

**2018-19**

## **CJH Educational Grant Services, Inc. (CJH)**

*What you are doing is important but also is the knowledge and responsibility you have and the mandate to attend to situations, make prudent decisions, and communicate at any time.*

# **COMPANY POLICIES AND PROCEDURES**

(Manual for Employees, Contractors,  
Service Providers, Volunteers, and Others)



The policies in this manual are derived from several sources including those of other institutions, staff discussions, and directly from other manuals that are applicable to our operation and company. We appreciate all assistance.

## Foreword

This manual is to be used as a guide for employees to use *sound judgment*, *reasonableness* and ‘*best practice*’ as principles. These shall be used as general operating policies. The manual shall be interpreted by company management when terms or policies appear nebulous.

A company advisory group composed of community advocates, individual citizens, clients, service providers, etc. may occasionally be consulted for planning, decisions, and procedures.

## Document Clarification

For purposes of this document, ‘employee’ refers to anyone hired by CJH in full or part time capacity to perform an agreed upon service with written agreement outlining the terms of that service.

Persons subject to this manual and company policies are:

- 1) employees,
- 2) contractors (sub-contractors as individuals or separate company),
- 3) service providers,
- 4) grant sub-recipient organizations (SROs), and/or
- 5) persons serving:
  - a) on a volunteer basis,
  - b) in temporary status, or
  - c) performing any service for the company and its designees. All are subject to CJH policies and procedures as outlined wherein.

*\*\*In the absence of written policy* ‘sound judgment, ‘reasonableness’ and ‘best practice’ are to be used, including consultation with the company President prior to an action and/or until a policy can be developed and accepted.

All policies, procedures, and guidelines are subject to periodic updates and/or modification by company management.

All company procedures, policies and guidelines are applicable to employees of any grant or program administered by CJH.

CJH policies shall govern when conflicts arise with vendors and contractors.

CJH refers to federal rates and those of the state of North Carolina in establishing per diems, travel allowances, mileage rates, holidays, and salary increments. However company policies may vary.

Terms: Throughout this document terms will be used interchangeably:

- Vendor, Contractor, Sub-contractor, Partner, Service Provider
- Director, Project Director, Program Director, PD
- Secretary, Clerical Assistant or Staff, Administrative Assistant, AA
- The Company, CJH Educational Grant Services, Inc., CJH
- Personnel, employees, staff, line-staff
- Manual, CJH manual, 2018 CJH P&P manual, P&P manual, *CJH Policies and Procedures Manual*

## Update Process

Company President will make periodic updates to the 2018 CJH Policies and Procedures Manual. [As of September 2008 updates, new policies, and forms will be noted at the site (or on an addendum page to the manual) as to the effective date. [e.g., **Ed:** = **effective date**]]

## **Federal Grants**

- ◆ CJH administers federal grants and also partners with community schools, faith institutions, and nonprofits to implement initiatives. The Project Director (PD) and managers for a specific grant are responsible for upholding CJH policies and procedures and those pertaining to the grant program. The PD is responsible for implementing the policies as outlined in the CJH P&P manual and assuring compliance with grant terms and conditions.
- ◆ CJH is currently awarded the 3-year ***Sexual Risk Avoidance Education Grant Program*** (CFDA #93.060) for grant years 2018–2021, sponsored by the U.S. Department of Health and Human Services, Administration for Children and Families, Family and Youth Services Bureau. Grant #90SR0039-01-00.
- ◆ If any portion of this CJH manual and its policies are in conflict with federal regulations, those federal policies and regulations will prevail.
- ◆ If any federal reference, law, policy or the like is cited in this document and determined to be outdated, the new regulation(s) will prevail.

## TABLE OF CONTENTS

	Foreword	2
	Document Clarification	2 – 3
	Table of Contents	4 - 8
<b>I.</b>	<b>GENERAL POLICIES</b>	<b>9</b>
	<i>Company Mission</i>	9
	<i>Special Thanks</i>	9
	<i>Content</i>	9
	APPLICATIONS	10
	BUDGET LIMITATIONS “OVERVIEW”	11
	CURRENCY	12
	COLLABORATION	13
	COMPANY IMAGE, LIKENESS, POSSESSIONS	14
	Letterhead: Company, Program, Grant	14
	Non-Compete	14
	CONFIDENTIALITY	15
	Employee Information	15
	Privacy	15
	Limits to Confidentiality	16
	CONFLICT OF INTEREST	17

	Employees	17
	Service Vendors, Professional Contractors, Others	17
	<b>CONTRACTS AND LEASES (PROCUREMENT)</b>	18
	Handbook	18
	Professional Contractor Types	18
	Two Types of Contract Agreements	19
	Limit to Contracts (Ed: 01-08-05)	19
	Code of Standards for Contractors	19
	OMB requirements	20
	Use Of Company Facilities	21
	Service Evaluation	21
	IRS	21
	<b>DOCUMENTS DISPOSITION</b>	22
	<b>DISASTER / EMERGENCY / EVACUATION PLAN</b>	23
	<b>EMPLOYMENT TERMS</b>	24
	<b>ENDORSEMENT AND RECOMMENDATIONS</b>	25
	Public request for service recommendations	25
	<b>EQUIPMENT, SUPPLIES, AND COMPUTERS</b>	26
	Games	26
	Office Site Use	26
	<b>ETHICS AND INTEGRITY</b>	28
	Code of Ethics	28
	<b>EXPENDITURE APPROVALS</b>	30
	Expenses	30
	Receipts	30
	Mileage	31
	Petty Cash	31
	Payroll	31
	Supplies	31
	Requisition and Advance Request Procedure	31
	American Express and other Credit Cards	32
	Minority and Women-Owned Businesses	32
	Meals and Training	32
	<b>FILES: OFFICE ADMINISTRATIVE</b>	33
	<b>FORMS and SCHEDULES</b>	34
	<b>INCLEMENT WEATHER</b>	36
	Office Open/Closed	36
	<b>INSURANCE</b>	37
	Responsibility, Precaution, Safety	37
	<b>INVENTORY</b>	39
	Inventory	39
	Supplies	39
	Fixed Assets	40
	Property disposal	40
	<b>KEYS, PASSWORDS, AND CODES</b>	41
	<b>MAIL AND POSTAGE</b>	42
	Incoming	42

	Outgoing	42
	Overnight	42
	<b>MANAGEMENT and INTERNAL CONTROLS</b>	43
	Financial and Program Management	43
	Advisories and Expertise	43
	Training	44
	Methods to Measure Project Effectiveness	45
	A Financial System	45
	Remote Site Management	
	<b>NEPOTISM</b>	46
	<b>NON-COMPETE BUSINESS AGREEMENT</b>	46
	Funded Proposals for Nonprofits	46
	<b>OFFICE PROTOCOL</b>	48
	Visitors	48
	Standards for all letters and correspondences	49
	<b>POLICY MANUAL</b>	50
	Personal Responsibility	50
	<b>PUBLICATIONS</b>	52
	Verbatim Disclaimer (grants)	52
	<b>RECORDS RETENTION</b>	53
	<b>RECYCLING</b>	54
	<b>REMOTE SITE EMPLOYEES and SUPERVISION</b>	
	<b>REPORTING</b>	55
	Internal Incident Reports	55
	Reports to Federal Funding Agencies	55
	<b>STAFF MEETINGS</b>	56
	<b>TELEPHONE</b>	57
	<b>TRAVEL</b>	58
	I. General Travel	58
	Policy Procedures	58
	Reimbursement	58
	II. Local Travel (to Other Agencies, Meetings... and Sites)	59
	Rates	59
	Other Considerations	59
	III. Overnight Business Travel	60
	Conferences and overnight workshop travel	60
	Forms	60
	Travel Requisition	61
	Reimbursement	61
	Reasons for the rejection of an expense report	61
	Example of Non-Reimbursable Travel Expenses	62
	Mileage and Gas	62
	Direct Billings By Third Parties	62
	Airline Travel	62
	Travel Upgrades	63
	Excess Baggage Charges	63
	Rewards	63

	Rooms	63
	Hotel 'No Show' and Cancellation	63
	Refunds/Unused Tickets	63
	Meal Per Diem	63
	Lodging	63
	Telephone Calls	64
	Registration Fees	64
	Travel Indemnification	64
	Group Travel	64
	Narrative and Verbal Reports	64
	Family Members	65
	Infractions	65
	<b>VOLUNTEERS</b>	66
	Community Volunteerism	66
	Volunteer Labor as Cost Share	66
	Wages and Determination of Service Value	66
	<b>WASTE, FRAUD, ABUSE (W-F-A)</b>	67
	<b>II. FINANCE and ACCOUNTING POLICIES</b>	<b>68</b>
	<b>ACCOUNTING PROCEDURES OVERVIEW</b>	68
	Procedures	69
	<b>AUDITS</b>	70
	<b>ALLOCABLE, ALLOWABLE, REASONABLE</b>	71
	Cost Allocation Plan	71
	<b>CREDIT CARDS</b>	73
	<b>CHECK WRITING</b>	74
	Bill-paying Procedures	74
	Complete package to the President	74
	Draws from Payment Management System	75
	Bank Interest	75
	Prohibited	75
	<b>COST SHARE</b>	76
	<b>INTERNAL CASH REQUIREMENTS REPORT</b>	77
	<b>III. HUMAN RESOURCES POLICIES</b>	<b>78</b>
	<b>CODE OF CONDUCT</b>	78
	Theft	78
	<b>DISCRIMINATION / EEOC</b>	79
	<b>DISCIPLINE / DISCIPLINARY ACTION</b>	80
	Corrective Actions	80
	<b>EMPLOYEE ASSISTANCE</b>	82
	Employee Assistance Program	82
	<b>EMPLOYEE TRAINING AND EDUCATION COSTS</b>	83
	Professional Development	83
	CPR and First Aid Training	83
	In-Service Training	83
	<b>FRINGE BENEFITS</b>	84
	Health Insurance	84
	Retirement / Pension	84

	<b>GRIEVANCE</b>	85
	Grievance Procedure	85
	Use of Grievance Procedures in Cases of Termination	85
	Pay Upon Termination	85
	<b>HEALTHY PRACTICES</b>	86
	Workplace Health and Safety Precautions	86
	<b>HIRING</b>	87
	Special Hiring Conditions	88
	Other Hiring Conditions	88
	Students and Interns	89
	Terms and Conditions of Employment	89
	At-Will Status	89
	Definition of Employees	89
	Volunteers	90
	Reporting to Work; Work Schedule; Employee Breaks	90
	Excessive Absences and Tardiness	90
	New Employee Orientation	91
	Steps to Success I	91
	Steps to Success II	91
	Criminal Record Check; Driving Record Request	92
	Direct Deposit	92
	<b>HOLIDAYS</b>	93
	10 Paid Holidays	93
	Cultural Considerations	93
	<b>LABOR STANDARDS</b>	94
	<b>LEAVE</b>	95
	Personal/Vacation Leave	95
	Sick Days	95
	Unpaid Leave/Absence	96
	Leave Records	96
	<b>MONITORING AND EVALUATION</b>	97
	<b>MORALE</b>	98
	<b>PAYROLL</b>	99
	Pay Periods	99
	Weekly Reporting	99
	Time Sheets	99
	<b>PERSONNEL ACT (EXEMPT and NON EXEMPT)</b>	100
	Exempt employees and overtime	100
	Non-exempt employees and overtime	100
	Exempt and Non-Exempt	101
	<b>PERSONNEL FILES</b>	102
	Personnel Files	102
	<b>PERFORMANCE EVALUATION</b>	103
	Job Performance and Conduct As Employee	103
	Separation from Employment	104
	<b>POSITION DESCRIPTIONS</b>	105
	<b>SALARIES</b>	106

	Raises	106
	Pay Dates	106
	SECONDARY EMPLOYMENT	107
	SEVERENCE PAY	108
	SUPERVISION	109
	VACATION	110
	WORK ENVIRONMENT	111
	Attire	111
	Disability and Accommodation	111
	Discriminatory Harassment	111
	Sexual Harassment	112
	Smoking Policy	112
	Drug-Free Workplace	113
	Workplace Violence	113
<b>IV.</b>	<b>FEDERAL GRANTS</b>	<b>114</b>
	Federal Applicable Laws and Governances	114
	Grant Documents	114
	Coordination	114
	Accounting	114
	Audits	115
	Travel	115
	COMMUNICATIONS WITH FEDERAL FUNDERS	116
	COST SHARE, IN-KIND, MATCHING	117
	Employee Cost Share Givers	117
	Checklist for donors' cost share	117
	Salary Threshold	118
	In-kind Matching	119
	Valuation of donated services	119
	Supplies, Loaned Equipment, or Space	119
<b>V.</b>	<b>APPENDIX</b>	<b>120</b>
<b>VI.</b>	<b>ACKNOWLEDGEMENT</b>	<b>122</b>
<b>VII.</b>	<b>INDEX</b>	



## *Content*

I. General Policies	II. Finance and Accounting Procedures	III. Human Resources Issues
IV. Federal Grants	V. Appendix	VI. Acknowledgement
		VII. Index

## **I. GENERAL POLICIES**

### *Company Mission*

CJH Educational Grant Services, Inc. (CJH), as an S-Corp, is a privately owned, Raleigh-based, technical grant-writing company. Its mission is to address the educational needs of citizens in North Carolina through the attainment of federal, state, or foundation grant funds. The company was created with the purpose to prepare and submit grant proposals on behalf of non-profit organizations and academic institutions that are seeking educational programming to serve youth, adults, and/or students who live in poverty or who have special needs. The company does not seek scholarships, personal grants, or financial-aid awards for individuals.

CJH maintained membership in the Greater Raleigh Chamber of Commerce since 1998-2014 and is a current member (2018) of the North Carolina Community Action Association and North Carolina Coalition Against Domestic Violence.

The company is located at 2016 Cameron Street, Suite 215, Raleigh, NC 27605 in the Cameron Village shopping area complex of the capital city. Mailing address:

P. O. Box 14264, Raleigh, NC 27610-2858  
TEL: (919) 832-0306 - FAX: (919) 832-9014

### *Special Thanks*

Special appreciation to contributors in the development of the initial 2003-04 CJH Policies and Procedures Manual from which this current document was derived: *Attorney Colleen Kochanek, Bernard K. Hall, Dr. Gail Corrado, Bill Scott, Jr., Huronda Pierce*, and those institutions whose manuals were reviewed as resources including *St. Augustine's College*. Appreciation is extended to the 2003-04 project staff of the Compassion Capital Fund grant for its input on manual policies and grant operations: *Eden Tootill, Vickie Miller, Naomi Poteat, Endia B. Hall, Bert Schuster, Cynthia J. Harris, and Yvonne Schaefer*.

## APPLICATIONS

### Applications and Personnel Files

The Company should have basic knowledge through documents of any individual hired, contracted, or volunteering. In addition, any person should be accessible by the application's *updated* information for purposes including emergencies, accidents, recommendations, unemployment insurance, and identification.

#### Applications

- A employment application and resume are required prior to *full-time* employment.
- *Part-time* candidates may complete a full or modified application (short form) accompanied by an optional resume.

Required applications must be complete and include additional documents required by the company or contractors such as Paychex, Inc. for personnel and tax services.

#### Personnel Files

An employment documents, such as an application, will be maintained for each employee, staff, or volunteer of the company as part of the personnel file. Other documents may also be included. Clerical staff shall update contact information annually and as reported periodically by staff members and contractors.

Personnel files for at-will, full and part-time employees including Volunteers, Interns, etc. will include: (1) a letter of engagement (hire) and conditions of hire, (2) ID or copy of a valid driver's license, (3) *current* and up-to-date home address, (4) at least one emergency contact, (5) resume, (6) letters of recommendation, (7) personnel actions (accolades, disciplinary actions, achievement, etc.), (8) formal applications, (9) appraisals/evaluation, and (10) other documents related specifically to employment (orientation, receipt of documents, etc.).

Contractors including through an agency (e.g., temporary services) must have an individual personnel file regardless of the length of employment or volunteerism. At minimum, the file should include: 1) a modified (or *short*) application to include address, phone, referral source, 2) time sheets, 3) services to be performed, and 4) other documents as described above.

One-time Services Providers such as guest speakers, workshop facilitators, etc. should have a minimum of resume and invoices.

The following documents are part of the Personnel File but should be maintained in separate individual folders or files for each individual.

- Leave forms and timesheets outlining work performed, and monthly reports will be kept in a separate file and maintained by the clerical assistant.
- Letters of Recommendation from 3<sup>rd</sup> parties should be maintained in a sealed envelope in an alphabetical batch folder specifically for this correspondence.

Only appropriate and ***authorized permanent staff*** should have access to administrative and personnel files which should be secured and stored in locked filing cabinets. Authorized personnel include the Company President and specific designees. Any unauthorized review of confidential records and personnel files will be considered a serious violation of confidentiality and privacy and may subject the employee or volunteer to immediate dismissal and other disciplinary actions.

Application maintenance and personnel files are the responsibility of a **clerical staff** (e.g., secretary, clerical assistant, program assistant, etc.)

**Grants:** Personnel Files. The Project Director (PD) is responsible for attaining the application and personnel documents for every grant employee, staff, contractor, and volunteer in accord with company requirements.

The PD will appoint authorized personnel for grant records access and maintenance.

## BOARD OF GOVERNORS

As an S-Corp , CJH shall operate with a governing board, composed of a minimum of three (3) individuals.

Relatives of company employees may not serve on the Board.

The Board shall meet at least annually.

The Company President can be a voting board member and chair.

<http://www.cof.org/sites/default/files/documents/files/CEOs%20On%20Boards.pdf>

*Should CEOs be on the Board?*

Council on Foundations. Copyright 2010. All Rights Reserved.

## BUDGET LIMITATIONS “OVERVIEW”

Rate changes for mileage reimbursement and other travel expenses (per diem) must be: 1) issued by the company, 2) approved, and 3) have an effective date established before becoming effective.

**Grants:** Company projects implemented through grants are governed by the initiative’s regulations and follow the approved budget. In instances of conflict, the guidelines of the grant prevail over CJH policies.

The grant’s Project Director:

- 1) is responsible for:
  - a) staying within the budget (avoiding short falls, overruns or excessive unobligated funds),
  - b) budget: 1) *-modifications*, 2) *-compliance*, 3) *-development* with the President’s approval.
- 2) must be knowledgeable of federal regulation pertaining to: a) the assigned grant and b) its budget.
- 3) must implement a system of daily *Internal Controls* throughout the course of the grant period.
- 4) is responsible for the development and implementation of the grant in accord with its (1) federal funding source, (2) assigned OMB circulars, and (3) authorizing Titles.
- 5) must assure the protection of company assets (following policies, suggesting ones when needed, reporting loopholes, fraud, and appropriately addressing and reporting infringements, etc.).

## CURRENCY

- 1) **Use of currency for business transactions is discouraged in any form.**
- 2) In the event currency transactions are necessary (e.g. petty cash, etc.):
  - a) Currency should be kept in a locked cabinet or drawer.
  - b) Cash transactions between employees and any others should be documented ***with a receipt*** regardless of the amount or length of time in safekeeping or possession.
  - c) Any cash transaction should be reconciled within 24 hours to include the paper trail as described below.

When cash is given to an individual, it should be immediately deposited into the appropriate project bank account within 24 hours and an appropriate paper trail (including receipt) documents the events (e.g. source of funds, total amount received, receipt showing cost of item, date, employee initials or signatory, and remaining cash amount).

- d) A signed, authentic and original receipt stating amount, purpose, and date should be provided to anyone giving cash to an employee or individual operating on behalf of the company. A copy of the receipt should be maintained for record keeping purposes.
- e) Currency transactions should not exceed \$100.
- f) The responsibility for cash transactions rest between the immediate parties involved.
- g) CJH may peruse the repayment of any lost or unresolved funds through legal recourse.
- h) Violation of cash policies may result in termination of employment, business contract, or transaction.

## COLLABORATION, COOPERATION, & COORDINATION

CJH Educational Grant Services, Inc. (CJH):

- may further the company mission and network by actively engaging in strategic planning, committee posts, partnerships, and memberships with agencies in the local, state, regional or national community.
- actively peruses opportunity for collaboration with community- and faith-based agencies, institutions of higher education, and nonprofits in its current and future grant initiatives as well as other company pursuits.
- may contribute to or co-sponsor events and underwrite components of projects of other agencies when there is time and/or shared interest in a grant, program, or related community or business activity.

### Grants:

- seeks the assistance and services of others to fulfill a grant mission and therefore must adapt a cooperative spirit and attitude.
- CJH will visit other funded *grantees* for best practices, to solicit and receive technical assistance (TA), discuss shared resources, and learn new implementation methods for grant operation.
- will utilize residual supplies and resources from its previous grants as leverage (cost share or matching, when applicable) to reduce cost for a current initiative.

Coordination with related grants and programs is manifested in shared personnel, training, supplies and resources. Coordinated travel for lower rates and car pooling are encouraged examples.

Serving as vendor or placing ads in conference brochures is a method for publicizing the grant project and collaboration with similar community groups with an aligned purpose.

Teamwork and collaboration on individual and group projects and co-sponsorship are encouraged and expected activities. Grants are a collaborative undertaking requiring cooperation with others of like-minds.

## COMPANY IMAGE, LIKENESS, POSSESSIONS

Image of the company, likeness, emblems, logo and/or possessions may not be used by any individual or company without the express written consent of the company president.

The public image of the company shall be positively presented at all times which includes employee attitudes and statements made to the public and in public.

### Letterhead: Company, Program, Grant

Letterhead and company envelopes are to be used *strictly for the business of the company, grant, or program*. Personal use is prohibited.

Letterhead stationery and envelopes bearing the company image or the image of one of its grants or projects *shall be secured and out of public access*.

Providing letterhead stationery to *anyone* outside of the company for *any reason is prohibited*.

### Company-developed Grants, Manuals, and Projects

*Under no circumstances shall copies of company-prepared proposals or funded grant applications in part or in full be replicated and/or shared with the public or anyone outside of the company.*

Sharing of the above documents and information may jeopardize the competitiveness of future grant projects of a competitive nature and therefore the employment and livelihood of employees and company income. All proposals and funded grants are proprietary information. Sharing of such information by employees will lead to termination.

Proposals and funded grant documents are to be secured in the office.

Proposals and funded grant documents are not to be removed from the office under any circumstance.

It is the responsibility of the Clerical Assistant and all personnel to safeguard:

- 1) company stationery and
- 2) grant proposals and funded grant applications.

Volunteers and/or new employees shall be trained on these policies to assure limited and guarded access. Training shall be conducted by the Clerical Assistant or other company designee.

All see the 'Policy Manual' section.

### Non-Compete

Individuals serving in interim, part-time or full-time positions agree that they will not use or share company likeness in any form (logo, policy manual, or other company tangible or intangible property) after termination date for a period of two (2) years.

## CONFIDENTIALITY

Company records, project acquisitions, and company and grant documents are the private possession of the CJH company. Ownership rests with the company. CJH also houses federal grant records and documents entrusted by the federal awarding agency. [Ed: 02/20/10]

Confidentiality includes company records, *personnel manuals*, documents, and personnel information of staff, and extends to the documents of other agencies to which CJH is involved. [Ed: 02/20/10]

Any request from the public for information or documents must be submitted *in writing* to CJH and must contain the requestor's name, original signature, date, 10-digit phone number, physical address, mailing address, and purpose for the document.

Personnel and client files contain confidential information and should be kept in a secured, locked file cabinet, accessible by authorized personnel.

Employees are expected to maintain the integrity of the confidential nature of company or project business, policies and internal operations. Additionally, employees are not to comment publicly on pending internal decisions until such decisions are officially released and appropriate for public knowledge.

Employees are expected to maintain the confidential nature of internal company affairs and business as well as the personal and business affairs of other employees.

***Terms of confidentiality extends an indefinite period beyond the employee termination date.***

### Employee Information

Any information contained in these files is private and confidential. It should be kept in a locked file cabinet. Home telephone numbers, emergency contact numbers, and other personal information should not be released to the public or used for personal business.

All employees, however, should **have an accessible contact** list of home and cell numbers for emergency purposes.

### Privacy

CJH and its employees have an ethical and legal obligation to respect the privacy of our clients and staff members and to protect and maintain the confidentiality of all information obtained during the course of employment services. Upon employment with CJH, employees will be required to read, agree to, and sign an ***Agreement of Confidentiality*** form which will be placed in the Personnel File (effective January 1, 2004). The agreement includes confidentiality of client, company, and grant information which is not accessible to the public.

Client records are legally protected and confidential. This means that client records maintained by CJH must be kept in locked file cabinets at all times except when being reviewed or supplemented by an authorized employee, volunteer, Director, or authorized personnel. Client and administrative



program records, files, documents or copies of such should never be removed from the office and a violation of this policy will subject an employee to discipline including termination.

It is illegal, unethical, and a violation of our Confidentiality Policy to discuss client matters with friends, spouse, relatives, or anyone else, except those authorized persons listed above, unless ordered to do so by a court or otherwise required to do so by law. When in question about information, refer to the Director or company President who may in turn seek legal advice.

All confidentiality policies pertaining to clients are applicable to temps, employees, and volunteers. Supervisors are responsible for training **subordinates on Confidentiality**.

In addition, internal matters discussed at staff meetings, in confidence with the Director, President, or other staff members are to be held strictly confidential as well as or other means of communications. Internal matters are not to be discussed with vendors, contractors, partners and/or contributors. Company matters are to be maintained internally.

Colleagues should work together as a unit to determine appropriate information to disclose, what is considered public information, and the timing of release of information to either. The results should be submitted to the Director and President. If a conflict arises, the final decision rests with the President.

Pursuit of legal action extends to **former employees** who violate confidentiality policies as CJH seeks to protect company, client, employee, and federal grant information. [Ed: 02/20/10]

### Limits to Confidentiality

It may be necessary, in some instances, for CJH employees or volunteers to release confidential information without prior consent of the client. These situations are limited only to subpoena by a known and recognizable Court of Law.

Violations of this CJH Confidentiality Policy are considered very serious and may result in disciplinary action, up to and including dismissal.

### **Grants:**

Public information regarding grants will be released only by the Director **and must be approved** by the President prior to release.

Requests for information traditionally viewed as private and that generate questions or issues will be deferred to the company attorney or the grant founding agency (e.g. U. S. Department of Education, U. S. Department of Health and Human Services, etc.) in the case of federal grants. Grant files and information are federal documents and should be maintained under secured lock.

Grant files, documents, copies of documents, and/or records **may not be removed** from the company premises including fax, e-mail, or other electronic methods. Individual removing records or copying for the purpose of removing from the company premises will be subject to punitive legal action. [Ed: 02/20/10]

Grant employees should be trained and may be required to sign a confidentiality statement regarding the protection of confidentiality of youth (under 18 years of age), including photos, likeness, statements, identify, records, and/or written documents.

Grants may require a signed release form by parents or youth 18 and older for various purposes (travel, volunteer nature of program, media release, etc.). Grant staff is required to obtain and maintain those documents.

Insert exception for COVID-19

## CONFLICT OF INTEREST

### Employees

Employees and candidates for employment must declare to the CJH company any potential conflicts of interest. CJH will evaluate the situation based upon the following criteria and requirements:

- ***Nepotism in any form is prohibited.*** Employees are discouraged from soliciting individuals of their immediate family or \*relatives for positions they supervise.
- Employees:
  - ✓ are discouraged from soliciting individuals of past or professional business ties for positions in which they supervise.
  - ✓ must disclose in writing any past or current associations with potential applicants either through marriage, personal relationship, past or current business associations.
  - ✓ should refrain from any action that would in any way compromise the integrity of any public bidding process.

CJH retains the authority to approve the hiring of a \*relative by a supervisor on a short-term basis.

- Hiring will be on a case-by-case basis and for temporary occurrences with specific hire dates.
- *Prior approval* must be obtained from the President and detail *anticipated cost*, nature of labor, length of employment, and other terms of employment.
- After a review of the facts and circumstances regarding each case, the CJH President will make a determination as to an appropriate course of action.

### Gift Rate

CJH sets a standard and establishes a limit of \$30 for items that are not considered substantial and/or unsolicited gift to an individual employee. All gifts should be acknowledged with a letter of appreciation to the giver. Items that exceed the set amount can be accepted but must be acknowledged in a letter to the donor *with a statement* that no services were rendered or benefits provided to the donor.

