Employee Responsibilities:

- A. Employees must notify the Sr. Vice President of Human Resources, in writing, within five (5) calendar days of any criminal conviction for drug related activities in the workplace.
- B. Employees must agree to abide by this policy as a condition of employment and verify agreement by signing the Drug Free Workplace Certification.
- C. Employees must immediately report incidents of drug or alcohol related activities by coworkers to the Divisional Director. Absolute confidentiality will be maintained.

3. Use of Alcohol during Work Hours:

- A. The use of alcoholic beverages by PathStone employees is strictly prohibited during normal working hours. Employees are expected to maintain mental and physical condition to perform their job duties. Providing program participants or other individuals conducting business with PathStone with alcohol during work hours at PathStone work sites is also prohibited. Violation of this policy will result in disciplinary action, up to and including termination.
- B. If applicable, PathStone may assist employees seeking treatment for alcoholism or alcohol abuse by providing up to three (3) months leave without pay to participate in a treatment program.
- C. PathStone will enforce its driving policy relative to high risk drivers and driving while intoxicated convictions as stated in Section II of this manual. In summary, any employee convicted of DWI or DWUI will be prohibited from driving PathStone vehicles and from transporting employees and participants. If driving is an integral part of the employee's position, such convictions may result in termination of employment.

4. Use of Other Legal Drugs during Work Hours:

- A. Legal drugs other than alcohol include medications prescribed by a physician and over-the-counter medications. PathStone prohibits the use or abuse of such drugs to the extent that an employee's job performance or fitness for duty is adversely affected.
 - 1) Employees being treated with a drug or controlled substance that may adversely affect their ability to perform their work must provide a written statement from their doctor.

5. Drug Testing:

- A. Legal basis: This policy is required by the U.S. Department of Transportation/Federal Highway Administration and is based on guidelines published by the U.S. Department of Health and Human Services (Log #ACYF-IM-HS-95-37; 12/12/95).
- B. Federal regulations require drug and alcohol testing of holders of Commercial Driver's Licenses. This requirement impacts all programs providing the transportation of children or any other program in which transportation of individuals is provided through the use of vehicles requiring the driver to possess a Commercial Driver's License (CDL).

6. Definitions:

- A. Testing: A complete program of drug and alcohol testing required by the Federal Highway Administration.
- B. Driving: An individual whose duties require the possession of a valid Commercial Drivers License (CDL). This applies to volunteer drivers as well.
- C. Employer: The entity for whom the driver performs duties.
- D. Vehicle: Any conveyance originally designed to seat 16 or more passengers including the driver.
- E. Company Business: Activities including, but not limited to, work performed on or in PathStone property including a company owned or leased vehicle, and work performed on or in a non-company vehicle being used for conducting company business; the term includes meal and break times.
- F. Drugs: Any and all controlled substances, such as but not limited to, marijuana, cocaine, amphetamines, PCP, opiates. The term “drugs” also includes prescriptions and over-the-counter medication which are being abused.
- G. Refusal to be Tested: (a) failing to provide an adequate specimen for a drug test without a valid medical explanation; (b) failing to provide adequate breath or an alcohol test without a valid medical explanation; (c) failing to submit to a test as directed and required by this policy; (d) engaging in any conduct which clearly obstructs the testing process.
- H. Safety Sensitive Functions include (a) Time spent waiting to be dispatched; (b) Time spent inspecting and servicing vehicles; (c) Time spent driving; (d) Time spent loading/unloading passengers; (e) Time spent repairing, obtaining assistance or remaining in attendance on a disabled vehicle.

- 7. Application:** Applies to all drivers required to hold CDL’s as part of their job qualifications, regardless if they are full time, part-time or volunteer.

8. Prohibition:

- A. CDL drivers are not allowed to consume alcohol within 4 hours preceding the performance of their employment related driving responsibilities.
- B. CDL drivers are not allowed to have alcohol, even in an unopened container, in the vehicle while driving or performing safety sensitive duties.
- C. Employers may not allow drivers to drive or perform other safety-sensitive duties if they know of drug or alcohol use in violation of these regulations.

D. Other restrictions as governed in the PathStone Drug Free Workplace Policy.

9. Types of Testing Required:

- A. Pre-Employment or Pre-Duty (alcohol excluded) – Testing that must occur before employment can begin; (a) all applicants for driver positions will be informed to report for a drug test. All offers to hire an applicant or transfer an existing employee into a driving position are contingent upon the applicant/employee:
- 1) signing PathStone’s authorization form to obtain drug test results from employers over the past 24 months. See Request to Obtain Drug & Alcohol Test Results form in Supervisor’s Appendix.
 - 2) taking the required drug test and obtaining a negative result;
 - 3) passing required physical exams, and
 - 4) Complying with any other conditions of employment.
- B. Reasonable Suspicion – When a driver’s behavior or performance demonstrates signs of alcohol or drug use. A clear explanation of the testing referral must be maintained. REASONABLE SUSPICION CHECKLIST (found in Supervisor’s Appendix) must be completed by the supervisor observing the behavior that will result in a testing referral. Specimen collections for reasonable suspicion testing will take place under the following circumstances:
- 1) When an employee’s error appears, on the basis of preliminary investigation, to have caused an accident, injury, or damage to PathStone property, employees or employee property.
 - 2) Based upon their appearance, speech, body odor or actions, a supervisor reasonably suspects that the employee’s ability to work may be impaired by alcohol and/or drugs; or the withdrawal effects of alcohol and/or drugs;
 - 3) The supervisor has knowledge of a current conviction for violation of a criminal drug statute.
- C. Post Accident – Any accident involving loss of life, or if the driver is cited for a moving traffic violation in connection with the accident. Alcohol Testing must be performed within 8 hours of the accident. Drug testing must be performed within 32 hours of the accident.
- D. **Random** – 25% of drivers will be tested for alcohol and 50% for drugs. Testing is to be unannounced. Dates must be spread throughout the year. Testing must be performed during the hours in which the driver would be performing safety-sensitive functions.

- E. **Return-to-duty** – Drivers who have tested positive for drugs or alcohol cannot resume driving or related safety-sensitive functions until they pass a return-to-duty test. This test need only be for the substance(s) whose misuse caused the driver to be removed from service.
- F. **Follow-up** – Positive test results will result in six (6) subsequent tests over each twelve (12) month period for the next five (5) years of employment.

Note: Testing must be performed by a third party and must not be punitive in nature. Refusal to submit to a reasonable suspicion test will be considered to be a positive test result. A positive test will result in termination of employment.
A driver who is directed to take a reasonable suspicion test will be placed on suspension from employment pending the test results.

10. Drug Testing Procedures for PathStone Drivers:

- A. Requirement to have a Written Policy – PathStone must have a written policy that is shared with affected staff. This detail memo will be provided to all drivers. The Employee Handbook provides a summary. The CERTIFICATION OF DRUG AND ALCOHOL TESTING POLICY TRAINING (Found in Supervisor's Appendix) must be signed and forwarded to Human Resources for inclusion in the employee's personnel file.
- B. Training Requirements – All Staff members who supervise drivers must complete at least one (1) hour of training on the recognition of drug and alcohol impairment in order to properly make reasonable suspicion determinations. Records of this mandatory training must be retained in the employee's file.
- C. Maintenance of Test Records – Test result records will be confidentially maintained by the Human Resources Division. PathStone will attempt to ensure that all aspects of the testing process are as private and confidential as reasonably practical. Test results will only be provided to the individual tested, individuals who need to know for business reasons and persons/entities required by law or regulation to receive such information.
- D. Use of Federally Approved Drug Testing Laboratory – In each location employing CDLs a federally approved drug testing laboratory must be utilized.
- E. Professional Services – The services of a qualified substance abuse professional must be available and will be made so through the Employee Assistance Program. The cost of any substance abuse treatment and rehabilitation will be the employee's responsibility.
- F. Positive Test Results

Note: 2 specimens are provided for each test. If the first test is positive, a second test will be performed at a different laboratory.

- 1) Alcohol concentrations between 0.02% and 0.039% will result in the employee being removed from duty for 24 hours. Return to duty testing is not required.
- 2) Alcohol concentrations of 0.04% or above will require immediate removal from duty. The driver will be referred to as a Substance Abuse Professional to determine appropriate

treatment or other action. Once back on duty, the driver will have to pass at least (6) follow-up alcohol tests.

- 3) If a Medical Review Officer (MRO) determines that a positive drug test is due to drug use in violation of FHWA's rules, the driver shall be removed from driving/safety-sensitive duties and shall be referred to a Substance Abuse Provider to determine appropriate treatment or other action. The driver cannot return to duty until passing a return-to-duty drug test. Once back to duty, the driver will have to pass at least six (6) follow-up drug tests.
- 1) If a driver is cited by law enforcement for driving under the influence of Alcohol or drugs, there are legal penalties including a 12 month suspension of the CDL.

11. Division Director Responsibilities:

It will be the responsibility of each Division Director operating programs requiring drivers with Commercial Drivers Licenses to assure proper notification, training, identification of qualified testing entities, and forwarding of test results to the Division of Human Resources to maintain compliance with this policy

SECTION 4: COMPENSATION

A: SALARY SCHEDULE

A schedule of base salaries for all PathStone positions is maintained by the Senior Vice President of Human Resources. The schedule consists of distinct base salary groupings based on the total value of established factors utilized to develop and rank all jobs.

The Board of Directors reviews and approves amendments to the schedule, including but not limited to:

- Base salary level changes for Year-Round positions.
- Base salary level changes for recurring Seasonal/Temporary positions.

B: ACTIONS AFFECTING SALARY LEVELS

1. Cost-of-Living Adjustments:

- A.** An annual cost-of-living increment of 2% will be given to eligible employees. Additional salary increases of 1% - 3% may be awarded to eligible employees through PathStone's Performance Appraisal system.
- B. Year-Round Employees:** The annual cost-of-living increment is provided to each year-round employee in August.
- C. Seasonal Employees:** Seasonal employees who complete their entire planned employment period, (i.e. did not resign or otherwise terminate employment prior to the end of the planned employment period), will receive the annual increment the following season. Employees may only receive the annual increment once per year.
- D. Per Diem and On Call/Substitute Employees:** Annual cost of living increment is not provided to Per Diem and On Call/Substitute employees. Base rates are reviewed periodically and may be adjusted depending on market factors, provisions of grant, and availability of funds.

2. Base Salary Increases: Base salary increases are made either when adjustments are needed to reflect competitive wages as identified in wage comparability surveys, or as duties or qualifications for certain positions change. All base salary increases, except those required by increases in the published Office of Management and Budget (OMB) poverty guidelines, must be approved by the Board of Directors.

A. Base Salary Increases due to wage comparability surveys or changes in OMB Poverty Guidelines:

- 1) Affected employee salaries below the new base will be raised to the new base salary.
- 2) Other salary rate adjustments may be made to existing staff to ensure consistency and fairness in salaries across the board. The Senior Vice President of Human Resources, Executive Staff and Board of Directors will determine what salary rate adjustments, if any, may be made to existing staff when the schedule of base salaries is increased. Any such adjustments will be made in a consistent manner for all affected employees.

- 3) All employee anniversary dates will remain the same.

B. Base salary increases due to increased responsibility: employees who take on more responsibility may be awarded a salary increase of two to ten percent if the increase is approved by the Personnel Committee of Executive Staff after reviewing the additional responsibilities (work plan and/or job description) and verifying funding. Such approval must be obtained prior to the salary change.

C: EMPLOYEE CLASSIFICATIONS

1. **Year Round:** When employment is continuous throughout the year, with no break in service. Due to business requirements, some programs may temporarily shut down, but temporary shutdowns are not considered breaks in service.
2. **Seasonal/Temporary:** When the scheduled employment period is less than twelve (12) consecutive months, ending with termination of employment.
3. **Full-Time/Part-Time:** Full-time employees are employees whose normal work week is thirty (30) or more hours. Part-time employees are employees whose normal work week is less than thirty (30) hours.
4. **Exempt/Non-Exempt:** Exempt employees are not eligible for overtime pay as defined and required by the Fair Labor Standards Act. This classification of employees generally includes administrative, management, and professional employees. Non-Exempt employees are eligible for payment of overtime wages.
5. **Per Diem:** Per Diem employees are those who work during non-business hours as Resident Aids in a 24 hour facility
6. **On Call/Substitutes:** May be year -round or seasonal. On Call/Substitute employees do not work regularly scheduled hours, rather they are only called in to work in the absence of other employees or to cover special circumstances.

D: EMPLOYEE WORK SCHEDULES

Full-time employees typically work forty (40) hours each week, including a thirty (30) minute paid lunch break. Any modifications to the normal work week must be scheduled in advance and approved by the employee's immediate supervisor.

- Lunch breaks in excess of thirty (30) minutes must be mutually agreed upon by the employee and their immediate supervisor.
- Employees taking a lunch break in excess of thirty (30) minutes should extend their work day by the amount of the additional time taken.

Sample Schedules:

9:00 a.m. to 5:00 p.m. with a ½ hour paid lunch break

Or

8:30 a.m. to 5:00 p.m. with a 1 hour lunch break

E: PAYROLL

1. **Payroll Work Week:** Begins at 12:01 am each Saturday, and ends at 12:00 midnight the following Friday.
2. **Payroll Work Day:** PathStone supports flexible work schedules. However, most employees work eight (8) hours within each twenty four (24) hour period, including a thirty (30) minute paid lunch.
3. **Pay Period:** Two (2) consecutive work weeks according to the annual payroll schedule issued by the CFO.
4. **Timesheets:** Year-round employees use PathStone's electronic timesheet system. Human Resources will provide personalized timesheets to seasonal employees and others as needed on a bi-weekly basis.
5. **Compensatory Time:** PathStone policy does not allow for compensatory time.
6. **Over Payment of Wages:** Any payments made in error will be deducted from future payroll checks.
7. **Documentation Required for Payment:** Payroll checks and other financial distributions will only be made after the Finance Department has received properly executed documentation (timesheets, per diem requests, mileage statements, etc.)
8. **Non-Exempt Employee Daily Attendance Log:** To assist non-exempt employees in completing accurate timesheets, employees are encouraged to record their daily work hours and tasks on a daily basis using the Employee Daily Attendance Log. Exempt employees are not required to complete a Daily Attendance Log.
9. **Overtime Pay:** Overtime is defined as hours worked in excess of forty (40) in a seven (7) day period – Saturday through the following Friday. All PathStone positions are either exempt (not eligible for overtime pay) or non-exempt (eligible for overtime pay) based on a series of tests outlined in the Fair Labor Standards Act (FLSA). The Fair Labor Standards Act considers overtime as approved if a supervisor permits a non-exempt employee to work more than forty

(40) hours during any work week. Additionally, PathStone must comply with regulations published by the Office of Management and Budget (OMB) for federally funded programs. This requires that the payment of overtime be kept to a minimum and that overtime is permitted only in extreme or unusual situations, and not on a routine basis.

