



## **Employee Handbook & Policies**

**SpectraCare Health Systems, Inc.**

**3542 Montgomery Highway  
Dothan, AL 30303**

Caring is our Calling 

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## TABLE OF CONTENTS

<b>FOREWORD</b> .....	<b>1</b>
<b>SPECTRACARE PHILOSOPHY &amp; MISSION</b> .....	<b>2</b>
<b>SPECTRACARE’S MISSION</b> .....	<b>2</b>
<b>SPECTRACARE’S MOTTO</b> .....	<b>2</b>

### **SECTION I – EMPLOYMENT**

---

Authority .....	3
Compliance .....	3
Maintenance of Clinical Records .....	6
Hiring Practices .....	6
Types of Employment .....	8
Employment of Relatives .....	8
Other Employment or Service .....	9
Political Activities .....	9

### **SECTION II – PERSONNEL ADMINISTRATION**

---

Orientation .....	11
Personnel Records and Files.....	11
Probationary Period .....	11
Promotions and Transfers.....	12
Job Classification Plan.....	12
Job Audits .....	12
Timekeeping .....	13
Lunch Period.....	13
Dress Code.....	14
Smoking Policy.....	14
Cellular Telephone/Electronic Tracking .....	14
Social Media .....	14
Information Technology .....	15
Substance Abuse.....	15
Standards of Conduct/Expectations.....	16
Harassment .....	18

Disciplinary Process .....	18
Suspension from Duty .....	19
Employee Problems and Grievance Procedure .....	19
Termination .....	19
Involuntary Termination.....	20
Job Abandonment.....	20
Reduction in Force.....	21
Exit Interview .....	21

### **SECTION III – COMPENSATION**

---

General Pay Information .....	22
Regular Pay Procedures.....	22
Overtime .....	22
Direct Deposit.....	22
Incorrect Pay.....	22
Garnishment of Wages .....	23
Unemployment Compensation .....	23

### **SECTION IV – BENEFITS**

---

Employee Benefits.....	24
Holidays.....	25
Leave .....	26
Personal Days .....	27
Vacation Leave .....	27
Sick Leave .....	27
Jury Duty – Witness Service .....	28
Leave of Absence Without Pay .....	29
General Leave Without Pay.....	29
Worker’s Compensation .....	29
Military Leave/Armed Forces Emergency Duty .....	30
Family and Medical Leave .....	30
Lactation Policy .....	31
Training and Development .....	31
Pay for Educational Activity .....	31
Memberships .....	31
Performance Appraisal .....	32

**SECTION V – SAFETY**

---

Personal Visitors..... 33  
Workplace Anti-Violence..... 34  
Work-related Injury or Illness ..... 34  
Medical Evaluations on Staff ..... 34  
Tuberculosis Policy ..... 34  
Evacuation Map..... 34  
Fire Prevention ..... 35  
Identification Badges ..... 35  
Inclement Weather..... 35  
Workplace Searches ..... 35

**SECTION VI – MISCELLANEOUS**

---

Employee Business Expense ..... 36  
Parties & Social Events ..... 36  
Solicitation..... 36  
Questionnaires, Surveys and Inquiries ..... 36  
Professional Liability..... 36  
Liability Exception ..... 36  
Reference Telephone Numbers ..... 37

**RECEIPT FOR EMPLOYEE HANDBOOK .....38**



## FOREWORD

Dear Employee:

Congratulations on your employment with SpectraCare Health Systems, Inc. and/or its Subsidiaries (hereinafter referred to as “SpectraCare”)!

SpectraCare is a public non-profit corporation governed by a 23-member Board of Directors appointed by local governments under the authority of *Code of Alabama 1967, Act 310*. SpectraCare provides mental health, developmental disabilities and substance abuse services to individuals in Houston, Henry, Dale, Barbour and Geneva counties. We have a comprehensive continuum of care that encompasses 45 different programs in 41 different locations. We feel it is important for individuals to be able to meet their mental health needs close to their homes and we strive to make locations available that will allow this to happen.

You have joined a team of employees who are committed to providing the highest quality of care. We endeavor to offer professional and ethical services that will meet the needs of the individuals we serve. Our goal is to promote recovery by offering an array of services that respect the individual’s dignity and privacy in the least restrictive environment possible.

In order to have a successful work environment, it is essential for you to have a clear understanding of the rights, responsibilities, policies and benefits that govern the workplace. SpectraCare’s Employee Handbook governs personnel administration. These policies are not intended to give any right or interest to any employee in his/her job, position or employment with SpectraCare. Although this handbook provides specifics for compliance, it is impossible to cover every situation. If you find these policies do not meet your situation, bring it to the attention of your supervisor or the Chief Human Resources Officer. This handbook is a working tool open to change for the improvement of human resource management in this organization. As additions and revisions are approved, they will be issued for incorporation into the handbook

It is important for you to be familiar with the information in this handbook, so please review it carefully. I wish you success in your new position and hope you will enjoy a long and rewarding career with SpectraCare.

Sincerely,

Melissa Kirkland  
Chief Executive Officer

## **SPECTRACARE PHILOSOPHY**

Organized under Act 310 of the Alabama Legislature and governed by SpectraCare Health Systems Inc. Board, SpectraCare is dedicated to a philosophy of providing comprehensive mental health, developmental disability, and substance abuse services which meet the needs of citizens in the catchment area. SpectraCare maintains certification as a Community Mental Health Center through the Alabama Department of Mental Health.

Services will be provided as a well-balanced, integrated and diversified program in a professional and ethical manner in cooperation with other human service agencies. Services provided to clients shall be appropriate to their needs, within the limitations of SpectraCare resources. Services will be time-limited and goal-oriented embodying strictest confidentiality and respect for the client. SpectraCare and the client share responsibility for attaining individual goals.

Each program and all staff shall afford every consumer the same dignity and respect afforded other individuals of society. Consumers shall receive treatment and care in an environment which is safe, humane, and free from physical, verbal, sexual or psychological abuse, exploitation, coercion, reprisal, intimidation, or neglect.

Staff members will not impose their individual values nor will they make decisions for the client. They will provide information and feedback utilizing appropriate skills to help the client receive satisfactory treatment. SpectraCare accepts the individual's right to refuse treatment.

## **SPECTRACARE'S MISSION**

*The heart of SpectraCare Health Systems, Inc. exists to serve individuals, families, and communities by encouraging wellness, promoting recovery and inspiring hope!*

## **SPECTRACARE'S MOTO**

Caring is our Calling 

## **SECTION I – EMPLOYMENT**

### **AUTHORITY**

SpectraCare is organized under authority of Alabama Law, Act Number 310 (1967), for the purpose of implementing programs in accordance with standards and criteria established by the Alabama Department of Public Health and the Alabama Department of Mental Health.

The Chief Executive Officer appointed by the Board of Directors shall have full authority to operate and direct the programs of SpectraCare. The job description for the Chief Executive Officer (CEO) includes overall responsibility for the operation and management of the company.

This Handbook and any subsequent procedures must be in accordance with SpectraCare's Articles of Incorporation and By-laws as well as those laws and regulations which SpectraCare is obligated to follow. The Employee Handbook and related policies may be reviewed at least annually by the Board of Directors.

This handbook, employee policies, and any related administrative directives shall be communicated to the staff, in writing, by the Chief Executive Officer (CEO) or his/her designee. In the event of the Chief Executive Officer (CEO)'s absence, an Executive Staff member will be assigned to assume the responsibilities and authority of the Chief Executive Officer (CEO)'s position.

### **COMPLIANCE**

#### ***COMPLIANCE WITH GOVERNMENTAL LAWS AND REGULATIONS***

SpectraCare has made every effort to ensure the policies and procedures in this handbook are in compliance with federal, state, and local employment laws and regulations. In the event that a provision of this handbook is in conflict with a federal, state, or local law or regulation, the appropriate law or regulation will prevail, and the provision in this handbook shall be deemed amended to the extent necessary to comply with such law or regulation.

#### ***EEO STATEMENT***

SpectraCare Health Systems Inc. provides equal employment opportunities (EEO) to all employees and applicants for employment without regard to race, color, religion, gender **or** gender identity, sexual orientation, pregnancy, national origin, age, disability, genetic information, marital or domestic partnership status, amnesty, military or veteran status, or any other characteristic protected by federal, state and local laws. SpectraCare complies with applicable state and local laws governing non-discrimination in employment in every location. This policy applies to all terms and conditions of employment, including but not limited to, hiring, placement, promotion, termination, layoff, recall, leaves of absence, compensation, training, and any other term or condition of employment.