\*Definition: 'Relative:' a person who is akin to another by virtue of blood or marriage. Relative means spouse (wife or husband), parent (mother, father, mother), children ( son, daughter), sibling (brother, sister), grandparent and great grandparents, grandchildren and great grand children, and any spouse of any of these individuals. Also, persons living in the same household with employee. Employee inlaws.

## Grants:

CJH sets a standard and establishes a limit of \$25 for items that are not considered substantial and/or unsolicited gift to an individual employee.

Conflict of Interest shall be governed in accord with PART 74.42: Codes of Conduct.

Employees may not personally benefit in any way, except for benefits set out in provisions in 74.42 from the hiring, contracting, or associating with individuals or companies.

As per ***Code of Conduct***: 74.42, CJH sets a standard and establishes a limit of \$25 for items that are not substantial and/or a gift that is an unsolicited item for grants.

- Employees, volunteers, officers, or agents of CJH may not solicit any gratuity, gift, or favor in any amount or benefit from any situation involving a contract or interaction from a 3rd party.
- Employees shall disclose to their supervisor the offer of any vendor, contractor, or other agent which is in conflict with this policy. The supervisor will report to the President.
- Should an employee, officer, or agency 1) solicit a gift, gratuity, or favor of monetary value and/or 2) accept unsolicited items whose value exceeds \$25, the employee shall: a) repay the sum, b) accept a disciplinary letter in the personnel file or contractual file, and/or c) may be subject to further disciplinary action, including termination of employment.

## Service Vendors, Professional Contractors, Others

- Conflict of interest forms are required to be signed and are not limited to the following groups: employees, cost share donors, peer reviewers, and vendors.

## CONTRACTS AND LEASES (PROCUREMENT)

### Service Vendor Handbooks

A *Professional Contractor, Vendor & Service Provider Handbook* is available for service providers and is to be used as a quick guide. However, the *2018 CJH Policies and Procedures manual* is the source for all regulations and exceptions for the company. (See Handbook at the end of this manual)

All contracts and leases must be in writing and include contractor deliverables, terms and conditions, time frame for completion, contracted sum, and course of action for dispute resolution. [Ed: 02/20/2010]

The company identifies two (2) types of service providers that offer outside support-- loosely defined as individuals and businesses or companies: (A) *professional contractors* and (B) *service providers and vendors*, respectively.

(A) *Professional Contractors* generally have a written agreement (contract) with CJH that includes terms of service (date, amount, deliverables, and possibly agreement to applicable federal or state laws). (Example: cable service). Their services are generally on-going.

(B) *Service Providers and Vendors* have specific tasks that can be achieved in a short period of time and/or is a single service. Usually involves just an invoice. (Example: cable installation).

***CJH does not routinely pay mileage to vendors, contractors, or service providers.*** Exceptions in special or certain circumstances is outlined in a separate 'mileage' section of this document.

#### Professional Contractor Payment Types:

CJH will also pay a fee for services set by a company service provider.

##### Flat fee or agreed upon fee for service

In addition to the contract, an invoice is required, detailing work performed each month or pay period during the contracted term.

##### Hourly contractors

In addition to the *contract*, an invoice or timesheet is needed:

- a) describing work performed,
- b) detailing number of hours worked daily,
- c) stating the agreed upon hourly rate and total amount due.

Invoices that detail deliverables and services provided and basic contact information are required for all vendors, service providers, and contractors. (Basic contract information: name, address, phone).

CJH establishes a rate for guest speakers without set fee. Range \$50 – \$125 per hour. Depending on speaker qualifications, service and time involved (prep, travel, facilitation, Q&A follow-up) the professional speaker may range from \$250 - \$450 for a session.

Contractors are paid by invoice and compensated according to a monthly CJH payment schedule, unless otherwise noted in the contract. (Ed:11-01-04)

‘Documented’ shall consist of but not limited to the following:

- 1) an invoice detailing work to be performed, date of expected completion, rate
- 2) mailing address, phone number, e-mail and or web address
- 3) signatures, initials, e-mail attachment.

Contracts from individuals requiring a 1099 form will be paid through the Company or a payroll service such as Paychex. All W2 employee will be paid through a payroll service company that calculate taxes and provide end-of-year tax forms. Individuals **paid \$600 or** more in a calendar year must be routed through the payment service for tax purposes, 1099 forms, etc.

Multiple invoices from a vendor or contractor must clearly distinguish services, dates and description of services.

#### Two types of Contract Agreements:

- *Short-form* - Up to \$1,499.99 and/or short term (avg. 48 hrs.)
- *Standard* - \$1,500.00 and above. This contract includes all of the agreements set forth in Title 45, PART 74.

#### Limit to Contracts (Ed: 01-08-05)

Contracts are *optional* for:

- One-time providers whose aggregate annual services total \$599 or less.
- Individuals *under* 18 years of age when providing services as an individual (not associated with a company).

However an application is required.

[Vendors providing multiple yet separate invoices *totaling* \$599 or under are exempt from contracts and Paychex, Inc. services. Vendors providing multiple yet separate invoices *totaling* \$600 or more require a contract and will be subject to taxes. (Example: If a vendor is contracted twice—once at \$589.00 and then again at \$12.00-- a contract is required. The total of services exceeds the \$599 threshold.)]

#### Code of Standards for Contractors:

Contractors are expected to provide services in *good faith* with the intent to perform agreed upon services.

Contractors are to maintain professionalism while conducting business, providing services, or in an agreement with CJH.

Contracts will be subject to termination if the Code of Standards is not upheld by the contractor. Contracts can be terminated by CJH and/or the grant or program at the dissatisfaction of the quality of contractor performance, progress, or timeliness of services

and/or deliverables and absence of good faith effort. Payments may also be prorated. A clause of this nature should be included in all contracts.

Payment will be pro-rated for incomplete hours or work where services were not performed, were terminated, or of poor quality product or services. This statement shall be part of the contract. (Failure to fulfill...)

Contractual rates shall be documented rates of the consultants based on: 1) previous invoices of other clients, 2) fair market value, 3) current salary at an appropriate and related job, and/or 4) other *reasonable* estimates.

Contracts shall NOT be paid in-full prior to the service being rendered or completed. Payments may be made in periodic installments according to the service provided and timetable, in accord with the contract, and based upon satisfactory progression of work.

Funds to contractors shall be available only after satisfactory submission of all required documents, (such as contracts, budgets, work plans, etc.) and verified by the assigned supervisor. (12/07/10)

Contractors should be informed of the established schedule for payment.

All contracts binding the company in any manner should be pre-approved by the President and may require the services of a company attorney. [Ed: 02/20/10]

#### Use Of Company Facilities

Contractor may utilize company facilities and equipment in the execution of their deliverables upon approval of the company President.

A *Professional Contractor, Vendor & Service Provider Handbook* shall be available and provide basic reference to relevant policies and procedures.

#### IRS

Independent contractors/vendors will not be routinely reimbursed for mileage and expenses but will be encourage to report mileage as an expense when filing tax returns. Exceptions can be made on a case-by-case basis for specific tasks and must be pre-approved by a supervising staff and the company president.

Travel expenses and lodging for consultants serving in specific roles (e.g. conference speakers or presenters, company representative, administrative consultants or assistants) *may* be covered by federal grant funds depending on the event, their responsibility, and prior approval by the company president.

#### Grants:

Prior to any contract, the company representative (staff) must consult the federal GSA procurement list for *Suspension and Disbarment list*. (Ed: 01-14-04)

Contracts for services using federal grant funds cannot extend beyond the last day of the current grant fiscal year. [Ed: 02/20/2010]

CJH will adhere to standards set forth by PART 74 including examples such as the following:

Sec. 74.44 Procurement procedures.

vi)(d) Contracts shall be made only with *responsible contractors* who possess the potential ability to perform successfully under the terms and conditions of the proposed procurement. Consideration shall be given to such matters as *contractor integrity, record of past performance, financial and technical resources or accessibility to other necessary resources*. In certain circumstances, contracts with certain parties are restricted by agencies' implementation of E.O.s 12549 and 12689, "Debarment and Suspension." (See 45 CFR part 76.)

Contractors should be made aware of and comply with applicable company policies -- see sections on: *Discrimination/ EEOC, Sexual Harassment, Confidentiality, Drug-Free Work Place, Smoking Policy, and Discriminatory Harassment*.

#### OMB requirements

The CJH agreement (contract) must have the following as per 74.48, Contract Provisions:

- 1) a clause or provision for termination,
- 2) a clause or provision for satisfaction and/or legal remedy, and
- 3) verification that vendor/contractor is **not suspended or debarred**.

The following may also be required by the company:

- 4) at least two (2) satisfactory references from previous work performed
- 5) a code of standards

CJH sets **\$20,000.00** as the limit by which procurement bids are required for vendors and contractors. (Ed: 06-01-04). This sum parallels the state of North Carolina and is described in the policies of NC State University procedures manual. See 'Procedures and Records,' p.14 of 40:

[http://www.doa.state.nc.us/PandC/agpurman.htm#P992\\_111042](http://www.doa.state.nc.us/PandC/agpurman.htm#P992_111042) **[DOES NOT WORK]**

If the contract is **under the \$20,000.00** threshold, services can be solicited by staff using referrals, internet, references, and other sources. However, the company may still choose to solicit bids.

At least three (3) bids from "responsible contractors who possess the potential ability to perform successfully under the terms and conditions of a proposed procurement" shall be sought. The company will convene an independent committee charged with determining an acceptable proposal or proposals will be read, rated, and ranked by independent reviewers.

The committee or reviewers will consider but is not limited to the following criteria for an 'acceptable' bid:

- Fair market value
- Quality of work and bid (inclusive of requirements)
- Quality and type of deliverables
- Experience and history
- Timeliness of meeting deadlines for bid (in response to the RFP)
- Timeliness of delivering services
- Evaluated references

Consideration shall be given to such matters as contractor integrity, record of past performance, responsiveness, financial and technical resources or accessibility to other necessary resources.

Proposed procurement actions shall follow bid procedures to assure that unnecessary or duplicate items are not purchased. An analysis shall be made of purchase alternatives to determine the most economical and practical procurement where appropriate or as needed.

Contracts for services requiring public bid shall use historically under utilized businesses, newspapers, and other sources for bids. These as well as contracts over \$100,000 are subject to full and open competition.

All contracts over \$100,000 are subject to additional standards OMB A-110, A-102 and the *internal committee* will convene to establish additional policies prior to engaging vendors. (Ed: 01-13-04)

All leases and contracts of \$2,500 or more may be reviewed by an attorney for advice, legal ramifications, and other liabilities in individual contracts.

CJH reserves the right to “*single sole source*” use for vendors with proper documentation of their special skills or service history to the company or project. The process shall include: justifying the choice, lack of competition, basis for the award (cost or price). (Ed: 01-14-04)

#### Service Evaluation

The assigned supervisor will oversee the assessment of services with feedback from other employees utilizing contractor services as appropriate.

As per 74.47, p. 219 Contract Administration, assigned supervisor or CJH staff person shall follow-up on the specifications of the contract and ensure adequate and timely delivery of purchases, progress, quality of services, labor and/or deliverables. In most instances, the assigned supervisor will be most familiar with the work detail of the contractor.

All contractors’ performance is subject to written evaluation by the supervisor which may be open to the public.

All contracts must address the following (74.91 Alternative dispute resolution, p. 226) if relevant:

- 1) acceptable policy on EEOC,
- 2) Copeland Anti Kick Back Act. (if applicable –re: construction of \$2,000 or more), and
- 3) conform to other provisions of 74.91 of PART 74, p. 226.

#### PART 74

<https://www.govinfo.gov/content/pkg/CFR-2011-title45-vol1/pdf/CFR-2011-title45-vol1-part74.pdf>



## DOCUMENTS DISPOSITION

Caution and reasonable judgment should be used in determining documents to be destroyed. When in doubt, employees should ask a supervisor before destroying **any** documents, including but not limited to copies of applications, job applications, duplicate receipts, re-signed documents, etc.

All confidential written information including personnel information, grant documents, and all other documents with sensitive information and *eligible to be destroyed* will be disposed of by shredding. Documents containing signatures, social security number, EINs, personnel information, phone numbers, e-mails, and other identifying information will also be shredded.

**No company check should be destroyed.** “VOID” should be written across the face of the check. The signature should be cut or torn off and shredded. Void check should be given to the clerical assistant to attached to and maintain with the appropriate bank statement.

Vendors should be asked to return unused checks to be voided by the company. [02-20-2010]

A shredding service may be utilized for major amounts of documents to be destroyed.

Documents shall not be shredded for the purpose of covert or illegal transactions. Any employee who shreds documents to avoid disciplinary action or prosecution or to hide inappropriate transactions, activities, or behaviors will be terminated immediately and subject to further punitive actions.

**Grants:** Established federal guidelines should be followed regarding record retention—usually to retain documents for 3 years.

## DISASTER / EMERGENCY / EVACUATION PLAN

Hallways, entrances and exits to the building or offices should not be blocked in any CJH or grant office location.

At least once per year the evacuation plan for buildings occupied by CJH and grant staff supplied by the landlord (York Properties or landlords in other locations) should be reviewed by the occupying staff. The evacuation plan will be part of new employee orientation by the Director.

The clerical assistant will keep **an emergency contact notebook** *visible* and *accessible* for staff and to be updated bi-annually and reviewed with new staff during orientation. This notebook will house emergency telephone numbers such as police, York or other local security and other landlords (names and numbers), fire department, insurance claims numbers, staff home numbers, and other relevant data for emergencies. Employees are required to submit updates to **the clerical assistant (CA)** with change of phone numbers, addresses, etc. within five (5) calendar days of a change. The CA shall immediately provide all staff with an update.

All employees shall maintain an updated and *confidential* list of other employees' contact information in the event of an emergency. At least one such friend, relative, or personal contact should be listed with 10-digit phone number within a 50-mile radius. Company employee's should

respect this list for its purpose and **not** use it for routine communication to locate or leave messages for co-workers.

The office shall purchase and maintain the following **battery-operated equipment**: 1) flash light, 2) radio, and 3) TV. (Batteries to be tested annually by the CA.)

The office will maintain **a basic First Aid Kit** whose supplies are to be replenished periodically by the CA. First Aid contents to include but not limited to: rubbing alcohol or peroxide, cotton balls or swabs, band aids, etc.

The office shall comply with fire regulations, codes, and inspections conducted by York Properties or other landlord and Fire Marshals.

The CA shall assist in the annual inspection of the Fire Marshall and apprise the staff of report results, violations, and changes. The physical location of the office and hallway fire extinguishers shall be **part of new employee** orientation.

Inspections to date: April 9, 2003 by L. H. Roberts. Co- signed by Shirley Smith (MT clerical contract staff). Last date: April 13, 2004 by Russ Ross.

In Raleigh, questions can be directed directly to the Fire Marshall's Office, TEL: 831-6392 or FAX: 831-6181 **310 W Martin St, Raleigh, NC 27601 (919) 996-6115**  
Phone: (919) 831-6115 Phone: (919) 831-6392 Phone: (919) 996-6392

#### Marshall Law, National Crisis, Natural Disaster, Other

In the event of one or more of the above named crisis, CJH Company may shut down operation for an indefinite period of time to: 1) assess the situation and 2) assess conditions for the health and safety of its employees. Such occurrences may include but not limited to hurricanes, fires, civil unrest, riots, epidemics, floods, violence at or near in the workplace, threats, etc.).

Employees may be subject to unpaid leave.

**Grants**: Company employees hired on federal or other grants are subject to closures as described above.

In the case of national crisis, the Company will seek guidance, if necessary, from federal funders on modification of anticipated outcomes, unanticipated expenditures, continued funding, etc.

## EMPLOYMENT TERMS

All employees are “at-will” and either CJH or an employee can, at any time, with or without cause, terminate the employment relationship, including all compensation and benefits.

Full time and part time employees may be salaried or hourly.

CJH maintains the discretion and authority to assign or re-assign employees to positions and/or duties most suited for their skill and for the benefit of the company overall.

All employees are subject to a minimum of a 90-day probationary period.

Performance evaluation of all full-time employees will be assessed at 30, 60, and 90 days with annual assessment thereafter. Part time employee evaluations are at the discretion of the President.

At least **two (2)** satisfactory *letters of recommendation/reference* are required for employment of full-time employees. References that are not satisfactory may effect continued employment or employment outcome. Satisfactory: (content quality, of positive nature, without indication or reference to major work or personal issues, timely, signed and dated, as requested, etc.) (also see ‘HIRING’)

CJH may require verbal recommendations from former employers as well to be completed prior to hire.

Up to three (3) letters of reference may be required of part-time employees. Short-term hires may be exempt.

*Hiring qualifications:* 1) demonstrate skills and abilities to handle job task, 2) at least one letter from current/most recent employer, 3) highly recommended based on work performance, 4) no felony convictions or gross infractions of NC laws, 5) no indications of social limitations (e.g., peer conflicts, absenteeism, lethargic, insubordinate, substance abuse, or other behavioral concerns, etc.).

Professional positions (executive and administrative) are exempt from overtime wages. Exempt employees may work **more than 40 hours per** week without further compensation.

As an employee of CJH, staff are representing the company at all times (conferences, meetings, in public, on telephone, electronic communications, etc.) and must be cognizant of behavior and impressions on others. Temper, anger, retaliation, and frustration with the public must be managed and controlled during the course of employment.

### Grants:

Employment for grants is based on: (1) continued federal funding to CJH from the granting agency and (2) the ability to satisfactorily perform in the job assignment within the scope of the company environment and policies. Additionally, factors such as *initiative* and *trust level* are key characteristics highly desirable in staff to maintain satisfactory performance. Positions are subject to periodic review and an annual evaluation based upon job descriptions. The first scheduled review will be with a supervisor within 31 – 40 calendar days after employment.

CJH has the discretion and the authority to terminate a grant or engage in staff or project restructuring in the interest of the company or grant without further benefit, continued employment, salary, or compensation to employees.

## ENDORSEMENT AND RECOMMENDATIONS

Employees of the company will not promote or endorse any business, service, or person. Nor will endorsements be implied or suggested in any way. (Ed: 09-30-03).

Referrals with disclaimers are acceptable.

### Grants:

#### Public request for service recommendations

A written disclaimer from CJH and its grant or program must accompany any list of vendors, companies or solicitors on CJH websites, activities, newsletters or other public venues.

## EQUIPMENT, SUPPLIES, AND COMPUTERS

Equipment, supplies and items, are used interchangeably. Policies and procedures apply to both terms.

+++

All equipment and supplies are the sole property of CJH.

Gifts, bonuses, rewards, points, cash-back, rebates, or other benefits as a result of credit card use, memberships, accounts, purchases, etc. are company property.

Use of all supplies, software, and equipment shall be for official CJH company business only.

Employees may not use supplies, equipment, or facilities for personal use or for the support of other businesses or personal ventures.

Employees shall not install or download any unauthorized software, apps or programs without written permission from the Supervisor, designee, or President. Loading additional software should not be performed without prior approval. When granted, such programs, apps, and software are installed, they must be done so by an experienced technician..

Employees shall not peruse, download, or access any adult, pornographic, or other prohibited websites. (This policy applies to any period of time employed including during work or off hours, before and after work and weekends.) Violation is subject to immediate dismissal.

Games (such as solitary, Minesweep and other pre-installed by the manufacturer) are discouraged but are permitted during lunch, breaks, or after regular business hours as long as it does not interfere with employee work or work schedule. Any misuse of games or any reprimand verbal or written will constitute a revocation of employee use.

### Office Site Use (Ed: 11-25-03)

Some supplies and equipment may be used at an off site and/or at an employee's home if they are properly and officially 'checked-out' for offsite use with appropriate forms (Off Site Use, other such form), written approval (requiring signatures), and knowledge of the Supervisor and/or President. *Financial responsibility for the equipment and the care of the equipment rests with the employee until returned and 'checked-in'.* Employees accept **full financial responsibility** for borrowed equipment at a comparable value for replacement. The values of equipment that is failed to be returned (whether *stolen*, lost, misplaced, or other) within 5 business days after offsite-use terminates will be charged to the employee. Payment must be received prior to the coming pay period or wage garnishment will become in effect. The company retains the right to garnish wages for any financial indebtedness.

Replacement of equipment may be approved if the replacement is determined to be of equal or greater value than the equipment loaned.

Cost of repair or replacement will be charged to the borrower. CJH will accept personal checks or engage payroll garnishment as a means of recovering lost, misplaced, or damaged items.

Equipment and supplies:

- 1) returned after payment, garnishment, or replacement will not be reimbursed.

2) must be returned and 'checked-in' by the due date by a supervisor or designee and a new form submitted for extended use.

3) must be returned in the same condition as upon borrowing or a damage fee will be charged.

Equipment must be returned in the same condition it was received or a financial penalty will be charged for damage that is equal to the repair cost to include labor.

Employees may not loan any equipment or supplies or company property to a 3<sup>rd</sup> party including employee relatives whether in office or at-home use. **Lending, sharing, or loaning CJH equipment to 3<sup>rd</sup> parties is prohibited.** [02/20/2010]

Supplies and equipment are subject to the same policies regarding unauthorized use, prohibited personal use, unauthorized software installed, etc. Misuse may result in revocation of privileges.

CJH reserves the right to recall at any time, any equipment or supplies loaned for offsite use. [02/20/2010]

Supplies and equipment can be recalled to the office at any time. Proper care, use, treatment, and supervision of all equipment is expected of employees.

When *new supplies* such as fax machines, copiers, computers are purchased, ALL paperwork, discs, cable, boxes, etc. should be maintained and kept separately. Each should be *traceable* to the item purchased. These documents should be labeled independently (when two or more are purchased) and either be stored with the item or in a central file.

Also see file: Equipment Home-Use form

### **Grants:**

Equipment is defined as purchases of \$5,000 unit cost or more with a life expectancy of at least one year.

Equipment, services, or supplies meeting the cost threshold (\$25,000 or more) must be purchased using established procurement procedures.

The assigned clerical assistant is responsible for upkeep and maintenance of computers, IT, copiers, fax, etc. This position also is responsible for backing up data on a server on a weekly basis and the maintenance of shared files.

The assigned clerical assistant shall be responsible for tracking home-use 'Office Site Use' forms, required signatures, and timeframe.

## ETHICS AND INTEGRITY

Employees will not engage in any unlawful activity on or off the job or while hired by or representing the company. Employees will not behave in any manner on or off premises or while on official business that reflects negatively on CJH. Employees will not engage in behaviors proven to be an embarrassment to the company (public nuisance, public intoxication, delinquent acts, etc.).

Borrowing money, soliciting funds for outside interests, goods/products, and other business and personal transactions outside of company business with CJH clients, Partners, employees, or other associates is prohibited.

Attempts to *deceive* or *mislead* a supervisor to avoid discipline, to gain favorable outcomes, personal gain, or other reasons are subject to disciplinary action. These actions will jeopardize status, respect and employment.

Employees, contractors, or other personnel ***may not in anyway***, modify a signed document from an individual, company, or third party, with the exception of a date received written or stamped in the upper right hand corner. Employees and others are strictly forbidden from altering documents, files, making corrections (electronic or written) on any document that has been signed or submitted by a third party, individual or company. The party must be informed of the issue and 1) asked to make the change themselves (resubmit) or 2) provide written permission for the modification to which the change must be specifically outlined. Verbal permission is insufficient for this mandate.

*Honest is the best policy.*

### *Code of Ethics*

CJH endeavors to maintain a high standard of performance and services and a positive image in the community. All staff are expected to abide by the Code of Ethics below.

Employees will:

1. Offer kind and humane treatment of all persons regardless of race, color, sex, sexual preference, political or religious belief, mental or physical disability or any other personal characteristics, condition, or status
2. Exhibit personal concern for the well-being of other employees, colleagues, and the company community
3. Praise the good work of others and strive to personally improve
4. Refrain from jeering and teasing others due to misfortune, unfortunate circumstances, or other events
5. Refrain from malicious actions, language, or behavior with the intent to hurt, harm, expose weaknesses or misfortune of others (co-workers, peers, subordinates), or prove a point
6. Refrain from dishonesty, fraud, deceit, or misrepresentation
7. Refrain from inappropriate language or communications with co-workers, peers, or individuals outside of the company
8. Refrain from sharing internal company policies and procedures with individuals outside of the company (contractors, friends, etc.)
9. Abide by the spirit and intent of all federal and state confidentiality regulations including client and employee rights to confidential treatment
10. Do not use relationship with clients to further personal, religious, political or business interest

11. Refrain from using professional authority or attempt to use personal or professional authority over clients or subordinate employees in a coercive manner to serve personal goals.
12. Refrain from sexual misconduct on the job (in office, site visits, in public, traveling on company business while representing the company)
13. Do not engage in unethical conduct and appropriately report such by others
14. Engage in continuing education regarding professional development as part of quality service
15. Accept responsibility for awareness and limitation of one's own skills; consider the suggestions and recommendations of professionals when appropriate and reasonable
16. Represent CJH and its information accurately and objectively to the public
17. Be mindful of anger, short temper, condescension, and other attitudes affecting quality of service
18. Provide clients with accurate and complete information regarding services of the company, program, or grant and advise them of educational, program, and other opportunities for their growth and development
19. Refrain from actions of nepotism or conflict of interest.

See: Human Resources: *Code of Conduct*



## EXPENDITURE APPROVALS

### Expenses

Use of personal funds/currency is discouraged; however allowed with permission from a Supervisor.

Employees must obtain the advance consent of their supervisor before incurring expenses for which they will seek reimbursement. Approved expenses must be documented, with receipts attached, and submitted within five (5) business days of the date on which they were incurred. An Expense Reimbursement Report or Form is used for this purpose.

[Refer to the Travel Policy regarding expenses related to agency-approved travel. Request for reimbursements for credit card purchases, cash, checks, etc. associated with travel must be submitted on a ***Travel Reimbursement Form***.]

Expenditures of a personal use will not be reimbursed. Other examples of non-reimbursable expenditures:

1. Charitable donations and refunds to customers
2. Country Club-initiation fees and monthly dues
3. Political contributions
4. Employee's \*personal cellular phones – monthly cellular phone bills or individual cellular calls. (\*The company may provide a set fee to cover use of personal mobile phones for business purposes.)

### Receipts

Receipts must be authentic and original with clearly outlined vendor, item, and unit cost. They must be accompanied by and with a reimbursement form and submitted through the payment process.

Reimbursement forms must be submitted prior to the final fiduciary closeout of the appropriate fiscal year in which the expense occurred regardless of the five (5) business day policy.

Employees should refrain from submitting receipts with personal items listed. If personal and business items are inadvertently co-mingled, the employee should mark through personal items and tally appropriate tax for the work-related items. Print appropriate amount to be reimbursed at the top of the receipt with the required information.

Limited *receipt book* or *handwritten* receipts may be considered on a case-by-case basis. However must include all pertinent information (date, destination or purpose, contact information (phone, address, amount, and *legible signature*)).

In the event a receipt is not possible and the amount falls under \$8 (parking meters, bus fare, etc.), a signed statement shall serve as a receipt and can be considered valid if it details time, place, event, and verifies that no receipt could be obtained.

Duplicates: A duplicate receipt can be accepted in rare circumstances and must be approved by the supervisor and may be denied reimbursement. Employees should be responsible to avoid the need for duplicates.

No refunds or reimbursements will be provided to any employee or third parties without a receipt for the *specific item(s) purchased or funds expended*.

Lost receipts in which 'cash (\$)' was used cannot be reimbursed.

Original receipts are required for all items regardless of the dollar amount and must be included with the expense report to support the claim for reimbursement. The receipt must clearly show the date, name of the establishment, amount, and evidence of payment by charge card, debit, or cash.

Expenses paid by credit cards must yield a receipt. Cash receipts must be from cash registers, which normally show date, establishment name, transaction amount, and the change which completes the transaction. The clerical assistant or bookkeeper will review the expense report ensuring compliance with this and other policies.

### Mileage and Worksite

Mileage is an acceptable company expenditure and is also paid at the discretion and option of the company. Abuse (excessive charges, false reporting, incorrect rates) will result in termination of this privilege.

When mileage reimbursement amounts seem unreasonable, mapquest.com or other impartial means should be used to determine miles.

Mileage at the State rate which is currently \$0.545 per mile (Ed: 02/02/16). Mileage can be reimbursed for necessary travel, errands, meetings, and other company-related business away from the work site (2016 Cameron Street or other worksites).