Programs operated by PathStone that are not federally funded are not subject to these regulations and may permit overtime as needed in order to meet business needs.

Note: Generally, employees should not work overtime without prior approval from a supervisor. Federal regulations require that overtime hours be paid to the employee, regardless of approval, however employees who continually work un-approved overtime hours shall be subject to discipline.

10. Holiday Pay and Special Leave

- A. If the employee is part time and works fixed hours, she/he will receive holiday pay based on the number of hours regularly worked in a day.
- B. If the employee is part time and the number of hour worked varies from day to day, pay will be based on the average number of hours worked in the current pay period.

11. Falsification of Documentation: Falsification of payroll or other reimbursement documentation is grounds for disciplinary action up to and including immediate termination.

12. Payroll Deductions:

A. Mandatory Deductions

- 1) Payroll taxes: As required, are withheld from each employee's paycheck.
- 2) Court Ordered deductions will be made upon receipt of a properly executed court order or other legal document. Such deductions will cease only upon receipt of official authorization from the entity issuing the initial request.
- 3) Employee authorization is not required in order for the company to make these deductions

B. Voluntary Deductions:

- 1) Employees may elect to enroll in several voluntary programs that require payroll deductions. Examples include the Cafeteria Plan, contributions to the United Way, the Committee for Social Justice, Tax Sheltered Annuity, and the Employee Loan/Grant Fund.
- 2) Employees must provide written authorization in order for the company to make these deductions.
- 3) If you have questions regarding deduction codes please contact accounting.

SECTION 5: JOB STATUS CHANGES

A: EMPLOYEES UNDERGOING A POSITION CHANGE

1. Procedures for Employees Changing Positions

When an employee is changing positions, the supervisor will request approval from the Division Director and verification of correct salary level from Human Resources, then submit a Payroll/Personnel Action Form (PPA) indicating the change. See Supervisor's Appendix for more details.

B: PROMOTION

A promotion is defined as a move to a position in a higher salary group. Promotions are either competitive or noncompetitive as outlined in this policy.

Promotions are to be based on the employee's qualifications, demonstrated skills, abilities, and past performance evaluations. Promotions are to be provided without discrimination on the basis of race, age, gender, religion, disability, sexual orientation or national origin.

1. Competitive Promotions

A. In most circumstances, open positions at PathStone will be posted internally and externally. When an open position is posted, current employees are eligible to apply, provided they have passed the introductory employment period, have satisfactory performance reviews, and are not on disciplinary probation. When a promotion occurs as the result of a competitive hiring process, the new salary for the promoted employee will be calculated as follows:

Greater of:

- 5% increase over the employee's current rate of pay (**excluding** any temporary salary adjustments).

OR

- Base of the new position, plus any applicable steps according to the Salary Range Factor Policy (please note steps are not always automatically available)

2. Closed Promotions (Noncompetitive)

A. There are times when it is necessary to upgrade an existing job description due to significant changes in the level and complexity of the position responsibilities. If the employee currently in the position has consistently demonstrated the ability to perform at the higher level as required by the position on an on-going basis, and if the employee's current position will no longer exist, a closed promotion may be granted. In these cases upon approval by

Personnel Committee of Executive Staff, and verification of adequate funds, the employee may be promoted without going through a competitive process.

- B. If the upgraded position falls into a higher salary group, the employee's new salary will be calculated as detailed above. If the new position includes additional responsibility but falls within the same salary group, the employee may be awarded a 5% increase for additional responsibility. A 10% increase may be possible if there is a significant increase in responsibility; this must be approved by PathStone's Executive Staff.

C: DEMOTION

A demotion occurs when an employee is moved into a position with lower responsibility and a lower salary. Demotions may occur under the following circumstances:

1. Non-Disciplinary

- A. An employee would otherwise be laid off due to the elimination of his/her current position.
- B. A position is reclassified to a lower salary group due to decreased responsibility or as a result of a salary study.
- C. Due to funding reductions or other budgetary reasons.

2. Disciplinary

- A. An employee's job performance consistently falls below expectations and it is determined that the employee is otherwise qualified to perform another job in a lower salary group.

3. Demotion Procedure

- A. Demotion shall be recommended in situations as described above by the employee's immediate supervisor to the Division Director.
- B. The Division Director shall make the final decision regarding demotions.
- C. Employee assigned to a position in a lower base salary must accept a decrease in salary to comply with the salary level for the new position.

D: LATERAL TRANSFER

A lateral transfer occurs when an employee moves from one position to a new position in the same salary group. Lateral transfers may occur for a variety of reasons including: budgetary, changes in business needs or disciplinary.

Employees who are laterally transferred will generally remain at the same salary level.

E: TEMPORARY ASSIGNMENTS

Temporary assignments involve the short-term reassignment of qualified current employees to perform alternative duties, due to position vacancies, employee absences, illnesses, or other short-term business needs. Temporary assignments shall not exceed six (6) months.

1. Temporary Assignment Procedures

A. For any employee selected to function on temporary assignment, the direct supervisor will:

- 1) Meet with the employee selected to discuss the duties and responsibilities of that position
- 2) Obtain the employee's acceptance in writing
- 3) Obtain written approval from Division Director.
- 4) Conduct a program orientation as it relates to the function of the new assignment.

2. Compensation: Employees filling in temporarily for another position may receive the salary grade for the new position for the duration of the temporary assignment. This is dependent upon the availability of funds and the specifics of the temporary assignment (i.e. whether all or only a portion of the duties of the other position are being performed).

F: EMPLOYEE CLASSIFICATION CHANGES

Changing from one class of employment to another such as: year-round to seasonal, part-time to full-time; non-exempt to exempt; may impact an employee's anniversary, eligibility for benefits, personal leave, and eligibility for overtime.

1. Classification Change Procedure

A. Complete Section III: Change in Position, of Payroll Personnel Action Form (PPA)

G: SEPARATION FROM EMPLOYMENT

1. Voluntary: Employees may terminate their employment voluntarily with PathStone at any time. However, employees voluntarily terminating their employment with PathStone should do so in writing at least two (2) weeks prior to their planned termination date. All PathStone property must be returned no later than the employee's last day of work.

A. The employee's supervisor completes a "Payroll Activation/Termination Form" and "Employee Termination Clearance Report" and forwards it to the Human Resource Office along with time worked during the current pay period, in order to be processed so that

employee's final check may be computed. All credit cards, keys, identification cards and any other property of PathStone must be returned prior to the release of a final paycheck.

- B. Employees who do not report to work and who fail to call their supervisor to inform them of their absence for 3 consecutive days will be considered to have voluntarily resigned from their position.
- C. Employees who leave work unexpectedly without advising their supervisor and fail to return to work and do not present a legitimate reason by the next day will be considered to have voluntarily resigned from their position.
- D. Employees who voluntarily separate from employment with PathStone will not be eligible to receive severance pay.

2. Involuntary: Employees may be terminated as a result of disciplinary actions, reorganizations, reductions in force due to program requirements or other business reasons. Additionally, as an at-will employer, PathStone reserves the right to terminate employees at any time with or without cause.

- A. Due to the nature of PathStone's funding structure, reorganizations and other adjustments in staffing patterns occur periodically. Therefore, there is no position in this organization that is considered to be of a permanent nature. An employee can be terminated with or without cause.
- B. When circumstances so warrant, as determined by the Division Director, an employee may have to be involuntarily terminated for disciplinary or non-disciplinary reasons. Refer to Section 3:
EMPLOYEE PERFORMANCE & CONDUCT
- C. All terminations must be approved, in advance, by the Division Director. Human Resources under normal circumstances should review all recommendation for termination before any final action is taken.

3. Severance –

Employees who are laid off due to loss of funding, reorganization or restructuring may be paid severance at PathStone's discretion.

- A. PathStone will attempt to pay severance to employees who are laid off (non-disciplinary, involuntary termination) as long as the employee has completed at least one continuous year of service.
- B. Benefit: One (1) week salary for each continuous year of service, up to a maximum of ten (10) weeks of pay.
- C. In addition, employees receiving the Severance benefit will also be eligible for a "transition benefit" of 1/52nd (one week) of the current annual PathStone contribution for the Flexible Spending Account, multiplied by the number of consecutive years of service completed, with a maximum of ten (10) times the amount.
- D. Employees who receive severance pay will be required to fill out a Severance Agreement and other related paperwork prior to receipt of severance monies.

SECTION 6: EMPLOYEE BENEFITS

A: BENEFIT PROGRAM OVERVIEW

PathStone provides a competitive benefit program aimed at meeting the needs of its employees, while providing benefits in a cost effective manner. While the company intends to continue the benefits offered, it reserves the right to amend benefits as required by regulatory changes or changes in business needs.

B: BENEFITS REQUIRED BY LAW

By law, the following benefits must be provided to employees:

1. Social Security (FICA)

- A. Social Security provides retirement and disability income.
- B. Contributions are made by PathStone and the employee based on a formula established by Federal law.
- C. Employee contributions are made through payroll deduction.

2. Unemployment Insurance

- A. Each state establishes guidelines for this benefit.
- B. A minimum number of weeks must be worked in order to qualify.

3. Short Term Disability

- A. Provides a salary benefit for *non-work related* injuries or illnesses which render employees unable to work.
- B. A physician must certify this condition and the insurance carrier determines benefit eligibility based on information provided by the physician.
- C. A seven (7) calendar day waiting period is applied before benefits start. In other words, benefits are not payable until an employee is unable to work for at least seven (7) calendar days. Benefits are limited to a maximum of 26 weeks for each occurrence.
- D. Procedures:
 - 1) Employees and supervisors must consult with Human Resources in advance if an employee has a scheduled medical procedure which requires time off from work.

- 2) Supervisors should report all unplanned absences of three (3) or more days to Human Resources.
- 3) Employees are required to keep in contact with their supervisor to provide updates on their return-to-work plans.
- 4) Supervisors must keep Human Resources informed of an employee's return-to-work plans.

4. Worker's Compensation

- A. This benefit is paid completely by PathStone.
- B. Provides coverage for loss of wages and medical expenses incurred due to *work related injuries or illnesses*.
- C. Procedures:
 - 1) Work-related injuries and illness must be immediately reported to an employee's supervisor and Human Resources.
 - 2) A completed Accident/Injury report must be immediately faxed to the Benefits Administrator in Human Resources.
 - 3) Employees who miss time from work are required to keep in contact with their supervisor to provide updates on their return-to-work plans. Supervisors must keep Human Resources informed of an employee's return-to-work plans.
 - 4) Employees who have missed work due to an injury or illness who have seen a doctor must provide clearance from the doctor before returning to work.

- 5. COBRA Continuation Coverage:** Federal law requires that that PathStone give employees and their families the opportunity to continue their healthcare coverage when there is a qualifying event that would result in a loss of coverage under a PathStone sponsored group healthcare plan. Additional information regarding COBRA (Consolidated Omnibus Budget Reconciliation Act) can be obtained from Human Resources.

C: CAFETERIA PLAN

- 1. Year-Round Employees:** Eligible employees receive detailed enrollment information upon hire and during the annual open enrollment.
 - A. Employees working at least 14 hours/week are eligible for PathStone's Flexible Benefits Plan, under which employees may elect:
 - 1) Medical Insurance (for employees working 24 hours/week or more)
 - 2) Dental Insurance (for employees working 24 hours/week or more)

- 3) Supplemental Short and Long Term Disability Insurance
- 4) Healthcare Flexible Spending Account for anticipated out-of-pocket medical, dental or vision care expenses.
- 5) Dependent Care Flexible Spending Account for anticipated childcare or eldercare expenses incurred for eligible dependents.
- 6) Adoption Assistance Account for anticipated expenses related to a legal adoption. Employees may elect this account during Open Enrollment or any other time during the year.

B. Procedures:

- 1) Benefit Dollars (dollars used to purchase benefits) are determined annually by the Board of Directors.
- 2) Full-time employees enrolled in the plan for the entire calendar year receive the full amount of the company's annual contribution.
- 3) Part time employees working 14-29 hrs/wk are allocated ½ of the amount of benefit dollars allocated to full time staff.
- 4) Part time employees working less than 14 hrs/wk are not eligible to receive benefit dollars
- 5) New Employees hired during the Plan Year (January 1 - December 31) are eligible for a prorated benefit depending on the date of hire. The benefit is equal to 1/12th of the annual benefit times the number of remaining eligible months in the current plan year.
- 6) Participation begins the first of the month following the completion of 16 days of continuous employment.
- 7) Benefits elected under the Cafeteria Plan are in effect for the entire plan year. However, under IRS rules, an employee may change their election during the plan year if they have a qualified status change such as marriage, divorce, birth/adoption of a child, loss of spouse's medical coverage, or change in employment status of the employee (i.e. full-time to part-time).

2. Seasonal Employees

A. Seasonal employees have 2 benefit plan options:

- \$200 per month applied towards the cost of medical coverage provided by PathStone. This option is available to seasonal employees working at least 24 hrs/wk.

OR

- \$750 Healthcare Flexible Spending Account to be used for reimbursement of eligible medical, dental, or vision expenses incurred during the employment period. Participation in this option starts on an employee's date of hire. This option is available to seasonal employees working at least 14 hrs/wk.