SpectraCare expressly prohibits any form of unlawful employee harassment based on race, color, religion, gender, sexual orientation, national origin, age, genetic information, disability, or veteran status. Improper interference with the ability of SpectraCare's employees to perform



their expected job duties will not be tolerated.

An employee who believes that he, she, or any other employee has been subjected to inappropriate discrimination must report in writing the situation as soon as possible to a member of management. Appropriate disciplinary action, up to and including termination may be taken against any employee who is found to have violated the EEO policy.

#### ***ANTI-RETALIATION STATEMENT***

SpectraCare strictly prohibits any form of retaliation against any employee for bringing a good faith complaint of discrimination or harassment or for participating in an investigation of such a complaint. Retaliation includes but not limited to: intimidation, threats, or adverse employment action such as demotion, layoff, etc.

Retaliation against an individual for reporting harassment or discrimination or for participating in an investigation of a claim of harassment or discrimination is a serious violation of this policy, and like harassment or discrimination itself, may be subject to disciplinary action, up to and including termination of employment.

Any employee who believes this policy has been violated has a responsibility to report or complain about the situation as soon as possible to a member of management. Appropriate disciplinary action, up to and including termination of employment may be taken against any employee who is found to have violated this policy.

#### ***GINA STATEMENT***

The Genetic Information Nondiscrimination Act of 2008 (GINA) prohibits employers and other entities covered by GINA Title II from requesting or requiring genetic information of employees or their family members. In order to comply with this law, we are asking that you not provide any genetic information when responding to any benefit and/or health related matters. Genetic information, as defined by GINA, includes an individual's family medical history, the results of an individual's or family member's genetic tests, the fact that an individual or an individual's family member sought or received genetic services, and genetic information of a fetus carried by an individual or an individual's family member or an embryo lawfully held by an individual or family member receiving assistive reproductive services.

#### ***AMERICAN WITH DISABILITIES ACT POLICY STATEMENT***

SpectraCare is committed to complying with all of the applicable provisions of the American with Disabilities Act (ADA). It is the policy of SpectraCare to not discriminate against any qualified employee or applicant with regard to any terms or conditions of employment because of such individual's disability or perceived disability so long as the employee can perform the essential functions of the job. Consistent with this policy of nondiscrimination, SpectraCare will provide reasonable accommodations to a qualified individual with a disability, as defined by ADA, who has made the company aware of his or her disability, provided the accommodation does not constitute an undue hardship on the company. To make a request for an accommodation under this policy, please contact the Chief Human Resources Officer or your immediate Director.

### ***AT WILL POLICY STATEMENT***

Your employment with SpectraCare or its subsidiaries is a voluntary one and is subject to termination by you, SpectraCare or its companies at will, with or without cause, and with or without notice, at any time. Nothing in these policies shall be interpreted to be in conflict with or to eliminate or modify in any way the employment-at-will status of SpectraCare employees. This handbook and personnel policies are not intended to be a contract of employment or a legal document.

### ***CLINICAL COMPLIANCE LAWS***

SpectraCare's policy is to comply with applicable laws and regulations of the United States and state and government subdivisions where business is conducted. In particular, we are committed to compliance with those laws and regulations that address health care fraud, waste, and abuse and the proper billing of Medicare, Medicaid, and other government funded health care programs, as well as other payers (insurance or self-pay clients). Examples of such laws include: The Federal False Claims Act, Anti-Kickback Act, etc. All employees have the duty to understand and comply with laws and regulations which relate to their jobs and supervisors have the responsibility of ensuring that all employees who report to them are given information to be aware of and comply with such legal requirements. Please refer to SpectraCare's Internal Compliance Policies for more information or you may contact the Chief Compliance Officer.

### ***HIPAA***

The Health Insurance Portability and Accountability Act of 1996 (HIPAA) is a federal law that applies to health plans, healthcare providers and health care clearinghouses. SpectraCare provides all new employees with a HIPAA overview during new hire orientation and annually. Violations of HIPAA are extremely serious and may result in disciplinary action up to and including termination of employment. See HIPAA Compliance Plan for more information.

### ***CONFIDENTIAL INFORMATION***

SpectraCare will maintain the confidentiality of "protected health information" ("PHI" as defined by HIPAA) and other information that is deemed to be confidential by other laws. This information may include but not limited to, information on clients, employees, and financial and business operations. Such information is made confidential by law (such as PHI under HIPAA) or by SpectraCare policies. Confidential information may be information in any form: e.g., electronic, written, oral, overheard or observed. Access to all information is granted on a "need to know basis". A "need to know" is defined as information that is required in order to fulfill your duties within your position.

During your daily work, you may be exposed to information that is considered strictly confidential. This information should not be discussed with anyone, including: other co-workers, clients, other families, your friend or family. You must be alert to others overhearing your professional discussions regarding a patient's condition or an employee's behavior and/or performance. Disclosure of confidential information is grounds for disciplinary action up to and including termination of employment.

All business records provided to you or in your possession must be immediately returned to SpectraCare upon termination of employment.

## **MAINTENANCE OF CLINICAL RECORDS**

SpectraCare maintains PHI (Protected Health Information) in the form of paper and/or electronic data. Paper records are held in a secure location and accessed only by approved staff. In the event equipment or records are damaged in an actual disaster, contact fire, water, or storm damage, restoration services must provide that the services will be performed in accordance with the HIPAA privacy and security rules for business associates. If SpectraCare is unable to reconstruct part or all of a patient's health information, the date will be documented, a brief description of the information lost, and the event precipitating the loss in the patient's record. If a facility discloses patient information that has portions missing or reconstructed due to a disaster, included with the record will be a copy of the entry documenting the loss or reconstruction.

All new records beginning December 2015, have been maintained/retained in accordance with the HIPAA privacy and security rules using the cloud based EMR Qualifacts Carelogic. All records are saved and backed up on redundant servers to minimize the loss of data in the event of a natural disaster. CareLogic is a Web-based EMR, thus all clinical records and administrative documentation relating to care can be accessed through an internet browser in the event of a disaster.

Under no circumstances or conditions are records or files maintained at the homes of employees or other non-approved locations.

## **HIRING PRACTICES**

It is the policy that hiring practices are in compliance with laws and funding source regulations, are handled in a consistent manner and are non-discriminatory. Selections will be made based primarily upon job qualifications and relevant experience.

### ***AFFIRMATIVE ACTION***

All personnel practices of SpectraCare shall be conducted without regard to race, color, religion, sex, national origin, disability or status as a Vietnam era or special disabled veteran.

### ***JOB ADVERTISEMENTS***

It will be at the discretion of the Chief Human Resources Officer (CHRO) to advertise for candidates to fill a vacancy from a pool only within the ranks of SpectraCare or to include advertisements to the general public. In house job postings are posted for a period of two (2) to seven (7) days depending on the position and the urgency to fill it. SpectraCare has the discretion to post jobs outside the system simultaneously if there is an urgent need to fill the position quickly.

Advertisements of an opening will typically be placed on the SpectraCare intranet (internal postings), website, job boards and/or in the employment service provided by the State. Dependent

upon the position, media advertisements may be purchased, as authorized by the Chief Human Resources Officer (CHRO).

### ***INTERVIEW & SELECTION PROTOCOL***

Invitations to interview will be based upon a comparison of qualifications listed on the candidates resume/application to the requirements of the position as listed on job description. Internal candidates are not guaranteed an interview thus interview selection is based off skill level needed and the applicant's prior experience for the position applied for. Interviews do not mandate selection. Persons interviewed will be rated as to their qualifications, responses to questions and subjective impressions about their overall interview performance.

### ***PRE-EMPLOYMENT DRUG SCREEN***

A pre-employment drug screen is required of all new persons being considered for employment prior to their actual employment. Employees will be required to sign a Confidential Drug Screen Testing Consent Form at the time of testing. Individuals whose pre-employment drug test returns positive (except with a valid prescription of prescribed drug or over the counter medications) will be ineligible for employment and any previous offer of employment will be rescinded. Refusal to submit to or cooperate with testing will result in disqualification of further employment consideration; this includes leaving the testing site prior to successful completion of testing as certified by the MRO.