Reimbursement documentation is required and must detail date, place, purpose of trip, etc.

Mileage **will not** be reimbursed for travel or commute to and from the worksite. A worksite is the initial site of work (where the workday begins) and may vary.

Mileage will not be reimbursed for contractors except under unusual circumstance and should be pre-approved by the supervising employee.

### Petty Cash Fund

A project may operate a petty cash account in an amount up to \$100.00.

All policies pertaining to expenditures, cash, expenditures, and approvals, etc. apply to petty cash fund use.

More than one inconsistency in reconciliation during the year will terminate the petty cash fund. [Ed: 02/24/10]

### Payroll

Payroll shall be processed monthly according to an established calendar.

Supervisors of employees will ensure all timesheets are prepared, reviewed, corrected and submitted for processing on or before the monthly due date.

### Payroll Advance

In the event of payroll error or delay in pay check distribution, the company can advance an employee up to \$100, to be paid back to the company through bank deposit within 24 hours of receiving the delayed pay check. A signed document MUST accompany the advance agreeing to stated terms to include interest, garnishing, or barring from future advances for breach of terms. [04/04/2016]

### Grants:

PDs may authorize expenditures **up to \$300**. Any single expense or in aggregate exceeding this limit must be approved by the President.

The PD will establish the upper threshold for expenditures for staff (e.g. credit card, etc.).

### Supplies

Office supplies are purchased by the Clerical Assistant for business use. Items are ordered as needed and approved by the PD.

All expenditures must be “*allowable, allocable, and reasonable*” as per the definitions provided in the Finance and Accounting Policies section.

### Requisition and Advance Request Procedure

Requisition and advance request procedures will be established by the PD of any grant.

If this process is implemented, a requisition should include a description of the item(s) or services(s) to be purchased and the total amount requested.

Every effort will be made to provide a 5-business day turn around on all approved requisitions. Approval is defined as having all necessary signatures.

Reimbursements shall be paid at the end of each month according to a Payment Schedule. The clerical assistant updates this schedule at the beginning of each fiscal year. Invoices received after ‘cut-off’ will be processed the following month if they are accurate and in suitable form. (Ed: 12-16-03)

Pre-approved expenditures will be reimbursed with an authentic, original receipt accompanied by an expense reimbursement form.

American Express, Visa or other Credit Cards **may be provided** to full or part-time, essential staff who are employed beyond the 90-day probationary period and have acquired or maintained good standing. Credit card receipts should be turned into the clerical assistant and recorded as separate receipts. Use of credit cards is principally limited to: (1) travel for staff and (2) immediate needs and special approved circumstances by the Director. General supplies and equipment are purchases to be made by the clerical assistant.

Credit cards are obtained by and the property of the company. Cards *can* be used for multiple grants on a basis that assures a monthly reconciliation of all transactions, charged and repaid by and to the appropriate account.

Personal use of the card is discouraged. Any personal charge to the card must be reimbursed to the appropriate account before the next credit billing cycle. Continued use for personal expenses will merit a warning and up to revocation of credit card privileges.

Also see heading: *EQUIPMENT, SUPPLIES, AND COMPUTERS*

#### Minority and Women-Owned Businesses

The company will make an effort to utilize minority and women-owned businesses as per outlined in Title 45, Sec. 74.44 (b): *Procurement procedures*.

#### Meals and Training

Federal funds can only be expended for meals during *training* events and over night travel.

## FILES: *OFFICE ADMINISTRATIVE*

CJH and Grants policies:

Administrative files (including but not limited to client documents, company or project expense or financial reports, performance reports, confidential files) or any document generated regarding or pertaining to a grant may not be removed from the office without prior consent of the Company President. This policy also applies to photo copies of such documents. [Ed: 02/24/10]

Such files are to remain in the project office at all times and the information contained wherein may not be shared with any unauthorized person by fax, electronic e-mail, scanning, viewing, or other method. [Ed: 02/24/10]

Violation of these policies will result in employment termination and or legal action. [Ed: 02/24/10]

Copying confidential information is prohibited and subject to disciplinary action.

Administrative files and confidential information should be secured and maintained under lock.

Electronic files will be stored on a server with a scheduled backup taping system. The Clerical Assistant will develop a procedure for backup.

The Clerical Assistant is required to maintain ‘hard’ copies or duplicate electronic copies (disk or thumb drive) of any electronic files or e-mails deemed suitable for permanent record keeping—these may include messages to and from USDHHS, staff directives, corrections, codes, etc.

Copies should be made of any and all report, document, or correspondence prior to submission outside of the company or office (reports, letters, notes, messages, etc.). Copies should be stored for reference. Files over two (2) years can be saved on compact disc (CDs) or other storage devices, as necessary.

Employee personal information should not be contained on company computers. Business and information should be saved to and accessible from shared files. [Ed: 02/24/10]

Project files are not to be destroyed without permission from the President.

Insert modifications for COVID-19

### Grants:

Grant files should not be destroyed without approval from a supervisor. Grant files are subject to federal disposition regulations and rules. See: 74.53: *Retention and access requirements for records* and/or Destroying Documents section.

Documents generated from a grant are federal documents.

## FORMS and SCHEDULES

This section highlights basic forms used by CJH employees.

- Timesheets  
All employees and hourly vendors are to submit timesheets. Timesheets are to reflect activities, involvement, and time worked according to company policy. These may be in-house forms or documents signed by the employee.
- Leave Forms  
**Leave must be requested and approved.** Employees must request leave from an immediate supervisor. *Prior to taking leave*, each employee is to complete and submit to the Supervisor a completed personal leave request form. Requests should be submitted in writing and in accordance to company policy. Forms should be submitted as *early as possible* to avoid disappointment in anticipated future leave.
- Travel Reimbursement and Expense  
All reimbursement requests must have 1) original signature of claimant, 2) authorized signature of approving authority, and 3) original receipts as referenced in previous sections.

Internal forms will be developed and updated as required to meet the needs of the program or company. Forms and revisions must be dated. (Ed: 02-03-04) Only the most recent forms shall be used and accepted. All previous forms should be discarded.

An **original ink signature** is expected on all forms from staff, vendors, public, etc. Faxes, copies, and electronic signatures will only be accepted when an original cannot be obtained by a set deadline.

**Original signed documents should not be modified, corrected or changed in anyway.** If needed, copies should be made for daily use. 'Date received' or date stamped in the upper right hand corner or top of page is the **only modification permissible** on an original and signed document. Notations (such as corrections, reminders, feedback) should be written as a separate note and stapled to the document to reference the correction or edit. **Verbal permission is not acceptable for modifications.** Written permission may be acceptable; however requires communication with a supervisor.

Examples of forms and schedules are listed below and include:

- Agreement of Confidentiality
- Receipt or Accessibility to CJH Policies & Procedures Manual
- Employee Attendance Record or Timesheet
- Employment Applications (staff and volunteers)
- Contractor Evaluation
- Conflict of Interest
- Contractual Agreement
- Off-Site Use (equipment home and off-site use)
- Internal Incident Report (Accident Report Form)

- Inventory – Master Inventory List
- Payroll and Payment Schedules (updated annually)
- Sick Leave, Annual Leave
- Expense Reimbursement Report
- Travel Authorization
- Travel Reimbursement

All official in-house forms must be approved by the Supervisor. Periodic revisions must be approved as well.

Forms shall be supplied, maintained, and updated by the Clerical Assistant. Forms may be color-coded, as needed.

#### Grants:

- Cost-share  
Forms are not required but are available and can be used by employees, consultants or any other individual when in-kind services are donated to the company. Volunteer hours from consultants is an example of cost share. Letters or other documents outlining donations may be used as long as it meets the federal cost share requirement.

#### Examples of forms:

- Cost share check-list
- Cost share donor form

## INCLEMENT WEATHER

Employees will use personal discretion in conjunction with media sources (radio, television) when the weather is predicted to be inclement. ***Safety is the principal consideration.***

Use ***foresight*** prior to a day predicted to have inclement weather: review calendar for appointments and gather client phone numbers, etc. in the event communication for cancellation, delay, or postponement is necessary.

When the office is open and an employee judges that the weather is too inclement to report to the work site, each employee must do the following in a ***timely manner***:

- Contact their supervisor
- Communicate directly and *immediately* with other employees or Supervisor for any responsibilities occurring that day that may be impacted by his/her absence
- Contact and cancel any appointments scheduled on that day that cannot be resolved by another employee or Supervisor

Employees should assume the office is open until official notice is otherwise announced by their supervisor. Official notice will also be available by recorded message left after midnight at the following number (919) 832-0306. A tertiary source is the CJH website ('Updates and Upcoming Events').

### Office Open/Closed

- When the office is open and an employee takes a day or several hours leave due to inclement weather, leave forms are required for the absence the day upon return to work.
- No make-up days will be provided for employees who take leave during times when the office is open, and the time should be charged to personal annual leave.
- When the office is closed, leave forms are required. The employee should write "office closed" on the form. The company President and Director may determine methods by which the leave for inclement weather may uniformly be made up in future program activities- such as work assigned on non-religious holiday. Any leave not made up by participation in designated company programs will be charged to personal annual leave at the end of the fiscal year.
- **All leave forms are due and required *the day of return to the work site.***

**The company has no work-at-home policy.** Working at home does not constitute make up time *in any form.*

Insert modifications for COVID-19



## INSURANCE

The Company's liability insurance agent contact information and policy number shall be maintained by the clerical assistant

Liability insurance shall be maintained for accidents of non-employees, office content, and other claims.

Any changes or lapses in coverage should be immediately reported to the Company President.

Health insurance is not provided as a part of employment. (If provided, it may be terminated at any time at the discretion of the President.)

Employees should keep the President and Director abreast and apprised of any potential for negligence, law suits, or other claims.

Any accident should be immediately reported to the President (and Project Director for grants)—during the occurrence or within a 'reasonable' time of the incident.

**Internal incident reports should be completed and submitted to the Company President within one (1) business days of any incident.**

Police reports are required for theft of property, accidents, and/or crimes. Police reports are to be maintained per incident as part of standard administrative files.

### Responsibility, Precaution, Safety

The company will not be responsible for personal transactions between or among employees and between employees and third parties. CJH does not accept financial responsibility for lost items, loaned items, safekeeping transactions between (among) employees or employees and third parties.

The company holds the initial user and borrower of company property responsible. (The employee who signed out the property is responsible for the value of items whether or not it was loaned to another employee or given for safekeeping.) No company property should be loaned or provided to a 3<sup>rd</sup> party.

Employees will be responsible for their own transactions with others.

The company prohibits borrowing of any property from third parties (computers, laptops, CD players, and other personal belongings) even if for company business use.

CJH encourages safeguarding purses and personal items. These should be kept in locked file cabinets or desks. Personal items of value should not be brought to the work site. *Thefts have occurred.*

Individuals are discouraged from remaining alone in buildings, offices or workplaces after hours, nights, and weekends. Safety precautions should be taken at all times while on the office grounds.

Employees are encouraged to contact York Properties or other landlord security to be escorted to cars at night or when justified.

Employees should report any potential safety hazards in writing to the President (and also a Project Director **for grants**) who will submit it in writing to appropriate officials (landlords, safety inspectors, etc.) with sufficient copy to the President.

Personal items of value are discouraged at the office.

#### **Grants:**

The Company President shall determine if the Clerical Assistant, Project Director (PD), and others having direct access to and responsibility for federal funds shall be bonded.

Insurance coverage shall be provided for the property and equipment paid for by federal funds.

Insurance shall be kept in good standing by the clerical assistant and in accord with PART 74.31 *Insurance Coverage*. The clerical assistant should constantly monitor status of coverage and update as needed.

## INVENTORY

### Inventory

An annual inventory will be conducted of all CJH property. Inventory shall be kept by: 1) office location and 2) description. A report will be compiled to the President on or before July 01 of each year.

The annual inventory process will follow a “*sheet to floor and floor to sheet*” system when possible. (Ed: 01-13-04). Photos and videos are acceptable *supports* to assist in inventory documentation.

Safeguarding property: - Sec. (a)(3):

- Office entries will be locked while the office is closed or not in use.
- Electrical equipment will be turned off daily and unplugged if long periods of non-use are expected.
- Computer access shall be password protected.
- Files are to be maintained in locked file cabinets
- Accounting records are maintained on QuickBooks and is password protected.
- Original and authentic receipts are required on expenses.
- The clerical assistant and others associated with finances may be bonded.
- Duplicate keys are kept in a lockbox and locked file cabinet.

### Grants:

- Safeguards: Expenditure monitoring includes an approval process by the Director.

The clerical assistant will conduct an annual inventory of all CJH property in use by the grant and is responsible for inventory schedule and disposition of supplies, equipment, and furnishings. Annual inventory will be conducted in accord with Code 74.21, *Standards for Financial Management Systems*, and lists all company assets purchased from grant funds.

Property and supplies such as computers, printers, desks, chairs, fax etc. and purchased with grant funds shall be inventoried in accord with PART 74.34 and 74.35. All supplies including furniture, desks, chairs, filing cabinets, etc. will be inventoried initially upon outfit of the office and each year thereafter. All inventoried items must be easily identified with serial number, purchase date, condition (new, existing), brand name and other descriptions.

Serial Numbers should be logged. Small items should have labels or ID tags when possible and appropriate based on value.

All CJH non-grant property should be inventoried separately.

### Supplies

The clerical assistant will take a physical inventory of all property and assets annually.

Ownership of items (CJH, personal, others) will be maintained on the Master Inventory list.

The clerical assistant will review the Master Inventory list with the Director for purposes of reporting all discrepancies, losses, damages, or destruction.

Employees should not have personal items of value in the office.

### Fixed Assets

A fixed asset is defined as non-expendable personal property with a life expectancy of a year or more with a unit cost of \$5,000 or more.

All equipment, which meets the definition of a fixed asset, will be tracked through an *Inventory Control System*. It is the responsibility of the clerical assistant to develop and maintain a tracking system to ensure accurate inventory control for fixed assets.

All assets and property will be recorded on a ***Master Inventory List*** (including source and vendor name). Updates will be made as necessary whether the equipment is newly acquired, lost, stolen, replaced, transferred surplus or requires a new property identification tag.

***By no means will property be disposed of without prior authorization from the company President.*** Permission to dispose of fixed assets purchased with federal funds must be authorized by the granting agency. In the event that equipment is stolen, a **complete police report** must be filed and obtained. The report must be submitted to the granting agency for the item(s) to be removed from the Master Inventory List.

All fixed assets will be identified with a CJH Property ID tag indicating the appropriate grant and an inventory number.

### Property disposal

Disposal of property or assets must be documented. Approval is required by the Company President. (Ed: 01-13-04).

Property slated for disposal will be valued. The clerical assistant will assess value based on general standard disposal practice.

Property slated for disposal will be disposed of in accord with PART 74.

Theft will be punishable to the fullest extent of state and federal laws.

(see 'Document Disposition')

## KEYS, PASSWORDS, AND CODES

All keys should be kept in a safe place and not subject to theft, loss, or destruction.

Keys to the office or building should not be given to family members or other third parties.

The cost of replacement for passwords, codes, keys or other expenses associated with lost keys (security entry fees, labor costs, locks changed), shall be the financial responsibility of the employee.

Locks may be changed periodically by the company.

Passwords, codes to computers, software, and financial accounts are subject to the same policies as keys stated above. (also see: Equipment, Supplies, and Computers)

A copy of all keys and passwords should be provided to the company President. The President will periodically inspect all company supplies, equipment, and intangibles including software, on-line use, and accounts.

Employees are encouraged to change passwords at least every 90 days (3 months).

Employees should not rely on building staff or housekeeping staff for entry into the building or offices. ***Employees should NOT ask or engage building staff or housekeeping staff to gain access in any office other than the one assigned.*** Such action could result in employment termination.

Employees should not possess or bring to the worksite or store on premises any personal items of value. The company will not be liable for lost, stolen, or otherwise missing personal property.

Volunteers are not authorized personnel and should NOT have access to keys, codes, passwords, personnel records, other confidential files, or other secured documents.

### Grants:

Building keys and office door keys shall be issued to employees by the Director.

Keys shall be returned by the employee and collected by the Director at the end of an employee's hire.

A working copy of all keys to all file cabinets, desks, and other locking structures should be provided to the Director.

Password logs should be maintained by the President and/or Director for purposes of internal controls. Employees will update the Director within one (1) working day each time changes are made.

If a password is given out, used, or discovered by a third party, it should immediately be changed.

The Director:

- 1) should be immediately informed of the change of any codes or passwords.
- 2) should not provide passwords, codes, keys or access to keys, codes, or passwords to any individual not authorized by the President.

## MAIL AND POSTAGE

Mail is the property of the company. Mail is critical to the daily operation of the Company.

The company maintains a ***zero-tolerance*** on mail abuse (lost, neglected, undelivered, etc.).

Delivery of *personal mail* to the work/business address is discouraged.

The company does not accept responsibility for lost or misplaced personal mail.

Mail picked up on behalf of the CJH Company or president, by an employee should be delivered unopened to CJH company on the same day.

Mail sent to individual employees is discouraged. ***All mail should be directed to the company at its PO Box.***

### Outgoing:

Outgoing mail should be delivered to the post office during open hours on a daily basis.

Stamps may be purchased as an expense as needed for general use and special mailings. Requests for stamps should be submitted as an expense item.

A use log for stamps should be maintained and ***attached to the invoice*** when completed.

Stamps are to be considered as cash and use should be logged.

### Overnight

Federal Express (FedEx), United Parcel Service, and United States Postal Express Mail Service overnight deliveries are allowable as needed for business purposes.

Insert modifications for COVID-19

### Grants:

The Director and clerical assistant will establish procedures for logging incoming and outgoing mail.

Incoming: Mail for a grant or program is retrieved daily from the Post Office Box and delivered to appropriate employee mail boxes in the company office.

Use of stamps should also be recorded (logged) and attached to the appropriate invoice for stamp purchases.

Any document sent to the federal sponsors should be via FedEx, certified, or other *trackable* courier service.

All incoming mail should be “date stamped” by hand (upper right hand corner) or stamper which is the only source of external modification or alteration to a signed document received by the company.

Documents received and signed from outside sources (via mail, email, text) should be not modified (corrected, edited, etc.) in any way. Modifying or changing documents subjects an employee to employment termination.

***In every instance when an exception is made to a policy or procedure, a memo is required for explanation and should be attached to the exception or in a collective file so labeled.***

An original ink signature is preferred on all essential communications (letters, memos, reports, meeting minutes, timesheets, etc.).

Insert modifications for COVID-19

The CJH P&P manual should be available to all employees during an orientation session by the grant PD or CJH president. A signature page should be obtained indicating: 1) a review of policies and 2) acceptance of policies. A P&P office copy should be accessible to contractors, volunteers, etc.

Desks, work areas should be free of health and safety hazards, as well as security breeches (visible passwords, codes, keys, etc.). Employees' offices, desks and all areas of the office may be routinely examined and inspected by the company President or designee.

### Financial and Program Management

The P&P manual is developed as 'standards for internal controls' and a tool for management controls—organization, policies, procedures to achieve results and safeguard the integrity of CJH and its grant programs. These policies and procedures are developed to reasonably assure the following:

- 1) uniformity in operations
- 2)\*obligations comply with laws,
- 3) assets are safeguarded against waste, loss, unauthorized use or misappropriation,
- 4) revenues and expenditures are recorded and accounted for,
- 5) ethics and integrity are maintained, and
- 6) goals are met.

Policies will be regularly updated to improve the effectiveness of management controls. Tools used to help shape procedures are:

- 'Lessons Learned.' Management knowledge gained from daily operations
- 'Best Practices' – useable principles from public interactions, project impact, company experiences
- Sound judgment from a seasoned and experienced management/ administrator
- Program Evaluation
- Project audit for grants as required
- Previous audit reports

Identified deficiencies from these sources will be addressed in early stages to take corrective action and avoid 'material weaknesses.'

### Advisories and Expertise

CJH will utilize consultants, community advisors, staff, advocates, and other stakeholders to help shape policies and procedures and help with issues in their field of expertise. These individuals will serve in lieu of or in addition to an Advisory Council or Board of Directors.

Issues		Resolve
Delegation of Authority and Organization		Organizational Chart, Job Descriptions
Separation of Duties and Supervisions		Job descriptions; Performance Evaluations, Site visits, Policies and Procedures
Access to Files	Limited to Authorized Persons	
Security	No cash transactions; Single-party draw down system; one check signer; several check preparers, code access	
Recording, Documentation	Original receipts, Meeting minutes, Copies of documents sent	
Resolution of Audit Finding	1) Address each finding; 2) Implement New Policies and Procedures to Correct Deficiencies or revise old policies	

CJH financial management system shall provide the following:

	Provision	CJH Method
1.	Accurate, current, and complete disclosure of the financial results of a grant	- Internal or contracted accounting service - Annual audit
2.	Source and application of funds for activities	System for reimbursement and expenditures
3.	Control over accountability for all funds, property and assets	Bonding; system for draw, separation of duties
4.	Safeguard assets and assure they are used for authorized purposes	Inventory
5.	Relate expenditure with performance	Outside evaluator; outcome evaluation
6.	Establish process to use reasonable, allowable, and allocable as principles	Staff training; review of FAR

Training: Full and part-time employees and Professional Contractors are encouraged to keep up-to-date in their field and improve knowledge on current trends (e.g., technology, financial systems, fund raising, management, etc.) through outside *classes, workshops, seminars*, and publications. CJH support includes:

- In-service training, workshops
- USDHHS approved conferences and webinars
- Access to Program Officers (for grants)
- Encouragement to visit and/or observe outside *high-tech*, effective, and efficient financial operations (implement new ideas when applicable and tried)
- EXPOs, Exhibits
- Visiting similar companies or grant programs with same or similar mission

#### Grants:

The Policies manual is part of management controls to help minimize the risk associated with federal programs operations (failure, waste, fraud, mismanagement).

(\**Sources of expertise for grants* -- periodic staff review of legislation, TA from National Resource Centers, attorney on retainer, outside evaluation, communication with US DHHS, grant-sponsored auditor to assist with compliance issues throughout the fiscal year, CPA audit of financial statements)

CJH strives to be a proper steward of federal funds; this *pro-active* effort is viewed as the responsibility of the Director and Company President.



Grant data must be routinely backed up by a Server weekly. The Clerical Assistant shall monitor the back up system.

CJH will only draw down funds needed for current grant expenditures stored in Batch files.

Based on the implementation of policies and management controls, CJH is reasonably assured of meeting federal requirements of a sound project.

#### Methods to Measure Project Effectiveness

- (1) An outside evaluation for grants
- (2) Administrative program-specific audit, when threshold is met
- (3) Staff discussions, occasional community surveys
- (4) In-service Training

A Financial System is an *information system* used to collect process, maintain, transmit and report financial data (tracking). A financial system encompasses automated and manual processes, procedures, controls, data, hardware, software, and support personnel for the operation and maintenance of system functions. CJH uses the following:

- QuickBooks (Premier or other)
- Computers
- Budget; Chart of Account; Trial balances, etc.
- CJH Policies and Procedures Manual, handbooks
- Outside assistance for internal control (since Yr. 2002-03 the services of Bill Scott, Jr., CPA for NCDHHS)
- Paid hourly bookkeepers and accountants

### NEPOTISM

Employees are prohibited from serving in any capacity of direct supervision over or subordinate to a family member except by written permission of the President in limited circumstances. Family is defined as anyone 'related' by blood or marriage or having a personal, intimate, or familial relationship.

Employees (et al) are required to disclose any situation that may arise and cause conflict of interest, nepotism, or a similar situation, which calls into question the integrity of the company or the grant process. Failure to disclose such may lead to employment termination or termination of contract or award.

#### Grants:

Employees and contractors (et al) are prohibited from hiring or contracting 'related' individuals with company or grant funds.

If permission is granted by a supervisor to hire a relative on a limited basis, this relationship, cost, etc. should be made transparent in all records.

(See: Conflict of Interest policy)

## NON-COMPETE BUSINESS AGREEMENT

Persons hired by the company shall have access to many tools and documents developed by the CJH Company in the continuous growth and change of its operation. Individual serving in interim, part-time or full-time positions agree to the following terms:

- 1) Not to create a new business or work for a business located in the state of North Carolina that is similar to that of CJH within one (1) year of termination from the company.
- 2) Not to use or share company likeness in any form (policy manual, or other company intangible property) after termination date for a period of two (2) years. (Also see: Company Image, Likeness, Possessions)
- 3) Not to engage in personal activities (hobbies, moonlighting jobs) or part or full-time employment from an outside company or contract labor positions that will cause direct competition with the company either during employment or for a period of one (1) year after termination.

### Funded Proposals for Nonprofits

CJH funded grant proposals for nonprofit clients are contracted agreements between the nonprofit organization and the Company. They are the property of the nonprofit organization and should not be copied or given out in any form. Inquiries should be directed to the nonprofit organization.

### Grants:

Public requests for any grant document or any components of it should be referred to the federal granting office Freedom of Information Act (FOIA) office. Copies of CJH funded, drafts, or not funded grant proposals are NOT to be made or given out in whole or part. These documents are the property of CJH.

Employees are not permitted to copy these document in any form for public or private use without written permission from the Company President. The proposal may not be shared with others outside of the company in any form and may not be removed from the administrative office.

## OFFICE PROTOCOL

Employees shall not disclose internal business matters and company decisions.

Employees will be respectful of others' time, property, and privacy at all times.

Theft is prohibited.

Personal telephones calls are restricted to breaks, lunch, and discouraged during meetings.

Personal use of computers and equipment is limited and restricted.

Use of company stationery is prohibited from personal use in any form, and use is subject to disciplinary action including employment termination.

Media communications, publications, and correspondences should be approved by the Director and the company President before public release.

Only the Company President can make a public stance or provide an opinion for issues of the company or its programs and grants. Once a stance is determined on a specific issue and authorized by the President, it can be disseminated.

Information viewed as *public information* by internal staff consensus must be approved by the Director prior to public release.

Communication between employees is essential and encouraged (impromptu meetings, sharing information via e-mail, shared server, shared and central files, etc.)

Individuals should cooperatively assist others in major short projects as needed (collaboration and cooperation).

Return what is borrowed, in a timely manner, and in the same condition.

Offices should be kept in orderly and uncluttered at the end of each business day.

Make a mess, clean it up. Housekeepers and peers are not servants.

Individual staff should take turns cleaning common areas such as snack area, refrigerator, watering plants, etc.

Employees can 'log off' computers during the week, but should 'shut down' on weekends. All other appliances should be *turned off* each day (lamps, coffee pots, calculators, radios, etc.)

***Signing the signature of any other individual is prohibited and subject to termination.*** An employee may sign his/her own name or sign their own name and indicate 'for' (person's name).

### Visitors

All visitors should be greeted and *stopped* at the front desk even when they are expected by a staff member. The individual should be announced to the staff who escorts them to their respective office.

A visit should ***never*** be sent to an unoccupied office of a staff person; they should be seated and wait in a lobby or conference room—offered a newsletter or other reading material or refreshment.

Established office hours are **8:30am to 5:30pm** Monday through Friday.

The Clerical Assistant restocks all supplies; however, in her absence any staff member should complete the task.

### Grants:

Grants and any other programs under the auspices of CJH shall use the standards set forth by the company to include (stationery, formats, notepads, business cards, etc.).

CJH company logo will be placed on all formal documents.

### Standards for all letters and correspondences – (see example in appendix)

- Letterhead stationery
- 1 inch margin
- Times New Roman font
- Size 12 font
- Single space all letters
- Bold-face type in documents *only* when highlighting an issue or item for emphasis
- 1 space between paragraphs, heading, and salutation
- Triple (3) spaces for signatures
- Use ‘cc’ (for copy) and last name of the individual – size 8-10 font
- Attachments – listed (one or two words – size 8-10 font)
- file name and extension used for location
- center letter on page
- date – upper right against
- do not justify letters
- black or blue ink signature (black preferred). No other colors)
- 1) *condense content* and/or *make line and spacing adjustments* when a few lines continue to a 2<sup>nd</sup> page
- 2) when condensing and space adjustments are not appropriate, lower narrative on the 1<sup>st</sup> page to push last paragraphs to 2<sup>nd</sup> page and center content on first page.