D: TIME-OFF

- Holidays:** 10 paid holidays are observed each calendar year: PathStone reserves the right to modify the holiday schedule from time to time. The holidays for mainland US are: (for Puerto Rico, see addendum)

New Year's Day	Labor Day
Martin Luther King Day	Veteran's Day
President's Day	Thanksgiving Day
Memorial Day	Friday after Thanksgiving
July Fourth	Christmas Day

2. Personal Leave

A. General Considerations

- Employees wishing to take planned leave should submit an Application for Personal Leave Form (found in Section 10) at least one week prior to the date of the planned time off. This will provide both a timely notification to the supervisor of the request, and a formal means by which the supervisor can review and approve or disapprove the request.
 - There are legitimate programmatic reasons why taking leave of more than 3 days could be detrimental to the delivery of program services, and leave time must be coordinated with schedules of other staff and clients
- Any employee requiring unplanned leave time due to emergencies or other personal circumstances must contact the supervisor directly, no more than one hour after the work day begins. In positions where a substitute or temporary replacement will need to be found, employees must contact their supervisor at least one hour **prior** to the beginning of the work day.
- Employees who take more than one consecutive unplanned leave day must contact the direct supervisor each day of the leave.
- Employees may not use personal leave time during their first 90 days of employment
- Employees may not take Leave Without Pay (LWOP) if they have PTO time (current or prior year leave) available, except in the case of approved medical absences, see section on Family Medical Leave for more information.
- In cases where requests for Personal Leave are denied, the supervisor must arrange for that employee to take the desired amount of time off at a later date within his or her annual accrual period. That is to say, an employee cannot be denied the use of, or required to forfeit Personal Leave, which has accrued within the current twelve months in accordance with procedures stated above.

B Definitions

- 1) Accrued Personal Leave: paid leave time to provide employees with time off with pay for vacation, illness, and other personal needs not otherwise covered in this section.
- 2) Accrual Basis for Personal Leave: Personal leave accumulates at the specified rates each pay period based on years of service and hours paid.
- 3) Employees working less than full time (40 hours/week) will be prorated based on years of service and percent of full time equivalency (F.T.E.).
- 4) Accrual Period: Personal Leave will accrue on a twelve (12) month basis beginning and ending on the employees' anniversary date.
- 5) Absent Without Leave: Failure of the employee to notify the supervisor either prior to or within one hour of the beginning of work in the day of the unscheduled absence; the supervisor has the right to deny pay for that time if proper notification is not received from the employee.
- 6) Excused Unpaid Leave:
Absence from work for reasons other than those defined as "special leave," with no Personal Leave time accrued to compensate the lost time, and when the supervisor has been directly notified prior to the absence or within one hour of the beginning of the day of the unscheduled absence.
- 7) Leave Records: Records maintained on each employee by the finance office based on time sheets submitted on a bi-weekly basis.

C. Earning Rates

- 1) Per Diem and On Call/Substitute employees do not earn Personal Leave time
- 2) Personal Leave is earned each pay period in which work time is scheduled
- 3) Personal Leave is earned at a rate based on current years of service. Part time employees will receive a pro-rated amount, based on number of hours worked. Earning rates are:

Years of Service	Hours earned in 80 hr Pay Period	# hours per year FT	# days per Year FT
1 st year	4.61 hours	120 hours	15 days
2 nd year	5.23 hours	136 hours	17 days
3 rd year	6.16 hours	160 hours	20 days
4 th year	7.08 hours	184 hours	23 days
5 th year	7.69 hours	200 hours	25 days
6 th – 9 th year	8.61 hours	224 hours	28 days
10 th – 14 th yr	9.54 hours	248 hours	31 days
15 th – 19 th yr	9.84 hours	256 hours	32 days
20 & over	10.16 hours	264 hours	33 days

3) Utilizing Personal Leave for planned time away from work:

- An employee can only use Personal Leave time that has already been earned (indicated on most recent payroll stub)
- Personal Leave Time, which is accruing during the current pay period, cannot be taken until the first day of the next pay period.
- Personal Leave time will be paid to the employee in the paycheck that covers the period during which leave time was taken.

D. Personal Leave Time Carryover

- 1) A maximum of 96 hours may be carried into the next accrual period (based on anniversary date). Once it is carried over, it remains in the employee's account until it is used or cashed out. Additional carryover from subsequent periods will be added to this "account."
- 2) Hours carried into future accrual period will be added to any existing carryover balances, such as represented below:

Current Year of Service	Personal Leave Unused at Anniversary Date	Carried into Next Year as Prior Period Leave	Total Prior Period Leave Available to Use or Cash Out
1 st year	8	8	8
2 nd year	22	22	30
3 rd year	0	0	30
4 th year	112	96 (16 forfeited)	126
5 th year	15	15	141

Prior Period carryover can be saved, used as leave time take, or taken as taxable cash. All accrued Personal Leave will be paid to the employee upon termination of employment.

E. Cash-out of Prior Period Leave

- 1) Unused Current Period Personal Leave cannot be cashed out during the current accrual period. Cash out pertains only to Prior Period Leave and is requested on the Prior Period Leave Cash-Out Form , which may be found in Section 10.

For Example: An employee has a March 1st anniversary date. On February 28th that employee has 112 hours of current personal leave time. This employee can not cash-out 112 hours or any portion of this Current Leave Time. On March 1st the employee can cash out any of the carried over 96 hours.

- 2) Cash-outs are subject to payroll taxes
- 3) Prior Period Personal Leave may be cashed out at any time.

- F. Upon separation of employment, PathStone will pay to the separated employee accrued but unused Personal Leave Time (PTO) contingent upon the employee returning any and all equipment and property of the employer, including but not limited to keys, credit cards, cell phones and laptops; settling all travel advances, credit card bills, etc, and repaying any outstanding company loans.

Employees who fail to return company property or who owe money to the company will have the value of the equipment/property or the amount owed deducted from any PTO that is paid out.

3. Bereavement

Employees may receive up to three (3) consecutive work days of paid bereavement leave when the death of an immediate family member occurs. PathStone reserves the right to request evidence of the need for bereavement leave, including proof of death and proof of relationship.

Immediate Family members include:

- Husband/wife
- Son/daughter
- Mother/father
- Stepparent/stepchild
- Stepsister/step brother
- Domestic partner
- Sister/brother
- Grandparent/grandchild
- Aunt/uncle
- Niece/nephew
- Mother-in-law/father-in-law
- Son-in-law/daughter-in-law
- Sister-in-law/brother-in-law

4. **Public Service:** Employees on civil leave (jury duty) receive full pay from PathStone for the duration of their leave. Employees receiving payments from the courts in addition to their pay from PathStone are required to reimburse PathStone for any pay received from their civil leave.
5. **Military:** Employees on military leave are paid the difference between their regular pay and their military pay. Employees receiving military pay in addition to their full pay from PathStone are required to reimburse PathStone for any overpayments. Upon return from leave, PathStone will comply with Uniformed Services Employment and Reemployment Rights Act (USERRA).
6. **Child Rearing:** Employees are eligible for up to five (5) days of paid leave following the birth or adoption of a child, or after receiving full-time, legal custody of a child. The birth, adoption, or awarding of custody must occur after the employee's hire date. Leave must be taken within six (6) months of the birth, adoption or awarding of custody and may be taken on a consecutive or intermittent basis while the employee is out on medical leave or after the employee has returned to work. This benefit is in addition to leave granted under FMLA.

7. Medical Leave

Family and Medical Leave (FMLA): Eligible employees may request FMLA for the types of leave listed under "A", below. Upon returning from leave, eligible employees are entitled to return to the same or equivalent position with equivalent pay and benefits.

Eligibility: Under federal regulations, employees are eligible for leave if they have worked for PathStone at least twelve (12) months and at least 1,250 hours during the previous twelve (12) month period. In addition, the employee must work at a location where the company employs 50 or more employees within 75 miles. In accordance with Federal law, PathStone provides up to twelve (12) weeks of unpaid, job-protected leave per year (calculated on a rolling basis) to eligible employees for leave types 1 – 4 below, and up to 26 weeks for military caregiver leave.

A. Types of Leave Covered:

- 1) The birth of a child or placement of a child for adoption or foster care and in order to care for that child.
- 2) To care for a spouse, child or parent with a serious health condition (described below).
- 3) The serious health condition of the employee.

This policy covers illnesses of a serious and long-term nature, resulting in recurring or lengthy absences. A serious health condition is defined as a condition that requires inpatient care at a hospital, hospice or residential medical care facility or a condition that requires continuing care by a licensed health care provider. For chronic conditions requiring periodic health care visits for treatment, such visits must take place at least twice a year.

If an employee takes paid sick leave for a condition that progresses into a serious health condition and the employee requests unpaid leave as provided under this policy, the company may designate all or some portion of related leave taken as leave under this policy, to the extent that the earlier leave meets the necessary qualifications.

- 4) Qualifying exigency leave for families of members of the National Guard, Reserves and the regular Armed Forces when the covered military member is on covered active duty or called to covered active duty in support of a contingency operation.

An employee whose spouse, son, daughter or parent either has been notified of an impending call or order to active military duty or who is already on active duty may take up to 12 weeks of leave for reasons related to or affected by the family member's call-up or service. The qualifying exigency must be one of the following: 1) short-notice deployment, 2) military events and activities, 3) child care and school activities, 4) financial and legal arrangements, 5) counseling, 6) rest and recuperation, 7) post-deployment activities and 8) additional activities that arise out of active duty, provided that the employer and employee agree, including agreement on timing and duration of the leave.

The leave may commence as soon as the individual receives the call-up notice. This type of leave would be counted toward the employee's 12-week maximum of FMLA leave in a 12-month period.

- 5) Military caregiver leave (also known as covered servicemember leave) to care for an ill or injured servicemember.

This leave may extend to up to 26 weeks in a single 12-month period for an employee to care for a spouse, son, daughter, parent or next of kin covered servicemember with a serious illness or injury incurred in the line of duty on active duty. Next of kin is defined as the closest blood relative of the injured or recovering servicemember.

B. Use of Paid and Unpaid Leave

Generally speaking, FMLA time is unpaid leave. At the employee's option, accrued PTO may be used during the leave.

Disability leave for the birth of a child or for an employee's serious health condition, including workers' compensation leave (to the extent that it qualifies), will be designated as FMLA leave and will run concurrently with FMLA. For example, if an employee takes six weeks of pregnancy disability leave, the six weeks will be designated as FMLA leave and counted toward the employee's 12-week entitlement.

C. Advance Notice and Medical Certification:

- 1) The employee must fill out the "Request for Medical Leave" form, have it signed by his/her supervisor and Division Director, and submit it to Human Resources. This form may be found in Section 10.
- 2) The employee ordinarily must provide thirty (30) days advance notice when the leave is "foreseeable".
- 3) If the leave is not planned in advance, the employee must turn in the request as soon as the need for leave is known. A delay in paperwork may cause a delay or denial of benefits.
- 4) PathStone requires medical certification to support a request for leave resulting from a serious health condition and may require second or third opinions (at the employer's expense) and a fitness for duty report to return to work. The Medical Certification form may be found in Section 10.
- 5) The company will also require certification of the qualifying exigency for military family leave. This form may be found in Section 10 or may be obtained from Human Resources

D. Job Benefits and Protection

- 1) PathStone continues an employee's health coverage under all group health plans for the duration of the FMLA
- 2) Upon return from FMLA leave, employees are restored to their previous position or a position with equivalent pay, benefits, and other employment terms.
- 3) The use of FMLA leave will not result in the loss of any employment benefits that accrued prior to the start of an employee's leave.

E. Enforcement

- 1) The U.S. Department of Labor is authorized to investigate and resolve complaints of violation.

PathStone Medical Leave

Employees who do not meet the eligibility requirements for FMLA may be eligible for PathStone Medical Leave. The criteria for requesting PathStone Medical Leave is the same used for FMLA, however, this leave is not governed by FMLA regulations and does not guarantee job protection.

E: OTHER VOLUNTARY BENEFITS

The following additional benefits are made available to PathStone employees. The agency reserves the right to change these voluntary benefits. Please contact Human Resources for more information.

1. Employee Assistance Program (EAP)

PathStone provides an Employee Assistance Program (EAP) to help employees and their immediate family members deal with personal crisis, workplace conflicts, financial and legal issues and other problems that they and their family members may encounter. This phone and internet service is available 24 hours a day, 7 days a week. The toll-free phone number and internet access code are provided to employees upon hire.

In addition, the EAP program provides education and referral services for assessment and rehabilitation of substance abuse issues. EAP records are retained by the vendor. Employee specific information is kept confidential and is not reported to PathStone.

2. Employee Retirement Plan

PathStone's previous 403(b) plan was frozen to new contributions as of May 1, 2011. PathStone has adopted a retirement plan to provide employees with the opportunity to save for retirement on a tax-advantaged basis. This is a type of qualified retirement plan commonly referred to as a 401(k) Plan. As a participant in the Plan, employees may elect to contribute a portion of their compensation to the Plan. Participation in the Plan is voluntary. Employees make the entire contribution; there is no employer match. Eligible employees can enroll at any time.

3. Credit Union

Employees have access to a credit union which provides many of the same financial services as banks. Some of these services include: savings and checking accounts, direct deposit, credit cards, loans and online banking. Membership is voluntary and is available to employees and their family members.

4. Employee Emergency Grant/Loan Fund

Through a program funded entirely by PathStone employees, emergency financial assistance is available to employees who experience unanticipated financial hardships such as bereavement, housing emergencies and medical emergencies not covered by insurance.

Employees voluntarily contribute to the fund through payroll deduction. Both grants and loans are available upon review and approval of a committee of employees representing all divisions of the company.

Employees must be contributing for at least ninety (90) days prior to requesting assistance. Employees on any probation (initial or disciplinary) are not eligible to request assistance. Administrative fees (application fees and any overnight delivery charges) will be added to loan proceeds and amortized over the repayment period. All requests for assistance and related records are kept confidential. The Emergency Loan Request form may be found in Section 10.