### ***OTHER EMPLOYMENT TESTS***

SpectraCare employees may be required to have a TB Baseline Screening, a one-step TB test or chest x-ray once offered employment. If the TB test is positive, validation of non-contagious condition must be provided in writing by physician on behalf of the new employee.

In addition, SpectraCare offers the Hepatitis B vaccination to all employees as well. Employees have the right to refuse series of vaccination.

### ***REFERENCE, MOTOR VEHICLE RECORD AND BACKGROUND CHECKS***

The Human Resources Department completes a reference check on applicants once a recommendation of hire has been made by the Director or the HR Department. Reference checks may include but not limited to personal references, professional references, and/or educational background. Some positions that deal with money or financial transactions may require a credit background check with the approval of the Chief Executive Officer.

All employees will sign a release for motor vehicle record check. This check is to assure the employee is insurable for driving a system vehicle. Negative findings at any point, even after hire, may be grounds for termination of employment. If at any time an employee is not insurable and their position requires them to drive a company vehicle, termination of employment may occur.

All employees who are offered employment must pass a criminal background check. Misdemeanors and/or felonies will be evaluated in accordance with the position offered. Factors such as job relations, age and time of offense, seriousness and nature of violation and rehabilitation

will be taken into account. No perspective employee will be hired who has been convicted of assaulting any person.

## **TYPES OF EMPLOYMENT - *Reference Policy #302***

SpectraCare utilizes the following categories of service:

**Non-Exempt Salary-Paid Employee** – A non-exempt salary-paid employee, is generally subject to the overtime provisions of the Fair Labor Standards Act (FLSA) and is paid on an **hourly** basis. These employees typically clock in and clock out daily. The base pay for non-exempt employees is set on a pay grade established by SpectraCare.

**Exempt Salary-Paid Employee** – An exempt employee is exempt from the provisions of the FLSA and is not entitled to overtime payments. Exempt employees typically are paid on a **salary** basis and include, but not limited to, executive and professional employees and certain highly skilled computer professionals.

**Temporary (Relief/PRN) Employee** – A temporary employee is generally an individual who is hired to work at SpectraCare on an as needed basis. As stipulated under the Affordable Care Act, temporary employees must average less than 30 hours of service per week. SpectraCare may extend a regular status job offer to temporary employees who are performing satisfactorily, if an open position exists. Temporary employees are not eligible for SpectraCare benefits.

**Contract Employee** – A contract employee is a worker hired to perform specified tasks for a set period of time and paid for work produced. SpectraCare will utilize the IRS 20-Factor test to determine whether a worker will be classified as a contract employee. Contract employees are not eligible for SpectraCare benefits.

**Full Time Employee** – A full-time employee is an individual who works a normal work week of at least 30 hours and is hired for an indefinite period.

**Part-Time Employee** – A part-time employee is an individual who works less than a normal work week (less than 30 hours as defined by the Affordable Care Act) and is hired for an indefinite period.

## **EMPLOYMENT OF RELATIVES (Nepotism)**

SpectraCare shall not employ immediate family members of Board members. “Immediate family” is defined as:

Spouse	Brother	Son-in-law
Domestic Partner	Sister	Daughter-in-law
Mother	Father-in-law	Grandfather
Father	Mother-in-law	Grandmother
Daughter	Brother-in-law	Grandchild
Son	Sister-in-law	Step-parent

No person shall be employed nor hold a position over which an immediate family member exercises supervisory authority unless recommended by the Chief Human Resources Officer

(CHRO) and approved by the Chief Executive Officer (CEO). Exceptions to this Policy are expected to be very rare and shall be based on the need to hire and retain individuals who are most qualified for certain positions.

## **OTHER EMPLOYMENT OR SERVICE**

Full and Part-Time employees shall not be permitted to engage in additional employment, outside of SpectraCare, except in specific cases and with the approval of the Chief Human Resources Officer and Chief Executive Officer (CEO). Requests to accept additional employment must be submitted in writing to the immediate Director, Executive Staff Officer, Chief Human Resources Officer (CHRO) and Chief Executive Officer (CEO). Additional employment shall not impair a full time employee's capability to give full service or full time to the organization. Nor shall it be in conflict with the duties and responsibilities the employee holds with SpectraCare. Failure to adhere to service and time requirements may lead to a requirement to terminate the additional employment or terminate employment with SpectraCare.

SpectraCare employees shall not conduct other employment activities for personal profit (buying, selling-i.e, Avon, Mary Kay, Pampered Chef, multi-level marketing, etc.) during working hours, on SpectraCare property, or using SpectraCare resources. Employees may engage in **nonprofit** fundraising type activities with supervisor approval.

Service on the boards of other organizations shall be approved by the Chief Executive Officer (CEO) prior to service, in order to avoid conflicts of interest.

Employees of SpectraCare, consultants to the Board, employees of the Department of Mental Health, and their immediate families shall not serve on the Board. Former employees of SpectraCare or their family members may not be a member of the Board for a period of eight years beginning with the employee's date of employment termination.

Employees who wish to become candidates for any public or elected office must notify the Chief Executive Officer (CEO), in writing, prior to filing for candidacy.

## **POLITICAL ACTIVITIES**

The workplace at SpectraCare shall be politically nonpartisan. Employees are encouraged to expand their awareness of the political process. Involvement in the political process shall be guided by the following:

1. Employees are not permitted to display campaign posters or other political messages on SpectraCare premises.
2. Employees are not permitted to wear political messages on clothing while on duty.
3. Employees are encouraged to vote before or after working hours on election days or take a minimum amount of SpectraCare time to do so.
4. SpectraCare facilities or resources may not be used by employees doing volunteer political work.
5. Employees shall not attempt to use political endorsement or pressure to influence decisions by the Chief Executive Officer (CEO), Staff, or the Board of Directors.

6. SpectraCare employees shall not participate in campaigning for any political organization on SpectraCare property, with SpectraCare resources, or during working hours.

## SECTION II – PERSONNEL ADMINISTRATION

### **SPECTRASTART ORIENTATION – *Superior Talent And Retention Training***

The SpectraSTART Employee Orientation Program is designed to welcome new employees into the spirit and culture of the organization, to clearly establish job performance expectations, and to set the stage for success. New personnel are encouraged to begin their jobs on the bi-weekly orientation day in order to be introduced to the overall operations of SpectraCare prior to beginning work.

On your first day of employment, you will participate in an orientation program conducted by several representatives of SpectraCare, including Human Resources. You will receive important information regarding the performance requirements of your position, basic policies, your compensation, as well as benefits and safety programs, plus other information necessary to acquaint you with your job and SpectraCare Health Systems. You will also be asked to complete all necessary paperwork at this time, such as the benefits enrollment forms, confidentiality and other pertinent forms.

Please use this orientation program to familiarize yourself with SpectraCare and our policies and benefits. We encourage you to ask any questions you may have during this orientation so you will understand all of the guidelines that affect and govern your employment relationship with us.

Departmental orientation, which includes orientation to specific job, duties, responsibilities, expectations and departmental policies and procedures, is provided by your specific department.

### **PERSONNEL RECORDS AND FILES**

If there is any change in your name, address, telephone number, marital status, and/or person to notify in case of an emergency, please update your Personnel Record through Paycor's Self Service application – [www.paycor.com](http://www.paycor.com) . For family status changes affecting your benefits, education and training, please contact the Human Resources Department to complete the appropriate forms.

All employee information is confidential and will not be released without your written permission. Only the Human Resources Department is authorized to provide employee information and employment verification. The following information will only be released for previous employment verification: 1) the employee's period of employment; 2) job title.

Copies of Personnel Records and Employee Medical Records will be subject to standard fees as set forth by SpectraCare Business office. A written request will be required from the employee.

### **PROBATIONARY PERIOD**

Employees hired with SpectraCare Health Systems (either part-time or full time) are subject to a probationary period of at least six (6) months. Employees desiring to be considered for a transfer to a job open in another unit must have successfully completed the six (6) month probation period in current position (Reference Policy # 302). The Chief Executive Officer (CEO) has the



discretion to allow a transfer before the six-month probation period has ended if it is deemed beneficial for SpectraCare. An employee's probationary period may be extended and in those instances the employee will be provided job performance specifics that must be achieved by the employee or termination may follow. SpectraCare has no obligation to continue employment beyond the probation period nor is SpectraCare precluded from terminating an employee during the probation period without notice. Successful completion of the initial probation period does not constitute any implied or stated guarantee of employment. The policy on grievance procedures does not apply to an employee terminated while in probation status. Request for an extension of the probation period must be documented by the Director and approved by the Chief Executive Officer (CEO) or designee. At the end of the six-month probation period, one of the following will apply:

1. The probation status of the employee will be removed.
2. Probation period may be extended up to an additional six months, based on appropriate documentation by the Director and approved by the Chief Executive Officer (CEO).