All company letters, reports and documents: – 1 inch margins, Times New Roman, size 12 font

(see: Confidentiality and Privacy, Discipline, Ethics and Integrity, Code of Ethics)

## POLICY MANUAL

A CJH Policies and Procedures manual shall be accessible to each employee. Manuals are the property of CJH and may be provided for each individual or located in an accessible location.

An office-use copy of the manual should be *available* and *assessable* for part-time employees, volunteers, interim employees, and contractors as well. Contracts will refer to ***the manual*** as the defining document for procedures, and sub-contracts must comply with applicable policies.

Manuals are not to be removed from the company premises.

A policy or procedure remains in effect whether or not that policy is ‘appropriately’ placed or located in the manual.

Misuse, abuse, or construing policies for personal gain is subject to revocation of any benefits and/or disciplinary action.

Policies and procedures are subject to written (typo) and conceptual errors, and such errors will not exclude employees from acting or behaving in a manner appropriate for the company or grant. Employees should seek clarification on any policy or procedure prior to actions to avoid ***erroneous assumptions*** leading to imprudent or unreasonable actions (failing to act in a prudent manner) or capitalizing on any unintended benefit.

Policies and procedures are subject to periodic change, and staff is encouraged to suggest improvements and make recommendations for policies.

The company President reserves the right to institute new policies or modify existing ones in the best interest of the company or grant. The President reserves the right to make exceptions to policies and procedures when it will benefit a grant, clarify or right a misunderstanding, or improve employee or community relations. However, these exceptions will be rare and on a case-by-case basis and will not interfere with general principals or integrity.

Vendors and contractors can be issued supplementary handbooks outlining compliance with the manual and its policies. Handbooks with excerpts from the Policy and Procedures manual may be developed for contractors or other sub groups. However, the CJH Company Policy and Procedures manual is and will be the prevailing document (01-3-04) and should be stated in the handbook.

### Personal Responsibility

Employees are accountable in following and applying policies and procedures based on the content of this document.

It is the personal responsibility of each employee to become familiar with the policies of this manual and act accordingly. Failure to read the manual or inquire about unfamiliar issues is not an excuse for insubordination, non-compliance, inappropriate behavior, or poor performance.

Supervisors are responsible for the training and education of persons under their supervision (interns, part-time staff, work-study students). Employees are responsible for assuring the training and education of subordinates and contractors, in addition to reporting consistent violations.

The Clerical Assistant is responsible for the distribution and maintenance of the CJH Policy and Procedures Manual with guidance from the President as well as establishing a central and accessible location for reference by sub-contractors.

Location of an office-use manual and a review of policies will be conducted at new employee orientation by the Clerical Assistant.

#### Grants:

All grant staff are subject the CJH Policies and Procedures manual.

### PUBLICATIONS

All publications must be approved by the company President prior to release to the public.

Publications include but are not limited to: websites, newsletters, ads, journals, articles, photos, films.

#### Grants:

Major publications or presentations resulting from or primarily funded by federal financial assistance should contain an acknowledgment indicating that the activity was supported in whole or in part by the sponsoring federal agency.

Publications must contain any required disclaimer language or other mandate of the federal sponsoring agency.

#### Verbatim Disclaimer

The following **verbatim** disclaimer must accompany all publications that are publicly distributed (website, flyers, brochures, TV or radio ads, etc.) and paid using USDHHS or other federal funds:

*“Funding for this project was provided by the United States Department of Health and Human Services, Administration for Children and Families, Grant #?????. Any opinions, findings, and conclusions or recommendations expressed in this material are those of the author(s) and do not necessarily reflect the views of the United States Department of Health and Human Services, Administration for Children and Families.”*

In some federal grants, a mandate exists to state the amount of the federal award, sources, and percentage of matching community support required. A sample statement may read as follows... “Federal funds total \$550,000 (90%) annually through September 20??. The total project cost is \$611,111 annually of which 10% (\$61,111) will be provided through in-kind community services, contributions, and donations.”)

## RECORDS RETENTION

### Grants:

Grant project files and records should not be discarded or destroyed by staff.

Records will be kept in accordance with PART 74.53 *Retention and Access Requirement for Records*.

## RECYCLING

Used ink cartridges are the property of CJH and should not be discarded. Used cartridges should be maintained by the Clerical Assistant for periodic CJH pick up.

Employees are encouraged to participate in an office recycling program for glass, paper, plastic, and cans. CJH will arrange pick up of all recycle materials in offices and any of its off-site facilities. CJH president or an appointed designee is responsible for the disposal of recycled goods.

All products capable of recycling should be deposited in identified receptacles or clear plastic bag for pick up or participation in the leasing agent's recycling program for the office building.

Sensitive or confidential documents approved for discarding should be shred such as those with signatures, address, social security numbers.

### Grants:

The Company encourages the use of products derived from recycling efforts in accordance with PART 74.16 *Resource Conservation and Recovery Act*.

## REMOTE SITE EMPLOYEES and SUPERVISION

Commuting expenses and mileage between an employee's home and workplace are not allowable costs. They are also not deductible by IRS standards and cannot be used for tax purposes or reimbursement by the company.

Insert modifications for COVID-19

Employees located within 75 miles of the principal office, must establish at least one work day in the principal office each week. The employee is expected to be punctual and observe a full routine work day schedule.

1. Employees are expected to attend meetings as called and scheduled during other week days.

Employees engaged in off-site employment must be available during the established workday for communications such as on-site call meetings, conference calls, webinars, telephone calls, errands, and other services during the normal business day (8:30am to 5:30pm) on the 4 days not at the principal work site.

2. Mileage is not reimbursable to or from the employee's home to the work site.

CJH will follow best practices and standard rates based on state and other regulations.

<https://www.asuresoftware.com/employers-reimburse-office-expenses-remote-employees/>

<https://www.nmu.edu/finance/sites/DrupalFinance/files/UserFiles/Files/FinancialInformation/mileagereimbursementguidelines.pdf>

<https://www.entrepreneur.com/answer/221515>

3. The Supervisor in a remote-site circumstance should communicate with the principal office on a daily basis.
4. Remote site employees are expected to participate in all company functions.
5. Remote site operation is a privilege and may be revoked due to abuse, poor employee performance, unresponsiveness, lack of communication, or other conditions.
6. See 'Reporting.'



## REPORTING

Employees are required to submit ***weekly*** or ***monthly reports*** to their supervisor detailing work activities and involvement based on their assignment. These should include accomplishments, meetings, business contacts, concerns, and/or upcoming events. **Outcomes** should be described as opposed to a list of activities. Reports are forwarded as a unit to the Supervisor in the time frame requested or no later than the final work day of the month by close of business.

Employees must also maintain a positive record of work through ***time sheets*** which can be incorporated with assigned reports or as requested by the supervisor.

Directives and assignments may periodically be given directly to an employee by the Director or Company President. These are shared with supervisors whose responsibility it is to monitor employee responsiveness and compliance to the President's request.

Internal Incident Reports are required on all accidents, thefts, or incidences within one (1) business day of occurrence. These are turned in to a supervisor who assures appropriate action (insurance claim, report to landlord, police follow-up, etc.). The report is maintained in an incident report file and maybe required for insurance purposes. The President should be alerted to all incidents no later than one (1) business day.

In the absence of the President, a grant Director with seniority as the next ranking employee shall conduct business on behalf of the company and maintain accurate records of all activities, decision, expenditures in line with the policies of the company. When possible activities will be communicated to the President in real time or upon their return. In circumstance of extended absence (20 days or more) activities shall also be reported to the Board of Directors President and/or next ranking Board member, Vice President.

- President
- Earliest Grant Director with seniority
- Earliest Supervisor with seniority
- [after 20 days reports to the Board President]

### Remote Site Employee Reporting

Weekly or bi-monthly reports are expected from off-site employees to their immediate supervisors. Supervisors will decide frequency of reporting.

Insert modifications for COVID-19

Supervisor may be expected to report on a bi-monthly or monthly basis. Reports from employment subordinates may be included or attached.

Supervisors who report bi-weekly should provide a brief synopsis of activities during the period, followed by a more detailed monthly report suitable for inclusion in federal reports to USDHHS and representing this position.

Monthly Reports provide a summary of the month's activities and should be outlined as follows: I. Major Accomplishment, II. Problems/Concerns, III. Other Reportable Activities, and IV. Plans for the Following Period.

Monthly reports are due on pre-assigned dates or on the date of scheduled invoices and payroll reporting.

#### Grants:

##### Reports To Federal Funding Agencies

Federal Reports must be submitted on time, accurate, professional format, and adequately address the required information from the funding agency.

**All reports to federal funding agency must first be reviewed and approved by the company President.** These must be submitted to the President as requested and in time for review and modification or editing.

All official reports will be maintained in the project office by the Clerical Assistant. They are retained according to the records retention policy, PART 74.53, *Retention and Access Requirements for Records*.

Project data and collection methods shall be kept in a method that supports federal funder reporting requirements.

(see Communication with Funders, Insubordination)

## STAFF MEETINGS

Full staff participation is expected. Employees shall attend CJH staff meetings on time, prepared with calendars, completed assignments, reports, paper, and writing utensils, laptops, etc.

Company and/or grant staff meetings shall be held *at least* monthly and pertain to the operations of the company and/or grant (e.g., grant progress, training issues, staff issues, directives, planning, strategizing, or other appropriate topics).

Staff should attend prepared to discuss issues and accomplishments pertaining to their realm of responsibility.

Cell phones should be muted.

#### Grants:

Staff meetings minutes involving grant staff shall be recorded by a designee during *each* staff meeting. *Assignments, dates, actions, directives, and conclusions are principals to be captured.* Minutes should reflect *assignments* and *tasks* for individual staff persons. The Clerical Assistant sends a draft via e-mail for review, editing correction to those attending, and eventual approval by the Director. Approved minutes may be distributed electronically. However, a final copy is ***signed by the Project Manager***, maintained in *written format*, and filed.

## TELEPHONE

Telephones should be answered in a pleasant voice and tone.

Rudeness, slamming phones, profanity, premature hang-up, and other emotionally charged responses to communication incidents are prohibited.

Long distance calls should be made for business purposes only.

Excessive personal calls are prohibited.

Messages for others should be delivered immediately to an assigned in-box and *documented in writing* with time, day, caller, return phone number, etc. Important calls should be brought to their immediate attention. Emergency calls should be relayed immediately in person and writing.

All calls that include important information, unusual circumstances, or sensitive information should be documented in a memo to the project file and also referenced in weekly reports.

Calls made outside of the project's reasonable geographic area (target areas) or not frequently called numbers, lengthy to unusual numbers, or other special occurrences should be documented by the caller in a memo to the project file to justify the purpose of the call (i.e., out of the country calls, frequent calls outside of the established business realm).

Employees are prohibited from calling 1-900 or other toll numbers.

Collect calls will not be accepted.

Policies apply to cell phones financed by the company or grant.

The company President welcomes communications and maintains *three (3) active numbers* for responsiveness and reporting. Each has a message recording mechanism.

- Work: (919) 832-0306
- Cell: (919) 618-2237
- Home: (919) 231-7308

### Grants:

“*Good Morning/ Afternoon, CJH grants*” or similar greeting should reference the company and/or grant on each call.

The office should be manned by a ‘live’ voice. Only in rare occasions (training, meetings, etc.) should voice messages be needed or active.

## TRAVEL

Partners are sub-recipients and the use of their federal dollars are subject to the policies of CJH.

Contractors are independent entities and subject to the travel policies of their company. CJH may supplement meal per diem only when the contractor rate falls below that of the state or federal per diem.

When applicable, CJH may advance per diem travel funds to the agency for contractor travel in accord with the amount set forth in CJH travel policies and cannot exceed rates established by the company.

**The scope of travel policies applies to all employees, volunteers, contractors, and any persons who travel in the conduct of company business. Policies outlined below are for travelers and those who interpret policy intent and authorize and/or approve travel expenditures.**

In many instances travel is an essential employment component and required in some aspects of employee job positions. Failure to follow travel policies will result in revocation of travel privileges and expenditures, therefore jeopardizing the ability to fulfill specific job functions, risking employment status.

### I. General Travel

Employees must represent the company with utmost **integrity and appropriate social interaction** at all times, and although away from the office site/setting, follow all policies regarding behavior expectations (re: professionalism and confidentiality). Employees are also expected to submit appropriate pre-travel forms, participate fully in meetings, be on time, submit post-travel documents, and follow-up with any expected or required tasks.

Visiting or accompanying family, friends, or relatives are prohibited from (participating, involvement, and being present in) any company business, business-related activities, and/or meetings. Special permission must be pre-approved and in writing from the company president.

CJH travel policies are combined excerpts, regulations, and procedures from the State, federal government, focus group, public schools, and other sources of information, including local universities. Mileage reimbursement rates annually parallel those of the state.

CJH strives to operate in the most **cost effective** and productive manner practical for travel and arrangements for official business and activities.

### Policy Procedures

All travel should be engaged using the most reasonable and **cost-effective** means possible. It is the responsibility of each employee to adhere strictly to these procedures when representing the company and involving the expenditures of funds on behalf of the company. Employees are expected to be prudent and frugal while involved in official travel. Prior written approval by the appropriate supervisor is required for all travel. Directors, managers, and supervisors who approve travel have

the responsibility of enforcing compliance with company policy and assuring that pre-travel requirements are met in a timely manner.

Situations not covered by these procedures should be discussed *in advance* with the Director and/or company President. Management is charged with overall administration, interpretation and maintenance of these procedures.

While these policies seek to be comprehensive, it is impossible to anticipate every situation encountered by a traveler. Employees are expected to use reason, sound judgment, integrity, and adhere to the following general guiding principles:

### Reimbursement

It is the policy of CJH to reimburse employees for expenses that are ordinary, necessary, legitimate, permissible and actually incurred by an employee when traveling on authorized company business, provided they are itemized, fully explained on the travel expense report and approved by the immediate supervisor.

It is the responsibility of each employee to:

- Exercise good business judgment with respect to expenses while traveling.
- Submit accurate expenses as they were actually spent and supported by required documentation (e.g., original receipts).
- Exercise the same care in incurring expenses that a prudent person would exercise in traveling on personal business and expending personal funds. Excess costs, circuitous routes, delays or luxury accommodations, and services unnecessary or unjustified in the performance of official business are not acceptable under these standards.
- Be responsible for unauthorized costs and any additional expenses incurred for personal preference or convenience.
- Be responsible for unauthorized costs that are incurred during travel and are not approved retroactively by a supervisor (e.g., special conditions, related activities, unordinary charges).

It is the responsibility of the supervisor approving expenses to:

- Follow all guidelines within the travel policy.
- Ensure that employees understand the travel policy, the purpose of the business trip, and the need to exercise good judgment while traveling.
- Review expense reports for appropriateness and accuracy.
- Review and promptly approve all reasonable and necessary reimbursement expenses incurred by employees while conducting business and disallow those which are not reasonable, lawful, or necessary.

\*\*\*

## II. Local Travel (to Other Agencies, Meetings, Seminars, Training Workshops, and Business-related Sites)

Local travel should be part of an established work plan.

Mileage will be reimbursed on a monthly basis with a written travel log accompanied by dates, destination, number of miles, and purpose of travel.

Travel will not be reimbursed for miles to and from the principal and/or a designated work site. (Mileage from home commute to and from an established worksite is not reimbursed.) (see Expenditure Approval, *Mileage*)

Meals are unallowable for day travel. Meals are not allowed for travel that does not involve overnight stay.

The time a meal per diem commences is determined by the time of the traveler's departure and return.

### Mileage Rates

- Mileage rates reflect those for the State.
- Meal and lodging per diem reflect those of the state, federal government, and CJH. [Ed: E-mail from Geneva Ware-Rice and Keyon Smith pertaining to the Healthy Marriage Grant 09/14/2009.]

### Other Considerations

- Travel by personal vehicle is subject to company mileage rates.
- Reimbursement for personal vehicle use is limited to \$300 or 545 miles round trip or the equivalent of lowest coach airfare—whichever is less.
- Gas receipts or mileage rates will be paid during use of rental and/or personal cars (not both).
- Receipts are required for gas reimbursement for rented and personal cars.
- Reimbursable gas expense from receipts will be based on miles traveled.
- Cost for a rented vehicle is reimbursable with prior approved and in accord with policies.
- When the reasonableness of a mileage charge is in question, MapQuest or similar gauge will be used.
- All documentation (receipts, registrations, explanations, etc.) must be attached to a reimbursement or reconciliation form when an advance was issued.
- Explanations for unordinary charges must be attached and in writing.

## III. Overnight Business Travel

### *Professional Travel*

National, regional, state, and local conference travel is a privilege and encouraged as part of professional staff development. Abuse of company time, costs, goodwill is prohibited and may subject the traveler to repay advances, travel disallowance, and/or employment termination.

### Conferences and overnight workshop travel

- (1) must be approved. (Any travel requiring airfare, ground transportation, or overnight stays must be pre-approved by the Director or company president.)
- (2) is considered *a privilege and should not be abused*.
- (3) usually spans multiple business days.

Travelers must meet travel expectations including: 1) attending all sessions during the work day, 2) note taking, and 3) sharing an appropriate level of knowledge with peers and supervisors through written report and oral presentations.

The work day is limited to 8-hours for hourly employees and partners. Exceptions must be significant and approved in writing by a supervisor or administrator. Travel time and meals (banquets, receptions, etc.) are not considered significant. Luncheons may be considered as part of the work-day experience.

Attendance. Travelers should be responsible and participate in all workshops offered—on time and as outlined in the conference format.

Reports. Written reports detailing useful information and workshop highlights from *professional meetings, forums, conferences*, etc. should be submitted to the President within four (4) business days of returning. Presentations and reports are to be shared with staff at a staff meeting following the travel.

### Forms

Employees traveling on official business must complete required travel-related forms.

A *travel authorization form* must be completed (all signatures) and on record at least three (3) business days prior to travel. An official *conference brochure* or *registration form* with conference name, place and dates should accompany all travel requests. It is the traveler's responsibility to obtain and submit all travel forms.

*Commitment* should not be made by a traveler (nonrefundable hotel, registration, fares, etc.) until final approval of the travel request is approved.

Missed flights or travel cancellations are the responsibility of the traveler and all travel advances must be returned and or repaid.

The anticipated date and time of departure and return should be included on the travel authorization. Any changes in anticipated departure date and time or other events should be immediately reported to the supervisor for approval.

A *travel reimbursement form* must be completed within five (5) business days after the travel period ends even if no funds are due the traveler. Zero '0' can be indicated in appropriate categories. This form details the total cost of the trip involved.

A *Travel Advance* is possible and must be requested in advance. The Advance is composed of meals, ground transportation, and other expenses of the trip.

Individuals who travel overnight on behalf of the company (e.g., partners) are required to complete a *Travel Indemnification Form* when funds are paid directly by the project office.

Travel forms submitted late by any traveler may be denied.

### Travel Requirements

Travelers must participate in the full agenda and conference sessions.

American Express or other credit cards can be used while traveling. Original receipts for purchases are required. **Hotel receipts must obtained and show a *zero* balance.**

### Reimbursement

No personal expenditures will be reimbursed. Expenses will only be reimbursed for official business.

Completed reimbursements and reconciliation forms must be submitted in time to be paid according to the monthly scheduled payment date as regular invoices within the month. Otherwise the form will be processed the following month.

Because *per diem* is used, **meal receipts are not required for *individual business travel*.**

Hotel receipts are required.

Employees must provide original receipts in order to be reimbursed for travel that has been previously approved.

- Air travel – Original or electronic copy of an airline ticket

- Lodging – Original ***itemized*** hotel or motel bill with zero balance

- Car Rental – Original customer copy of auto rental agreement and expense

- Other - Gas receipts, conference registration fee, mileage documents

- Luggage fee – original receipt from airline (if applicable and approved by Supervisor)

Gas receipts or mileage per diem will be considered for reimbursement—not both.

The traveler should reconcile with the company for any unused or disallowed items by sending a check **within five (5) business days** or be subject to a debt deduction from monthly wages or contract fees.

Failure to submit timely travel reports will result in the disapproval of future travel. A *reminder* will be sent to the employee or traveler regarding outstanding expense reports. Unresolved travel expenses over 45 days old will be subject to garnishment from monthly wages or offset for partners.

Incomplete travel forms or reimbursement forms will be returned to traveler for adjustment. The *comment section* should include explanations and exception descriptions. Additional sheets may be attached. These will be considered on a per incident basis and will be honored at the discretion of the Director.

#### Examples for rejection of an expense report include:

- Non-reimbursable expenses

- Missing or improper receipts

- Incomplete or improper documentation

- Missing approval of a supervisor

- Exceeding established guidelines for meals or other per diem rates



Travel costs may include:

- Taxi service when vehicles are not used for travel
- Bus/train/and airfares
- Excess luggage fee when transporting business materials
- Minimum cost for personal luggage (if applicable for airline). However, the company **will not pay** for fees pertaining to personal luggage excess weight. (Also see *Excess Baggage Charge* for business equipment and supplies)
- Mileage (per diem) and tolls
- Meals (per diem)
- Lodging (to include state or occupancy taxes, required resort fees)
- Conference registration fees
- Additional travel or business expenses will not be paid unless approved by a supervisor.

Examples of Non-Reimbursable Travel Expenses. The following list is not intended to be complete and includes:

1. Laundry, dry cleaning and pressing services
2. Personal residence expense (housekeepers, security service, maintenance service, kennel fees, and baby sitters)
3. Personal items (toiletries, haircuts, hairstyles, shoe shine, clothes)
4. Personal entertainment (sporting events, theme parks, sightseeing tours, hotel or commercial movies)
5. Traffic violations and fines
6. Tips for waiters, drivers, housekeepers, baggage handlers
7. Suitcases, attaché, or briefcases
8. Side trips away from assignment destination (e.g., city tours); toll fees not part of business travel
9. Return travel to destinations other than origination (even though such expense may be less than the cost of travel home)
10. Car washes
11. Excess luggage weight fee
12. Any other expenses of a personal nature
13. Insurance coverage for personal vehicles
14. Damage to personal vehicles

#### Mileage and Gas

Employees can use their private vehicles in good condition for travel. However, the company is not responsible for accidents, lost or stolen personal items, damages to the vehicle.

Commercial rental cars are allowable for fewer miles upon approval. Daily insurance on rented vehicles is an allowable cost; otherwise damage to a rented vehicle is the responsibility of the employee.

Reimbursement for automobile mileage where applicable **will not exceed** the cost of a coach fare airline ticket booked fourteen (14) or more days in advance.

CJH reserves the right to make travel decisions for employees and travelers based on the most economical method (taking lodging and mileage in consideration).

**Group travel** is encouraged (e.g., car pooling, van rental, air or rail reservation). Two or more travelers are encouraged to coordinate arrangements (carpool, share cab service, etc.) when possible and traveling to the same destination (e.g., same hotel or destination are expected to share ground transportation to and from airports).

The current per mile rate is \$0.54.5 (\$0.55), (ED: see NCSU memo: January 3, 2019). (03/06/2009 and Claude Purusse 12/08/2008). Ed remains in effect: 02/26/2010. [Ed remains in effect: 01/01/2019]

#### Direct Billings By Third Parties

All travel-related expenses must be paid to the traveler incurring the expense in accordance with the payment methods described above. Direct billings by third parties or payments to third parties will not be honored.

#### Airline Travel

Travelers are expected to book the lowest available air fare. Nonrefundable fares are discouraged unless plans are definite and changes are not likely to occur.

#### Travel Upgrades

The cost of an upgrade is the responsibility of the traveler (e.g., difference between the lowest airfare and the next class increment leading to first class fare).

#### Excess Baggage Charges

Excess baggage charges will be reimbursed only when the traveler is required to ship equipment, books, reports or extra baggage for presentation or extended stay which results in exceeding the normal weight limitations.

#### Amtrak

Travelers may reserve business class when traveling 250 miles or more.

Economical sleepers are allowable when: 1) travel exceeds 8 hours and 2) traveling overnight enroute.

#### Rewards

Perks, bonuses, travel miles, rewards, etc. are the *property of the company*.

#### Rooms

Single rooms are permissible when five (5) or fewer persons are traveling and two or fewer days are planned. Six (6) or more travelers should plan for double occupancy. Travelers may pay the difference for single room rates when double occupancy is warranted and the decision for single rooms is mutual. It is the responsibility of travelers to find, contact, and make arrangements for double-room occupancy. The company will provide a list of travelers.

#### Contractors

Employees, staff and sub-award partners are responsible for travel arrangements unless otherwise notified by the company. Upon timely request by the employee, the company can pre-authorize hotel payments through credit card authorization. Contractors are encouraged to participate in company group travel plans or make independent arrangements.

### Hotel 'No Show' and Cancellation

Financial responsibility for 'no-show' charges rests with the employee. **Cancellation dates for hotels should be carefully noted and monitored.** In the event of unforeseen events and emergencies, the traveler should contact the hotel and supervisor immediately. The Director will review circumstances on a case-by-case basis.

### Refunds/Unused Tickets

Information regarding refund policies and unused air, rail, or bus tickets should be understood at purchase, and the traveler should safeguard the value of that expense as required. The traveler is responsible for cancellations and arranging refunds. Unused tickets that can be used for future travel should be safeguarded and relinquished to the supervisor.

### Meal Per Diem

Per diem is based on state and federal travel rates.

CJH may pay meal and mileage per diem rates **up to** the federal travel rate, based on available funds and other conditions.

Meals provided by a conference will not be reimbursed. *Continental breakfast* is not considered a meal and breakfast per diem is allowable. Per diem allowances will be prorated and/or adjusted when meals are included as a part of meeting/conference registration. A conference agenda is required to be submitted with the travel advance.

### Calculating Meal Reimbursement Times for Travel Status

Entering Travel Status	Meal(s) Reimbursed That Day
Before 8:00 AM	Breakfast, Lunch, Dinner
After 8:00 AM and before 2:00 PM	Lunch, Dinner
After 2:00 PM and before 6:00 PM	Dinner
Coming Off Travel Status	Meal(s) Reimbursed That Day
After 8:00 AM and before 12:00 PM	Breakfast
After 12:00 PM and before 7:00 PM	Breakfast and Lunch
After 7:00 PM	Breakfast, Lunch, Dinner

<https://finance.uw.edu/travel/meals>

**NOTE:** CJH does not participate in the rule regarding reduced per diem (3/4<sup>th</sup>) on first and last day of travel. Traveler is entitled to per diem based on time departed and returned for overnight business.

### NC Per diem

2019 Meal Per Diem	Avg. NC rates:	TIMES
Breakfast	\$13.00	Travel begins before 8:00am and 50 miles from workstation
Lunch	\$15.00	N/A for day trips. Travel begins before 11am and 50 miles from workstation
Dinner	\$23.00	Travel begins before 4:30pm and 50 miles from workstation. Return after 8:00pm.
	\$5.00	*Incidentals
<b>TOTAL:</b>	<b>\$56.00</b>	

(Ed: 09-10-09) (Ed: 09-02-14) (Ed: 01/17/2019)

\*incidental expenses as: fees and tips given to porters, baggage carriers, hotel staff, and staff on ships.

On the first and last travel day, CJH employees are only eligible for 100% of the total M&IE rate based on travel time and meals supplied by the conference. (#15)

<https://www.gsa.gov/travel/plan-book/per-diem-rates/frequently-asked-questions-per-diem#1>

CJH defers to policies of the State when arrival and departure times, rates, or procedures are in question.

Meals are not applicable for day trips.

Travel of twelve hours or less (12-Hour Rule). A per diem allowance shall not be allowed when the period of official travel is 12 hours or less.

Example: Traveler leaves residence at 7:30 a.m. on 08/14 and travels to Philadelphia, PA. Traveler returns to residence at 6:00 p.m. on 08/14. **(No overnight lodging).**

Per Diem reimbursement: NONE (less than 12 hours in travel status).

<https://policymanual.nih.gov/1500-04>

To be eligible for [travel status](#), the traveler must be more than 50 miles away from home and duty station and work for eleven hours in total while satisfying the mileage requirement. Time when the traveler is in transit to and from the temporary business location, that satisfies the mileage requirement, is eligible to be counted toward the eleven hour requirement. Meal time can not be included in the eleven hours.

<https://finance.uw.edu/travel/meals>

### Lodging

1. Hotel reservations should be made by the deadline date set by the conference for the discounted rate at the designated conference site. When conference hotel rooms are not available at the conference site, reservations should be made *in advance* at sites that conferences (conventions) often suggest as spill over hotels.