A. Year-Round Employees:

1) Grants

- Available only to contributing employees
- Not paid back by employee
- Maximum \$1,000 per calendar year
- Employee must be contributing for at least ninety (90) days to qualify

2) Loans

a) Non-Contributing Employees:

- Maximum amount: \$500
- Maximum repayment period is 3 months

b) Contributing Employees

Maximum amount dependent upon level of bi-weekly contribution:

<u>Bi-weekly Contribution</u>	<u>Maximum Loan Amount</u>	<u>Maximum Repayment</u>
\$1.00-2.00	\$ 800	8 months
\$2.01-3.00	\$1,000	12 months
\$3.01-4.00	\$1,200	12 months
\$4.01-5.00	\$2,000	15 months

B. Seasonal Employees: Eligible to request a loan for up to \$200 if the employee has successfully completed at least one season of prior employment.

C. Per Diem Employees: Per Diem employees may request a loan of up to \$200.

F: STAFF DEVELOPMENT

- 1. Training:** Employee Training includes specific training activities either conducted by PathStone or provided through external sources, designed to assist employees in enhancing job performance. Training also includes initial training provided to new employees, employees

promoted into a new position and employees in positions requiring specialized or technical training provided by internal and/or external resources.

Internal administrative staff often conducts training related to company policies, procedures and employee benefits. Training may be mandatory, or may be requested by the employee or suggested by the supervisor. Employees are encouraged to express training needs to their immediate supervisor or Division Director. The Annual Evaluation form contains a section specifically for the purpose of outlining training needs.

- 2. Tuition Reimbursement (formerly Career Development):** Year-round employees with at least one year of service are eligible to request a tuition reimbursement benefit for courses taken through accredited colleges, universities and other educational institutions (credit or non-credit). The maximum amount available is \$600 per employee per calendar year.

These courses must directly relate to the improvement of the employee's ability to perform her/his job or improve upward career mobility within the agency. Courses must be part of a degree or certification program. Workshops and seminars typically do not qualify for financial assistance under this policy. PathStone will reimburse 80% of the cost, up to a maximum of \$600 per year, provided the employee attains at least a "C" in the course. For Pass/Fail or Satisfactory/ Unsatisfactory courses, a "Pass" or "Satisfactory" grade must be attained.

The form to request tuition reimbursement may be found in Section 10.

G: RETIREMENT PLAN

To assist employees in saving for their retirement, PathStone sponsors a qualified retirement plan in which the company annually contributes a minimum of 3% of eligible employees' annual earnings. Employees enter the plan on the October 1st nearest to the completion of one year of employment and attainment of age 21. An employee must work a minimum of 1,000 hours in a plan year (October- September) in order to receive an employer contribution. Employee contributions to the plan are not permitted. Employees become vested in their account balance after three (3) consecutive years of service. Detailed plan provisions can be found in the plan document, which can be obtained upon request from Human Resources.

SECTION 7: HEALTH & SAFETY

A: POLICY OVERVIEW

PathStone strives to conduct all of its operations and activities in a manner that will provide a safe work environment for employees. The prevention of work related illness or injury is a corporate priority that requires cooperation from all employees. In the event an employee becomes ill or is injured at work, and the incident is reported to PathStone, the company will take immediate action to obtain assistance for the employee.

B: BLOOD BORNE PATHOGENS

In compliance with federal (Occupational Safety and Health Administration “OSHA”) and state regulations, PathStone is committed to reducing the risk of occupational exposure to blood borne pathogens, and/or other potentially infectious materials. Blood borne pathogens are defined as disease causing micro-organisms that are present in human blood and can cause disease in humans. These pathogens include, but are not limited to, Hepatitis B Virus (HBV) and Human Immunodeficiency Virus (HIV). Other potentially infectious materials include saliva, semen, vaginal fluid and any body fluid that is visibly contaminated with blood.

1. Definitions

- A. **Blood:** human blood, human blood components and products made from human blood.
- B. **Blood borne Pathogens:** pathogenic microorganisms that are present in human blood and can cause disease in humans, including hepatitis B virus (HBV) and human immunodeficiency virus (HIV).
- C. **Other Potentially Infectious Materials:** Urine, feces, sputum, semen, wound drainage, any body fluids.
- D. **Contaminated:** presence or reasonably anticipated presence of blood or other potentially infectious materials on an item or surface.
- E. **Decontamination:** use of physical or chemical means to remove, inactivate, or destroy Blood borne pathogens on surface or item to the point where they are no longer able to transmit infectious particle and the surface or item is rendered safe for handling, use, or disposal.
- F. **Exposure Incident:** a specific eye, mouth, or mucous membrane, open skin, parenteral contact with blood or other potentially infectious materials that result from the performance of an employee’s duties.

- G. **Occupational Exposure:** reasonably anticipated skin, eye mucous membrane or parenteral contact with blood or other potentially infectious materials that may result from the performance of an employee's duties.
- H. **Parenteral:** piercing mucous membranes or the skin barrier through such events as needle sticks, human bites, cuts and abrasions.
- I. **Personal Protective Equipment:** is specialized clothing or equipment worn by an employee for protection against a hazard.
- J. **Universal Precautions:** an approach to infection control using the theory that all human blood and certain human body fluids are treated as if known to be infectious for HIV, HBV, and other blood borne infections.
- K. **Work Practice Controls:** work habits that reduce the likelihood of exposure by altering the manner in which a task is performed.

2. PathStone's Responsibilities

- A. Develop an Exposure Control Plan
- B. Ensure that the plan is accessible to employees at all times
- C. Review and update the Plan annually
- D. Provide annual training to employees who are determined to be at high risk
- E. Provide hand washing facilities readily accessible to employees;
- F. Ensure that contaminated needles or other sharp objects are not bent or removed, and are placed in appropriate containers immediately. These containers are to be labeled and disposed of properly.
- G. Prohibit storage of food and drink in refrigerators, freezers, cabinets, shelves, or on counter tops where blood or other potentially infectious materials are present.
- H. Prohibit other practices in clinical environments which may cause exposure to contaminated blood or fluids on equipment or medical specimens being examined.

3. Exposure Control Plan

- A. Exposure Determination - this is a list of job titles in which all employees in a position are occupationally exposed to Bloodborne Pathogens; a list of job classifications in which some employees are occupationally exposed; and a list of all tasks and procedures in which exposure occurs that are performed by any employee in the particular job classification;
- B. Certain program activities place staff at more risk for exposure to potentially hazardous materials, for example: care of young children in Child & Family Development Program

Centers and provision of outreach primary care to patients in the Migrant Health Program.

- C. Division Directors have identified classifications of employees who, in the performance of their duties may have
 - 1) Reasonably anticipated skin, eye, mucous membrane or parenteral contact with blood or other infectious material
 - 2) Reasonably anticipated contact with body fluids in situations where it is difficult to differentiate between body fluids
- D. Determination has been made with regard to responsibilities that might lead to a potential exposure. The employees in these positions shall receive blood borne pathogens training.

4. Implementation

A. Reporting exposures

- 1) An employee must immediately report any possible exposure to the supervisor in charge of location operations
- 2) The supervisor will immediately make available a confidential medical evaluation to the potentially exposed employee
- 3) Follow-up will be conducted which will include written documentation of:
 - a) The route(s) of exposure
 - b) Circumstances surrounding the exposure incident
 - c) Failure of control at the time of the exposure incident
 - d) Other important and descriptive information.

5. Compliance -Use of Universal Precautions & Work Place Controls

- A. Avoid direct contact with blood or other bodily fluids by using rubber gloves, masks, protective eye gear or other protective clothing.
- B. When helping anyone who is bleeding and gloves or other protective gear is not available, use a paper towel or any other protection to avoid direct contact with blood.
- C. Wash any exposed skin with soap and hot water immediately and thoroughly after exposure to potentially infectious materials.
- D. Washing with soap and warm water is required even when protective gear is used.

- E. Dispose of any protective gear or other materials carefully into segregated containers marked for infectious disposal.
- F. Supervisors must assure that properly stocked first aid kits and hazardous spill equipment are easily accessible to staff and that staff have received training in their proper use.
- G. When hand washing facilities are not feasible (i.e. field work) staff should be provided with antiseptic hand cleanser in conjunction with clean cloth/paper towels for emergency use until proper hand washing facilities can be accessed.
- H. Eating, drinking, smoking, applying cosmetics or lip balm, and handling contact lenses are prohibited in work areas where there is a reasonable likelihood of occupational hazard exposure.
- I. All procedures involving blood or other potentially infectious materials are performed in such a manner as to minimize splashing, spraying, spattering and generation of droplets of those substances.

J. Personal Protective Equipment

- 1) Provision – in situations of occupational exposure, PathStone will provide personal protective equipment such as gloves.
- 2) Use – employees will be instructed to appropriate personal protective equipment when situations warrant.
- 3) Accessibility – equipment will be readily available in various sizes. It is the employee's responsibility to notify management if appropriate supplies in the proper sizes are not available.
- 4) Cleaning & Disposal – all equipment must be properly cleaned/disposed of at no cost to the employee.
- 5) Repair/Replacement will be done at no cost to the employee.
- 6) Removal – Contaminated equipment will be removed as soon as feasibly possible in a manner consistent with local/state law.

K. Housekeeping

- 1) All work locations will be maintained in a clean and sanitary condition.
- 2) Decontamination – all equipment and working surfaces will be cleaned and decontaminated after contact with blood or other potentially infectious material.

L. Hepatitis B Vaccination, Post Evaluation Exposure & Follow-up

- 1) Hepatitis B Vaccine will be made available to employees in positions evaluated to be in an occupational exposure category as to warrant such preventative inoculation.
- 2) Upon any exposure to any potentially infectious source, vaccines will be made available within 24 hours at no cost to the employee.
- 3) Post Exposure Evaluation and Follow-up – At no cost to the employee, following a report of an exposure incident, a confidential medical evaluation and follow-up will be provided.
- 4) Health Care Professional's Written Opinion – PathStone will obtain and provide the employee with a copy of the health care professional's written evaluation within 14 days of the completion of the evaluation.

M. Communication Hazards to Employees

- 1) Labels and signs will be used in the handling of all hazardous or potentially hazardous materials
- 2) Employees will be provided with written instructions and training on occupational exposures.
- 3) Accurate records will be maintained on all occupational exposures including all available and pertinent information of the incident and the follow-up that occurred.
- 4) Records will be maintained for the duration of employment plus 30 years.

C: SERIOUS DISEASES IN THE WORKPLACE

PathStone recognizes that employees with serious diseases have the right to work as long as they can safely perform the essential functions of their job without risk to themselves or others. However, if there is uncertainty regarding an employee's fitness for work, PathStone reserves the right to require an employee to undergo a medical examination by a doctor chosen by the employer.

1. Role of Education

- A. Education is the key to the understanding of managing serious diseases in the workplace.
- B. Each Division Director will develop a program educating all employees on issues of prevention and safe work practices.

2. Confidentiality of Medical Records

- A. All benefits and medical records of employees are kept in separate, confidential files.

- B. PathStone reserves the right to require an employee to undergo a medical examination by a doctor chosen by an employer whenever there is a question regarding an employees' fitness to work
- C. Any reports will be evaluated by management and placed in the employees' confidential medical file.

D: RIGHT-TO-KNOW

OSHA requires that employers, such as PathStone, have a Right to Know policy. The Right to Know law requires that an employer's program provide a means to identify and evaluate a hazard and to communicate appropriate information to employees. PathStone employees shall be provided, and have access to, information concerning any hazardous material they work with, as well as any protective equipment necessary to prevent overexposure.

The primary source of information concerning hazardous materials is the material safety data sheet (MSDS). MSDSs are documents that identify hazardous constituents of a product, instructions for emergency response, and information pertaining to health hazards, flammability, and reactivity. MSDSs are required to be sent by the manufacturer of a hazardous material upon shipment of the material and upon request of an individual.

Individual divisions should have copies of MSDSs available for materials used by their employees. If new materials are purchased, a copy of the MSDS should be forwarded to Human Resources.

Whenever feasible, local work sites are encouraged to use environmentally friendly, non-hazardous, non-toxic materials.

E: REPORTING WORK-RELATED INJURIES OR ILLNESS

1. Employees are required by Workers compensation law to immediately report all work-related injuries or illness. See Section 6 for more information.
2. Supervisors must document each incident utilizing the Workers Compensation Incident Report Form. Each state has its own Incident Report Form. See Supervisor's Appendix for the forms, or you may access them in the PathStone Electronic Library. Copies of the form should also be available at each PathStone work site.
 - A. Completed forms are sent directly to Human Resources in the Central Office
 - B. Human Resources manages the flow of information to the appropriate Workers Compensation Office.
 - C. Failure to report any work-related injury can result in a number of adverse consequences including fines, delaying receipt of benefits, or denial of benefits.

- D. It is important for employees to understand the need to report even the most seemingly minor of injuries. Even if medical attention is not immediately needed, there may be the need for care in the future.

F: SAFETY

PathStone maintains a safety committee responsible for the development and implementation of safety procedures throughout the company. Employees periodically receive safety training and are expected to take an active role in maintaining safe working conditions. Any unsafe working conditions must be immediately reported at the local level and to the Safety Committee.

Each work site is responsible for developing (in collaboration with the Safety Committee) procedures for fire emergency, office evacuation and personal and office security.

G: FIRE PREVENTION

Each work site periodically conducts “test drills” to practice fire prevention and evacuation in the event of fire or other emergency.

1. Office locations must be maintained in a manner that will not promote fire.
2. Work and storage areas must be free of clutter and combustible materials.
3. Emergency Exits must be clearly marked.
4. Fire Extinguishers must be maintained in proper working condition and displayed prominently for emergency access.
5. Fire drills must be conducted to insure quick exit in case of fire.

H: SECURITY

PathStone takes measures to provide a secure work environment for its employees. In addition, employees are expected to take steps to protect their personal safety and the safety of others by immediately reporting any unsafe or suspicious situations to the company or law enforcement. Employees are personally responsible for personal items brought to work sites and are encouraged to secure valuables in locked areas at all times.