## **PROMOTIONS & TRANSFERS**

Personnel vacancies will be filled with the best qualified person available to the organization with first consideration given insofar as is practicable to current employees who have applied for the position. All job openings are posted for a period of two (2) to seven (7) days depending on the position and the urgency to fill it.

Employees desiring to be considered for a transfer to a job open in another unit must meet the following qualification: Successfully completed the six (6) month probation period in present job and have the required qualifications posted for the position. Employees placed on Step II may not apply for an open position/transfer in another unit until successful completion of probation. The Chief Executive Officer (CEO) has the discretion to allow a transfer before the six-month probation period has ended if it is deemed beneficial for SpectraCare.

## **JOB CLASSIFICATION PLAN**

The Human Resources Department shall maintain a job classification plan approved by the Chief Executive Officer (CEO).

## **JOB AUDITS**

Job or position audits shall be performed upon initiative of the Chief Executive Officer (CEO) or the Chief Human Resources Officer (CHRO) or upon request of the Executive Staff Officers reporting significant change in job duties. Audits shall be coordinated by the Chief Human Resources Officer (CHRO). Results and recommendations will be forwarded to the Chief Executive Officer (CEO) who will give final approval. Existing positions may be changed, added to, or abolished and new positions may be established upon recommendation of the Chief Human Resources Officer (CHRO) with approval by the Chief Executive Officer (CEO). SpectraCare will ensure changes are consistent with appropriate management of available funds.

## **TIMEKEEPING – Reference Policies #208 & #302**

It is SpectraCare’s policy to ensure all employees are paid in an accurate and timely manner, in accordance with federal, state, and local laws, and the required reporting records and supporting documentation are managed and accessible for review as prescribed by the Fair Labor Standards Act (“FLSA”).

The purpose of this policy is to formalize existing time and record keeping practices to accurately account for all hours worked and leave time used, and to ensure compliance with the overtime and recordkeeping requirements of the FLSA.

The “real-time” labor information captured in Paycor Attendance on Demand allows employees, managers and administrators to review pay data on a daily basis to proactively monitor regulatory compliance and ensure consistent application of pay policies across the system. The integrity of the data in the system depends upon the extent to which employees and Directors comply with the guidelines set forth in this policy as follows:

- Employees are expected to comply with the Payroll/Time Reporting Guidelines.
- Directors are responsible for assuring department compliance with SpectraCare policy and the general provisions of the FLSA.

The Paycor Attendance on Demand is utilized to:

- Collect, view, edit, calculate and approve employee time
- Create schedules
- Track accruals (vacation, sick, personal leave, etc)
- Maintain the required reporting documentation for compliance with all governmental regulations
- Generate reports

You are responsible for your electronic time record. The employee’s Log-in Credential is his/her “electronic signature”. If you forget to document your time or make an error on your time record, your Director must make the correction and approve. You are not permitted to work or clock in for more than seven (7) minutes before your scheduled starting time or more than seven (7) minutes after your scheduled quitting time without approval by your Director. All overtime must be approved in advance by your Executive Staff Officer or Chief Executive Officer.

No one may record hours worked on another’s time record (ie. punch the time clock). You may not alter another person’s record, or influence anyone else to alter your record for you. Such conduct to include but not limited to falsification of record is grounds for dismissal. In the event of an error in recording your time, report the matter to your Director immediately.

## **LUNCH PERIOD – Reference Policy # 302**

Employees are offered a lunch or meal break if scheduled to work eight hours (8.0) or more. Lunch schedules vary with each program. Normally, meal breaks are considered time which is not compensated. If an employee’s job requires them to be available for work during their lunch period, they will be compensated for their mealtime. Please refer to the Compensation Policy for more information in regard to lunch breaks.

## **DRESS CODE – Reference Policy # 204**

SpectraCare Health Systems adheres to a dress code to promote safety and professionalism to our employees. As a staff member of SpectraCare, work attire should complement an environment that reflects a positive image to clients, co-workers, visitors, and guests we serve. Because job duties and work environments differ, facilities may have a unique dress code. Employees are expected to follow the dress code as set forth by their division.

## **TOBACCO POLICY**

Since February 1, 1990, SpectraCare, has been committed to the improvement of the health and safety of clients and employees. Because we recognize the hazards caused by exposure to environmental tobacco smoke, as well as the life-threatening diseases linked to all forms of tobacco, SpectraCare is a tobacco-free workplace except in designated areas. This policy covers the smoking of any tobacco product and the use of oral tobacco products to include but not limited to dip, snuff, cigarettes, e-cigarettes/vapes.

## **CELLULAR TELEPHONE/ELECTRONIC TRACKING – Reference Policy # 601**

SpectraCare provides certain employees with cellular telephones for business use to promote a safe and productive work environment. Certain cell phones are equipped with GPS tracking to ensure employee safety. Employees will be notified if their phone has GPS capabilities for tracking. While driving system vehicles, employees are prohibited from cell phone or other electronic device usage. SpectraCare also prohibits employees from using cell phones or other devices while transporting clients (either in System vehicles or personal vehicles) for any reason. Employees who are not transporting clients but are using their personal vehicles during working hours are strongly discouraged to use electronic devices or cell phones while driving.

Furthermore, usage of personal cell phones for all staff members who work in a residential, day treatment, or other facilities should be kept to a minimum to ensure effectiveness of services. Specific guidelines for use in these programs are outlined in Policy #601. Usage of personal devices should not compromise client care and/or the safety of our clients.

Texting work related matters of any kind is prohibited on all personal cell phones. This is due to Personal Health Information (PHI) and HIPAA Compliance Laws. Violations of this policy may result in disciplinary action up to and including termination of employment.

## **SOCIAL MEDIA – Reference Policy # 602**

The organization understands that some employees may maintain Web logs (or “blogs”), may contribute posts to the blogs of other persons, and may maintain and participate in other social media, such as Twitter, Facebook, Plaxo and LinkedIn (collectively “social media”). In some instances, SpectraCare and your career may benefit from your appropriate use of social media. Still, these sites have nearly unlimited communication potential, nearly unlimited duration and retention, and unless the creator restricts access, they may be accessed by anyone around the world with access to the internet. This policy stands to protect the interests of SpectraCare.

## **INFORMATION TECHNOLOGY – *Reference Policy # 603***

SpectraCare Health Systems provides its users with Internet access and electronic communications services as required for the performance and fulfillment of job responsibilities. Users must understand that this access is for the purpose of increasing productivity and not for non-business activities. Users must also understand that any connection to the Internet offers an opportunity for non-authorized users to view or access corporate information. Therefore, it is important that all connections be secure, controlled, and monitored.

To this end, users in SpectraCare should have no expectation of privacy while using company-owned or company-leased equipment. Information passing through or stored on company equipment can and will be monitored. Users should also understand that SpectraCare maintains the right to monitor and review internet use, email communications, or other communications and/or files sent or received by users as necessary.

SpectraCare prohibits accessing and/or downloading any company information to include but not limited to email, electronic MARS, electronic medical records on any personal devices during and/or after working hours. Should a personal device need to be used, prior written approval from the Executive Staff Officer is required. These devices include but not limited to jump drives, iPads, personal laptops, smart phones, etc.

Employees who are out of work due to Leave of Absence, Family Medical Leave Act (FMLA), Administrative Leave, etc. will have their SpectraCare accounts disconnected until they return to duty.

Violations of this policy may result in disciplinary action up to and including termination of employment.

## **SUBSTANCE ABUSE – *Reference Policy # 803***

SpectraCare Health Systems Inc. recognizes that alcohol and drug abuse pose a threat to the health and safety of its employees, clients, and to the security of our equipment and facilities. Individuals involved in substance abuse may create a potential hazard in the workplace which is created through accidents, impaired judgement, and loss of productivity.

Consistent with concerns for the health and safety of our employees and clients, SpectraCare will strive to maintain a work environment which is free from the effects and dangers of substance abuse. Employees are strictly forbidden from using, consuming, possessing, or being under the influence of alcohol while on SpectraCare premises or during work time, break times or meal periods, except at company sanctioned events approved by the Chief Executive Officer (CEO). All employees are strictly forbidden from possessing, selling, buying, distributing, manufacturing, using, consuming, or being under the influence of any Illegal/Prohibited Drug or drug paraphernalia on SpectraCare premises or during work time, break times or meal periods.