2. When no hotel is designated, reservations should be made *in advance* at sites reasonably priced business class hotels but should not exceed the cost of the conference discounted rate.

3. Attendees are expected to attend sessions on time and for the full day regardless of hotel site location.

### In-room Telephone Calls

Telephone calls clearly documented as official business calls and charged to hotel rooms are reimbursable. No other calls will be reimbursed. All calls should be made with the lowest possible rates. Excessive calls or calls with excessive costs will not be reimbursed.

### Registration Fees

Workshop and conference registration fees should be paid by check directly to the conference or sponsoring agency. A registration form and conference agenda should be attached to the travel authorization form. Employees who choose to use personal funds to pay for registration fees associated with approved travel will be reimbursed. Receipts are required whether charged, paid by personal check, or other form of payment. When possible, “early bird” rates are preferred.

### Travel Indemnification

Persons traveling on official company business other than employees are required to complete **Travel Indemnification Forms** for any and all persons traveling at the expense of the project (partners, student interns, volunteers, etc.). Travel for these persons must be linked to a project mission and directly benefit the company or grant. Evidence must be described or provided in writing and approved by the Director or President.

### Group Travel

A list of names with full address and emergency contact numbers for each participant must be attached to the Travel Authorization Form when requesting travel for a group of non-employees, such as students or youth. Individual Travel Indemnification Forms are required for each traveler. The clerical assistant will make group travel arrangements for partners, minors, or guests who will be traveling to represent the company.

When minors are travelers, **Parent Permission Forms** are also required. These must be **accessible and available during** any day or overnight trip and include health concerns, doctor's name and contact information, etc. These forms must be completed in full and in the project office at least **four (4) business** days prior to travel.

### Narrative and Verbal Reports (Ed: 09-30-03)

Travel is for the benefit of the company, grant, and professional development of the traveler and colleagues. Travelers are expected to present both oral and written reports summarizing the training and its relationship to the project. Written reports *in sufficient detail* to justify the travel are due to the President **within four (4) business days** of return and must detail summaries of:

- (1) workshop contents – new knowledge,
- (2) information pertinent to the grant, program, or company, and
- (3) grant updates from funders (if applicable).

### **Must attend cluster workshops by funders.**

Verbal reports are to be presented to staff at the next staff meeting. Conference handouts and agendas are to accompany reports but are *insufficient* for the content of sessions for this requirement.

### Family Members

Family and friends accompanying staff on business trips is highly discouraged. Family members who do travel should not participate in business meetings or sessions.

**The presence and/or responsibility of family members, visitors, friends etc. should not interfere with staff official business, workshop attendance, or travel plans.**

No federal or company expense shall be used for family, friends, spouses, or other travelers. Family, friends and others will not be covered by insurance.

The company will not be responsible for the health and safety, welfare, or personal belongings for family, friends, and visitors.

Hotel lodging is allowable for approved non-conference events (specific meetings, trainings, site visits, etc) that exceed a mileage **radius of 80 miles** (one way) or with the written approval of the Director or President for limited exceptions.

[If or when policies regarding travel or expenses conflict, employees should adhere to the most restrictive and least expensive policy.]

#### Non commercial facilities

Lodging at *non-commercial* facilities (such as Bed & Breakfast, with relatives, friends) is allowable but discouraged, and must be approved. Lodging per diem will be offered at a rate equal to 70% of the conference hotel rate, excluding taxes and lodging fees. Pre-approval is required by the company president and requires exceptional circumstance. The traveler must submit an ***Off-Site Lodging Form*** with the Travel Authorization Form. An invoice with proprietor signature, address, and contact information is required.

Attendees are expected to attend sessions on time and for the full day, including paid banquets or awards dinners, etc. regardless of lodging site location.

**Infractions of travel policies can result in 1) disallowed expenditures, 2) prohibited future travel, and/or 3) employment termination.**

#### **Grants:**

Persons employed by grant funds must adhere to the travel policies of the federal grant and the CJH company. Expenses and policies will defer to those which are most restrictive.

Add Reporting

## VOLUNTEERS

Volunteers must be supervised by **an assigned staff member** who is responsible for orientation, time sheets, training, assignments, hours, etc.

An application will be maintained on all volunteers (office, helpers, assistants, advocates, student interns) regardless of length of service. Volunteers are subject to company policies and must sign compliance with the CJH Policy and Procedures manual.

Volunteer time and services shall be documented by time sheet.

Volunteers shall have periodic performance evaluations by their immediate supervisor.

Volunteers are **NOT** authorized personnel and should not have access to codes, keys, personnel files, or other sensitive documents.

### **Grants:**

#### Volunteer Labor as Cost Share

Volunteer services shall be in accord with section 74.23 (d)(1) when it is provided as a cost share donation.

#### Wages and Determination of Service Value

Valuing volunteer labor.

All volunteer wages shall use the going rate established by The *Independent Sector*. (“The estimated dollar value of volunteer **time is \$???? per** hour for 2019.”)

<http://www.independentsector.org/>

Individuals with higher hourly wage (depending on skill, experience, and/or service level) shall provide documentation (resume, check stub, work history and experience, salary comparisons), and the value of rate shall be appropriately adjusted.

(see Hiring and Cost Share)

## VOLUNTEER HOURS

### Community Volunteerism

**CJH employees** are encouraged to provide volunteer hours to tax-exempt community, charitable agencies as deemed appropriate and suitable to their schedule and interests. Volunteer hours are those hours provided to an agency, outside of normal job duties and working hours that are given by choice of the employee (not hours worked that were specifically requested or scheduled by the employee’s supervisor).

CJH offers 1 day per year to employees to participate in community services in nonprofit agencies of their choice. A formal letter signed by the authorizing official of the agency is required to document the intent to accept the employee as a volunteer on a particular day. Upon completion of the day of service, a letter is required within 3 business days, stating the day and number of hours given as a volunteer to the agency.

## WASTE, FRAUD, ABUSE (W-F-A)

- (1) Incidents of W-F-A should be reported to senior management (Company President or Director).
- (2) Internal W-F-A will be grounds for discipline.
- (3) Employees are encouraged to: a) share resources, b) use shared server, c) reduce unnecessary and multiple copies of documents and estimate reasonable needs, d) recycle, e) use 'inter-office' routing system.
- (4) THINK. Avoid costly mistakes.
- (5) Be mindful in copying. (use the appropriate settings, check type of paper, etc.)
- (6) Recycle used paper that *does not contain sensitive information*. Recycle paper can be used for notes, fax, reprinting, drafts, etc.
- (7) Used ink cartridges are the property of CJH and should be stored for pick-up by the company.



## II. FINANCE and ACCOUNTING POLICIES

### ACCOUNTING PROCEDURES OVERVIEW

This manual section is intended as a guide for accounting procedures for CJH and is subject to change or modification. Policies and procedures in this manual are to help establish *internal controls* and *protect* and *safeguard* assets.

CJH will provide orientation and training to accounting system users to understand, operate, and maintain company procedures, which include the following operations:

- QuickBooks
- Internal Accounting Procedures
- CJH Policy and Procedures Manual

#### For Grants:

- Payment Management System
- Super Circular
- SR 425 and Federal Financial Report
- Federal Acquisition Regulations (FAR)
- Title 45--Public Welfare (Title 45 CFR Part 74): *Uniform Administrative Requirements for Awards and Sub-awards to Institutions of Higher Education, Hospitals, Other nonprofit Organizations, and Commercial Organizations*

#### Grants:

Individuals working in the accounting and expense component of a grant (such as bookkeeper, CPA, Clerical Assistant) may be required to be bonded.

When possible and funding is available, the Clerical Assistant and others specifically involved with accounting and expenses reports should attend skill development workshops on any of the topics above and other accounting related professional development activities (e.g., internal controls, inventory, fixed assets, risk management, etc.).

A business checking account will be opened at bank of the President's choosing.

The Clerical Assistant will engage in bank reconciliations, purchasing policies, and coding transactions at least monthly. Deposits will be made immediately upon receipt of cash. ***Discrepancies and reimbursements should be resolved monthly*** and prior to the next draw down. Adjustments (deposits, etc.) should be reflected in the current draw.

Financial reports to USDHHS (Federal Financial Reports and SR 425) will be submitted on time and as requested. Responsibility for these reports rests with the Director who may contract with independent contractors if necessary to: 1) complete reports, 2) review system reconciliation, and/or 3) other reporting and safeguard activities.

Although grants have specific and required *program deliverables* which are of primary importance, ***expenditures and finances usually consume the greater percentage of time in a given day.***

## Procedures

QuickBooks Premier or a software package with similar programming capabilities will be used by the company for grants.

CJH will maintain a separate account for any grant or allocation at or over \$20,000.

The accounting system is designed to segregate each grant account (expenditures, fund balances, etc.) and also provide aggregate data on overall grant expenditures.

All grant and program records will be kept in a manner to provide audits and schedules in accord with audit requirements. The Director will be provided a copy of a *letter of engagement* from the previous auditing firm to be used for guidance in preparing for annual audits.

The financial system for grant operation shall follow Generally Accepted Accounting Principles (standards and practices).

CJH Educational Grant Services, Incorporated (CJH) is currently operating its *Sexual Risk Avoidance Education grant* (#90SR0039-01-00) with the Payment Management System through USDHHS and adheres to policies prescribed in *A127, 53*. The accounting software used is *QuickBooks Premier 2003*. This system is designed to enable the Clerical Assistant to control fiscal operations, review financial transactions, and produce accurate financial reports for funding resources.

The Chart of Accounts, forms, policies and procedures contained in this manual will be in use upon the implementation of this procedures manual. The manual will continue to be constantly updated as it has since the beginning of administering federal projects, 2002. It reflects CJH new policies as well as those new directives from USDHHS or other funding agencies. Due to the continual changes in regulations, procedures, and policies, staff will receive periodic edits and modification. The manual is designed to update and amend easily.

Segregation of Duties. Financial duties and responsibilities will be separated so that no one employee has control over all accounting functions, such as purchasing, cash receipts, cash disbursements, payroll administration, and bank account reconciliation, check signing and distribution.

In the event, an individual is involved in *several* such transactions, an independent review will be conducted of those actions.

All grants and contracts will be administered in accordance with the funding source requirements.

## AUDITS

### Grants:

Audits may range from a review to a program specific audit.

For all *grants* that meet the OMB threshold, \$750,000, a program-specific audit will be held annually in accord with Part 74, 74.26 Non Federal Audit, p. 211-211 and A133.

A Certified Public Accounting (CPA) firm will conduct and issue an annual audit, which will be a financial and compliance audit in accordance with OMB circular A-133.

From time to time, the financial expenditures and procedures may be reviewed during the fiscal year by an independent auditor or accountant for review (monitoring), updating, and/or technical assistance.

The *Letter of Engagement* from previous audits should be used in preparation for future audits. The Director will use the letter as a guide to assure that grant documents are collected during the year and are easily assessable at the end of the year for accountants.

### Audits Procedures

- Letter of Engagement and Dates Set
- Staff Interviews
- Document Requests and Reviews of Programming , Policies, Procedures
- Field Testing
- More Document Requests and Reviews of Expenditures
- Reports received from Auditors
- CJH responds to any ***material weakness*** and recommendations
- Audit sent to funding agency.

ALLOWABLE, ALLOCABLE, REASONABLE  
(A122, General Principles)

**Grants:**

*It is the responsibility of all employees, staff, advisors, and volunteers to give consideration to the necessity and reasonableness of all cost incurred.*

Cost Allocation Plan

All expenditures shall be made in accord with the following determinates:

- Allowability shall be in conjunction with 74.24 Allowable Cost, p. 212
- Allocability
- Reasonableness

**Allowability**

OMB Circular A-122 (Current Revision), Cost Principles for Nonprofit Organization, will be the guiding document to determine the allowability or unallowability of costs for grants, contract and other agreements with nonprofit organizations.

Any question as to the allowability of a cost item will be brought to the Director's attention for clarification. Expenditures determined to be disallowed will not be charged to the program as a direct cost and may require repayment by staff, vendors, partners, or sub-grantees. The Director will obtain advance approval in cases where the cost requires prior approval.

Factors affecting allowable costs are:

- 1) Reasonableness
- 2) Conforming to any limitations set forth in the grant award as to type or amount of costs
- 3) Consistency with policies and procedures that apply uniformly to both federally-financed and other activities of the organization
- 4) Consistency in treatment of costs
- 5) Implementation in accord with generally accepted accounting practices
- 6) Not used to meet cost share or matching requirement of any other federally-financed program
- 7) Adequate documentation

**Allocability**

A cost is allocable to an award if it is treated consistently with other costs incurred for the same purpose in like circumstances and if it:

1. Is incurred specifically for the award.
2. Benefits the award and other work and can be distributed in reasonable proportion to the benefits received.
3. Is necessary to the overall operation of the organization, although a direct relationship to any particular cost objective cannot be shown.

**Reasonableness**

All cost should be reasonable. In determining the reasonableness of a cost, consideration should be given to:

1. The general recognition of the cost as ordinary and necessary for the operation of the organization or the performance of the award.
2. The restraints or requirements imposed by such factors as generally accepted sound business practices, arm length bargaining, laws and regulations, and terms and condition of the award.
3. Whether the individuals **concerned acted with prudence** in the circumstances, considering their responsibilities to the organization, its member, employees and clients, the public at large and the government.
4. Significant deviations from the established practices of the organization, which may unjustifiably increase the award cost.

The Director will insure all purchases of grant materials, services and other items are in accordance with this procedure and comply with OMB Circular A-122 and others pertaining to expenditures.

## CHARGE CARDS

Charge cards are a company privilege not to be abused.

No personal transactions should appear on company-issued charge cards.

Receipts are required from purchases in addition to charge card statement and are to be reconciled monthly.

Charge cards are principally to be used for travel and supplies.

Charge cards are for full-time employees and those not considered as temporary.

## CHECK WRITING

### Grants:

All checks (unused, blank, voided, and undistributed) checks will be secured in *a locked file cabinet* or closet. Voided checks are not to be discarded. Instead, the signature is cut from the check and shred and 'void' is written across the face of the check.

Voided checks *will be saved* and must have "VOID" stamped or written across the face of the check and the signature portion will *be cut off and shredded*. These are *stapled to the appropriate bank statement*.

The Clerical Assistant prepares checks and logs them in the checkbook register.

Check may be electronically generated or handwritten.

Checks are written from actual invoices.

The company President signs all checks. One signature will be required on all checks.

Bank reconciliation is conducted monthly by the Clerical Assistant or contracted service provider and is reviewed by the Director.

Checks should NOT be written as a full advance for services. Incremental payments are encouraged. Final payment should be issued at the completion and *inspection* of contracted service.

### Bill-paying Procedures:

- Director determines a monthly schedule where all bills are to be collected and publicizes to vendors, employees, partners
- Director maintains the check book and check register
- Clerical Assistant collects, reviews, and prepares bills and invoices and brings any anomalies to the attention of the Director who will follow-up with vendors
- Clerical Assistant prepares an Internal Cash Requirement Report
- Director reviews package
- Checks are prepared by Clerical Assistant
- **Complete Package** of all document goes to the President
- Package is signed by the President and returned to the Director

### Complete package to the President:

- *Internal Cash Requirement Report* as a cover sheet with drawdown total *signed by the Clerical Assistant and Director*.
- Monthly invoices and bills including:
  - Paychex forms and invoices
  - Timesheets
  - Vendor Invoices
  - Partner (SRO) financial requests
  - Noted corrections and explained anomalies
  - Resolved issues from previous bills
- Completed checks matching listed expenditures

All time sheets must be correct and documented in the packet. Incomplete packages and those with discrepancies will be questioned and returned. Invoices will not be paid until issues are resolved and may be held over to the following pay period. Issues must be resolved and approved prior to the scheduled date of draws.

*Upon completion of the draw, the four (4) Federal Cash Requirement Reports and bank statements are included in the package.*

In the absence of the company President, the Director has signing authority and is required to provide written documentation to the President (upon his/her return) as to all invoices, signed checks, and any special circumstance surrounding payments which were made in the President's absence.

#### Draws from Payment Management System.

There is no limit by USDHHS on the number or frequency of draws. However, CJH limits it draws to two major draw per month. A 3<sup>rd</sup> draw may occasionally be required and is an exception.

Federal Cash Requirement Reports from the USDHHS Payment Management System must be copied prior to completion of the active draw down. These documents are inaccessible from the Payment Management System once the draw is completed. This report will consist of a four (4) page transaction. (Ed 01-13-04).

Checks will be used in *numeric sequence* as much as possible.

Bank interest will remain in the account and accrue until year end. The sum will be reported to the President annually. A check to 'CJH' will be prepared at the end of the year (usually under \$30). Interest will be expended in accord with PART 74 pertaining to bank interest. (Ed: 02-01-04).

#### Prohibited:

- Checks made out to 'CASH.'
- Checks prepared on verbal authorization, *unless communicated directly from the President* to the Director or Clerical Assistant and followed up in a timely manner with supportive documentation.
- Discarding or destroying checks.

## COST SHARE

#### Grants:

Contribution, donations, in-kind, leveraging, and matching are terms that often refer to cost sharing.

Contributions from volunteers or donors are also documented by the Clerical Assistant. These reports are generated from standard forms or signed letters from agencies or individuals and documents collected and maintained. A cost share budget is prepared for each *six-month performance report* to the funding agency.

Cost share is captured, documented, and maintained on QuickBooks as income.

The Independent Sector's value for volunteers will be used for contributors unless degrees, higher wages, and professional individuals document higher rates.

## INTERNAL CASH REQUIREMENTS REPORT

This report is completed in preparation for drawing fund down to the bank account and is completed by the Clerical Assistant. The form indicates the project year (e.g., Year 1), draw number, amount of funds required, and itemized expenditures totaling the amount to be requested.

Deposits within the month (reimbursements, overdraws, etc.) are tallied at the end of the program year and not deducted from expenses monthly (for a sum to reflect the current monthly financial need).



### III. HUMAN RESOURCES POLICIES

#### CODE OF CONDUCT

“The recipient shall maintain written standards of conduct governing the performance of its employees engaged in the award and administration of contracts. (Sec. 74.42)

Employees are subject to the company Code of Conduct.

*The code remains a standard. We are dedicated to honesty, integrity, and fairness. Staff must accept personal responsibility for exercising appropriate behavior and maintaining high ethical standards. We are an equal opportunity employer, and shall not tolerate any form of discrimination or harassment. As a workplace, we will not tolerate any environment that includes actual or implied violence or retaliation. There should not be any conflict of interest from staff or others representing the company. If any questions arise as to any parts of the Code, questions should be directed to the President. (Contribution by Rick Brown, March 2005)*

Also see (Code of Ethics)

Employees are to maintain professionalism and appropriate social interaction and behavior while conducting business, providing services, and ***while representing CJH in any capacity.***

Employees and others representing CJH are prohibited from any action described in this manual or not that would in any way compromise the integrity and/or reputation of the Company (such as but not limited to .

- engaging themselves or the Company in promises or implied services that cannot be delivered or that need prior approval.
- speaking untruths or falsehoods, maligning statements about the Company, and/or rumors or hearsay about others (staff, volunteers, Partners)

during the course of employment with the Company.

Employee are prohibited from defamatory or misleading remarks about the company, its employees, or federal funders in public or while serving in an employee role.

Employees are prohibited from engaging in any unlawful activities. Any charge or conviction of a crime will be grounds for immediate dismissal or contract termination for partners and vendors.

*This Code of Conduct also governs the performance of business partners, officers, advisors, and agents engaged with the company and its projects.*

#### Theft

Theft of any kind is absolutely prohibited. The prohibition includes but is not limited to equipment, supplies, confidential and proprietary information, and other possessions of CJH and/or others.

(Also see Ethics & Integrity, Discrimination/ EEOC, Sexual Harassment, Confidentiality, Drug-Free Work Place, Code of Conduct, Smoking Policy, Discriminatory Harassment, and Grievance.)

## DISCRIMINATION / EEOC

CJH does not discriminate on the basis of race, color, creed, gender, disability, sexual preference, age or national origin. To assure equity in hiring practices, services, and compliance with this policy, CJH periodically conducts training with and for staff and engages a diverse method for employment procedures.

CJH encourages staff to participate in outside workshops or training opportunities on diversity, discriminatory practices, competencies, equity (gender, racial, LGBTQ, cultural, disability), etc.

CJH maintains continuous effort to be inclusive in its services and hiring practices.

## DISCIPLINE / DISCIPLINARY ACTION

### Corrective Actions

At times, it may be necessary for the company to follow steps in corrective counseling and/or dismissal of an employee. This may occur when performance problems are identified, an employee's conduct is unacceptable, or when for any reason the employment relationship has become problematic from the point of view of CJH. When corrective response is necessary, CJH reserves the right to determine and implement what it believes is an appropriate response.

A designee (e.g., Project Director) will engage in employment or disciplinary procedures for his/her subordinates.

*Corrective Action* may consist of any or all of the Four (4) Steps listed below, unless in the discretion of CJH the degree of the infraction warrants skipped Steps or immediate dismissal.

Step 1. Voiced Concerns. The immediate supervisor will discuss and explain the dissatisfaction of the employee's conduct or performance with that employee. A record of this discussion will be logged by the supervisor and provided to the employee, but such a record will not be filed in the employee's personnel file.

Step 2. The immediate supervisor conducts a formal discussion with the employee and explains the dissatisfaction with the employee's conduct, behavior, or performance. A written reprimand will be sent to the employee and a copy placed in the employee's personnel file within 10 working days of the discussion indicating the action plan (steps) for change, expectations, follow-up action, special conditions, and dates of discussions. This memo will be kept in the employee file for a period no less than twelve (**12 months**) and may be maintained indefinitely. The employee will be considered *on probation* (subject to more frequent work reviews, behavior observed, monitoring).

The Company President, if not directly carrying out the action, will be apprised of the action and circumstances leading to this action.

Step 3. Suspension from the job up to ten (10) business days with or without pay may be initiated by the Director with the approval of the company President. Upon return to work, the employment status

will revert to “probationary” with a performance review in 30, 60, or 90 days. This disciplinary step may include a salary adjustment.

Step 4. Termination may be the final step in the corrective action process. Efforts will be made to avoid termination when possible and appropriate. However, CJH reserves the right to terminate an employee with or without notice for poor, inappropriate, or unacceptable conduct at any time.

Other issues:

In addition to any disciplinary action above, an employee may be required to attend an Employee Assistance Program session or other services.

One or more Steps can be combined or surpassed depending on the severity of the action or incident in question.

The Company can use indicators of behavioral infractions, concerns, and issues to be addressed such as flags, informal memos, and informal talks to inform and coach employees to use more appropriate behaviors or identify those that concern company administrators.

Employees can be terminated immediately (immediate dismissal) for any action which would cause the company to be subject to liability or could cause irreparable harm to the company. The following, although not complete, would be cause for immediate dismissal: 1) continuous receipt of actions requiring Step 1 or 2 disciplinary action and 2) certain actions on or off the work site including: illegal use of drugs and/or possession of illegal drugs, threat to employees’ health or safety, endangering self or other employees, drunk or disorderly conduct, falsification of records or documents, bullying or sexual harassment, criminal activities such as fraud, embezzlement forgery, direct insubordination to the Director (actions contrary to direct mandate), or other actions outside of the job site which directly affects the company or its image. (see Ethics and Office Protocol)

Any written memo or correspondence regarding discipline shall stay in the employee file for a period of at *least 12 months* and may be expunged should no additional disciplinary action be administered. It is at the discretion of the Company President that the reprimand or correspondence remain in the employee file indefinitely.

At any time, the employee is encouraged to respond or comment in writing to 1) the event causing discipline, 2) provide an explanation of employee’s action, or 3) comment on subsequent disciplinary action.

Employees are also encouraged to express issues and concerns with the Director or President.

Issues and concerns may be discussed directly with the President after *first reporting* to the Director. Complaints involving others should *first be addressed with the individual involved*, and then to the supervisor. Individuals lodging a complaint should be prepared to discuss the behavior with the person involved and the supervisor simultaneously. The Company President may require a written synopsis from the Director and either or both parties.

## EMPLOYEE ASSISTANCE

### Employee Assistance Program (EAP)

Employee assistance is available to any employee who requests help through referral and or contracted services of a professional agency such as an Employee Assistance Program (EAP). The company, through grant funds (if allowable on a particular grant) or company funds, may pay up to \$150.00 per employee for either an initial consultation fee or the first session of a term care program. These funds will only be paid to the service provider, not to the employee.

An employee may also be referred (routinely or involuntarily) for employee assistance services as part of a corrective action or general referral.

(Resources many include those referred by EAP programs of the NC Office of Personnel and Management offices.)

## EMPLOYEE TRAINING AND EDUCATION COSTS

Professional Development. CJH is committed to supporting the professional growth of all employees and provides both resources and opportunities to help develop the skills and knowledge needed to make a meaningful contribution to the organization.

CJH believes strongly in the value of on-going training and education of its employees. The company, through available grant funds, offers paid training opportunities throughout the year. This may include: local workshops, national conferences, one-day local workshops, or community leadership development events.

CJH will offer in-service training opportunities through staff meetings, special presentations by staff or professionals from other agencies on topics and programs such as Diversity, Social Media, Computer Operations, Americans with Disabilities Act (ADA), and Grant Writing, etc.

Specific and company-approved courses offered in the community that relate to the job or position may be paid in full or in part by the Company on a reimbursement basis. The course or class must be taken within the employment period and a receipt and certification of passing the course is required. No reimbursement will be provided for incomplete classes or any late fees, fines or other such charges. Payment will be on a reimbursement basis and the training will become part of the employee record. With *prior approval* of specific job-related or enhancement training, a limited number of these opportunities may be reimbursed and offered to an employee at one per annum. Length of course, cost, and time of day are strong determinates for company approval.

All employees are encouraged to take advantage of continuing education opportunities on their own through local colleges that are related to their job duties.

Employees are encouraged to seek training in CPR and/or First Aid.

### In-Service Training

In-service training can include:

- New employee orientation (forms, benefits, evacuation, staffing, procedures, building tour, use of equipment).
- Policies and procedures
- Federal regulations for grants
- New skills such as computer training and/or accounting practices
- Workshops or seminars pertaining to specific job function or the overall mission of a grant or program.

### **Grants:**

Grant regulations govern federally-sponsored training opportunities.

## FRINGE BENEFITS (208) – A122, 71)

### Health Insurance

The company offers no health insurance plan.

### Retirement / Pension (A-122, 72)

The company offers no retirement or pension plan.

## GRIEVANCE

### Grievance Procedure

If an employee feels that inappropriate corrective action has been taken against him/her, and the employee has been unable to resolve the matter informally by speaking with the supervisor, the employee may follow the Grievance Procedures as stated below:

1. File a written grievance with the supervisor within 5 business days of the incident.
2. If the grievance includes the supervisor or Director and the employee has been unable to resolve the matter informally by speaking with them, the employee may file a written grievance with the company President within 5 business days of the incident. Documentation of resolution efforts may be requested.
3. The Director and/or President will conduct an investigation of the incident, where appropriate, and will provide a written response (from the company or representative) to the employee within 10 business days of the grievance being filed. If more time is needed to respond to the complaint, the person filing the complaint will be notified.
4. The company President at his or her discretion may convene a committee of individuals outside of the company to participate in a review of the process, actions, and result. This committee of three to five competent peers, objectively selected, will consist of at least one attorney. Members may be modestly compensated for their time. Neither the Company president nor staff members shall be members. However, the President may attend the committee meetings to discuss the incident. This committee is solely convened to provide further insight into the incident and make recommendations, and CJH retains the right to modify, change, or sustain any discipline decision as a result. The committee will provide a written response detailing major findings and issues; however the decision of CJH is final.

The filing of a grievance does not serve to suspend the action for which the complaint is filed. For instance, if the employee is asserting that she/he was unfairly suspended without pay, s/he will remain suspended without pay for the period initially determined, unless and until the Director or the President reverses the decision leading to the suspension. Similarly, CJH has no obligation to keep a terminated employee on the payroll or enrolled in any benefits not ordinarily available to terminated employees, pending completion of the grievance process. However, if the action is reversed, the Director may determine, at his/her discretion, that the employee should be reimbursed for some or all of the pay and/or benefits lost during the interim.