I: ALCOHOL AT PATHSTONE SPONSORED EVENTS

Agency funds shall not be used to purchase alcoholic beverages. All PathStone events such as staff meetings, board meetings, training sessions, retreats, etc. are covered by this policy. Exceptions may be made only if certain criteria are met. The criteria are spelled out on a form, which must be filled out prior to planning the event and must be submitted to the CEO for approval within the timeline specified on the form. The criteria include items such as:

- Prior approval by the CEO and,
- Alcohol is paid for with unrestricted funds, not government or grant monies and,
- The company/person dispensing the alcohol is licensed and insured and meets any other insurance requirements

J: SMOKE-FREE WORKPLACE

PathStone is committed to protecting and promoting the health, safety and well-being of its employees. Whereas environmental tobacco smoke is recognized as a cancer-causing substance and is a major airborne contaminant, it is the policy of PathStone to provide a smoke-free work environment whenever possible.

The smoking of tobacco or other products is prohibited in all PathStone work places, including company owned vehicles. For the purpose of this policy, a work place is defined as any work site and includes surrounding building entrances, opened windows, air intakes and any vehicle or mobile equipment used in the course of employment.

PathStone worksites may provide a “designated smoking place” where feasible. This designated place must be approved in advance by the Division Director overseeing the worksite, and must not be in front of building entrances, operable windows, or air intakes, as described above.

Smoking Cessation Assistance

PathStone is committed to supporting employees who wish to stop smoking. Employees may receive smoking cessation assistance through the company’s medical plan and/or Employee Assistance Program (EAP). Interested employees should contact the medical plan vendor and EAP for additional information.

SECTION 8: GENERAL POLICIES

A: EMPLOYEE EXPENSES

Employees who incur work-related, out-of-pocket expenses will be reimbursed by the company provided they obtain approval from their immediate supervisor. Eligible expenses include but are not limited to: mileage, travel and office supplies. Detailed Procedures can be found in the Fiscal Policies and Procedures Manual.

B: EMPLOYEE PARTICIPATION IN PATHSTONE PROGRAMS AND SERVICES

Employees may participate in and receive services from PathStone programs and services if they meet eligibility requirements for those programs. PathStone policy requires that any employee requesting participation in an PathStone program or service identify themselves as PathStone employees at the time the request for participation is submitted.

Immediate family members of employees and Board members are also eligible to receive PathStone services provided they meet required eligibility requirements.

C: HANDLING CASH

Employees must not request nor accept cash for services from program participants, vendors, or any other individual conducting business with PathStone.

D: CONSULTANTS & INDEPENDENT CONTRACTORS

PathStone requires the performance of services by various individuals in order to carry out its activities. The company evaluates whether an individual providing services should be classified as an employee or as an independent contractor (or consultant) before services are performed or payments are processed.

The general rule, defined by the IRS, states that an individual is **an independent contractor** if the company (PathStone) has the right to control or direct **ONLY** the result of the work and **NOT** the means and methods for completing the job. In addition, the individual is **NOT** supervised or controlled by PathStone.

An **employee-employer** relationship exists if PathStone has the right to control the details of what will be done **AND** how it will be done. An **employee** is supervised by PathStone.

Prior to engaging a service provider, an **Independent Contractor Pre-Hire Worksheet** must be completed and approved by the Division Director who makes the final determination regarding the individual's status. Division Directors requiring assistance in making this determination should consult with the Sr. Vice President of Human Resources.

E: INTERNET, EMAIL, AND COMPUTER USAGE

The use of PathStone automation systems, including computers, fax machines and all forms of Internet/Intranet access is for company business and authorized purposes only. Brief and infrequent personal use of the electronic mail system or the Internet is acceptable as long as it is not excessive or inappropriate and does not result in expense to PathStone. Personal use must occur during personal time (lunch or breaks). “Excessive” personal use is defined as use that interferes with normal job functions, responsiveness, or the ability to perform daily job responsibilities.

Use of PathStone computers, networks and Internet access is a privilege granted by management and may be revoked at any time. Employees violating this policy are subject to disciplinary action, up to and including termination of employment.

Inappropriate conduct includes but not limited to:

- Failing to log off any secure, controlled-access computer or other form of electronic data system to which the employee is assigned.
- Engaging in unlawful or malicious activities.
- Sending, receiving, or accessing pornographic materials.
- Using abusive, profane, threatening, racist, sexist or otherwise objectionable language in public or private email messages.
- Unauthorized copying of copyright protected material.
- Engaging in private or personal activities, including excessive use of instant messaging or chat rooms.
- Misrepresenting oneself or PathStone.
- Violating the laws and regulations of the United States or any other nation, state, city, province or other jurisdiction in any way.
- Sending chain letters or participating in any way in the creation or transmission of unsolicited commercial email (“spam”) that is not related to PathStone business.
- Causing congestion, disruption, disablement, alteration or impairment of PathStone computer networks and systems. Downloading personal files to the server is strictly prohibited.
- Defeating or attempting to defeat security restrictions on company systems and applications.

Access of Electronic Mail, Internet and Computer Files:

PathStone owns the rights to all data and files in any computer, network or other information system in the company. PathStone reserves the right to monitor electronic mail messages and their content, as well as Internet access and acquired content. In addition, PathStone has the right to inspect any and all files stored in private areas of the network or on employees' individual computers or storage media.

No employee may access another employee's computer, computer files, or electronic mail messages except in the case of supervisors who require access for legitimate business purposes. Supervisors must be informed of employee passwords for access to PathStone files in the case of employee absence.

Internet/Intranet Browser Usage:

The Internet is a business tool to be used to further PathStone's mission, provide effective service and to support other job-related tasks. Employees who violate company policy, copyright laws or licensing agreements will be held liable for any damages they incur.

Personal Blogs and Social Networking Sites

Employees who maintain personal blogs and/or social networking sites must adhere to the following guidelines:

- Do not blog on company time
- Do not disclose confidential company information
- Do not disparage PathStone, its employees or participants
- Do not use the company logo
- Be truthful and respectful

Personal Electronic Equipment:

Employees should not bring personal computers to work or connect them to PathStone electronic systems unless authorized by PathStone to do so. Any employee who brings a personal computer or image recording device to work (such as a camera phone or digital camera) thereby gives the company permission to inspect the personal computer or personal image recording device at any time to analyze any files or related data storage media.

F: OFFICE OPERATIONS

1. PathStone Office Hours/ Office Staffing

Operating Hours: Normal operating hours for all PathStone sites are 9 a.m. to 5 p.m. Monday through Friday.

Staffing: All sites must ensure that the offices of PathStone are sufficiently staffed in order to provide services and conduct business during normal operating hours.

Special Hours: As needed, sites may be required to operate during hours necessary to meet the special needs of the local population being served. If this causes a need for non-traditional

operating hours, the revised schedule must be approved in advance by the Division Director and the President/CEO.

Answer Line: All calls should be answered by a live person during business hours whenever possible. In the event that no one is available to answer, and/or it is after hours, there should be a message providing a phone number to call in case of emergency.

2. Emergency Office Closings: Weather and other unforeseen emergency situations may warrant the closing of an PathStone work site. Temporary work-site closings must be authorized by the Division Director and only under the following circumstances:

- State of Emergency has been declared in the county in which the work site is located.
- Law enforcement has warned against all unnecessary travel.
- An emergency condition has occurred that requires evacuation.
- Emergency situation at the work site has occurred, including fire, flooding, loss of heat or cooling, or other conditions posing a real or potential threat to staff.

Procedures:

- A. Division Directors must establish and communicate how office closings will be communicated to affected employees (i.e. identify radio station, local television station or phone message).
- B. Only Division Directors may authorize work site closings.
- C. Employees unable to report to work due to a work site closing will be paid for time missed.
- D. Employees who voluntarily fail to report to work or work a reduced schedule when the work site is officially open will be required to use personal leave time or leave without pay for any missed time.

G: RECORDS RETENTION

PathStone is committed to effective records retention to meet legal requirements, ensure privacy, minimize the cost of record retention and ensure the proper disposition of outdated records.

Different types of company records must be retained for specific periods of time. These records, which include electronic documents, must be retained for a period necessary to meet operational, administrative and legal requirements and must be disposed of according to established destruction schedules.

This policy provides general guidelines for the retention of records of PathStone Corporation, Inc, including corporate, financial, human resource and payroll records. Where specific retention policies are required by program funding sources, those requirements supersede the guidelines in this policy.

The following schedule lists specific records and their minimum retention periods:

Type of Record(Law)	Description of Record	Retention Requirements
Corporate (IRS)	Organizational Records <ul style="list-style-type: none"> Articles of incorporation, bylaws and related documents. Tax-exemption documents, IRS letter of determination and related documents. Board meeting documents including agendas, minutes, resolutions and related documents. 	Permanent.
Financial (IRS)	Tax Records <ul style="list-style-type: none"> Annual return and supporting documentation, including W2s. 	7 years from date of return or grant closeout, whichever is later.
	Accounts Payable Records <ul style="list-style-type: none"> Travel authorizations, expense reports, payment requests, etc. 	5 years from date of document creation.
	Real Property	Permanent.
Payroll (FLSA)	<ul style="list-style-type: none"> Payroll and related records showing an employee's personal information such as name, birth date and compensation. 	5 years after termination.
Human Resource (ADA,ADEA,ERISA,COBRA,FMLA)	<ul style="list-style-type: none"> Individual employment record, benefit plan documents and filings. 	7 years after termination date or filing date.
Worker's Compensation and Employee Medical Records (OSHA)	<ul style="list-style-type: none"> Records of occupational injuries and illnesses. Medical records/records of toxic substance exposure for each employee. Medical records related to disability, FMLA, reasonable accommodation and work-related medical tests. 	30 years after the date of injury/illness. Medical records must be maintained in a separate, confidential file for each employee.

All official records will be maintained at PathStone's Central Administrative offices, space permitting. Records will then be retained offsite as necessary for the duration of the retention period.

H: SIGNING CONTRACTS AND AGREEMENTS

PathStone authorizes certain employees to negotiate and execute contracts and agreements on behalf of the company. Only employees who have been assigned this authority may sign contracts and agreements on behalf of PathStone. Employees who are uncertain of their assigned authority should consult with their immediate supervisor or Division Director prior to signing any documents on behalf of the company.

I: TELEPHONE USAGE

PathStone phone service is provided as a resource to employees to conduct company business. Personal use of PathStone phone service should be kept to a minimum. Employees making long distance calls will be required to reimburse PathStone for the incurred expense.

In addition, employees are expected not to make or receive personal cellular phone calls that will interfere with working hours. These calls should normally be made on the employee's lunch/break time.

J: DOMESTIC VIOLENCE EMPLOYEE AWARENESS AND ASSISTANCE

Purpose of Policy

Domestic violence is defined as a pattern of coercive tactics which can include physical, psychological, sexual, economic and emotional abuse perpetrated by one person against an adult intimate partner, with the goal of establishing and maintaining power and control over the victim. In addition to exacting a tremendous toll from the individuals it directly affects, domestic violence often spills over into the workplace, compromising the safety of both victims and co-workers and resulting in lost productivity, increased health care costs, increased absenteeism, and increased employee turnover. PathStone is committed to providing a workplace in which domestic violence is not tolerated or excused. The workplace should be a safe environment. This policy is intended to increase awareness of domestic violence and help in responding to the needs of victims/survivors.

Definitions:

Terms used in this policy are defined as follows:

Domestic Violence:

A pattern of coercive tactics carried out by an abuser against a family or household member (the

victim) with the goal of establishing and maintaining power and control over the victim. These tactics can be physical, psychological, sexual, economic, and emotional.

Abuser:

A person who carries out a pattern of coercive tactics against a family or household member (the victim).

Victim:

The person against whom an abuser directs his/her coercive and violent acts.

Family or Household Member:

Includes persons legally married to one another; persons formerly married to one another; persons who have a child in common, regardless of whether such persons are married or have lived together at any time, and unrelated persons who are continually or at regular intervals living in the same household or who have in the past continually or at regular intervals lived in the same household.

1. Policy:

A. Education and Support for Employees Who Are Victims of Domestic Violence

1. PathStone will make available a list of resources for victims of domestic violence and abusers. The list will be posted in highly visible locations, such as bulletin boards and/or break rooms, and in the electronic library.
2. PathStone will make reasonable efforts to provide a safe environment for the victim-employee.
3. PathStone will not discriminate against a victim of domestic violence in hiring, staffing, or other terms, conditions, or privileges of employment.

B. Leave Options for Employees Who Are Victims of Domestic Violence

1. PathStone will make reasonable efforts to help victims who need time off for medical and legal assistance, court appearances, counseling, relocation, or to make other safety arrangements. To this end, PathStone will try to grant leave with or without pay and may adjust work assignments.

C. Employee Payroll and Benefit Change Request

1. PathStone will make reasonable efforts to get company benefits in the victim-employee's own name when the victim-employee leaves a spouse (or covered domestic partner).
2. PathStone will process the victim-employee's requests for making changes to his/her electronic payroll transfers.

D. Performance Issues Related to Being a Victim of Domestic Violence

1. PathStone is aware that victims may have performance problems such as chronic absenteeism or trouble concentrating as a result of domestic violence.

2. PathStone will make reasonable efforts to consider all aspects of the employee's situation and, to the extent possible, utilize all reasonable options to attempt to resolve the performance or conduct problem.
3. If reasonable attempts to resolve the performance problems are unsuccessful, PathStone may decide to terminate the employee or the employee may decide to resign. In that event, PathStone will inform the employee that he/she may be eligible for unemployment insurance.

E. Employees Who Commit Acts or Threats of Domestic Violence

1. Any employee who threatens, harasses or abuses a family or household member at, or from, the workplace will be subject to disciplinary action up to and including dismissal. This includes employees who use workplace resources such as phones, fax machines, e-mail, mail or other means to threaten, harass or abuse a family or household member.
2. Some job positions may give an employee access to certain types of information or resources. If he or she uses this access to enable an abuser to harm the victim, that employee will be subject to corrective or disciplinary action.

REFER TO THE FISCAL OPERATIONS MANUAL FOR THE FOLLOWING:

Asset Management
Business Travel
Equipment Inventory & Sale of Used Equipment
Fund Raising
In-Kind & Matching Funds
Leases
Operating Budgets
Petty Cash
Procurement
Voucher Authorization & Payment (VAPR)

SECTION 9: EMPLOYEE CONCERNS

A: OPEN DOOR POLICY

Every employee has the opportunity to discuss any work-related issue through open discussions with his or her supervisor. It is the responsibility of the supervisor to treat all employee concerns with respect. An employee may raise his or her concern with the next-level supervisor if the employee is not satisfied with the manner in which a particular issue is addressed by his or her immediate supervisor.