In accordance with federal and state law, SpectraCare reserves the right to require a pre-employment drug test and random drug testing. Additionally, SpectraCare reserves the right to require a drug or alcohol test in the event of a workplace injury or whenever reasonable cause

exists to believe that an employee is under the influence of alcohol or drugs. By accepting employment with SpectraCare, you are agreeing to these tests at any reasonable time.

SpectraCare does not permit employees to report to work or perform their duties while under the influence of drugs that adversely affect their ability to safely perform essential job functions. The taking of any medication that causes drowsiness or otherwise affects job safety or performance must be made known to your Director and Human Resources Department to determine whether you may continue working while taking the medication.

Failure to submit to or cooperate with a drug or alcohol test under the circumstances described in this policy is subject to disciplinary action, up to and including termination of employment. Please refer to Policy # 803 for more detailed information regarding substance abuse and drug/alcohol testing.

## **STANDARDS OF CONDUCT / EXPECTATIONS**

SpectraCare has established certain basic expectations of conduct which all employees are to follow. Employees shall be informed at the time of orientation of the rules of conduct, ethics, and behavior which will be expected on the job.

These rules are a guide to what is considered inappropriate and/or unacceptable conduct. SpectraCare reserves the right to change these rules. The determination of when discipline is to be applied and the level of discipline to be applied are wholly within SpectraCare's discretion.

Below are some, but not all, prohibited employee activities:

1. Misrepresentation in seeking or gaining employment.
2. Falsification of any record, report or communication to include but not limited to employment records, time records, application forms, clinical documents or other organizational records.
3. Dishonesty to include but not limited to stealing or removal of SpectraCare property, another employee's property or a consumer's property without permission.
4. Improper disclosure of confidential or privileged information.
5. Failure of any employee to immediately report an on-the-job injury to self, or an injury to a consumer or any other person to the Immediate Director or Executive Staff Officer.
6. Fighting or other dangerous physical practices to include but not limited to assault and battery.
7. Destruction/damage of SpectraCare property or private property, deliberately or through negligence.
8. Bringing intoxicants or illegal drugs on SpectraCare premises; or possessing, distributing, selling or consuming intoxicants or illegal drugs on SpectraCare premises; or reporting for work under the influence of alcohol and/or illegal drugs.
9. Rudeness or offensive conduct towards others to include but not limited to employees, Directors, clients, vendors, or other SpectraCare affiliated organizations within a service or business setting of SpectraCare.

10. Using profane or abusive language to others to include but not limited to employees, Directors, clients, vendors, or other SpectraCare affiliated organizations within a service or business setting of SpectraCare.
11. Making false, degrading or malicious statements concerning SpectraCare or any employee or client.
12. Storing, carrying, or possessing firearms or other weapons on SpectraCare property unless specifically authorized to do so in writing.
13. Committing or in any way engaging in immoral or indecent conduct.
14. Gambling during working hours or at any time on SpectraCare premises.
15. Insubordination. This shall include, but is not limited to, deliberate refusal or deliberate disobedience of a reasonable work assignment, instruction, expectation, or regulation; any belligerent, defiant, abusive or threatening conduct or speech toward any supervisor or management person.
16. Unauthorized use of or tampering with any SpectraCare vehicle, fire security or safety device, heating or cooling devices, maintenance tools or devices or any other equipment, material or substance related to the transport, safety, comfort, security or care of employees, consumers or others for whom SpectraCare has a responsibility.
17. Violations of laws to include but not limited to Department of Labor Laws and/or HIPPA laws.
18. Violating SpectraCare's nondiscrimination and/or harassment policies to include but not limited to another person's race, color, sex, religion, national origin, handicap, or age.
19. Wanton and/or intentional carelessness or negligence in the performance of duty to include but not limited to gross negligence of patient care.
20. Verbal or physical abuse, brutal treatment or neglect of an employee and/or client.
21. Any nonprofessional relationship with a client and/or crossing professional boundaries to include but not limited to accepting or soliciting tips or personal gifts from clients, obtaining client information for personal use, sexual relationship, etc.
22. Willful violation of a lawful official regulation or order, or failure to carry out any lawful and reasonable direction given by an employee's Director.
23. Excessive Absences, to include but not limited to conviction of a criminal offense for violation of County, State or Federal statutes.
24. Using, threatening, or attempting to use influence, or attempting to exert pressure on any employee of the organization, members of Boards and Committees of the organization or public officials in securing or opposing any employee's promotion, pay increase, transfer, leave of absence, discipline, discharge, or other organizational actions, proposed or actual, favorable or unfavorable.
25. Sleeping while on duty.
26. Bullying, to include but not limited to acts or omissions or both that a reasonable person would find abusive, based on their severity, nature or frequency. Abusive conduct includes but not limited to: repeated verbal abuse involving the use of derogatory remarks, insults and epithets; verbal, nonverbal or physical conduct of a threatening, intimidating or humiliating nature; and the sabotaging or undermining of an employee's work performance. A single act or omission does not constitute abusive conduct, unless so severe and egregious that a reasonable person would find it abusive.
27. Other misconduct not specifically outlined above.

## **HARASSMENT – Reference Policy # 203**

SpectraCare Health Systems is committed to maintaining a work environment that is free of discrimination. In keeping with this commitment, we will not tolerate harassment of our employees by anyone, including any supervisor, co-worker, client, or third party. Harassment consists of unwelcome conduct, whether verbal, physical or visual, that is based on a person's race, color, national origin, religion, genetics, age, sex, gender, or disability or other legally-protected status. Harassment that affects job benefits, interferes with an individual's work performance, or creates an intimidating, hostile, or offensive work environment will not be tolerated. It is the policy of SpectraCare to abide by Equal Employment Opportunity Laws. It is the policy of SpectraCare to take prompt and appropriate action in any case of harassment brought to the attention of management. Complaints of harassment will be treated with sensitivity and expedited in accordance with current Grievance Procedures (Reference Policy # 206).

## **DISCIPLINARY PROCESS**

When an employee violates SpectraCare policy and/or Department of Mental Health Standards, their Director is responsible for promptly correcting the situation and to prevent further occurrences. Often, disciplinary actions are taken in a progressive manner in order to provide the opportunity for the employee to correct their behavior and to meet work expectations/standards. The progressive steps include:

- **Verbal/Written Warning** – Initially the Director may meet with the employee to verbally bring deficiencies/misconduct to their attention. This verbal warning will be documented for personnel file as a Verbal/Written Warning.
- **Step I Notice of Needed Improvement-** Should deficiencies/misconduct not improve or deficiency warrants an immediate Step I, the Director will complete a Step I Notice of Needed Improvement form. This form will be placed in the employee's personnel file. The Chief Human Resources Officer (CHRO) will review the Step I and the circumstances around the deficiencies before being issued to the employee. The Director will conduct a follow-up review within 10 days of date assigned. The results of this meeting shall be documented for the personnel file.
- **Step II Probationary Status** – Employees who fail to meet the expectations as outlined in a Step I or should the deficiency/misconduct warrant an immediate Step II, the Director will complete a Step II Probationary Status for employee. This form will be placed in the employee's personnel file. Before a Step II can be issued to an employee, Directors are required to discuss with the Chief Human Resources Officer (CHRO), with final approval of issuance to be given by the Chief Executive Officer (CEO). Employees placed on Step II may not apply for an open position/transfer in another unit until successful completion of probation. The Director will conduct a follow-up review within 10 days of date assigned. The results of this meeting shall be documented for the personnel file. In no case will Step II Probationary Status extend beyond six (6) months unless in initial employment probationary status.

- **Termination of Employment** – Should an employee fail to meet the expectations as outlined in a Step II or should the deficiency/misconduct warrant an immediate termination, the Chief Executive Officer (CEO) has the final approval of such action.

Any and all of these steps may be omitted as deemed appropriate upon review of the circumstances. There may also be offenses which are deemed sufficiently serious to result in immediate termination of employment. These actions may include but not limited to: theft, falsification of records, breach of confidentiality, acts of violence and/or fighting, carrying weapons of any sorts, crossing professional boundaries/unprofessional relationship with client, sleeping while on duty, serious safety or job performance infraction, job abandonment, and the possession, use, purchase, sale, or distribution of any illegal drug(s) and/or substance(s), drug paraphernalia, or alcohol.