### Use of Grievance Procedures in Cases of Termination

Employees (other than temporary employees) who have been employed for at least six (6) consecutive months and who are dismissed from employment for reasons related to discipline may use the Grievance Procedures described above to challenge the dismissal. However, CJH is not required to keep such employees on the payroll or enrolled in any benefits pending completion of the grievance process.

### Pay Upon Termination

Upon voluntary or involuntary termination of the employment relationship, regardless of the reason, an employee will be paid any wages earned but not yet paid, and may exhaust any accrued but unused leave time.

## HEALTHY PRACTICES

### Workplace Health and Safety Precautions

Employees of CJH who have responsibilities that include direct contact with clients or the public are *encouraged* to comply with the following health and safety precautions:

- Annual TB testing or annual TB screening in cases of history of positive TB test (must provide proof of testing and screening to Director).
- Treatment for Diagnosed TB (employment can be suspended if an employee is diagnosed with TB; must provide proof of successful treatment to the Director before returning to work).

Other recommended preventive health precautions include:

- Washing hands after each trip to the rest room
- Discard food from refrigerator periodically; keep food facilities clean. (This practice should be shared by all employees.)
- MMR or proof of positive Titer vaccination, as recommended by local Health Department officials
- Annual Influenza shot (Flu)
- Hepatitis B Vaccination
- Tetanus Vaccination

(see *Responsibility, Precautions, Safety* under Insurance, General Company Policies)

## HIRING

Only the company President has the authority to hire or terminate an employee for CJH Educational Grant Services, Inc. (CJH) and any of its grants.

Formal letters of hire and termination of employment must be issued on CJH letterhead stationery from the President.

Applicants should be sought in accordance with EEOC policies. A search should include newspaper ads, referral services (such as NC Employment Security Commission), and web-site descriptions of job openings.

Applications meeting the established requirements and due dates may be screened by a committee assembled by the Director or President's designee.

Initial interviews can be conducted by a team of interviewers composed of representative staff members, Partners, and/or other interested parties or by a Director in addition to or on behalf of the President. These participants will have access to a candidate's application (resume, letters, other credentials).

Candidate questions can include inquiry on *secondary jobs*, family responsibilities, and other facts that may affect job responsibilities and/or availability. Questions may not be asked by CJH designees or responses given by applicants that are in violation of employment laws.

Interviewers will participate in an initial training on policies associated with interviewing and hiring. Interviewers must assist in rating candidates using selection criteria.

The top two (2) or three (3) candidates will be interviewed by the President and can involve multiple interviews to access in-depth knowledge of the candidate's history, experience, and knowledge of the job responsibilities.

CJH President may appoint an interim hire in any position with the intent to fill a permanent position.

In the case of immediate need or time constraint, the President may hire a candidate without the afore stated interview process; however under the conditions that the candidate has:

- previous experience related to the position
- skills and ability to meet the demands of the job via skills, education, previous jobs
- knowledge of the job or grant legislation
- immediate availability for the position. Also see Special Hiring Conditions.

CJH reserves the right to make final decisions on all candidates. Final decisions will be made by the company President.

Hires are subject to background checks for confirmed employment and references, education, substance abuse, criminal behavior, or other.

Reference checks and background checks will be conducted by the Director. Candidates for full time, permanent positions must provide:

- 1) A letter of *character reference* from a reputable source and



- 2) Two (2) letters of professional work references prior to hire but no later than the 1<sup>st</sup> 30 days of employment.
- 3) Salary history

References that are not received within the time frame and/or do not meet hiring qualifications may effect continued employment. CJH will also require **contact information to conduct verbal communication with prior employers** and/or others who have *knowledge of the candidate's work history, behavior, skills, and experiences*. Transcripts, copy of diploma, or other documentation, if requested, must confirm last degree held for professional positions. Interim, permanent, at-will, full and part-time, employees and volunteers are subject to full education, criminal, credentials, and/or reference check.

All credentials must be received and satisfactory (including references, and histories) prior to the conclusion of a probationary period, if another time is not requested. Incomplete or unsatisfactory reports may affect permanent employment.

A letter of offer outlining salary, terms of employment, and probationary period will be issued after review and suggestion by the attorney.

All hires are subject to a probationary period of up to 90 days. A written employee performance assessment shall be performed by the Director after 30, 60, and/or 90 days. The President will provide assessment for the Director during this time frame. Discussion and feedback should help provide decisions on suitability of the employee for the position. Assessment should be consistent with performance.

At the end of the probationary period, the supervisor should provide written recommendation to the President for 1) termination, 2) extending probationary status, 3) or permanent status. Documentation should support recommendation.

Special Hiring Conditions. In the interest of time or urgency in critical program stages, the President may hire candidates without committee review or participation. However, all policies pertaining to qualifications, EEOC, and reference and background checks remain in effect. (Ed: 02-02-05)

(advertising interview of top two to three candidates)

The company President can contract services or appoint an interim employee in a vacant position without routine protocol such as public advertisement. An application or other hiring documents will be required. The appointment shall be temporary and may remain effective until the position is filled or at the end of a contract or hiring period. Holding this interim position shall not constitute any agreement or imply selection for the job. If interested, the interim candidate must apply for the position through normal procedures and deadlines. No benefits are accrued and the interim does not have access to keys, codes, or confidential information.

#### Other Hiring Conditions

The Clerical Assistant is responsible for volunteer and part-time employee orientation procedures, documentation of performance, and personnel records.

The Director may **recommend** a candidate in any vacant position; however, no position can be filled or offer made without having a formal interview and **approval** from the company President.

Temporary service agencies and individuals may be contracted for labor (e.g.: Accounting, Clerical).

CJH operates on a calendar year starting in January. Also see **Grants**.

### Students and Interns. Volunteers

With approval of the Director, student assistants can be hired. However, the assigned staff must take full responsibility for complete and proper 1) training and 2) conduct, performance, supervision, and orientation regarding the nature, structure, and operations of the office environment and project. Neglect of supervision or improper use of equipment, communications, or performance will reflect on staff performance and may result in revocation of assistant labor. Assistants must be introduced to the company President within 3 business days of service. The following are responsibilities of the hiring staff:

- Timesheets
- Application
- Job descriptions and work plan
- Monitoring and Evaluation
- Internal policies and procedures
- Behavior and Attitudes
- Ethics
- Work assignments
- Performance Evaluation
- Conditions and statement (MOU, letter) of hire
- Current contact information

Volunteers, interns, and temporary staff should receive the same orientation and expectations as employees.

CJH President reserves the right to terminate internships and student labor.

### Terms and Conditions of Employment

CJH adheres to all applicable federal and state regulations, including the North Carolina Wage and Hour Act (General Statutes Article 2A, Chapter 95, Sections 25.1-25.25 and Administrative Rules Title B, NC Administrative Code Chapter 12).

Copy of a valid driver's license and current contact (current address, email, phone number) information will be requested at the time of hire.

All CJH full-time employees work *at least* a 40-hour week (excluding lunch). Professional staff may work more than 40 hours including after 5pm and weekends without further compensation. The lunch hour is 60 minutes. In addition, all full-time employees are to take at least a 60 minute lunch each day during the normal lunch time period (11am – 2pm). ***The lunch hour may not be 'skipped' in order to leave early or arrive late.*** The Director may approve such make up time on a limited basis.

### At-Will Status

All CJH employees are ‘at will.’ Employees and/or CJH may terminate the employment relationship at any time for any reason.

### Definition of Employees

- *Full-time employees* are those employed to work on a regular consistent basis for at least 35, but principally 40 hours per week. They are eligible for all benefits.
- *Part-time employees* are those employed to work on a regular consistent basis for fewer than 35 hours per week. Part-time employees are not eligible for benefits or leave time.
- *Temporary employees* are those hired for temporary service through a temporary agency or as an individual for *short term work* or otherwise non-continuing work, or with the understanding that their employment will not continue beyond what is determined necessary by CJH, regardless of the number of hours worked. Temporary employees are not eligible for benefits or leave time.
- *Interim positions* are those filled by a temporary employee or contractor to meet the responsibilities of a position until it is appropriately filled. Interim positions are usually longer in duration and pertain to or are filled for professional positions of the company.
- *Independent professional contractors* are non-employees who are paid on a fee-for-service basis to perform certain specified services.

### Volunteers

*Volunteers* are those who provide services without financial compensation, other than reimbursement of authorized expenses such as mileage.

Volunteers serving in the CJH office shall be interviewed for selection. They are required to keep written time sheets. Periodic assessments are required to be conducted by the hiring staff.

Neither independent contractors nor volunteers are considered employees of CJH. Neither are eligible for benefits or leave time. However, they are subject to CJH policies and procedures.

### Reporting to Work; Work Schedule; Employee Breaks

Operating hours for CJH are 8:30am to 5:30pm, Monday – Friday for all employees. The supervisor is responsible for employee leave records, work time, and schedules. *Supervisors must set an example by on-time and full daily attendance.*

Employees are expected to work a full 8-hour day. Off-site meetings and appointments do not consistently provide avenues for workdays less than 8 hours. Personal leave may be charged in situations of abuse.

Employee work schedules may vary depending on duties, location, and responsibilities of each employee. All scheduling changes must be approved, in advance, by a supervisor. Employees may be required to work outside of the normal hours of operation such as for Saturday and/or weekends (eg., training, snow days, late evening hours for preparation for workshops, monitoring sites, etc.)

If an employee is out of work or late for *any reason* and has not received advance permission for the absence, he/she must call the supervisor within **2 hours of standard reporting time** to report absence or lateness. In the event a supervisor cannot be reached, a recorded message at the office or with the Clerical Assistant is permissible. Direct text or email to a supervisor is a secondary permissible methods in the event a supervisor *cannot be reached* by telephone.

When absences are evident, the employee **MUST** also take **timely** and **appropriate** steps to meet obligations of the day by cancellations, reschedules, finding replacements for important matters and other wise communicating major responsibilities for the day to an appropriate colleague or supervisor. Follow-up may be required.

Absence without direct notification (call, voice message, letter, text, e-mail) to the Director, President, or Clerical Assistant for two consecutive days (48 hours) will be considered voluntary resignation and all pay and benefits will cease at that time.

#### Excessive Absences and Tardiness

Employees are expected to notify a supervisor in each instance when tardiness or absence is inevitable. Failure to do so will result in disciplinary action.

Excessive absence and tardiness will not be tolerated. Two or more violations within a fiscal year quarter will result in disciplinary action up to and including dismissal. (Ed: 11-01-04).

#### New Employee Orientation

The Clerical Assistant will be responsible for supplying new employees with the following: 1) general orientation which should be conducted *within 2 days of employment*, 2) parking passes, 3) office and building keys, location of restroom keys, and 4) policy manual.

An orientation session for new employees and volunteers will be held as new staff are hired. All new employees will be required to attend new orientation sessions and all other training proposed by the supervisor.

Orientation includes:

- a. Welcome and information for new employees
- b. Establish realistic expectations
- c. Establish a "mission-focused" basis for interactions and activities
- d. Monthly leave calendar, time sheets
- e. Complete and sign all appropriate all forms such as Confidentiality form, P&P manual form (Ed: 01-01-04)
- f. Office orientation
- g. CJH Organizational Chart
- h. Video and brochure review
- i. Disaster/Evacuation Plan and discussion; in-office safety materials / location of in-hall fire extinguisher
- j. Forms
- k. Meeting the company President
- l. Benefits
- m. Concerns or questions regarding the company or grant project.

New employees have the responsibility to ask when more clarification is needed on an assignment or a concept or idea is not understood.

#### Steps to Success I

- Read assignments
- Ask Questions to Understand the concept
- Interpret the intent and expected outcome
- Use Reasonable thinking processes
- Internalize your responsibility
- Act (do)
- Follow- up (call, check, etc.) to make sure the task is done
- ***Complete the task***

#### Steps to Success II

- Keep a running list of assignments (checklists)
- Check off completed items from the list
- Revisit (review) the list of items ***often***
- ***Continue to complete initial (early) items***
- Use a calendar for important dates
- Meet deadlines (how, where, when, what) - *do not procrastinate; get started early – things come up, intentions get thrown off course-priorities get changed*

#### Criminal Record Check; Driving Record Request

CJH reserves the right to conduct a criminal history and record checks, at any time. CJH also reserves the right to check North Carolina records for any charges or convictions. (If you know that you have a conviction or pending charge, you should notify the supervisor at the time of your interview, or, in the case of a current employee charged with a crime, at the time of the charge.) Due to the nature of our work, CJH reserves the right to deny employment to those with convictions or current outstanding charges. CJH may also request a copy of driving records, depending on the nature of the work involved. CJH reserves the right, prior to or following hiring of an employee, to dismiss an employee if Criminal Record or Driving Record information leads the President to the conclusion that the employee is an inappropriate match for the agency.

Direct Deposit. CJH currently uses Paychex, Inc. to process payroll for employees. Through Paychex, employees may have their paycheck directly deposited to any locally known (within the Raleigh-Durham areas) or nationally-known bank or financial institution.

Direct deposit may not become effective until after the 90-days probationary period. [Ed: 02/25/2010]

#### Grants:

Any grant received by the company may have a distinct fiscal year. Employees are bound by the time-limits of the grant and are not promised or guaranteed employment or benefits during or beyond the grant life.

CJH retains the authority to restructure or reorganize the company or any grant staff pattern as need, deemed necessary, and in the best interest of the company or grant.

CJH has the discretion and the authority to terminate a grant in the interest of the company without further benefit, continued employment, salary or compensation to employees.

Criminal background checks may include search for offenses pertaining to child abuse, child neglect, mal treatment, sex offender, and/or child endangerment, particularly in grants related to youth services.

Project Managers with the consent of the Director or President may engage in contracting the services of 3<sup>rd</sup> parties.

## HOLIDAYS

10 Paid Holidays. The company is closed on holidays. The holiday schedule is aligned with recognized annual standard holidays. All full-time employees are paid for holidays as follows:

- January - New Year's Day – 1 day
- January - Martin Luther King's Birthday - 1 day
- March or April – Easter Monday – 1 day
- May – Memorial Day – 1 day
- July 4 – Fourth of July - 1 day
- November - Thanksgiving Day plus one day - 2 days
- December – Christmas Day plus two days – 3 days

The company does not observe the following holidays: *President's Day, Good Friday, Labor Day, birthdays or Veteran's Day.* These shall not be observed or paid.

On an annual basis, the company *may select* a period of time (generally a consecutive 30 days to restructure, reorganize, take inventory and is closed to the public. Employees may be subject to unpaid leave. Essential employees may be retained to assist in its operation during this time period.

*Actual holidays are to be determined by the Company on an annual basis.*

Hourly, part time employees will not be paid for company holidays.

In rare instances, employees may be asked to provide some type of work services on a day considered as a recognized holiday. This time will be compensated with 'time off' suitable to the company—both at the company's discretion. (For example, the company may choose Memorial Day as a work make-up day for inclement weather or other company closing.) A personal leave day will be charged to the employee if her/she chooses to be absent.

## Cultural Considerations

CJH will follow holidays observed by the State of North Carolina although respecting those of other cultures and faiths. The company will consider education and training from employees who care to

educate others and share through up to 90 minutes sessions on the celebration, belief, or custom on the day of the event.

#### Grants:

Employees of the company hired on a grant are subject to the Company closure during its 30-day reorganization. Time and effort should be reflected.

### LABOR STANDARDS

CJH shall be in compliance with all fair labor standards as required by OSHA. When the number of employees meet the required threshold, all posters shall be displayed in a noticeable and public place for employees to review.

#### Grants:

The Clerical Assistant is responsible for assuring company compliance with North Carolina and U.S. Department of Labor Standards. Funds will be set aside for costs related to local and approved workshops or seminars and publications. Other means to update office compliance are Internet research and verbal and written (publications, posters, letters, inquiry) information from the NC or US Departments of Labor. The Clerical Assistant shall be responsible for annual up-dates of posters, notice to employees of new or existing applicable laws, and other requirements.

### LEAVE

**All leave must be requested and approved.**

Annual, Personal/Vacation days must be pre-approved by a supervisor. Sick days must be immediately reported to a supervisor and consent acknowledged.

Personal/Vacation Leave (personal, vacation) time must be requested and approved by an immediate supervisor and reported to the Director. *Leave forms must be completed prior to taking leave--* detailing date of leave and estimated return. Appropriate forms are required.

Full-time employees will earn four (4 hours) personal/vacation leave per month. Individuals hired prior to the 15<sup>th</sup> of a month (start date) will receive 4 hours leave for the month. Those hired on or after the 16<sup>th</sup> will receive two (2) hours at hire and 4 hours for every month thereafter. Up to three (3) days of vacation leave can be transferred or carried over to the following calendar year. [Three days may be carried from December of a year to January of the upcoming year.] (see: Vacation) (Ed: 06-01-04)

Paid leave received that *exceeds earned leave* (due to vacation, sick, or other leave) must be “re-paid” at the end of the fiscal year or employment. Employees may request “*unpaid leave*” when situations require leave without sufficient earned leave.

No other leave may be carried over. Any approved adjustments and agreements regarding leave shall be exhausted in the current calendar year or lost.

Part-time employees are ineligible for leave. (Ed: 06-01-04) An adjustment to the work schedule must be **pre-approved** by a supervisor in a given week where absence is requested during the regular work schedule. (Ed: 11-06-04)

[Employees hired on or after January 1, 2004, will earn 4 hours per month personal/vacation Leave.]  
Ed:12/31/03; 06-01-04.

In each instance where an employee will be late or absent, he/she should **call** and report tardiness to a supervisor **within 2 hours** of company office hours, or standard reporting time. More advanced notice is requested if possible.

**Leave forms** are required and due upon the day the employee returns to work. Failure to submit appropriate forms will result in disciplinary action.

**The company has no work-at-home policy.** Absence from work constitutes a vacation or sick day. (also see Inclement Weather)

Employees will not be compensated in any way for unused Personal/Vacation leave at the end of an employment term.

CJH requires employees to take Personal/Vacation leave in blocks of no less than 2 hour increments. Requests for lesser increments may be approved by a supervisor.

#### Sick Days

Beginning January 1, 2004, full-time employees will earn 4 hours sick leave per month. This leave may be used for any absence due to illness.

Employees will not be compensated in any way for unused sick leave at the end of the year or the end of an employment term.

Employees who are absent due to illness must 'call in' to work to report illness on the day of the first absence. More than two (2) consecutive days absent will require a written physician's statement. Extended leave will require periodic reports of the employee's illness from a physician.

Unpaid Leave/Absence. Any days (sick or personal/vacation) taken beyond an employee's accrued amount will be considered **unpaid** leave or absence. Any unapproved absence will be charged against existing Personal/Vacation or Sick Leave or considered unpaid leave or absence in the event no leave is accrued.

Employees participating in the following events must notify a company supervisor and submit or complete any requested documentation:

#### **Family and Medical Leave Act**

**Jury Duty.** If you are selected for jury duty, you will be placed on leave. During the first two weeks of this leave period, CJH will pay the difference between your normal pay and the amount you are paid for serving as a juror, as long as you give your supervisor written notice of your selection for jury duty within three (3) business days of receiving the notice.



Should jury duty exceed two weeks, the employee will be placed on 'leave without pay' for the balance of jury service. Employees must report to work the day after jury service ends.

**Military Leave.** If you must be absent from work due to service in the armed services, please notify your supervisor as much in advance as possible, so that plans can be made for your absence. CJH complies with federal law regarding reemployment of persons who leave work to serve in the armed services.

**Bereavement Leave.** Full-time employees who have completed at least six months of continuous employment and who experience the death of a parent, parent-in-law, spouse, live-in-partner, sibling, child, or grandchild, or a step-parent, step-sibling, step-child, or step-grandchild, may take up to three (3) days of paid bereavement leave.

**Workmen's Compensation.** All employees of CJH are covered by workmen's compensation insurance, as required by law. Employees must report any work-related injury or illness immediately to the Director and to the company President.

Leave Records for all employees shall be obtained and maintained by the Clerical Assistant and verified by the Supervisor. These shall be updated and verified by the employee on a six months basis and prepared for submission to the company at the end of the calendar year. Employees must 'sign' leave records.

Leave records should be maintained frequently and are subject to periodic monitoring.

The leave record for the Clerical Assistant will be maintained by the Director or supervisor.

## MONITORING AND EVALUATION

Formal evaluation is required at least annually for each employee. Periodic (monthly, quarterly) assessment is expected for informal monitoring and performance communications. Written descriptions are encouraged.

New employees may be assessed at the first 30, 60, and/or 90-day intervals.

### Grants:

The Director is expected to continually monitor the performance of staff, volunteers, and contractors under activities supported by federal funds in order to assure compliance and that adequate progress is being made toward the achievement of the goals and objectives. The Director may assign supervisors to oversee the work of specific employees and contractors. Performance reports submitted should include:

- a. A comparison of the actual accomplishments to the goals established for the period along with as much quantitative data as possible
- b. Reasons for delay in cases where established goals were not met
- c. Other pertinent information such as analysis and explanation of cost overruns of high unit cost

MORALE (122, Sec. 13)

OPTIONAL benefits. CJH policies establish a \$50 limit per full-time employee per year for individuals Morale practices. CJH President may approve a higher rate based on the activity and relevance to the company or project. All employees serving full or part-time are eligible. This sum will not be paid as cash to an individual and cannot be accrued or carried over to a new fiscal year. When possible, the fee will be paid to the service provider on behalf of an employee. Individuals will not be compensated for unused or partially used sums.

CJH reserves the right to *pool funds of employees for a group event* such as an annual staff retreat and can include meals, space rental, supplies, and/or event tickets. Only participants will be compensated in this program; not those absent. Absentees forfeit their \$75 allocation.

‘Recreational Activities or Day’ is a group voluntary and paid day for employees as part of CJH Company motivational and morale activities if taken in conjunction with other professional development activities and associated with company business or charitable activities (walks, open house, friendly-competitions, in-house fellowship for team building, etc.) CJH, at its discretion, may offer one day recreational activities to employees per annum. CJH President has the right to determine the content, activities, time, and extent of costs associated with such an event if expenses are paid by the company. CJH will not offer or provide cash, or exchange or redeem this event for cash or provide an alternate day for absentees. This day can be a planned day of activities by the company or a day “on-your-own” when traveling overnight. However, employees MUST adhere to the same behavioral and professional standards as a regular business day.

CJH Company reserves the right to forgo this event in part or whole, annually.

#### Grants:

Funding for Morale has been removed from permissible expenditures in federal grants in the new Super Circular (09/30/18).

## PAYROLL

The PD will provide the company clerical staff with information regarding monthly time and hours for payroll.

Individual such as Coordinators, Directors, supervisors, Program Heads, etc, who have subordinates are responsible for active and accurate personnel records and the timely and accurate reporting of time sheets.

Hired personnel, contractors and temps are required to report changes in address, telephone, or other critical information within five (5) business days of the change for purposes of communication and file accuracy.

#### Pay Periods

CJH pays on a monthly basis according to a *payment schedule* (Ed: 11-01-04). An updated annual Payroll Schedule is set by the Director at the beginning of each fiscal year.

Payroll shall reflect actual hours worked. Estimates and advance payments are prohibited. (Ed: 12-16-03)

Paper checks or direct deposit is available through the company's payroll vendor, Paychex. Direct deposit is encouraged after the 90-day probationary period.

The Company discourages and is not responsible for personal loans between and among employees.

### Reporting

Daily services performed are outlined in *reports* (weekly or monthly).

Reports are compiled and reviewed by the Director and submitted to the President weekly or monthly depending on assigned time frame by the immediate supervisor.

Reports will:

- (1) capture the basic elements of everyday performance and accomplishments,
- (2) provide more detail and narrative; helping to measure performance.
- (3) detail activities during the week.
  - Community appointments—day/time/purpose/results/contact information
  - Describes status of on-going and unanticipated projects.
  - Major challenges in fulfilling assignments, manageability.
  - Significant findings and outcomes.
  - Names and/or contact information of persons met during the time period.
  - Highlights of the week.
  - Learned lessons, discoveries.
  - Accomplishments and activities of principal job responsibilities
  - Outcomes
  - Follow up from previous week
  - Significant plans for the upcoming week

### Time Sheets

All employees (including exempt, non-exempt, full-time, volunteers, part-time and interim) are responsible for completing and submitting *time sheets*. If assistance is needed with the procedure for completing or submitting timesheets, ask a supervisor. Employees must record *positive time and effort* demonstrated through time sheets recording hours worked.

Timesheets are collected and reported semi-annually and should adequately and accurately reflect leave forms.

## PERSONNEL ACT (EXEMPT and NON EXEMPT EMPLOYEES)

### Employee Classification:

#### Exempt employees and overtime

CJH positions are classified per state and federal guidelines. Certain positions may be "exempt" meaning, among other things; the employee is exempt from the overtime pay requirements of the Fair Labor Standards Act, or "non-exempt" meaning eligibility to receive overtime pay. Exempt employees are considered those who work in positions that are primarily executive, administrative or professional in nature, as defined by federal regulations, and who are paid on a salary basis, as defined by federal regulations. Exempt employees are not entitled to overtime compensation (wages nor compensatory time) in any way.

Exempt employees are responsible for working as many hours as necessary to get their job accomplished. During extraordinarily busy times, the supervisor may make special arrangements (office closed, approved late reporting, etc.) when circumstances permit. [This time is not required to be provided nor should it be expected by exempt employees. Exempt employees do not receive hour per hour, financial, or any compensation for excessive hours worked. ] (Ed: 12-16-03)

Exempt employees may at times be granted professional leave time during a workday for personal matters by a supervisor. The Director must notify the President of such leave. Leave without notice will be charged against any accrued leave.

#### Non-exempt employees and overtime

If a position is classified as "non-exempt," compensation time or overtime pay may be awarded. The decision for time off or hours paid is at the discretion of the supervisor. Time off is preferred by the company. (Compensation hours will be granted on an hour per hour basis; compensatory time is reimbursed at a rate of one hour compensatory time per hour worked. Overtime for eligible hours will be paid at the rate of one and one half times regular hourly rate of pay, for any hours worked beyond 40 hours in a given work week.)

Compensatory time must be granted within the same work week in which the extra hours were worked. [For instance, if in a given week an employee works 12 hours on Monday, it is permissible (with the advance consent of the supervisor) to work only 4 hours on Tuesday, so that by the end of the week only 40 hours are served. In fact, the supervisor may require such compensatory time. However, the employee may not wait to take the four hours or request overtime pay.]

For overtime purposes, the work week begins Saturday at 12:01 a.m. and ends Friday at midnight. Only those hours that are actually worked by the employee will be considered "hours worked" in computing whether overtime or comp time is due.

Neither Personal/Vacation nor sick leave, jury duty, bereavement leave or military leave, etc. will count as compensatory time for overtime purposes.

Voluntary and unscheduled working hours in excess of 40 per week will not be eligible for compensation. Employees cannot establish their own work schedule (after work, Saturday, weekends

etc.) and expect or receive compensation time or wages. Hours must be verifiable by a supervisor and be pre-approved.

#### Exempt and Non-Exempt

**Advance permission** for compensation for work beyond 40 hours for non-exempt and for a specific event and period of time for exempt employees is required from a supervisor. Compensation for these prior approved hours must be requested, and if granted, reconciled within the work week in question.

## PERSONNEL FILES

### Personnel Files

A personnel file will be maintained for each employee. All personnel files are confidential. Any employee can review their file upon request, and with up to **7-business day notice** to the supervisor. Letters of recommendation are exempt from review by employees. No information relating to a specific employee's address, telephone number, or salary will be given to any persons without that employee's permission unless under subpoena, emergency, or similar unusual circumstance. CJH will have ultimate discretion in determining documents for employees' personnel file.

For purposes of payroll, tax status and administrative record-keeping, it is the responsibility of each employee to keep the Director, or other designated staff person, informed of any changes in address, telephone number, name, marital status, change in number of dependents, withholding information, and persons to notify in case of emergency.

Upon hiring, the following should be obtained on each employee by the Clerical Assistant:

- Employment Application (per request)
- Insurance Application Form (per request)
- A copy of Driver's License
- Employment Orientation Form
- CJH P&P manual receipt (after review)

Paychex Inc. may also require the following information:

- I-9 Form – Employment Eligibility Verification
- W-4 – Employee Withholding Certificate (federal)
- NC-4 – Employee Withholding Certificate (NC)

In accordance with the North Carolina Wage and Hour Act, CJH maintains the following information for each employee for a minimum of three (3) years.