B: GRIEVANCE PROCEDURE POLICY

An employee who has experienced an adverse personnel action may contest the fairness of such action through the presentation of a formal written grievance pursuant to PathStone's Grievance Policy. To be eligible to file a grievance, an employee must have successfully completed his or her introductory employment period. Personnel actions covered by the Grievance Policy are limited to disciplinary terminations, demotions and unpaid suspensions. Questions concerning the interpretation of the Grievance Policy are to be resolved by the Sr. Vice President for Human Resources.

PathStone does not tolerate any form of retaliation against employees who avail themselves of the Grievance Policy. In addition, PathStone will take disciplinary action against any employee who intentionally or knowingly provides false information in connection with a grievance.

The Grievance Policy exists to provide employees who have successfully completed the introductory employment period with an internal process for contesting certain personnel decisions as described above. However, the existence of PathStone's Grievance Policy does not confer any rights upon employees. Employees are not to be represented by any third party during the grievance process, including but not limited to legal counsel.

The grievance procedure is as follows:

1. Filing of Grievance Form with Sr. Vice President of Human Resources:

Within ten business days of being informed of the adverse personnel action to be taken, the employee must submit a completed written grievance form to the Sr. Vice President of Human Resources, with a copy to the Division Director. The grievance form must include information on: the nature of the adverse personnel action contested, the employee's factual basis for contesting the adverse personnel action, and the remedy requested by the employee. The grievance form may be found in Section 10.

The Sr. Vice President of Human Resources will conduct an investigation of the circumstances surrounding the adverse personnel action and will provide the Grievance Committee with a written report documenting the results of the investigation as soon as practicable. In no event will this report be completed later than twenty (20) calendar days from the date of receiving the grievance form.

The Grievance Committee will schedule a grievance hearing within ten (10) business days of receiving the written report of the Sr. Vice President of Human Resources. At the grievance hearing, the employee and the employee’s supervisor will each be given an opportunity to make an oral presentation of the facts in support of their respective positions. Members of the Grievance Committee will be permitted to ask questions of the employee and the employee’s supervisor during the hearing. The Grievance Committee will make a good faith effort to schedule the grievance hearing at a date, time and location convenient to all parties. Due to budgetary and geographical considerations, a telephone conference call may be conducted instead of a face-to-face hearing.

The Grievance Committee will be comprised of two (2) Executive Staff members who are not in the grieving employee’s division, as well as the Sr. Vice President of Human Resources, who will be responsible for coordination of the meeting.

The Grievance Committee will provide the employee, the immediate supervisor, and the Division Director with its written decision resolving the grievance within five (5) business days of the grievance hearing.

2. Grievance Procedure for Executive Staff Members

Executive Staff members will follow the procedures outlined above; however the Grievance Committee will consist of at least two (2) members of the Personnel Committee of the Board of Directors.

C: STAFF FEEDBACK FORM

PathStone is interested in giving all staff the opportunity to express their views on PathStone’s performance as an employer. In addition to the Open Door Policy, staffs are invited to comment on employment practices they find beneficial, as well as those that could use improvement, through the Staff Feedback Form. This form may be found in Section 10.

Input can be designed confidential, however, if so chosen, it will be difficult to provide a specific response to the feedback. The form may be directed to the employee’s immediate supervisor, to the Division Director, or to the President/CEO.

This form is not intended to replace the established supervisory or communication systems, nor does it replace the formal grievance procedure. This form is intended to provide staff with a pro-active method of communicating issues and concerns to management.

SECTION 10: EMPLOYEE FORMS

1. PATHSTONE WORK PLAN
2. ANNUAL EMPLOYEE APPRAISAL FORM
3. APPLICATION FOR PERSONAL OR SPECIAL LEAVE
4. PRIOR PERIOD LEAVE CASH OUT
5. REQUEST FOR MEDICAL LEAVE
6. CERTIFICATION OF HEALTH CARE PROVIDER FOR EMPLOYEES OWN
SERIOUS HEALTH CONDITION FOR FMLA
7. CERTIFICATION OF HEALTH CARE PROVIDER FOR FAMILY MEMBER'S
SERIOUS HEALTH CONDITION FOR FMLA
8. CERTIFICATION OF QUALIFYING EXIGENCY FOR FMLA
9. CERTIFICATION OF SERVICEMEMBERS ILLNESS OR INJURY FOR FMLA
10. EMERGENCY GRANT/LOAN FUND APPLICATION
11. REQUEST FOR CAREER DEVELOPMENT FUNDS
12. REQUEST FOR GRIEVANCE HEARING
13. STAFF FEEDBACK FORM

PathStone Employee WorkPlan

Employee Name:		Position:			
Period Covered:		Supervisor:		Office:	

Key Areas of Responsibility <i>(Include the job description objective in this area.)</i>	Measure/Results/Expectations <i>Detailed measure or result that is expected, include specific numbers if possible</i>	Timeline/Frequency <i>(how often, by when, etc.)</i>	Actual Results <i>(Periodic review: supervisor and employee discuss results—what was achieved, where objectives met?) Add date of review</i>	Comments <i>(any additional comments that need to be added?)</i>

Signatures

Employee: _____	Date: _____
Immediate Supervisor: _____	Date: _____
Executive Staff: _____	Date: _____

PathStone

Employee Performance Appraisal

Employee Name:	Title:
Date:	Supervisor:
Period Evaluated:	through:

IN PREPARING PERFORMANCE APPRAISAL, PLEASE REVIEW THE FOLLOWING:

- ☐ Employee Job Description
- ☐ Individual Work Plan
- ☐ Last completed Performance Appraisal
- ☐ Notes taken during One-on-One or other sessions with employee
- Dates of One-on-Ones: _____

INSTRUCTIONS:

- Supervisor:** Fill out Part 1 –all ratings of “consistently surpasses expectations” and “fails to meet expectations” must have supporting comments. Furthermore, at least 50% of all items must have comments. Fill out Part II and attach copy of Work Plan, which must include progress towards goals. Fill out Part III (note: some areas should not be filled out until meeting with employee)
- Employee:** Part 1 is optional – supervisor may say you must fill it out or may inform you that it is your choice
Part II – fill out per instructions
Part III – a portion of this will be filled out together between employee and supervisor

PERFORMANCE LEVELS DEFINED

The following scale will be used throughout the appraisal to rate performance. Please carefully read the definitions to ensure that you are using the term that correctly expresses your assessment of the employee's performance.

5. Consistently surpasses expectations: Employees in this category clearly and consistently exceed performance standards and agreed upon objectives. Proactively assume additional responsibilities and achieve superior results. Establish superior relationships with staff and participants and external contacts at all levels. No areas of weakness.

4. Frequently exceeds expectations: Employees in this category have performance that meets the defined job expectations and in many instances, exceeds expectations. Performance is characterized by high achievement and the employee demonstrates planning and execution of functions with minimal guidance. No significant areas of weakness.

3. Fully Achieves Expectation: Employees in this category fulfill performance expectations as required by this position. Demonstrates good, solid, consistent performance.

2. Partially Meets Expectations: Employees in this category demonstrate performance that is uneven and not fully satisfactory, even though some performance standards may be met. Skill level and/or negative behaviors may have a detrimental impact on job performance results. Employee demonstrates an inconsistent level of achievement and/or requires more direction and guidance than normally expected.

1. Fails to Meet Expectations: Employees in this category generally fail to meet key performance criteria and expectations. Skill levels and/or negative behaviors have a detrimental impact on job performance results. Substantial improvement in performance, skills or attitude/behavior is essential for continued employment. ***(This rating requires a narrative description of supporting incidents as well as a corrective plan of action.)***

PERFORMANCE APPRAISAL Part I

Name:

Date:

Supervisor:

	Consistently Surpass Frequently Exceed Fully Achieve Partially Meet Fails to Meet	Any ratings of “consistently surpass” or “fails to meet expectations” must include comments. Please include comments on as many items as possible; at least half of the items must have comments.
1. Job Knowledge		COMMENTS
Understands position goals, responsibilities, and expectations.	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
Demonstrates the knowledge and skills required to perform the job, including policies/ procedures and technical expertise.	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
Attends and participates in trainings as requested/approved by supervisor and strives to improve job knowledge	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
2. Communication/Collaboration		
Written communication is neat, timely, grammatically correct and appropriate	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
Demonstrates effective listening skills and displays openness to other people's ideas and suggestions	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
Maintains a professional attitude with open communication and supports a positive environment in workplace	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
Maintains standards of confidentiality	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
Demonstrates teamwork – works effectively and cooperatively with others, offers support to others	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
3. Initiative		
Problem solves when confronted with challenges	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
Has on his/her own initiative developed/suggested new or improved methods of handling work	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
Takes personal responsibility for own learning and development	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
Strives to achieve individual, program and organizational goals	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
4. Responsibility		
Appropriately prioritizes work	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	

PERFORMANCE APPRAISAL Part I

Name:

Date:

Supervisor:

	Consistently Surpass Frequently Exceed Fully Achieve Partially Meet Fails to Meet	Any ratings of “consistently surpass” or “fails to meet expectations” must include comments. Please include comments on as many items as possible; at least half of the items must have comments.
Follows directions and instructions easily. Requires only routine checks on performance	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
Consistently meets deadlines. Adjusts to changing demands	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
Consistently punctual and rarely absent. Uses leave appropriately	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
Safeguards company resources, including supplies and property	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
5. Leadership		
Advocates for company and clients.	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
Demonstrates good decision-making and critical thinking skills	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
Provides appropriate guidance to subordinates/colleagues as needed	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
Focused on service delivery through establishing and maintaining positive relationships with internal and external customers.	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	

PART II – POSITION SPECIFIC

Please highlight a couple of the major tasks that were accomplished, either from work plan or items that were not on work plan but employee achieved. Or highlight a couple tasks that were not accomplished and give reason.

Task (may be a highlight from work plan or item that was completed that was not on work plan)	Progress/Accomplishment (or reason if not accomplished):

PART III – All Positions

Name:

Date:

Supervisor:

Areas to be developed - from Parts I and II	Agreed upon strategies for development, with timelines (Supervisor and employee discuss and fill in together):
1.	1.
2.	2.
3.	3.

Extent to which previous goals have been accomplished (see past Development Plans, Work Plans and/or Evaluations):

Training Requested by Employee:

Training Requested by Supervisor:

Additional Comments:

Overall Performance Assessment: ☐ Consistently Surpasses ☐ Frequently Exceeds ☐ Fully Achieves ☐ Partially Meets ☐ Fails to Meet

Employee Signature:

Date:

Supervisor Signature:

Date:

Executive Staff Signature:

Date:

Application for Personal or Special Leave

(Please attach to the time sheet)

Name: _____ Date: _____

Office: _____

I hereby apply for _____ hours of _____ Leave beginning on (specify day and time) _____ and ending _____.

I understand that Personal Leave cannot be authorized if it exceeds the amount of accrued leave available at the end of the most recent pay period.

Comments:

Signature of employee/ date: _____

Request Approved: _____ Request Denied: _____

If denied, please specify the reason(s): _____

Signature of supervisor/ date: _____

**Prior Period Leave Time
Cash-Out Request**

Name: _____ Employee Number: _____
Office: _____ State: _____

I am requesting a cash-out payment of _____ hours of prior period leave time. I understand that this must be time I accrued in prior periods. I further understand that the amount cannot exceed the amount shown on my pay stub as prior period leave.

Employee Signature: _____

FINANCE USE ONLY		
Received:	# Hrs. Prior Leave:	Notes:
	# Hrs. Cashed Out:	

REQUEST FOR MEDICAL LEAVE

Human Resources
400 East Avenue
Rochester, NY 14607
Tel: 585-340-3367
Fax: 585-340-3320/3335

Request for Family or Medical Leave must be made, if practical, least 30 days prior to the date the requested leave is to begin:

Please print:

Name: _____ Date: _____

Department _____ Title: _____

Status: ☐ Full-Time ☐ Part-time Seasonal/Temporary Employee # _____

Hire Date: _____ Length of Service: _____

I request family or medical leave for one or more of the following reasons:

☐ Because of the birth of my child and in order to care for him/her

Expected date of birth: _____ Actual date of birth: _____

Leave to start: _____ Expected return date: _____

☐ Because of the placement of a child with me for adoption or foster child for placement

Leave to start: _____ Expected return date: _____

☐ In order to care for my spouse, child or parent

Leave to start: _____ Expected return date: _____

☐ For a serious health condition that makes me unable to perform my job duties.*

Please describe: _____

Leave to start: _____ Expected return date: _____

**NOTE: A physician certification may be required for leave due to serious health conditions.*

For other reasons, please describe: _____

Leave to start: _____ Expected return date _____

☐ Requested intermittent leave schedule (if applicable; subject to the employer's approval)

Have you taken a family or medical leave in the past 12 months? ☐ Yes ☐ No

If yes, how many workdays? _____

I understand and agree to the following provisions:

- ☐ I have worked for my employer at least one year and at least 1,250 hours in the previous 12 months.
- ☐ If fail to return to work after the leave for reasons other than the continuation, recurrence or onset of a serious health condition that would entitle me to Medical Leave or other circumstances beyond my control, and if my employer requires it, I will be financially responsible for the medical premiums the company paid while I was on leave.
- ☐ This leave will be unpaid, unless it is company policy to be paid; or in the case of my won covered.
- ☐ I may be required to exhaust my paid vacation, personal or sick leave as part of my 12 weeks of leave.
- ☐ After 12 weeks of leave, if I do not return to work or contact my supervisor on the date intended, it will be considered that I abandoned my job.