Employees are required to report any arrests, indictments or convictions to the Human Resources Department immediately upon notice. SpectraCare will consider the facts surrounding such instances as a basis for disciplinary action. If the particular circumstances and the offense charged, in our judgment, present a potential risk to the safety and/or security of our clients, employees, SpectraCare property and premises or business relationships, such events may result in disciplinary action up to and including immediate termination of employment.

## **SUSPENSION FROM DUTY**

Whenever an employee's continued presence at work may be unwise, the immediate supervisor may dismiss the employee temporarily, with or without pay, with the approval of the Chief Executive Officer (CEO). In these instances, a full review of the case and/or circumstance will occur including the immediate supervisor, Executive Staff Officer, Chief Human Resources Officer (CHRO), and the Chief Executive Officer (CEO) and a decision shall be made and communicated to the employee.

## **EMPLOYEE PROBLEMS & GRIEVANCE PROCEDURE – Reference Policy #206**

SpectraCare recognizes the need to provide a formal procedure for employees to bring a complaint or problem to the attention of management which cannot be resolved to the employee's satisfaction through informal procedures provided (i.e., discussions with supervisor). This procedure is not intended to give any right or interest to any employee in his/her job, position or employment with SpectraCare .

## **TERMINATION**

Termination of employment shall be either voluntary (initiated by the employee) or involuntary (initiated by SpectraCare).

Employees wishing to resign their employment should do so in writing to their immediate Director, Chief Executive Staff Officer, the Chief Human Resources Officer (CHRO), and the Chief Executive Officer (CEO).

Non-professional employees voluntarily terminating shall give a minimum of a two (2) week notice. Employees in Professional positions and/or Director's positions are expected to give a four



(4) week notice - Examples of professional employees include but not limited those holding degrees and/or licenses (Therapists, Case Managers, LPC, ATC, Nurses, Prevention, etc). Management has the right to waive the notice period and request that staff vacate their position immediately. Employees who are terminating their employment are expected to complete requirements of their job to the satisfaction of their immediate supervisor prior to their departure date. Failure to comply with this requirement may result in any or all of the following:

1. Forfeiture of payment for accrued vacation leave.
2. Denial of reemployment.
3. Notification to professional organizations of unprofessional practices and ethics (when appropriate).
4. Placement of letter of reprimand in employee's file (with a copy to employee) outlining failure to comply with SpectraCare policies.

Employees who resign voluntarily and later request their resignation be rescinded before the effective date shall make the request in writing with the understanding that SpectraCare has no obligation to act favorably upon the request to rescind.

Sick leave will not be granted to an employee after submission of a resignation or termination unless substantiated by written verification of illness by a physician to the Chief Human Resources Officer (CHRO) prior to the termination date. Requests for use of birthday, vacation, or personal leave after submission of resignation must be made and approved by the employee's Director.

## **INVOLUNTARY TERMINATION**

A serious violation of rules, an overt act of aggression, including threats, hostility, or any other conduct deemed to create a danger to staff, employees, or clients, or commission or omission shall be dealt with immediately and may include such action as immediate recommendation for termination. It is the policy of SpectraCare that whenever possible, employees shall be given every reasonable opportunity to correct their performance or other deficiencies.

An employee may not be involuntarily terminated until the action is approved by the Chief Executive Officer (CEO). The Executive Staff Officer involved shall discuss the proposal with the Chief Human Resources Officer (CHRO) before making a verbal or written recommendation for dismissal to the Chief Executive Officer (CEO). If a decision is made to discharge the employee, the Chief Executive Officer (CEO) will approve the recommendation for termination. The Chief Executive Officer (CEO), Chief Human Resources Officer (CHRO) or designee may then notify the employee.

## **JOB ABANDONMENT**

Any employee who is absent without approval for three (3) consecutively scheduled working days without notification to or contact with their immediate Director or Executive Staff Officer will be considered to have abandoned their position and SpectraCare will affect their voluntary termination. If it is later learned that a documented illness or injury prevented contact with SpectraCare, the termination will be rescinded.

## **REDUCTION IN FORCE**

The Chief Executive Officer (CEO) of SpectraCare shall authorize a temporary or a permanent reduction in force and layoff of an employee or employees whenever necessary due to lack of work, shortage of funds, abolition of position(s), programs, services or material changes in duties of the organization. Although some layoffs are unpreventable, if possible, SpectraCare will make every effort to minimize an employee layoff. In the event of a program closure, employees may be given an opportunity to apply for open positions and/or may be transferred at the discretion of SpectraCare to another position in a different program and/or location based on SpectraCare's needs.

When a reduction in SpectraCare's workforce becomes necessary, the positions to be vacated, combined or eliminated as well as the personnel to be terminated will be reviewed and approved by the Chief Executive Officer (CEO). Consideration in making reduction in force determinations will be based on SpectraCare's needs for continued programs. Factors may include (in no particular order): seniority, productivity, job performance, possession of required education, regulatory and/or contract requirements, experience and clinical skills to fulfill requirements of position, etc. Employees who are laid off due to a reduction in force may reapply for positions for which they are qualified.

## **EXIT INTERVIEW – *Reference Policy # 201***

It is the policy of SpectraCare to provide employees an orderly exit process from employment status and to retrieve all company property. Please contact a Human Resources Representative to complete the Exit process.

## **SECTION III - COMPENSATION**

### *Reference Policy # 302*

#### **GENERAL PAY INFORMATION**

At SpectraCare we believe it is in the best interest of both the organization and the employee to fairly compensate our workforce for the value of the work provided. This enables the company to attract and retain quality employees. The company makes all employment decisions, including pay, on the basis of job-related qualifications. SpectraCare will comply with and follow all State and Federal laws regarding compensation, including the Fair Labor Standards Act (FLSA).

The organization's structure is reflected on the current organizational chart. Each job position will have a corresponding job description including job title, classification, supervisor, grade level, duties, and qualifications. Salary ranges for each grade level will be in accordance with the approved pay schedule.

Your earnings are personal and confidential, and we ask that you treat them as such.

#### **REGULAR PAY PROCEDURES**

SpectraCare employees are normally paid on Friday on a bi-weekly basis. There shall be no advance of pay to any employee. All required deductions, such as federal and state taxes, and all authorized voluntary deductions, such as health insurance contributions, will be withheld automatically from your paycheck.

#### **OVERTIME**

When a SpectraCare employee is scheduled to work more than forty (40) hours in any given work week, the following applicable overtime pay policies will apply:

- Non-Exempt employees are to be paid one and one-half times their 'regular hourly rate' for all hours worked in excess of forty (40) hours in a work week.
- Exempt employees are paid salary commensurate with their job responsibilities regardless of the number of hours worked, and therefore are not eligible for overtime pay.

Overtime must be approved by the Executive Staff Officer or Chief Executive Officer prior to being earned.

#### **DIRECT DEPOSIT**

Your paycheck can be deposited into the financial institution(s) of your choice, at no cost to you, and your money is available for use on payday. Your deposit may be split between your checking and savings accounts up to the allowable maximum accounts. You may complete the Direct Deposit information through the Self Service module at [www.paycor.com](http://www.paycor.com) or obtain a "Direct Deposit" form from the Human Resources Department.

#### **INCORRECT PAY**

When an error is made in an employee's pay, SpectraCare will make the appropriate corrections. It is an employee's responsibility to check for and immediately report errors to their Director or Human Resources Department.

## **GARNISHMENT OF WAGES**

In the event a garnishment of an employee's wages is filed against the organization, all such garnishments will be honored and wages will be docked accordingly. All garnishments will be handled by the Payroll Department in a confidential manner.

## **UNEMPLOYMENT COMPENSATION**

You may be eligible for unemployment insurance benefits in the event you become laid off or unemployed through no fault of your own.

## **SECTION IV – BENEFITS**

### **EMPLOYEE BENEFITS**

SpectraCare provides employees with a comprehensive, competitive and cost-effective benefit program. This handbook provides a general overview of benefits, but eligibility and benefits determinations are controlled by the plan documents, which are available through the Human Resources Department. Please contact a Human Resources representative for questions or specific information on the various benefits available to you.

In general, full time employees are offered all benefits outlined in this handbook upon meeting eligibility requirements. Benefits are not available to Relief/PRN employees (those hired to work on an as-needed basis).