- Full Name
- Home address/phone number
- Date of birth (if under 20)
- Occupation in which employed or job title
- Time and day of employee work week
- Regular rate of pay
- Hours worked each work day
- Total straight-time and overtime earnings each work week
- Total additions to or deductions from wages
- Total gross wages paid each pay period
- Date of each payment
- Any disciplinary information or reason for termination of employment

## PERFORMANCE EVALUATION

### Job Performance and Conduct As Employee

Generally, performance reviews will be conducted on an annual basis. The performance of a new employee can be reviewed at monthly intervals (30, 60, and/or 90 days) and longer if necessary.

Performance reviews are intended to identify both those aspects of the job which are being performed well and those aspects that need attention. They are also a formal opportunity for employees to express any concerns about the job or about employment. However, concerns may be expressed prior to review meetings, and the supervisor is available throughout the year to meet regarding issues, problems or questions related to employment.

In addition to expecting employees to perform their jobs competently and reliably, CJH expects employees to conduct themselves in a professional, ethical and responsible manner that reflects well upon the company and that promotes a spirit of cooperation, teamwork, and is respectful of the clients, other staff, volunteers, and members of the public. Failure to do so may lead to corrective action, including dismissal.

Although it is not possible to anticipate in advance every possible kind of misconduct that would be of concern to CJH and could lead to corrective action, including dismissal, the following conduct is prohibited and will not be tolerated. This list of prohibited conduct is illustrative only and is not intended to be exhaustive:

1. Violation of any of the policies described in this manual. Failure to comply with the established policies and procedures.
2. Insubordination – failure to: 1) respond to directives from the President or a supervisor as requested, 2) respond in a manner acceptable to the company, 3) communicate in a reasonable amount of time (timely manner), 4) follow directions, or 5) carry out assigned tasks and responsibilities.
3. Conduct, including speech, that physically harms or threatens others or that is abusive to or disrespectful of CJH clients, directors, employees, contractors, volunteers, students, or other persons involved with the company or grant project. Failure to conduct oneself in a professional and cooperative manner while carrying out duties.
4. Failure to adhere to the work schedule that has been established. This includes absence without notice, except where an emergency prohibited the giving of notice and notice was given as soon as reasonably possible.
5. Failure to be honest in communications with CJH and/or falsifying records or other documents (attempts at deception, omissions to avoid disciplinary action),
6. Theft or misappropriation of funds, property owned by a co-worker, a client, or anyone associated with CJH, or the public.
7. Unlawful conduct during non-working hours that might lead our clients or the public to lose confidence in the integrity of the company, the grant mission, and/or the employee.

8. Neglect of duty; failure to perform responsibly.

#### Separation from Employment

The following policies apply to those who are separating from employment.

Notice: Full-time employees are requested to provide 30 days notice of resignation. Part time and temporary employees are requested to provide 2 weeks notice. CJH will provide at least two weeks notice of termination as well, when deemed appropriate and possible.

Lay-offs: Cutbacks or reductions in staff leading to the lay-off of one or more employees are possible. In determining which employee(s) shall be laid off, many factors are relevant including company needs as a whole, skills, qualifications and performance histories of individual employees; anticipated changes in funding received or services to be provided, budgetary constraints; and any restrictions or guidelines imposed by law or by funding sources.

Additionally the company may lay off employees due to (1) change in or lack of company or grant funding, (2) restructuring of grant funds, (3) internal company or grant administrative restructuring, (4) performance issues, inability to perform satisfactorily, and/or (5) other unforeseen circumstances.

All fringe benefits and accrued leave will cease at the effective date of resignation or termination.

Persons no longer hired by the company (former employees) are expected to return all property belonging to the company or USDHHS (including but not limited to supplies and equipment, keys, codes, manuals, parking passes, etc.) Employees must resolve debts and submit outstanding leave forms or time sheets) within 7 calendar days of separation.

(see Discipline and/or separate policy section on Human Resources Policies)

### POSITION DESCRIPTIONS

Employees are hired by the Company to help in its overall operation. Employees are hired to help relieve the company and its President of responsibilities associated with the activities of the Company (grants, partnerships, community projects, etc.) as defined and assigned to staff in the best interest of the company, its funders, partners, supporters, constituents, and stakeholders.

An employee may be hired for a specific role or task but ultimately is providing that services for the Company whose needs, structure, or mission may change.

Each employee shall have a job description that details principal work assignments, supervisor, whether full or part time, and percentage and source of salary.

Job assignments and duties may be modified periodically especially in the event of multiple company grants or awards.

An organizational chart shall be maintained by the company for individual grants and updated at least annually to delineate reporting structure.

### SALARIES (74)

Salaries are established by the company at a rate that is comparable to similar jobs within the community and the experience and educational level of the individual. Salaries can be based on industry standards and the local community and/or commensurate with the experience of the candidate.

A salary may be paid from multiple sources (several grants, company, other agencies) and total a percentage of that allocated for the position. Employees paid from multiple sources must indicate time allocation on time sheets and delineate duties on weekly reports.

Salary adjustments are based on a significant change in the nature and scope of a position including significant increases in the level of authority and/or responsibility. Additional responsibilities of the same or similar nature do not qualify for an adjustment.

#### Raises

Annual raises may reflect those of the State in terms of increments. State bonuses and other non-salary related increments will not apply to company or grant employees.

Salary raises are determined and awarded for full and part-time employees on the basis of annual performance review and/or federal funds available.

Employees are eligible for raises on *anniversary dates* after 12 months of successive employment.

#### Pay Dates

Pay checks are effective on the last working day of the month.

Pay dates are generally the last working day of the month based upon submission of salary information to Paychex. Their process may require a 3-day processing or lead time.

Payroll advance is prohibited.

## SECONDARY EMPLOYMENT

Employees are required to notify their supervisor of employment outside of the company and particularly other work to be performed concurrently with that of CJH (i.e. a "moonlighting" job). This requirement serves two purposes: (a) to ensure that the employee does not become involved in a conflict of interest and (b) to ensure that the employee is able to devote sufficient time and effort to perform his/her work effectively. Failure to notify their supervisor of outside employment will subject an employee to discipline, including termination.

## SEVERENCE PAY



Full-time employees who are terminated for reasons other than behavioral or performance issues or lose employment other than resigning *may* receive up to two (2) week's severance pay at the discretion of the President. The following must be in effect: 1) all debts are paid, 2) all at-home use materials, supplies, and equipment are returned, 3) any and all issues are resolved at least five (5) working days in advance of the final day of work in the office (or at the office site), 4) no disciplinary action in force, and 5) *funds are available*. Severance pay will not be paid outside of these parameters.

Severance pay will be limited to full-time employees with permanent status (employed at least 91 days and successfully passed the initial (90-day) probationary period).

## SUPERVISION

CJH employees are entitled to a competent immediate supervisor. Supervision should include clear directives, expectations, dates for deadlines (what, when, how). A supervisor should monitor tasks assigned to subordinates to assure employees: 1) understand the directive, 2) will meet the goal, and 3) meet the performance expectation of the company. Assignments may be required in writing as well as verbally.

Supervisors should have knowledge of the job expectations for the subordinate are required to see that those task are carried out in the manner outlined. Monitoring and coaching are expected of all supervisors. Documentation of efforts to supervise, monitor, and coach is the responsibility of the immediate supervisor.

***Supervisors are responsible for the fulfillment of tasks of their subordinates.***

### Grants:

Directors and supervisors of federal programs should have read and be abreast of *all* federal laws pertaining to the grant to which they provide leadership. It is their responsibility to 1) have a working knowledge of grant regulations, 2) serve as a model in adherence to those policies, 3) assure that the staff they supervise are aware of those pertinent regulations associated with the grant and adhere to those laws and regulations which may include: FAR, RFP, Title 45, Part 74, ***Terms and Conditions*** of the Grant Award Notice, and applicable OMB Circulars.

*“Ignorance of the law is no excuse”* and applies to the operation of federal grants by Directors and supervisors.

Directors and supervisors must also model and uphold the mandates of the company and ensure that staff also abide by those policies and procedures, particularly outlined and stated in the CJH Policies and Procedures manual.

The company President is available for consultation with supervisors as needed and may from time to time inquire about grant administration with Directors and supervisors.

## VACATION

Vacation days may NOT be taken or approved during scheduled grant programs, company events, or scheduled activity (such as training, monitoring sub-grantees, federal site visits, etc.)

Early requests for vacation is highly suggested.

## WORK ENVIRONMENT

### Attire

Business casual is the accepted daily attire for employees. An appropriate business demeanor and appearance is expected on a daily basis.

### Disability and Accommodation

CJH supports the Americans with Disabilities Act (ADA) policies and does not discriminate on the basis of disability. Any violation of this policy, fair practices or actions should be reported to CJH administrators. The company provides periodic training to employee regarding ADA. (Ed: 11-01-04)

### Discriminatory Harassment

It is a violation of CJH policies to harass anyone at work because of race, color, age, religion, gender, sexual preference, disability, or national origin. CJH is committed to maintaining a workplace that is free of any such harassment and complies with both federal and state laws regarding harassment.

CJH expects all employees to accomplish their work in a businesslike manner with a concern for the well-being of their co-workers. Any harassment of employees, candidates for employment or clients is not permitted. Specifically forbidden is harassment of a sexual, racial, ethnic, or religious nature. Such harassment includes unsolicited remarks, gestures, or physical contact.

If you believe that you have been subject to discriminatory harassment by a co-worker, supervisor, volunteer, or company Partner, or by anyone else during the course of your employment, report these concerns immediately to a supervisor. Retaliation against an employee by any person employed by or volunteering for CJH, for (1) opposing such harassment, (2) filing a bona fide complaint of discriminatory harassment or (3) providing information in good faith regarding another employee's complaint will not be tolerated and may cause disciplinary action, up to and including termination.

Once a complaint of discriminatory harassment has been filed, an investigation will be conducted. The investigation may include services of an outside consultant (attorney, civil rights investigator, police, or other authorities). The nature and extent of the investigation will depend upon the complaint. The intent is to obtain further information about the events/conduct complained of, to enable the person(s) named in the complaint to provide their perspective, to determine whether discriminatory harassment has in fact occurred, and to develop an appropriate resolution. All employees are expected to cooperate with any CJH-sponsored investigation of a complaint of discriminatory harassment.

Any employee who has been accused of or has been reported to have committed discriminatory harassment or retaliation or who fails to cooperate with a CJH-sponsored investigation of discriminatory harassment or retaliation will be subject to disciplinary action, up to and including termination.

Complaints should be verbal and provided in writing to a supervisor, providing as much detail as possible (time, words or actions, date, etc.) and submitted timely. An incident form or any plain paper may be used. [Ed: 02/25/2010]

### Sexual Harassment

Sexual harassment is a form of discriminatory harassment and will be treated in accordance with the discriminatory harassment policy outlined above.

Sexual harassment is unwelcome conduct of a sexual nature when:

- (a) submission to such conduct is made (explicitly or implicitly) a term or condition of the individual's employment or continued employment;
- (b) submission to or rejection of such conduct is used as the basis for employment decisions affecting the individual; or
- (c) the conduct has the purpose or effect of unreasonably interfering with the individual's job performance or creating an intimidating, hostile, or offensive working environment.

Examples of some of the kinds of conduct that violate our Sexual Harassment policy include:

- 1. Sexual assaults, including rape and molestation, and attempts or threats to commit these assaults;
- 2. Unwanted intentional contact of a sexual or suggestive nature, such as touching, pinching, patting, grabbing, kissing, brushing against or poking a person's body;
- 3. Unwanted sexual advances, propositions or comments, including sexually oriented gestures, jokes or comments about a person's sexuality or sexual experience;
- 4. Preferential treatment or the promise of preferential treatment to an employee for engaging in sexual conduct;
- 5. Displaying or publicizing pictures, posters, reading materials, calendars, objects, etc. that are sexually suggestive, sexually demeaning or pornographic; and
- 6. Disciplining or retaliating against an employee in any way because s/he has resisted, reported or complained about sexual harassment.

Sexual harassment can occur between peers and colleagues and in a supervisor-subordinate role.

If an employee feels that they have been sexually harassed during the course of employment, or an employee believes to have witnessed another employee being sexually harassed, they should report these concerns immediately, as described above in the "Discriminatory Harassment" section. The procedures outlined in that section will apply. The failure to report sexual harassment is also a violation of company policy and will be subject to disciplinary action.

### Smoking Policy

Smoking is prohibited inside all CJH facilities including the administrative office. Smoking is permitted in *designated areas* of York Properties or other landlord rented space or building.

### Drug-Free Workplace

CJH is committed to the well-being of employees, to the safety of the workplace, and to providing high-quality services to our clients. For these reasons, CJH will not tolerate the unlawful possession, use, manufacture, distribution, or dispensation of controlled substances in the workplace or during work time. Moreover, employees must come to work free from the influence of alcohol, illegal drugs, and unlawfully used prescription medications.

Any employee who violates this Drug Free Workplace Policy will be subject to disciplinary action, up to and including dismissal. CJH will also report all illegal activities to local law enforcement.

Under federal law, any employee who is convicted of a criminal drug statute violation occurring in the workplace must notify his/her employer of the conviction within five (5) days.

### Workplace Violence

Violence is unacceptable at the workplace and prohibited. Arms or weapons of any sort are prohibited. Any employee who violates these policies will be subject to disciplinary action, up to and including dismissal. CJH will also report all illegal activities to local law enforcement.

Work Environment Policies, Substance Abuse, Violence, Harassment, and Discriminatory policies apply to any and all CJH worksites, including but not limited to Partner sites and Sub-grantee organizations. They apply at meetings, conferences, schools, other offices, including other business of the company.

### Grants:

Upon notification of a conviction of a criminal drug statute violation, CJH is required to notify the federal grantors who provide federal funding.

Also consult federal legislation. Sub-grantees are subject to same policies as the Company. Sub-grantees and Community Partners in grants are subject to Smoke-Free environments for youth and other status.

## **IV. FEDERAL GRANTS**

- Employees of the company *including grants* are subject to policies of the entire CJH P&P manual. *Additional* notations are included in specific sections for federal grants (**Grants**).
- All federal grants are subject to the new ***OMB Super Circular***.  
PART 200—Uniform Administrative Requirements, Cost Principles, and  
Audit Requirements for Federal Awards
  - [http://www.ecfr.gov/cgi-bin/text-idx?SID=6214841a79953f26c5c230d72d6b70a1&tpl=/ecfrbrowse/Title02/2cfr200\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?SID=6214841a79953f26c5c230d72d6b70a1&tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl)
  - <https://cfo.gov/COFAR/>
  - <https://www.gpo.gov/fdsys/pkg/FR-2013-12-26/pdf/2013-30465.pdf>
  - <http://blog.berrydunn.com/blog/firmfooting/2014/11/changes-in-omb-super-circular-administrative-requirements/>
  - <http://narc.org/narcs-summary-ombs-super-circular/>

Applicable laws may also include:

*Title 45--Public Welfare*

SUBTITLE A--Department of Health and Human Services

PART 74--*Uniform Administrative Requirements for Awards and Subawards to Institutions of Higher Education, Hospitals, Other Nonprofit Organizations, and Commercial Organizations*

[http://www.access.gpo.gov/nara/cfr/waisidx\\_03/45cfr74\\_03.html](http://www.access.gpo.gov/nara/cfr/waisidx_03/45cfr74_03.html) [01/04/2016]

### **Federal Applicable Laws and Governances**

The leadership of any federal grant (Director and/or supervisor) should: 1) be familiar with, 2) have a working knowledge of, and 3) accessibility to the *laws, statutes, and mandates* pertaining to the respective grant. The Director or supervisor should be up-to-date through: 1) CJH and funding agency training and 2) thorough review of the RFP, award notice and referencing applicable statutes and grant documents.

#### **Grant documents:**

- Proposal Announcement
- Request for Proposal (RFP) publicized by USDHHS or other federal agency
- Original Proposal
- Grant terms and conditions
- Title 45--Public Welfare (Title 45 CFR Part 74): *Uniform Administrative Requirements for Awards and Sub-awards to Institutions of Higher Education, Hospitals, Other nonprofit Organizations, and Commercial Organizations*
- Super Circular
- Federal Acquisition Regulation (FAR)

The Director and supervisors are expected to engage in **continual, frequent, and timely communication** with the company President. [Ed: 02/24/10]

A Project Manager is required to **communicate daily** with the Director, preferably face-to-face meeting or telephone communications for updates, directives, challenges, etc.

#### **RESOURCE:**

James Madison University

### Coordination

Two or more grant projects may share resources, training, staff travel plans, equipment, supplies, etc. when CJH implements multiple federal grants. A Director and/or other staff (Program or Administrative Assistant, Secretary, Coordinator, Bookkeeper, etc.) may share responsibly in multiple grants (e.g., over see multiple grants). Salaries will be allocated from multiple grants, particularly when responsibilities are similar. When responsibilities end or are terminated with one grant an equitable portion (percentage) of a salary may be reduced or subsidized accordingly.

CJH reserves the authority to make appropriate personnel changes, modify job descriptions, adjust salary, make promotions, and modify organizational and reporting structure to meet the needs of the Company or grant.

### Accounting

CJH will open separate (individual) bank accounts for grants or grant operations with fiduciary responsibilities totaling \$20,000 or more.

All grants awarded to CJH may be independently reviewed by a CPA annually. Audit may range from a review to a program-specific audit.

### Audits

A ***program-specific audit*** will be conducted when legislated and appropriate.

Federal projects should be '***audit-driven***' (e.g. preparing *early in the year* for annual audits.)

### Attendance

Directors, Program Managers, and supervisors of grant projects are expected to attend (virtual or in person) any and all required grantee meetings, and stay abreast of funding requirements through webinar, Topical Trainings, and other meetings. Attendance should be in accord with CJH travel policies.

Pertinent outcomes from these meetings should be immediately related to a Director or President, preferably in reports.

## COMMUNICATIONS WITH FEDERAL FUNDERS

Written and verbal communication with federal funders (US ED, USDHHS) is limited to the company President and Director assigned to a grant. Communication is also limited to the method, frequency, and procedure outlined by the funder.

Written communication pertaining to official reports, correspondence, or requested materials from federal funders is prepared by the Director for the President. Such reports may include but are not limited to: semi-annual performance report, SR 425 form, Continuations, or annual performance report.

All calls from funders are sensitive in nature and should be handled professionally and cordially. In the absence of the Director or President, the employee shall immediately detail the nature of the call in writing-- by memo, text, e-mail, or voice message to the Director or President, detailing the contact's name, time of call, date, a return phone number including extension and area code, and any message or nature of the call. Such correspondence or a transcript must be submitted to the Director or company President immediately-- within the hour of occurrence.

Unauthorized written or verbal communication with federal funders by employees is inappropriate and subject to disciplinary action.

All required and requested reports to funders shall first be reviewed by the company President. They should be submitted timely, accurately and professionally. Copies of all documents to funders shall be maintained in the office files by the Clerical Professional (Ed: 06-05-03). These reports shall be an *exact duplication* of that sent to funders. The Clerical Professional is also required to maintain electronic communications, faxes, and other official communications.

The Director will follow procedures as outlined in PART 74.51 when experiencing developments that have a significant impact on the award-supported activities and other provisions of section (f).

Employees shall not encourage *nor* discourage third parties (contractors, or the public) from communicating with federal funders. Employees shall maintain an objective and neutral stance on such communication.

Any employee writing to funders *as a private citizen* is not bound by any stated policy in this section. However, the employee shall not use company or grant stationery, address, or any other discernable reference to employment with the grant. Communication shall be outside of employment time.

In instances where a ***National Resource Center*** has been established, staff should participate in webcast, webinars, Community of Practice resources, and opportunities for Technical Assistance as needed.

## COST SHARE, IN-KIND, MATCHING

(Defined as: *leveraging, matching, in-kind, donations, contributions*)

### Grants:

*When a grant or project of the company requires matching or cost sharing, the following terms and conditions apply:*

Matching funds are part of the grant auditing process and verified by the auditing firm.

Donated items obtained to satisfy the requirements of matching funds for a grant shall be valued, treated as cash if appropriate, and should be documented and recorded in QuickBooks.

### Employee Cost Share Givers

All persons (employees, vendors, and service providers) involved in a grant requiring cost share *are expected* to participate through in-kind giving and/or solicitation. The *collection* of cost share will be the responsibility of every employee. However, employee in-kind giving is totally voluntary. No employee is required to give on any basis.

Services offered by employees must be *significantly different* from their normal job functions.

Contractors and Partners involved in a grant project may participate to its cost share.

Cost share donors must agree not to use their relationship with clients or grant beneficiaries to further personal, religious, political, or business interests. (Ed 09-30-03)

All cash donations received must be in the form of money order, personal or business check. **No currency should be accepted.** Receipts or other documentation must be provided to the giver.

CJH and the project reserve the right to refuse in-kind services, cash, volunteers, or donations from any group or individual for any reason.

CJH at its own discretion may offer mileage reimbursements and other expenses (lodging or meals) from company funds to grant donors in rare circumstances and on a case-by-case basis—for example, considerable distance is involved and the value of the donation (donated speaker fees) warrants such expenditure. Mileage and lodging is principally reserved for renowned conference speakers or presenters providing donated service.

All full-time staff are *required* to solicit and obtain cost share from new third party sources. Efforts shall be documented in staff reports. Staff should follow an established checklist for ‘givers’ to assure the donation is adequately documented, meets basic federal requirements, and appropriate to meet the needs of the project.

### Checklist for donors’ cost share to assure consistency in reporting

All cost share contributions shall meet the following general federal criteria:

- \*verifiable,
- cannot serve as contributions for other federally-assisted projects,
- necessary for accomplishment of project,



- *allowable* under cost principles,
- not paid by federal government under another award (A110.23)
- documented with receipt, timesheet, signed letter, etc.
- includes training materials or support documentation
- labor is valued reasonably (based on resume, pay stub, etc.)
- fair market value on goods and items
- volunteer rates (The Independent Sector)
- unrestricted
- donated to CJH

Donations of goods, supplies, equipment or space must be assessed at fair market value or fair rental value.

*Reasonable judgment* will be used to determine if the services, labor, or goods are allowable. Reasonable judgment is acceptable in determining the value and usefulness of cost share. CJH will review each submission and estimate a reasonable sum based as much as possible on the nature of giving, skills, or experience of donor. Submissions can be supported by a resume, vita, or biography indicating credentials for high-wage donations. Assigned cost share value for skills and achievements can be evidenced through professional experience outlined on resumes and previous invoices as examples. Credentials are encouraged. Examples include “career salary scales” from various sites in the case of labor/wages. (Example: Robert Half (Accountemps salary booklet)).

Cost share will be accepted provided minimal supporting documentation is provided: *signed letter or timesheet or donor sheet or form with rates, dates of service, and description of contribution.*

\*CJH accepts the following as *verified*:

- A) a *signed document* stating amount of time given, hourly rate, and services provided;
- B) an objective document (state, federal, commercial) indicating a *salary range* in which donor wages consistently fall within the field of service. (**This document will help to determine the current fair market value for salaries.**)

Salary threshold. No additional information is required other than signatures for individual’s hourly rates under \$50 per hour. Substantiation of cost share with resumes, invoices, or other documents confirming hourly rates are encouraged. Additional documentation is requested for hourly rates over this amount.

Third party in-kind contributions must be an “***allowable cost***” to the project. [Third party in kind contributions can satisfy a cost share or match requirement only in instances where the party receiving the contribution were to pay for them, the expenditure would be allowable costs.]

The value of volunteer labor must be fair market and assessed at a rate that would be paid for similar work in the labor market. Salary as well as fringe benefits can count toward cost share.

The Independent Sector establishes a rate for volunteer hourly labor.

<http://www.independentsector.org/>

The estimated dollar value of volunteer time is \$24.69 per hour for 2019.

<https://independentsector.org/value-of-volunteer-time-2018/>

The Clerical Assistant will record and maintain all official cost share documents in individual donor files.

### In-kind Matching

#### Valuation of donated services:

- Employees of Other Organizations- If an employer other than a grantee (CJH) furnishes free of charge the services of an employee in the employee's normal line of work, the services will be valued at the employee's regular rate of pay exclusive of the employee's fringe benefits and overhead costs. If the services are in a different line of work, the rates will be consistent with those ordinarily paid by other employers for similar work in the same labor market.

An outside company should use its regular employee pay scale to determine the value of an hourly rate. Likewise, employees of outside companies can use their regular hourly salary to determine the value of service.

#### Supplies, Loaned Equipment, or Space

The Director of the federal grant shall be responsible for overseeing the satisfactory program requirements for the annual cost share match grant requirement. It is the ultimate responsibility of the Director to insure that all in-kind contributions are properly valued and appropriate records maintained.

The value of donated equipment shall not exceed the fair market value of the equipment of the same age and condition at the time of donation. The description used to describe the equipment as an in-kind contribution should indicate that the supplies/equipment is related to the purpose of the program, be in working order, and be used for the program.

If a third party donates supplies, the contribution will be valued at the market value of the supplies at the time of donation.

If a third party donates the use of equipment or space in a building but retains title, the contribution will be valued at the fair rental value of the equipment or space.

Third party in-kind contributions that satisfy a match requirement must be verifiable from the records of the grantee. These records must show how the value of third party in-kind contribution was derived.