Employee Signature _____ Date _____

LEAVE APPROVAL

For full day leave:

Supervisor Signature: _____ Date: _____

For intermittent or reduced day leave:

Supervisor Signature: _____ Date _____

Notes:

Sr. VP. Human Resources Signature: _____

PAYROLL INSTRUCTIONS

- ☐ With Pay from _____ to _____
- ☐ Without Pay from _____ to _____

Comments:

Certification of Health Care Provider for
Employee's Serious Health Condition
(Family and Medical Leave Act)

U.S. Department of Labor
Employment Standards Administration
Wage and Hour Division



OMB Control Number: 1215-0181
Expires: 12/31/2011

SECTION I: For Completion by the EMPLOYER

INSTRUCTIONS to the EMPLOYER: The Family and Medical Leave Act (FMLA) provides that an employer may require an employee seeking FMLA protections because of a need for leave due to a serious health condition to submit a medical certification issued by the employee's health care provider. Please complete Section I before giving this form to your employee. Your response is voluntary. While you are not required to use this form, you may not ask the employee to provide more information than allowed under the FMLA regulations, 29 C.F.R. §§ 825.306-825.308. Employers must generally maintain records and documents relating to medical certifications, recertifications, or medical histories of employees created for FMLA purposes as confidential medical records in separate files/records from the usual personnel files and in accordance with 29 C.F.R. § 1630.14(c)(1), if the Americans with Disabilities Act applies.

Employer name and contact: _____

Employee's job title: _____ Regular work schedule: _____

Employee's essential job functions: _____

Check if job description is attached: _____

SECTION II: For Completion by the EMPLOYEE

INSTRUCTIONS to the EMPLOYEE: Please complete Section II before giving this form to your medical provider. The FMLA permits an employer to require that you submit a timely, complete, and sufficient medical certification to support a request for FMLA leave due to your own serious health condition. If requested by your employer, your response is required to obtain or retain the benefit of FMLA protections. 29 U.S.C. §§ 2613, 2614(c)(3). Failure to provide a complete and sufficient medical certification may result in a denial of your FMLA request. 20 C.F.R. § 825.313. Your employer must give you at least 15 calendar days to return this form. 29 C.F.R. § 825.305(b).

Your name: _____
First Middle Last

SECTION III: For Completion by the HEALTH CARE PROVIDER

INSTRUCTIONS to the HEALTH CARE PROVIDER: Your patient has requested leave under the FMLA. Answer, fully and completely, all applicable parts. Several questions seek a response as to the frequency or duration of a condition, treatment, etc. Your answer should be your best estimate based upon your medical knowledge, experience, and examination of the patient. Be as specific as you can; terms such as "lifetime," "unknown," or "indeterminate" may not be sufficient to determine FMLA coverage. Limit your responses to the condition for which the employee is seeking leave. Please be sure to sign the form on the last page.

Provider's name and business address: _____

Type of practice / Medical specialty: _____

Telephone: (_____) _____ Fax: (_____) _____

PART A: MEDICAL FACTS

1. Approximate date condition commenced: _____

Probable duration of condition: _____

Mark below as applicable:

Was the patient admitted for an overnight stay in a hospital, hospice, or residential medical care facility?

___ No ___ Yes. If so, dates of admission: _____

Date(s) you treated the patient for condition: _____

Will the patient need to have treatment visits at least twice per year due to the condition? ___ No ___ Yes.

Was medication, other than over-the-counter medication, prescribed? ___ No ___ Yes.

Was the patient referred to other health care provider(s) for evaluation or treatment (e.g., physical therapist)?
___ No ___ Yes. If so, state the nature of such treatments and expected duration of treatment: _____

2. Is the medical condition pregnancy? ___ No ___ Yes. If so, expected delivery date: _____

3. Use the information provided by the employer in Section I to answer this question. If the employer fails to provide a list of the employee's essential functions or a job description, answer these questions based upon the employee's own description of his/her job functions.

Is the employee unable to perform any of his/her job functions due to the condition: ___ No ___ Yes.

If so, identify the job functions the employee is unable to perform: _____

4. Describe other relevant medical facts, if any, related to the condition for which the employee seeks leave (such medical facts may include symptoms, diagnosis, or any regimen of continuing treatment such as the use of specialized equipment):

PART B: AMOUNT OF LEAVE NEEDED

5. Will the employee be incapacitated for a single continuous period of time due to his/her medical condition, including any time for treatment and recovery? ☐ No ☐ Yes.

If so, estimate the beginning and ending dates for the period of incapacity: _____

6. Will the employee need to attend follow-up treatment appointments or work part-time or on a reduced schedule because of the employee's medical condition? ☐ No ☐ Yes.

If so, are the treatments or the reduced number of hours of work medically necessary?

☐ No ☐ Yes.

Estimate treatment schedule, if any, including the dates of any scheduled appointments and the time required for each appointment, including any recovery period:

Estimate the part-time or reduced work schedule the employee needs, if any:

_____ hour(s) per day; _____ days per week from _____ through _____

7. Will the condition cause episodic flare-ups periodically preventing the employee from performing his/her job functions? ☐ No ☐ Yes.

Is it medically necessary for the employee to be absent from work during the flare-ups?

☐ No ☐ Yes. If so, explain:

Based upon the patient's medical history and your knowledge of the medical condition, estimate the frequency of flare-ups and the duration of related incapacity that the patient may have over the next 6 months (e.g., 1 episode every 3 months lasting 1-2 days):

Frequency: _____ times per _____ week(s) _____ month(s)

Duration: _____ hours or _____ day(s) per episode

ADDITIONAL INFORMATION: IDENTIFY QUESTION NUMBER WITH YOUR ADDITIONAL ANSWER.

Certification of Health Care Provider for
Family Member's Serious Health Condition
(Family and Medical Leave Act)

U.S. Department of Labor
Employment Standards Administration
Wage and Hour Division



OMB Control Number: 1215-0181
Expires: 12/31/2011

SECTION I: For Completion by the EMPLOYER

INSTRUCTIONS to the EMPLOYER: The Family and Medical Leave Act (FMLA) provides that an employer may require an employee seeking FMLA protections because of a need for leave to care for a covered family member with a serious health condition to submit a medical certification issued by the health care provider of the covered family member. Please complete Section I before giving this form to your employee. Your response is voluntary. While you are not required to use this form, you may not ask the employee to provide more information than allowed under the FMLA regulations, 29 C.F.R. §§ 825.306-825.308. Employers must generally maintain records and documents relating to medical certifications, recertifications, or medical histories of employees' family members, created for FMLA purposes as confidential medical records in separate files/records from the usual personnel files and in accordance with 29 C.F.R. § 1630.14(c)(1), if the Americans with Disabilities Act applies.

Employer name and contact: _____

SECTION II: For Completion by the EMPLOYEE

INSTRUCTIONS to the EMPLOYEE: Please complete Section II before giving this form to your family member or his/her medical provider. The FMLA permits an employer to require that you submit a timely, complete, and sufficient medical certification to support a request for FMLA leave to care for a covered family member with a serious health condition. If requested by your employer, your response is required to obtain or retain the benefit of FMLA protections. 29 U.S.C. §§ 2613, 2614(c)(3). Failure to provide a complete and sufficient medical certification may result in a denial of your FMLA request. 29 C.F.R. § 825.313. Your employer must give you at least 15 calendar days to return this form to your employer. 29 C.F.R. § 825.305.

Your name: _____
First Middle Last

Name of family member for whom you will provide care: _____
First Middle Last

Relationship of family member to you: _____

If family member is your son or daughter, date of birth: _____

Describe care you will provide to your family member and estimate leave needed to provide care:

Employee Signature _____ Date _____

SECTION III: For Completion by the HEALTH CARE PROVIDER

INSTRUCTIONS to the HEALTH CARE PROVIDER: The employee listed above has requested leave under the FMLA to care for your patient. Answer, fully and completely, all applicable parts below. Several questions seek a response as to the frequency or duration of a condition, treatment, etc. Your answer should be your best estimate based upon your medical knowledge, experience, and examination of the patient. Be as specific as you can; terms such as "lifetime," "unknown," or "indeterminate" may not be sufficient to determine FMLA coverage. Limit your responses to the condition for which the patient needs leave. Page 3 provides space for additional information, should you need it. Please be sure to sign the form on the last page.

Provider's name and business address: _____

Type of practice / Medical specialty: _____

Telephone: (____) _____ Fax: (____) _____

PART A: MEDICAL FACTS

1. Approximate date condition commenced: _____

Probable duration of condition: _____

Was the patient admitted for an overnight stay in a hospital, hospice, or residential medical care facility?

___ No ___ Yes. If so, dates of admission: _____

Date(s) you treated the patient for condition: _____

Was medication, other than over-the-counter medication, prescribed? ___ No ___ Yes.

Will the patient need to have treatment visits at least twice per year due to the condition? ___ No ___ Yes

Was the patient referred to other health care provider(s) for evaluation or treatment (e.g., physical therapist)?

___ No ___ Yes. If so, state the nature of such treatments and expected duration of treatment:

2. Is the medical condition pregnancy? ___ No ___ Yes. If so, expected delivery date: _____

3. Describe other relevant medical facts, if any, related to the condition for which the patient needs care (such medical facts may include symptoms, diagnosis, or any regimen of continuing treatment such as the use of specialized equipment):

PART B: AMOUNT OF CARE NEEDED: When answering these questions, keep in mind that your patient's need for care by the employee seeking leave may include assistance with basic medical, hygienic, nutritional, safety or transportation needs, or the provision of physical or psychological care:

4. Will the patient be incapacitated for a single continuous period of time, including any time for treatment and recovery? ☐ No ☐ Yes.

Estimate the beginning and ending dates for the period of incapacity: _____

During this time, will the patient need care? ☐ No ☐ Yes.

Explain the care needed by the patient and why such care is medically necessary:

5. Will the patient require follow-up treatments, including any time for recovery? ☐ No ☐ Yes.

Estimate treatment schedule, if any, including the dates of any scheduled appointments and the time required for each appointment, including any recovery period:

Explain the care needed by the patient, and why such care is medically necessary: _____

6. Will the patient require care on an intermittent or reduced schedule basis, including any time for recovery? ☐ No ☐ Yes.

Estimate the hours the patient needs care on an intermittent basis, if any:

_____ hour(s) per day; _____ days per week from _____ through _____

Explain the care needed by the patient, and why such care is medically necessary:

7. Will the condition cause episodic flare-ups periodically preventing the patient from participating in normal daily activities? ____ No ____ Yes.

Based upon the patient's medical history and your knowledge of the medical condition, estimate the frequency of flare-ups and the duration of related incapacity that the patient may have over the next 6 months (e.g., 1 episode every 3 months lasting 1-2 days):

Frequency: ____ times per ____ week(s) ____ month(s)

Duration: ____ hours or ____ day(s) per episode

Does the patient need care during these flare-ups? ____ No ____ Yes.

Explain the care needed by the patient, and why such care is medically necessary: _____

ADDITIONAL INFORMATION: IDENTIFY QUESTION NUMBER WITH YOUR ADDITIONAL ANSWER.

Signature of Health Care Provider

Date

PAPERWORK REDUCTION ACT NOTICE AND PUBLIC BURDEN STATEMENT

If submitted, it is mandatory for employers to retain a copy of this disclosure in their records for three years. 29 U.S.C. § 2616; 29 C.F.R. § 825.500. Persons are not required to respond to this collection of information unless it displays a currently valid OMB control number. The Department of Labor estimates that it will take an average of 20 minutes for respondents to complete this collection of information, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. If you have any comments regarding this burden estimate or any other aspect of this collection information, including suggestions for reducing this burden, send them to the Administrator, Wage and Hour Division, U.S. Department of Labor, Room S-3502, 200 Constitution Ave., NW, Washington, DC 20210.

DO NOT SEND COMPLETED FORM TO THE DEPARTMENT OF LABOR; RETURN TO THE PATIENT.

Certification of Qualifying Exigency
For Military Family Leave
(Family and Medical Leave Act)

U.S. Department of Labor
Employment Standards Administration
Wage and Hour Division



OMB Control Number: 1215-0181
Expires: 12/31/2011

SECTION I: For Completion by the EMPLOYER

INSTRUCTIONS to the EMPLOYER: The Family and Medical Leave Act (FMLA) provides that an employer may require an employee seeking FMLA leave due to a qualifying exigency to submit a certification. Please complete Section I before giving this form to your employee. Your response is voluntary, and while you are not required to use this form, you may not ask the employee to provide more information than allowed under the FMLA regulations, 29 C.F.R. § 825.309.

Employer name: _____

Contact Information: _____

SECTION II: For Completion by the EMPLOYEE

INSTRUCTIONS to the EMPLOYEE: Please complete Section II fully and completely. The FMLA permits an employer to require that you submit a timely, complete, and sufficient certification to support a request for FMLA leave due to a qualifying exigency. Several questions in this section seek a response as to the frequency or duration of the qualifying exigency. Be as specific as you can; terms such as "unknown," or "indeterminate" may not be sufficient to determine FMLA coverage. Your response is required to obtain a benefit. 29 C.F.R. § 825.310. While you are not required to provide this information, failure to do so may result in a denial of your request for FMLA leave. Your employer must give you at least 15 calendar days to return this form to your employer.

Your Name: _____
First Middle Last

Name of covered military member on active duty or call to active duty status in support of a contingency operation:

First Middle Last

Relationship of covered military member to you: _____

Period of covered military member's active duty: _____

A complete and sufficient certification to support a request for FMLA leave due to a qualifying exigency includes written documentation confirming a covered military member's active duty or call to active duty status in support of a contingency operation. Please check one of the following:

- ☐ A copy of the covered military member's active duty orders is attached.
- ☐ Other documentation from the military certifying that the covered military member is on active duty (or has been notified of an impending call to active duty) in support of a contingency operation is attached.
- ☐ I have previously provided my employer with sufficient written documentation confirming the covered military member's active duty or call to active duty status in support of a contingency operation.

PART A: QUALIFYING REASON FOR LEAVE

1. Describe the reason you are requesting FMLA leave due to a qualifying exigency (including the specific reason you are requesting leave):

2. A complete and sufficient certification to support a request for FMLA leave due to a qualifying exigency includes any available written documentation which supports the need for leave; such documentation may include a copy of a meeting announcement for informational briefings sponsored by the military, a document confirming an appointment with a counselor or school official, or a copy of a bill for services for the handling of legal or financial affairs. Available written documentation supporting this request for leave is attached. ☐ Yes ☐ No ☐ None Available

PART B: AMOUNT OF LEAVE NEEDED

1. Approximate date exigency commenced: _____

Probable duration of exigency: _____

2. Will you need to be absent from work for a single continuous period of time due to the qualifying exigency? ☐ No ☐ Yes.