#### **Health and Dental Insurance – SpectraCare Employees**

SpectraCare makes available to full time employees a Group Health and Dental plan. The calculation for determination of the cost of these benefits will be made annually on the plan anniversary date. Employee participation in the Health Plan is required, unless proof of coverage under another group plan is provided. Employees are eligible to participate on the first of the month following 30 days of employment. Family coverage is available as an option for employees for an additional charge determined by the plan provider. The open enrollment period for Health Insurance is in November; the Dental Plan does not offer an open enrollment period.

Retired employees who are eligible for monthly retirement benefits through the Retirement Systems of Alabama are eligible to continue health coverage into retirement. Enrollment in health benefits at the time of retirement is a requirement for continuance. Retirees will assume all costs of the plans.

#### **Health and Dental Insurance – Premier Employees**

SpectraCare's subsidiary company, Premier Healthcare Management makes available to full time employees a Group Health and Dental plan. The calculation for determination of the cost of these benefits will be made annually on the plan anniversary date. Employees are eligible to participate on the first of the month following 30 days of employment. Premier's health plan offers four tiers of coverage at rates determined by the plan provider. The open enrollment period for Health Insurance is in September; the Dental Plan does not offer an open enrollment period.

#### **Life Insurance – SpectraCare and Premier Employees**

SpectraCare generally provides full time employees three (3) times their annual pay in Life Insurance at no cost to the employee (subject to certain maximum levels that you will be notified of if applicable). This insurance policy also provides accidental death and dismemberment benefits. Participation begins on the first of the month following 30 days of employment. The Human Resources Department will provide you enrollment forms and detailed information on the plans.

**Additional Insurance Coverage – SpectraCare and Premier Employees**

Available as a service through payroll deduction is the opportunity for employees to purchase additional life insurance for themselves and their families. Additional coverage is paid fully by the employee. Insurance may be subject to certain maximum levels that you will be notified of if applicable. Enrollment must be made within the employee’s first 30 days of employment to participate; there is no open enrollment period for voluntary life insurance products. For more information, please contact the Human Resources Department.

**State Retirement Plan – Applicable to Regular SpectraCare Employees Only**

SpectraCare is a member of the Retirement Systems of Alabama and follows all system contribution, vesting and retirement regulations of this plan. Employees are required to participate at the time of employment if they meet the plan requirements. Employees who work 20 or more hours a week are required to participate in the plan. Relief employees are not eligible.

Optional to employees is membership in a deferred compensation plan (RSA-1) administered by the Retirement Systems of Alabama. Please contact the Human Resources Department on more information to enroll in RSA-1.

**\*\*Employees working under SpectraCare’s affiliated companies are not eligible for the State Retirement Plan. \*\***

**HOLIDAYS**

SpectraCare recognizes eleven (11) paid holidays annually. The following holidays will be observed:

- |                             |                        |
|-----------------------------|------------------------|
| New Year’s Day              | Thanksgiving Day       |
| Martin Luther King Birthday | Day after Thanksgiving |
| Memorial Day                | Christmas Eve          |
| Independence Day            | Christmas Day          |
| Labor Day                   | Staff Birthday*        |
| Good Friday                 |                        |

\*Birthdays falling on a weekend or other holiday may be observed preceding or following the birthday. Birthday holiday may be taken any time within the calendar year. Once an employee submits their written resignation, approval by Director must be made to allow for Birthday leave to be taken. Birthday holiday is not paid for upon termination of employment.

Full time employees are eligible for holiday pay upon employment. You are not eligible to receive holiday pay when you are on Worker’s Compensation leave or any other approved leave of absence, with the exception of approved FMLA leave.

If any of the above fall on a weekend, the Chief Executive Officer (CEO) shall designate either the preceding Friday or the following Monday as the holiday. SpectraCare’s non-residential

programs may be closed on these days and on other days that are declared to be holidays by action of SpectraCare's Board of Directors or its Executive Committee.

Residential employees who work on a SpectraCare designated holiday may take another day off during the same work week the holiday falls in if approved by their immediate Director.

Holiday pay is based off of the employee's scheduled daily work hours (Example: 8 hour shift receives 8 hours holiday pay; 10 hour shift receives 10 hours holiday pay, etc.).

As specified in the Non-Exempt Employee Attendance Control Policy #208, an employee who is scheduled to work the shift before, the shift after, or on a recognized holiday and fails to do so may forfeit the holiday pay and will receive a unexcused absence for the missed shift unless a legitimate reason for the absence is approved in writing by the Executive Staff Director. Also, an unplanned absence for a scheduled shift(s) immediately before or after an approved vacation and/or holiday day(s), will also be subject to an unexcused event. The Unexcused Absence may be reduced to an excused absence if medical documentation is provided to substantiate the need for the absence adjacent to the holiday or scheduled vacation shift. An employee who is denied a requested day off and calls in on that day may be subject to disciplinary action up to and including termination of employment.

### **LEAVE (Personal, Vacation and Sick)**

Upon employment, full time employees will earn certain leave benefits. In scheduling and approving leave to be taken, Directors will insure that needs of the employee are balanced with needs of SpectraCare. If leave is disruptive to the program's functioning, an alternate leave date must be taken. Leave of any type cannot be taken without Director's approval and should be requested as far in advance as possible consistent with appropriate scheduling for workloads. In general, leave should be requested at least two (2) weeks in advance unless an emergency or unforeseen illness prevents such notice. Requests will be made through [www.paycor.com](http://www.paycor.com).

Vacation, personal or sick leave may be taken only after it has been earned and credited to an employee's account. In order to earn accruals, there must be continuous employment for the entire pay period in which it is accrued. Supervisors and Directors are responsible for reviewing employee leave accrual records before approving or disapproving leave requests. Requests should be approved only when an employee has an ample supply of leave accrued. Please note that approval of requested leave is not automatic.

All leave requests should be submitted through Paycor's Time and Attendance module and approved by the Director. If a request due to illness or unforeseen circumstances is not made prior to taking the time off, a Leave Request must be submitted to the Director for approval.

Supervisors are responsible for maintaining close liaison with and informing the Human Resources office when employees are taking leave which may affect current pay and pay accuracy.

Leave shall be calculated on a quarter (1/4) hour basis. This means that time records and leave requests should report vacation, sick and personal leave to the nearest quarter hour as reported on electronic time records.

**PERSONAL DAYS:**

<b>Years of Service</b>	<b>Personal Hours Earned per Calendar Year</b>
6 years – 9 years	8 hours
10 years – 14 years	16 hours
15 years – 19 years	24 hours
20 years – 24 years	32 hours
25 years or more	40 hours

Personal days commence on the employee’s actual anniversary date. Personal leave is not accumulative from anniversary year to anniversary year and it is not payable when an employee leaves SpectraCare.

**VACATION LEAVE**

<b>Years of Service</b>	<b>Earned per Pay Period</b>	<b>Maximum Accrual</b>
3 months – 1 year	3 hours	120 hours
2 years – 5 years	5 hours	240 hours
6 years – 9 years	6 hours	240 hours
10 years or more	6 hours	360 hours

Full-time employees who work 30 hours or more shall earn vacation leave with pay. Employees may schedule and use accumulated vacation leave at a time they prefer with the approval of their Director. Leave may be subject to approvals and controls established by the Chief Executive Officer (CEO) and or designee.

Advances of vacation leave in excess of that earned by employees shall not be made. Accumulated vacation leave may be paid for upon termination of employment if conditions are met as outlined in the policies and procedures. Failure to work out the required notice or involuntary termination will result in forfeiture of accrued vacation leave.

**SICK LEAVE**

<b>Years of Service</b>	<b>Earned per Pay Period</b>	<b>Maximum Accrual</b>
6 months or more	4 hours	720 hours

Sick leave is defined as absence from duty of an employee necessitated by incapacitating illness or bodily injury. It is expected that the employee will accumulate sick leave in order to provide for long-term illness or injury and that the employee will use discretion in requesting sick leave. Sick leave may be taken for an employee’s own illness or the illness of a child, spouse, parent, grandparent, or grandchild. Under no circumstances may sick leave be taken for vacations or other



non-medical reasons. Bereavement - Death of a relative as defined under Employment of Relatives is considered a legitimate use of sick leave up to a maximum of 3 working days.

Employees requesting sick leave must give clear justification to their Director at the time of request. A statement from a physician may be required at the discretion of the Director at any time. A physician's statement of release upon return to duty may also be required for any sick leave of three (3) or more consecutive days' duration.