## VI. INDEX

### INDEX

	<b>\$0.55 mileage rate</b>	32, 62
	\$1,000 Director expenditure authorization	31
	\$1,499.99 - short contract	19
	\$1,500.00 regular contract	19
	\$100,000 OMB additional standards	20
	\$2,500 contract review by Attorney	20
	\$20,000 for separate accounts	69, 114
	\$25,000 Procurement	20, 27
	\$5,000 as fixed assets	40
	\$5,000 Equipment	27
	\$50 per hour for accepted cost share	118
	\$599.00 or under no contract required	19
	\$600.00 or more to be paid by Paychex, Inc.	19
	\$75 - Petty cash threshold	31
	\$75 limit for Currency Transactions	12
	\$8 payment without receipt	30
	120 miles - use of personal car	62
	1-day to report incident/accident for insurance	37
	1-day to report change in pass codes	41
	14 calendar days to resolve debts after separation	104
	2 Hours to report late or absence	90, 95
	24 hours to reconcile cash transactions	12
	2-Hour leave increments	95
	30-days notice for resignation	104
	2-week notice for part-time staff	104
	4 days to report on trips/ seminars	60, 64
	48 Hours -Voluntary resignation, absence without notice	90, 103
	5 business days approval for requisition	32
	5 Days to reconcile for <i>travel</i>	61
	7 Days to request <i>expenditure</i> reimbursement	30
	90-day Probation	24, 92, 88, 99
	Americans with Disabilities Act (ADA)	111
	Alliance for Disability Advocates (ADAs)	23
	Advisory to CJH	43
	Allowable, allocable, reasonable	31
	At Will employment	24, 89
	Audit	114, 115
	Banking	Bank Account
		Bank Interest
		Bank Reconciliation

	Behavior (employee)	24, 28, 58, 78
	Bids (procurement)	20
	Bonding	38, 68
	Calendar Year operation	88
	Character	Deceptive and Misleading information
		Honesty
		Integrity
		Misleading information
		Trust
	Chart of Accounts	69
	CJH guidelines prevail	11
	Code of Conduct	17, 78
	Code of Ethics	28
	Code of Standards	19
	Company positive image	14
	Company Public Stance	48
	Computers (free of personal information)	33
	Conference, workshop attendance	58, 60, 61
	Conflict of Interest	29, 34
	Contractor evaluation	21
	Contractor Handbooks	21
	Contracts	No check advances
		No miles for contractors
		Prorate for incomplete service
		Contracts in writing
	Consultant Travel	21
	Criminal Offense	Conviction notification (5 days of incident)
		Criminal Record
	Cooperation	48, 62, 103
	Coordination of activities	114
	Copeland Anti Kickback Act	21
	Copies	Document copies
		Hard copies of files
	Cardiopulmonary Resuscitation (CPR)	83
	Cost share	Cost share
		Cost share –cash logged in Quick Books
		Cost share definition
		Volunteers as cost share, volunteers
	Credit cards	31, 32, 61, 73
	Cultural Consideration	93
	Currency	30, 117
	Date-stamped mail	42
	Destroying files	33
	Direct deposit	92, 99
	Director	Director as example
		Director as role model
		Director Knowledge

		Director signing authority	75
		Director travel	115
		Establishes policy	31
	Disclaimer (verbatim)		52
	Documents	No modifications to documents	34, 42
	Drawdown for batch		44
	Employee Assistance Program (EAP)		82, 98
	<b>Earned Annual Leave</b> (4 Hours)		95
	<b>Earned Sick Leave</b> (4 Hours)		95
	Equal Employment Opportunity Commission (EEOC)		87
	Emergency	Home and cell numbers for emergency	15
		Emergency notebooks (visible and accessible)	23
	Equipment and supply recall		26, 27
	Equipment – home use, off site		26, 27
	Exceptions (policy)		43
	Family, Friends, Relatives		58, 65
	Federal Express, US Postal Express		42
	Files	Sensitive files shredded	54
		Administrative files	33
		Personal files access	10, 15
		Grant documents are federal	33
		Grant files	15
		Personnel file	10, 16
		Public Request	15
		File removal (prohibited)	15, 16, 33
	Financial system		45
	Financial management system (standards)		39
	Fire Marshals		23
	First Aid Kits		23
	Forms	Agreement of Confidentiality form	15, 34
		Conflict of interest forms	17
		Internal incident form	55
		Leave forms	34, 36, 95
		Travel forms (Authorization, Advance, Reimbursement, Indemnification)	60
	Freedom of Information		47
	Fringe Benefits		104
	Games (computer)		26
	General Accepted Accounting Principals (practices and standards)		69
	Geneva Ware-Rice (Federal Program Officer)		59
	Gifts		17
	Good Faith		19
	Grant Termination		88
	Grant Terminating and Restructuring		24
	Handbooks		50

	Independent Sector	66, 118
	Initiative	24
	Ink cartridges	43, 54, 67
	Ink Signatures	34
	In-service training	83
	Insubordination	103
	Internal controls	11, 41, 43
	Inventory (floor-to-sheet)	39
	Invoices	18 - 19
	IRS	21
	Keyon Smith (Federal Program Officer)	59
	Keys, passwords	41
	Leave Records	96
	Letter of Engagement	69, 70
	Letter of Hire	87
	Letters of Recommendation	24
	License (drivers)	89, 102
	Loans	Borrowing funds from Partners
		Loaning equipment
		Loans, Borrowing
	Mail (log)	42
	Map quest	31
	Master Inventory list	39, 40
	Meals	Meals / training for overnight only
		Meals for overnight
	Minority/Women businesses	32
	Minors who travel, Parent permission form	64
	Minutes	56
	Mission Statement (Healthy Marriage)	116
	Modifying job duties	105, 114
	Meetings (monthly)	56
	Morale	98
	NC Employment Security Commission	87
	NC Wage Hour Act	102
	Nepotism	17, 29
	Non reimbursable expenditures	30
	Office Operation Hours	49, 90
	Office of Management and Budget (OMB)	20, 94, 114
	Organizational chart	105
	Orientation	43, 51, 68, 91
	Original ink signatures on forms	34
	Occupational Safety and Health Administration (OSHA)	94
	Payroll advance (prohibited)	106
	Pay dates	106
	Paychex, Inc.	19, 92, 102
	Payment schedule	21, 32, 99
	Payroll completed monthly	31

	Per Diem	Per diem	61, 63
		Travel per diem consistent with State	11
	Personal expenditures		61
	Personal expenses not reimbursed		30
	Personal transactions		37
	Policies and Procedures manual		43, 51, 68, 69, 102
	Pornography		26
	Professional development		60, 68, 83
	Professional jobs exceed 40 hours		24
	Project Effectiveness		45
	Property	Documents as CJH Property	15
		Gifts, rewards, points	26
		Property belongs to CJH	26
		Property disposal	40
		Safeguarding property	39
		Property User is responsible	37
	Public Information approval before release		48
	Public Request for documents or information		15
	Publications	Acknowledge federal agency	52
	Quick Books Premier		69
	Raises, anniversary dates		106
	Receipts	Handwritten, receipt books	30
		Receipt duplication	30
		Receipts	30
	Recreational activities		98
	Recycle		67
	Reimbursement	Gas reimbursement or per diem—not both	61
		No reimbursement for personal expenditures	61
		No reimbursement to and from worksite	59
		Reimbursement at month's end	32
		Reimbursement by Month schedule	61
		Reimbursement during closeout (voids 7 day policy)	30
	Reports	Accident reports	37
		Cash Requirement Report	74
		Police reports	40
	Resignation		24
	Resource Conservation & Recovery Act		54
	Restructure, reorganize		24, 88
	Safety	Safety	36, 37, 38, 43, 86
		Safety in building	37
	Salary History		87
	Secondary jobs		87
	Segregation of Duties		69, 43
	Server		27, 44
	Signing for others		48

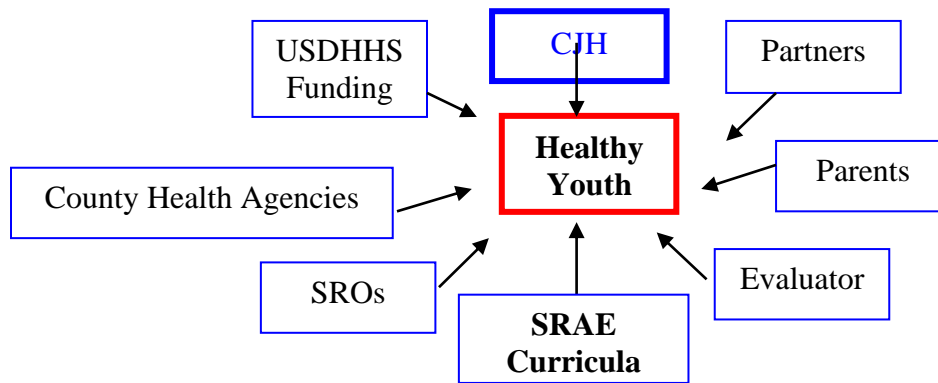
	Single Sole Source	21
	Software downloads	26
	Stamps	42
	Steps to Success I	91
	Steps to Success II	91
	Students and interns	89
	Supervisor responsibility	59, 109
	Suspension and Disbarment	19
	Telephone	64
	Theft	37, 40, 48, 78, 103
	Time sheets	55, 99
	Training	44, 83
	Travel coordination	62
	Travel situations	58
	Underutilized businesses	20
	Unlawful behavior	78, 103
	Unoccupied office	48
	Valuables	38, 40, 41
	Void checks	22, 74, 75
	Volunteers	89, 90
	Volunteers not authorized personnel	41, 66
	Weekly reports	10, 55, 99
	Work at home policy (No policy.)	36, 95
	Work area – hazards	43
	Workshop participation	61
	Work schedule (failure to adhere)	103



## **VII. APPENDIX**

- Organizational Chart
- Signatory Page for Employees
- Signatory Page for Contractors
- Examples of Forms

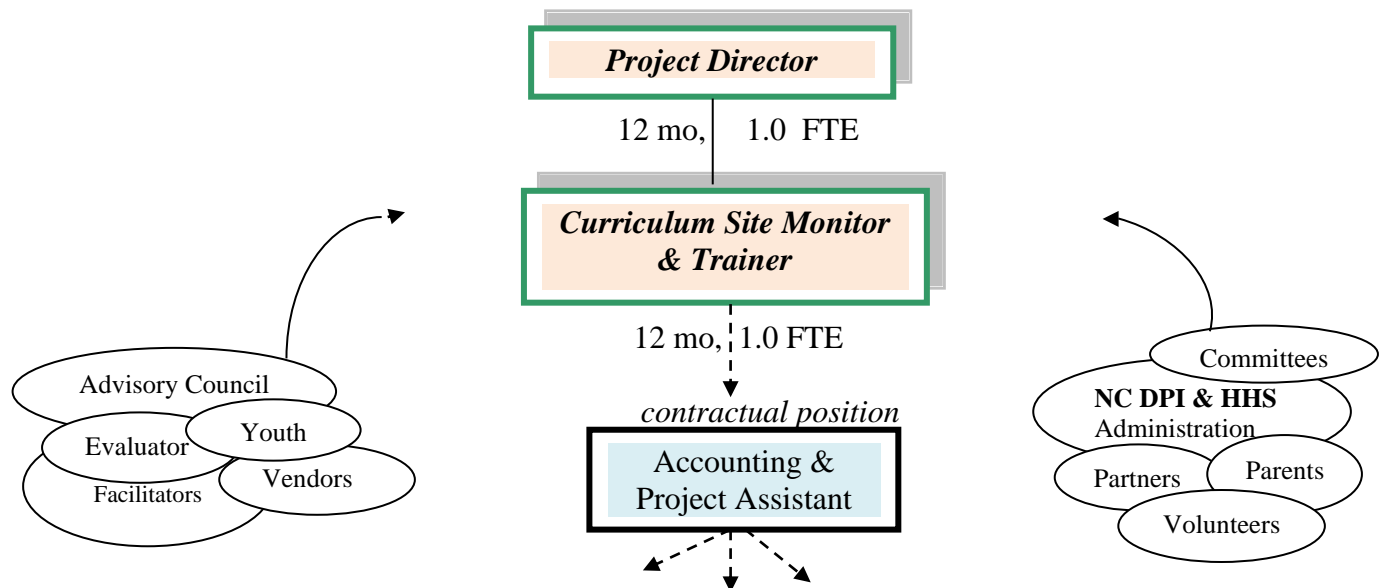
## Organizational Chart



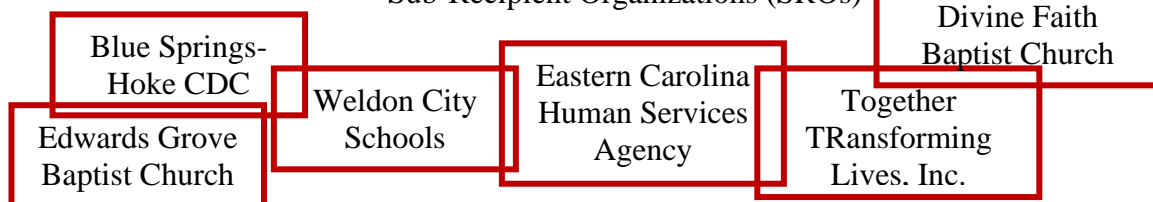
## P<sup>2</sup>ROTECT ORGANIZATIONAL CHART

### Board of Directors

### CJH Company President and



### Sub-Recipient Organizations (SROs)



## 2018 CJH Policies and Procedures Manual

### Signatory Page

(Employees)

I have received orientation of the ***CJH Employee Policies and Procedures Manual*** and have been assigned a personal copy. I have reviewed it and had the opportunity to ask questions. I understand the policies and procedures described wherein.

I further understand that the CJH Policies and Procedures Manual and the policies and benefits described in it are for my periodic review as an employee. This company may edit, omit, modify and update policies and procedures from time to time. Additional policies and procedures may be added. I will review and reference the document periodically, particularly for these updates and clarifications.

This document remains the property of CJH Educational Grant Services, Inc. and should remain at my workstation or office. The content is not to be duplicated in any form. The content and the manual itself are not for public preview and should not be removed from the company or its offices.

***I agree to return my copy of the CJH Policies and Procedures manual at the conclusion of my employment.***

Employee signature\_\_\_\_\_

Print Name \_\_\_\_\_

Title\_\_\_\_\_

Date \_\_\_\_\_

\*\*\*

For office use.

Date manual is issued to employee\_\_\_\_\_ by \_\_\_\_\_

Other:



Enclosed:

- CJH Company Brochure
- Schedule for Vendor Payments and Payroll
- Format for Standard Company Letters
- Internal Form Examples
  - ✓ Time Sheet
  - ✓ Travel Authorization
  - ✓ Travel Reconciliation
  - ✓ CJH Policies and Procedures Manual *Signatory Page*
  - ✓ Confidentiality
  - ✓ Conflict of Interest
  - ✓ Internal Incident
  - ✓ Leave

**Grant Documents:**

- Flyer: Sexual Risk Avoidance Education (SRAE – 93.060)  
#90SR0039-01-00)
- Organizational Charts and Reporting Structure
- Newsletter [example from previous grants]
- Grant Form Examples
  - ✓ Site Monitoring observation
  - ✓ Pre-post Surveys
  - ✓ Parent Volunteer Letter
  - ✓ SR424 same as Federal Financial Form
  - ✓ Cost share
  - ✓ Employment (long and short form)

Document schedules:

Constant

- Grant Award Notice
- Terms and Conditions

Periodic Modifications

- Hotel rates / per diem
- Mileage Rate
- Salary increases



**2018-19** CJH EDUCATIONAL GRANT SERVICES, INC.

# Handbook for Professional Contractors, Vendors, Service Providers and Sub-Grantees and Community Partners

## -Table of Contents-

I.	About the Handbook .....	3
II.	Written Policy Access.....	3
III.	Scope of Influence.....	3
IV.	Using Federal Funds.....	4
V.	Use of Company Facilities.....	5
VI.	Conditions & Requirements/Provisions.....	6
VII.	Payments/Reimbursements.....	6
VIII.	Travel.....	6
IX.	Service Evaluation.....	7
X.	Tax Information.....	8
XI.	Code of Standards for Contractors.....	8
XII.	Confidentiality & Privacy.....	9
XIII.	Contact Us.....	

# - A Handbook for Professionals -

## I. About the Handbook

The *Handbook for Professional Contractor & Vendor Service* is a guide that documents some of the CJH company policies as well as expectations of vendors, service providers, and other community agencies integral to company operations during a contractual period. All such groups shall be referenced as “Contractors” in this handbook. Contractors may reference this handbook regarding procedures toward their obligation to CJH required in accordance with individual contracts. *However, this document contains only excerpts from the 2018 CJH Policy and Procedure Manual. During periods of uncertainty, Contractors should refer to the actual manual as the definitive document for operations.* The manual is available to further explain any items summarized within this document and is available at the CJH office.

## II. Written Policy Access

The 2018 CJH Policies and Procedures Manual is housed in the company administrative office and is available by appointment and accessible during regular business hours and upon request. **The manual is the property of CJH and duplication or copying in any form is prohibited.**

## III. Scope of Influence

Any contractor having an MOU or agreement with CJH through the funding and course of a federal grant is subject to all laws, regulations, mandates, and policies pertaining to that grant. Policies include but are not limited to smoking, discrimination, sexual harassment, and use of funds by religious organizations. Contractors using federal funds are bound by the same USDHHS, ACF or other federal regulations and laws which apply to the company.

## IV. Using Federal Funds

***Any company or potential contractor MUST disclose if they are suspended or disbarred with the state or U.S. federal government.***

Contractors receiving federal funds for services under grants are also subject to laws pertaining to ***Standard Terms and Conditions***. An example of such terms include, but not limited to: *Religious Activities*.

Organizations “that receive federal funds may not engage in inherently religious activities, such as worship, religious instruction, or proselytization, as part of the programs or services funded with federal funds.” If an organization conducts such inherently religious activities, the activities must be offered separately, in time or location, from the programs or services funded with federal assistance, and participation must be voluntary for beneficiaries of the federally-funded programs or services. Some of the ways this may be accomplished include, but are not limited to, promoting only the federally-funded aspect of the program in materials, websites, or commercials purchased with any portion of the federal funds. In addition, an organization receiving federal funds shall not, in providing federally-funded services, discriminate against a program beneficiary or prospective program beneficiary on the basis of religion or religious belief. Regulations pertaining to the Equal Treatment for Faith-Based



Organizations, which includes the prohibition against federal funding of inherently religious activities, can be found at either 45 CFR 87.1 or the HHS website at <http://www.os.dhhs.gov/fbc/waisgate21.pdf> ; <http://www.dss.cahwnet.gov/lettersnotices/entres/getinfo/ftpstuff/2011%20Social%20Services%20Block%20Grant.pdf> ; <https://www.law.cornell.edu/cfr/text/24/1003.600>

## V. Use of Company Facilities

Contractor may utilize company facilities, supplies, and/or equipment in the execution of their deliverables upon approval of the company president and proper procedures and assurances.

## VI. Conditions & Requirements/Provisions

For purposes of this document, the terms agreement, service agreement, MOU, and contracts are used interchangeably.

Contract Amount	Requirements	CJH provisions
\$0.00 – 599.99	Invoice required of Contractor with description of services, work products, and/or cost report.	Contractor is encouraged to review CJH P&P manual, CJH Professional Contractor and Vendor Handbook, and legislation or regulations pertaining to any grant from which vendor may be paid.
\$600 – \$2,499.99	Invoice with documents described above. Agreement required of Contractor. CJH will provide a 1099 as required.	Contractor receives Handbook referenced above. Contractor is encouraged to review: 1) <i>CFR Title 45- Public Welfare, Part 74</i> or other appropriate regulations and governing legislation, 2) ACF Standard Terms and Conditions, and 3) CJH P&P manual which are accessible for review at the CJH office.
\$2,500 - \$4,999.99	Invoice with documents above, Contract, and <i>periodic update communication</i> with CJH are required. CJH will provide a 1099 if required.	
\$5,000.00 – \$24,999.00	Invoice w/ documents, Contract, <i>periodic update meetings</i> with CJH, and <i>written</i> updates are required of Contractor. CJH will provide a 1099 if required.	
\$25,000 and up	Invoice and docs described, Contract, <i>monthly update meetings</i> with CJH, and <i>written updates</i> between meetings are required of Contractor. CJH will provide a 1099 if required. Procurement policies in effect.	If Contractor is hired through a company grant and is referenced in the proposal, a copy of the proposal <i>section</i> will be provided upon request after receipt of Agreement. Contractor is encouraged to review: 1) <i>CFR Title 45- Public Welfare, Part 74</i> or other appropriate regulations and governing legislation, 2) ACF Standard Terms and Conditions, and 3) CJH P&P manual which are accessible for review at the CJH office.

## VII. Payments/Reimbursements

All professional service contracts and leases must be in writing. Agreements consist of a document to include at minimum:

- 1) CJH responsibilities,
- 2) Applicable federal regulations,
- 3) Deliverables – a) services a contractor will perform in agreement with CJH for a fee agreed upon by both parties, b) date of expected deliverables,
- 4) Verified rate and/or fee for services,
- 5) Contract Period,
- 6) Acknowledgement of access to CJH P&P manual
- 7) A clause and condition for contract mediation and/or termination and clause for provision for satisfaction or ‘legal remedy’ as required by OMB 74.48, and
- 8) Verification that contractor or vendor is not suspended or debarred.

Contractors may be required to provide at least two (2) satisfactory work references from previous work performed.

No contract shall be paid in-full prior to services being rendered. An agreed upon advance shall range between 10% and 50% with balance due upon satisfactory performance and delivery of all services and written reports or other documents. Payments may be made in two or more installments and based upon satisfactory *progression* and *completion* of work and services provided.

For Contractors paid through federal grants, *program expenses* and *administrative fees* will be paid in accord with the Contractual Agreement.

Payment may be pro-rated for ‘hourly’ or as appropriate when services were not performed or based upon the completion of the work and/or as outlined per individual contract.

All contracts of \$10,000.00 or more are subject to review by an attorney for legal considerations, and other liabilities. Contracts of lesser amounts are also subject to review by an attorney at CJH discretion.

### Payment to Contractors of federal grants (Sub-grantees):

Payments will be available to sub-grantees when all required documents are received and approved.

Expenditures to sub-grantees will be paid in accord with the written agreement between the two parties including budgets and budget revisions.

Payments will be made in accord with authentic receipts or invoices that document the following:

- Business legal name and Employer Identification number (EIN or TIN) or
- full legal name and social security number (SSN) of the non-commercial service provider
- Business address and phone number

- Type of service that was provided
- ***Signed receipt*** for payment from non-commercial entities

#### Payments to Other Contractors:

Regular expenditures are paid by checks and printed: 1) monthly and 2) from a written invoice or advance request. In some instances, funds for an advance request can be available prior to monthly schedule with approval of the grant Program Director or President. Determination is made on a case-by-case basis. Additional documentation of services, including but not limited to receipts, may be requested of contractors.

All invoices and ***supporting documentation*** should be received by the CJH office no later than the monthly payment schedule cut-off date. Check should be available within five (5) business days after payment schedule completion date.

Incomplete invoices or those without sufficient documentation will be returned or bound over until the submission is satisfactorily completed. It will then be paid in the *following* payment cycle, usually the following month.

#### VIII. Travel

CJH may engage the services of an independent individual or a contractor's representative to attend and represent the company at a conference, meeting or workshop involving travel and associated expenses. Travel and lodging expenses will be covered by federal grant funds.

Contractors are encouraged to inquire about conferences, tropical training, and other travel opportunities.

CJH will not pay for ANY personal expense, including but not limited to, rental cars, sightseeing, in-room movies, laundry, etc.

#### Travelers (Independent Individuals and Agency)

- Individuals must complete all required company travel forms by the appropriate date specified in the CJH Policies and Procedures manual.
- An agency representative (traveling on behalf of its association with CJH) is subject to the travel policies and procedures of the contracted agency. CJH will require a budget estimate and advance request for funds early enough to capture the lowest fares and hotel rates possible.

Travelers in both instances must *fully participate* in all activities associated with the event and agree to CJH policies pertaining to behavior, conduct, and post-travel requirements (forms and reporting).

Travelers are encouraged to review the full set of CJH policies and procedures, particularly those pertaining to expenses, receipts, per diem, and reporting. For example, *independent travelers* who incur authorized and approved travel expenses must provide the following documentation:

1. A completed Travel Reconciliation Form (or similar form of information)
2. Attached original receipts of actual expenses pre-approved by CJH (ground transportation, ***hotel receipt with zero balance***)
3. Attached documentation of activity (conference flyer, brochure, etc.)

*Contracted agencies* of a traveler must maintain documentation of travel and have it readily accessible up request, such as receipts for hotel, airfare, ground transportation, etc.

All travelers paid through grant funds must: 1) ***conduct a presentation*** of event to staff or stakeholders and 2) provide a ***written report*** to CJH at the completion of travel related to benefits, finding, new information, and results of the travel event.

Failure to comply with the above requirements may lead to: 1) denial of further travel on behalf of CJH, 2) request for repayment of any advance (i.e., credit card expenditures or prepaid hotel, etc.) or contracted travel funds, and/or 3) un-reimbursed expenses.

CJH may elect to make travel arrangements and cover costs for certain expenditures in advance (registration, hotel, etc.), and travelers must submit a Travel Reconciliation form for any unreimbursed allowable expenses.

## IX. Service Evaluation

Contractor services may be formally evaluated *annually* and results are open to the public. Contractors may *periodically* receive an assessment of services (feedback). An evaluation form shall be kept in vendor files and define terms of performance satisfaction.

As per 74.47 (Contract Administration), a CJH company designee shall “follow-up on the specifications of the contract and ensure adequate and timely delivery of purchases, progress, fulfillment of services, and/or deliverables.” This assessment shall be conducted in conjunction with 1) the CJH staff and/or company partners utilizing the services, 2) a grant Director, supervisor, or Program Coordinator, if applicable, and/or 3) the Company President; and shall include feedback from other employees, designees, or partners.

Contract services are voluntary and can be terminated by either party (CJH and/or the contractor) for any reason, including but not limited to: 1) dissatisfaction of: a) the quality of contractor performance, b) progress, c) timeliness of services, d) deliverables; 2) lack of funding for continuing this service; 3) failure to uphold Code of Standard, 4) uncooperativeness and/or unresponsiveness, and/or 5) other reasons as deemed appropriate by the company.

### Administrative, contractual, or legal remedies

CJH may seek legal recourse in the ***recovery of federal funds*** and/or company damages due to negligence, misappropriation, fraud or abuse, or other maladies or infractions deemed appropriate by the Company. Agreements may also include a clause on mediation and/or remedy to address issues of conflict.

## X. Tax Information

Independent contractors/vendors will not be reimbursed for mileage and expenses but are encouraged to report these expenses on their tax return. Exception can exist for specific travel purposes and instances and must be pre-approved by the Company President.

Independent contractors are responsible for their own tax liability under governing regulations of Federal and State guidelines.

## XI. Code of Standards for Contractors:

Contractors:

- are to maintain professionalism while conducting business, providing services, or in the services of CJH. (Also refer to: *Ethics & Integrity* and *Code of Conduct* in CJH manual)
- must comply with applicable company and federal policies -- see Discrimination/ EEOC, Sexual Harassment, Confidentiality, Drug-Free Work Place, Smoking Policy, and Discriminatory Harassment.
- are expected to provide services in good faith with the intent to perform agreed upon services.
- may inform CJH clients of their individual company services, but are prohibited from *soliciting business* on the basis of services or association with CJH.
- Also see: Confidentiality & Privacy section (below).

## XII. Confidentiality & Privacy

### A. Confidentiality

Contractors are expected to maintain the integrity of the confidential nature of company or project business, policies and internal operations.

Contractors are encouraged to:

- 1) train employees who work with **minors** on the subject of confidentiality in oral and written communications of minors, including photos, likeness, statements, identify, records, and/or written documents and,
- 2) conduct background checks for sexual predators, criminal and unlawful behaviors on all personnel who will be working with minors,
- 3) In the case where sexual content is taught, a signed release from a parent or youth 18 and older is required for participation (e.g., class work, travel, media release, etc.).

Any request from the public for information must be submitted in writing to CJH and must contain the requester's name, original signature, 10-digit phone number,

physical address and mailing address. CJH retains the right not to respond to any inquiry except mandated by law.

Requests for information traditionally viewed as private and that generate questions or issues will be deferred to the company attorney or the U. S. Department of Health and Human Services, *Administration for Children and Families*.

#### B. Privacy

CJH and its employees have an ethical and legal obligation to respect the privacy of our clients and staff and to protect and maintain the confidentiality of all information obtained during the course of employment and *contractual* services.

Client records are legally protected and confidential. This means that employee and client records maintained by CJH must be kept in locked file cabinets at all times except when being reviewed or supplemented by an authorized employee, volunteer, or authorized personnel. Contractors having access to this information shall maintain the integrity of its confidential nature for information, records, and files.

Client and administrative program records should never be removed from the office, and a violation of this policy will subject an employee or contractor to severe and possibly legal repercussions.

It is unethical and a violation of CJH Confidentiality Policy to discuss client matters (minor and adults) with friends, spouse, relatives, or anyone else, except authorized persons and those ordered to do so by a court or otherwise required to do so by law. It is also unethical and a violation of CJH Confidentiality Policy to discuss employee matters and undisclosed company business with friends, spouse, relatives, or anyone else, except authorized persons and those ordered to do so by a court or otherwise required to do so by law. When in question about information, defer to the Company President who may in turn seek legal counsel.

#### C. Contractor Opinion

CJH does not infringe on the right of any vendor or contractor to express their opinion publically *within the law* and makes clear that the opinion is that of the vendor or service provider and not necessarily that of the company.

### XIII. Contact Us

***CJH Educational Grant Services, Inc.***

Mailing Address: P. O. Box 14264, Raleigh, NC 27620-4264

TEL: (919) 832-0306 FAX: (919) 832-9014

Physical Address: 2016 Cameron Street, Suite 215  
Raleigh, NC 27605

Office hours of operation are: 8:30am to 5:30pm, Monday through Friday.  
*Appointments are highly encouraged.*

- ***Cynthia J. Harris, President***

Cell: (919) 618-2237, e-address: [charris@cjhgrants.com](mailto:charris@cjhgrants.com)

**Sexual Risk Avoidance Education grant staff:**

- ***Gloria William Wilson, Curriculum Site Monitor & Trainer***

Cell: (252) 266-1735, email: [wilgloglo1@gmail.com](mailto:wilgloglo1@gmail.com)

- ***Shirley M. Smith, Interim Project Assistant***

Cell: (919) 397-8368, email: [smithshirleylm@gmail.com](mailto:smithshirleylm@gmail.com)



## Form Examples

### Short Form Employment Application (example)

	Name:	
	Mailing address:	
	Cell telephone number:	
	Email address:	
	Birth: date and month:	
	Are you referred by an agency? (temp agency, Robert Half, Acct Temps, etc.) If so, provide name of agency.	
	How did you hear about CJH?	
	Do you know anyone currently employed in this agency?	
	Area of employment interest.	
	Comments you care to share.	

Signature \_\_\_\_\_  
Date \_\_\_\_\_

**CJH Educational Grant Services, Inc.**  
P. O. Box 14264  
Raleigh, NC 27620-4264  
TEL: (919) 832-0306  
FAX: (919) 832-9014  
[www.cjhgrants.com](http://www.cjhgrants.com)