If so, estimate the beginning and ending dates for the period of absence:

3. Will you need to be absent from work periodically to address this qualifying exigency? ☐ No ☐ Yes.

Estimate schedule of leave, including the dates of any scheduled meetings or appointments: _____

Estimate the frequency and duration of each appointment, meeting, or leave event, including any travel time (i.e., 1 deployment-related meeting every month lasting 4 hours):

Frequency: _____ times per _____ week(s) _____ month(s)

Duration: _____ hours _____ day(s) per event.

PART C:

If leave is requested to meet with a third party (such as to arrange for childcare, to attend counseling, to attend meetings with school or childcare providers, to make financial or legal arrangements, to act as the covered military member's representative before a federal, state, or local agency for purposes of obtaining, arranging or appealing military service benefits, or to attend any event sponsored by the military or military service organizations), a complete and sufficient certification includes the name, address, and appropriate contact information of the individual or entity with whom you are meeting (i.e., either the telephone or fax number or email address of the individual or entity). This information may be used by your employer to verify that the information contained on this form is accurate.

Name of Individual: _____ Title: _____

Organization: _____

Address: _____

Telephone: (_____) _____ Fax: (_____) _____

Email: _____

Describe nature of meeting: _____

PART D:

I certify that the information I provided above is true and correct.

Signature of Employee

Date

PAPERWORK REDUCTION ACT NOTICE AND PUBLIC BURDEN STATEMENT

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**Certification for Serious Injury or
Illness of Covered Servicemember - -
for Military Family Leave (Family and
Medical Leave Act)**

U.S. Department of Labor
Employment Standards Administration
Wage and Hour Division



OMB Control Number: 1215-0181

Expires: 12/31/2011

Notice to the EMPLOYER INSTRUCTIONS to the EMPLOYER: The Family and Medical Leave Act (FMLA) provides that an employer may require an employee seeking FMLA leave due to a serious injury or illness of a covered servicemember to submit a certification providing sufficient facts to support the request for leave. Your response is voluntary. While you are not required to use this form, you may not ask the employee to provide more information than allowed under the FMLA regulations, 29 C.F.R. § 825.310. Employers must generally maintain records and documents relating to medical certifications, recertifications, or medical histories of employees or employees' family members, created for FMLA purposes as confidential medical records in separate files/records from the usual personnel files and in accordance with 29 C.F.R. § 1630.14(c)(1), if the Americans with Disabilities Act applies.

SECTION I: For Completion by the EMPLOYEE and/or the COVERED SERVICEMEMBER for whom the Employee Is Requesting Leave INSTRUCTIONS to the EMPLOYEE or COVERED

SERVICEMEMBER: Please complete Section I before having Section II completed. The FMLA permits an employer to require that an employee submit a timely, complete, and sufficient certification to support a request for FMLA leave due to a serious injury or illness of a covered servicemember. If requested by the employer, your response is required to obtain or retain the benefit of FMLA-protected leave. 29 U.S.C. §§ 2613, 2614(c)(3). Failure to do so may result in a denial of an employee's FMLA request. 29 C.F.R. § 825.310(f). The employer must give an employee at least 15 calendar days to return this form to the employer.

SECTION II: For Completion by a UNITED STATES DEPARTMENT OF DEFENSE ("DOD") HEALTH CARE PROVIDER or a HEALTH CARE PROVIDER who is either: (1) a United States Department of Veterans Affairs ("VA") health care provider; (2) a DOD TRICARE network authorized private health care provider; or (3) a DOD non-network TRICARE authorized private health care provider INSTRUCTIONS

to the HEALTH CARE PROVIDER: The employee listed on Page 2 has requested leave under the FMLA to care for a family member who is a member of the Regular Armed Forces, the National Guard, or the Reserves who is undergoing medical treatment, recuperation, or therapy, is otherwise in outpatient status, or is otherwise on the temporary disability retired list for a serious injury or illness. For purposes of FMLA leave, a serious injury or illness is one that was incurred in the line of duty on active duty that may render the servicemember medically unfit to perform the duties of his or her office, grade, rank, or rating.

A complete and sufficient certification to support a request for FMLA leave due to a covered servicemember's serious injury or illness includes written documentation confirming that the covered servicemember's injury or illness was incurred in the line of duty on active duty and that the covered servicemember is undergoing treatment for such injury or illness by a health care provider listed above. Answer, fully and completely, all applicable parts. Several questions seek a response as to the frequency or duration of a condition, treatment, etc. Your answer should be your best estimate based upon your medical knowledge, experience, and examination of the patient. Be as specific as you can; terms such as "lifetime," "unknown," or "indeterminate" may not be sufficient to determine FMLA coverage. Limit your responses to the condition for which the employee is seeking leave.

**Certification for Serious Injury or Illness
of Covered Servicemember - - for
Military Family Leave (Family and
Medical Leave Act)**

U.S. Department of Labor
Employment Standards Administration
Wage and Hour Division



SECTION I: For Completion by the EMPLOYEE and/or the COVERED SERVICEMEMBER for whom the Employee Is Requesting Leave: (This section must be completed first before any of the below sections can be completed by a health care provider.)

Part A: EMPLOYEE INFORMATION

Name and Address of Employer (this is the employer of the employee requesting leave to care for covered servicemember):

Name of Employee Requesting Leave to Care for Covered Servicemember:

First	Middle	Last
-------	--------	------

Name of Covered Servicemember (for whom employee is requesting leave to care):

First	Middle	Last
-------	--------	------

Relationship of Employee to Covered Servicemember Requesting Leave to Care:

☐ Spouse ☐ Parent ☐ Son ☐ Daughter ☐ Next of Kin

Part B: COVERED SERVICEMEMBER INFORMATION

- (1) Is the Covered Servicemember a Current Member of the Regular Armed Forces, the National Guard or Reserves? ☐ Yes ☐ No

If yes, please provide the covered servicemember's military branch, rank and unit currently assigned to:

Is the covered servicemember assigned to a military medical treatment facility as an outpatient or to a unit established for the purpose of providing command and control of members of the Armed Forces receiving medical care as outpatients (such as a medical hold or warrior transition unit)? ☐ Yes ☐ No If yes, please provide the name of the medical treatment facility or unit:

- (2) Is the Covered Servicemember on the Temporary Disability Retired List (TDRL)? ☐ Yes ☐ No

Part C: CARE TO BE PROVIDED TO THE COVERED SERVICEMEMBER

Describe the Care to Be Provided to the Covered Servicemember and an Estimate of the Leave Needed to Provide the Care:

SECTION II: For Completion by a United States Department of Defense ("DOD") Health Care Provider or a Health Care Provider who is either: (1) a United States Department of Veterans Affairs ("VA") health care provider; (2) a DOD TRICARE network authorized private health care provider; or (3) a DOD non-network TRICARE authorized private health care provider. If you are unable to make certain of the military-related determinations contained below in Part B, you are permitted to rely upon determinations from an authorized DOD representative (such as a DOD recovery care coordinator). (Please ensure that Section I above has been completed before completing this section.) Please be sure to sign the form on the last page.

Part A: HEALTH CARE PROVIDER INFORMATION

Health Care Provider's Name and Business Address:

Type of Practice/Medical Specialty: _____

Please state whether you are either: (1) a DOD health care provider; (2) a VA health care provider; (3) a DOD TRICARE network authorized private health care provider; or (4) a DOD non-network TRICARE authorized private health care provider: _____

Telephone: () _____ Fax: () _____ Email: _____

PART B: MEDICAL STATUS

(1) Covered Servicemember's medical condition is classified as (Check One of the Appropriate Boxes):

☐ **(VSI) Very Seriously Ill/Injured** – Illness/Injury is of such a severity that life is imminently endangered. Family members are requested at bedside immediately. (Please note this is an internal DOD casualty assistance designation used by DOD healthcare providers.)

☐ **(SI) Seriously Ill/Injured** – Illness/injury is of such severity that there is cause for immediate concern, but there is no imminent danger to life. Family members are requested at bedside. (Please note this is an internal DOD casualty assistance designation used by DOD healthcare providers.)

☐ **OTHER Ill/Injured** – a serious injury or illness that may render the servicemember medically unfit to perform the duties of the member's office, grade, rank, or rating.

☐ **NONE OF THE ABOVE** (Note to Employee: If this box is checked, you may still be eligible to take leave to care for a covered family member with a "serious health condition" under § 825.113 of the FMLA. If such leave is requested, you may be required to complete DOL FORM WH-380 or an employer-provided form seeking the same information.)

(2) Was the condition for which the Covered Service member is being treated incurred in line of duty on active duty in the armed forces? ☐ Yes ☐ No

(3) Approximate date condition commenced: _____

(4) Probable duration of condition and/or need for care: _____

(5) Is the covered servicemember undergoing medical treatment, recuperation, or therapy? ☐ Yes ☐ No. If yes, please describe medical treatment, recuperation or therapy:

PART C: COVERED SERVICEMEMBER'S NEED FOR CARE BY FAMILY MEMBER

- (1) Will the covered servicemember need care for a single continuous period of time, including any time for treatment and recovery? ☐ Yes ☐ No
If yes, estimate the beginning and ending dates for this period of time: _____
- (2) Will the covered servicemember require periodic follow-up treatment appointments?
☐ Yes ☐ No If yes, estimate the treatment schedule: _____
- (3) Is there a medical necessity for the covered servicemember to have periodic care for these follow-up treatment appointments? ☐ Yes ☐ No
- (4) Is there a medical necessity for the covered servicemember to have periodic care for other than scheduled follow-up treatment appointments (e.g., episodic flare-ups of medical condition)? ☐ Yes ☐ No If yes, please estimate the frequency and duration of the periodic care:

Signature of Health Care Provider: _____ **Date:** _____

PAPERWORK REDUCTION ACT NOTICE AND PUBLIC BURDEN STATEMENT

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EMERGENCY GRANT/LOAN FUND APPLICATION

SECTION 1: General Information

Employee #: _____

Are you currently on any type of probation? ☐ Yes ☐ No

If application is approved can PathStone use your situation as a Success Story? ☐ No
☐ Yes

Type of Emergency Loan/Grant Being Requested (please check one):

Health & Safety: ☐ Work Related: ☐ Automobile: ☐ Other Personal Crisis: ☐

Certification: I understand and I authorize PathStone Corporation to make inquiries as needed to verify accuracy of the information provided. I certify the information is true and accurate and is provided for the purpose of obtaining a grant and/or loan. PathStone will maintain the confidentiality of this information.

SECTION 2: Request for Funds

I am applying for (fill in amounts):

\$ _____ Loan \$ _____ Grant Total being Requested: \$ _____

If grant not approved will you accept the Loan Option? ☐ No ☐ Yes

I presently contribute to the loan/grant fund:

☐ No ☐ Yes *If yes, for how long?* _____ *Amount per pay period:* _____

Specific Reason for Requesting Assistance (attach any supporting documentation):

*Fax or E-Mail to: India Barton, Deputy for Human Resources
Tel: 585-340-3375
Fax: 585-340-3391
E-Mail: ibarton@pathstone.org*



Human Resources
400 East Avenue
Rochester, NY 14607
Tel: 585-340-3367
Fax: 585-340-3320

REQUEST FOR APPROVAL OF CAREER DEVELOPMENT FUNDS

Employee Name: _____ Date: _____

Job Title: _____ Office: _____

Supervisor: _____

DESCRIPTION OF COURSE: (Describe the relationship of this course to your job.)

Dates of Course: Start Date _____ End Date _____

SUPPORTING DOCUMENTATION (Attach these documents:)

☐ Course description from the school or educational institution

☐ Copy of completed registration form

☐ Other (Describe): _____

APPROVALS:

Supervisor's Signature and Date: _____

Division Director Signature and Date: _____

REQUEST OF REIMBURSEMENT FOR ABOVE APPROVED COURSES

ATTACHED:

☐ Receipt showing the amount spent \$ _____

☐ Grade _____

APPROVED:

Supervisor Signature _____ Date: _____

Division Director Signature _____ Date _____

Send to Human Resources

Sr. Vice President HR Signature _____ Date _____

REQUEST FOR A GRIEVANCE HEARING

NAME:		DATE
POSITION:		
SUPERVISOR:	OFFICE:	

Action being grieved:

☐ Suspension without pay

☐ Demotion

☐ Termination

Date of the Action: _____

Attach any letter or memo that notified you of this action.

Attachment? ☐ Yes ☐ No

Did you attempt to resolve this situation with your immediate supervisor? If so how and when? What was the result of this attempt to resolve? (Use additional sheets as needed):

Specifically state the issues you are grieving:

Specify what remedy or solution you are seeking:

Signature:

Date:

Copy to:

☐ Your Supervisor

☐ Your Division Director

☐ Senior Vice-President for Human Resources

PATHSTONE CORPORATION STAFF FEEDBACK FORM

Human Resources
400 East Avenue
Rochester, NY 14607
Tel: 585-340-3367
Fax: 585-340-3320

The purpose of this form is to provide staff with an opportunity to express their views on how we are doing as an employer. We invite your comments on employment practices you find beneficial and those that could use improvement. Your input can be designed confidential, however, if you choose to do so specific response to your feedback will be difficult to accomplish.

- This form is not intended to replace the established supervisory or communication systems.
- This form does not replace the formal grievance procedure as detailed in your Employee Handbook.
- This form is intended to provide staff with a pro-active method of communicating issues and concerns to management.

You have three choices as to whom you wish to direct this form to once it is completed:

YOUR IMMEDIATE SUPERVISOR
THE PRESIDENT/CEO

YOUR DIVISION DIRECTOR
Please Keep Confidential

Name:	Office:
Position	Date:
Immediate Supervisor:	Tel.#:
Please specifically detail the feedback you would like to make known to management:	
Please describe specific actions you would like management to take to address your issues(s):	

Please forward this form to your immediate supervisor, your division director, or the President/CEO Stuart J. Mitchell at:

PathStone Corporation
400 East Avenue, Rochester, NY 14607
fax: 585-340-3335
email: smitchell@pathstone.org