Non-emergency appointments (routine pre-scheduled appointments) must be requested and approved by the Program Director. Program Director has the discretion for approval to ensure the needs of the program can be met. Such requests should be submitted at least two (2) weeks in advance of the appointment.

In all instances an employee taking medication prescribed by a physician which might hinder the employee's ability to function on the job should obtain a letter from a physician indicating that medication will not impair the employee's ability to maintain usual duties before returning to work. These medications would include but not be limited to: pain medication, tranquilizers, etc. and should be submitted to the Human Resources Department.

Sick leave will not be granted to an employee after submission of a resignation or termination unless substantiated by written verification of illness by a physician to the Chief Human Resources Officer (CHRO) prior to the termination date. In addition, accumulated sick leave will not be paid for upon termination of employment; however, sick leave may be converted to retirement credit (SpectraCare employees only) as outlined in the ERS policies and procedures.

Abuse of this policy may result in disciplinary action up to and including termination of employment.

## **JURY DUTY – WITNESS SERVICE**

It is the desire of SpectraCare that all employees summoned or subpoenaed to jury duty or job-related witness service accept fully their community obligation. Therefore, when an employee is summoned or subpoenaed to service, employees (Full-time/Part-time) will be paid for work hours lost for all days on which such service is given. Employees should notify their Director and the Human Resources Department as soon as notice of service is received. A copy of the summons or subpoena must be submitted to the Human Resources Department.

An employee fulfilling their community obligation does not, however, relieve employees of their obligation to work their schedule when possible or their obligation to keep their supervisor fully informed of their schedule while serving as juror or witness. Scheduling arrangements may be made for residential employees working midnight to 8am shifts who are called for jury duty. Employees who serve on jury duty shall submit a copy of the court voucher to the Human Resources Department.

## **LEAVE OF ABSENCE WITHOUT PAY**

Subject to the approvals of their Director, Executive Staff Officer and the Chief Executive Officer (CEO), any employee may be granted a leave of absence without pay for a period not to exceed one (1) year.

Employees on leave of absence without pay will not receive payment for paid holidays that occur during the leave of absence for that pay period and do not accrue Vacation Leave, Sick Leave or Personal Leave. SpectraCare employees do not accrue vesting towards retirement when on leave without pay.

Hospital and insurance benefits will continue for employees on Leave of Absence without pay only if the employee pays the entire premium of the benefit monthly.

Employees are expected to return to work promptly upon the expiration of a leave of absence. If an employee fails to report or return to work within three (3) scheduled working days following expiration of a leave of absence, action shall be taken to effect termination of the employee for abandonment of position. Termination action will be effective at the end of the third (3<sup>rd</sup>) scheduled working day following the leave of absence.

## **GENERAL LEAVE WITHOUT PAY**

Employees are expected to work their regular scheduled shift hours with minimal interruptions to the program caused by absences. Should an employee be required to be absent from work for a bonafide reason and has exhausted their accrued leave time, a written request for Leave Without Pay approval must be sent to the employee's Director, Executive Staff Officer, and Chief Human Resources Officer (CHRO). The Chief Human Resources Officer (CHRO) will seek final approval from the Chief Executive Officer (CEO) before a Leave Without Pay will be granted. Leave Without Pay requests are entered into Paycor's Time and Attendance system by the Human Resources Department. Leave Without Pay requests, although approved, will be considered an attendance event under the Non-Exempt Employee Attendance Control Policy #208. Per policy, excessive requests may result in disciplinary action up to and including termination of employment.

## **WORKER'S COMPENSATION**

Worker's Compensation insurance is provided by SpectraCare. Any accident occurring while on the job or as a result of employment is covered by Worker's Compensation. Such accidents or illnesses must be reported immediately to the individual's Director and the Human Resources Department. Failure to immediately report accidents may result in denial of claim. A drug test is required immediately following the injury or accident if medical attention is necessary. Sick and vacation leave accruals shall not be affected or interrupted when an employee is on worker's comp leave.

Family and Medical Leave (FMLA) will run concurrently with any leave associated with a worker's compensation injury.

Pay for occupational sick leave shall be the amount of Worker's Compensation Weekly Benefits. To supplement, SpectraCare accrued sick or vacation leave may be taken for the time off work

before Worker's Compensation begins (if an employee is placed out of work and not on light duty). The first three (3) days of lost time (out of work due to a work-related injury/illness) are considered a "waiting period". Worker's Compensation benefits begin on the fourth day of missed work. Worker's Compensation absences are excluded under the Non-Exempt Employee Attendance Control Policy #208.

Each employee who receives pay for occupational disability shall be required to remain in contact with the HR Department at least weekly, reporting on his/her progress, until the end of the pay supplement and leave period. Each such request should contain certification from the employee's physician that his/her disability required additional time away from work. Employee's placed on light duty or out of work must submit a "Work Status Report" from physician to the Human Resources Department before being allowed to return to duty.

### **MILITARY LEAVE / ARMED FORCES EMERGENCY DUTY – *Reference Policy # 102***

SpectraCare complies with the Uniform Services Employment and Reemployment Rights Act of 1994 (USERRA) and applicable Alabama laws pertaining to military leave (*AL Code 31-2-13*). Employees who are active members of the state National Guard, Naval Militia, Alabama State Guard organized in lieu of the National Guard, Civil Air Patrol, U.S. reserves or the National Disaster Medical System (NDMS) are entitled to a military leave of absence to engage in field or coast defense or other service ordered under the National Defense Act, the Public Health Security and Bioterrorism Preparedness and Response Act of 2002 or of the federal laws governing the U.S. reserves. The leave is to be granted without loss of time, efficiency rating, annual vacation, or sick leave. One hundred sixty-eight (168) hours per calendar year of this leave is paid leave. In addition, employees are entitled to be paid for 168 hours in additional pay when called by the governor to active state duty. Federal law requires that employees be granted up to 5 years of military leave and must be restored to their position (or an equivalent position) within the company as if they had been on furlough. Certain activities are not included in the five year cumulative total under USERRA. Also, SpectraCare may not terminate or threaten to terminate any employee called to military service.

### **FAMILY AND MEDICAL LEAVE – *Reference Policy # 301***

The Family and Medical Leave Act (FMLA) requires employers to provide up to twelve (12) weeks of unpaid, job-protected leave to eligible employees for certain family and medical reasons in a 12-month period measured forward from the date of your first FMLA usage and up to 26 weeks of leave in any 12-month period in compliance with the expansion of FMLA under The Support for Injured Service Members Act of 2007. The leave may be paid, unpaid, or a combination of paid and unpaid leave depending on the circumstances of the leave as specified in this policy. Employees are responsible for maintaining insurance premiums while out on leave and accrued leave will be used consecutively with FMLA. Please contact the Human Resources Department for more information regarding your rights under the FMLA.

## **LACTATION POLICY – *Reference Policy # 101***

SpectraCare recognizes that breast milk is the optimal food for growth and development of infants and encourages employees and management to have a positive, accepting attitude toward working women and breastfeeding. SpectraCare promotes and supports breastfeeding and the expression of breast milk by employees who are breastfeeding when they return to work. Discrimination and harassment of breastfeeding mothers in any form is unacceptable and will not be tolerated.

## **TRAINING AND DEVELOPMENT**

It is expected that employees will endeavor to improve their personal and professional skills for the purpose of enhancing their value to their employer through the variety of training available to each employee, such as in-service training, educational activities, professional training and orientation. If you come across training you feel either you or someone else within SpectraCare would benefit from, please send the information to your Director, the Chief Human Resources Officer and/or the Community Services Director. All training opportunities must be approved by the Program Director and the Executive Staff Officer before an employee will be considered for any outside training. Training that requires out of town travel and/or overnight stay must be approved by the Chief Executive Officer. Training records will be maintained by the Human Resources Department.

## **PAY FOR EDUCATIONAL ACTIVITY**

Employees are encouraged to enhance their education, however, payment of registration, tuition, fees and similar charges shall be the responsibility of the employee, with the exception of attendance at workshops, seminars and conferences which are authorized from time to time by SpectraCare.

Licensed employees working in the area of applicable licensure will be paid for CEU fees at approved training. If training outside SpectraCare is approved, travel and administrative leave will be paid (see Travel and Entertainment Policy). In addition, licensure that is a benefit or is a requirement of a position may be paid for by SpectraCare if approved by their Director, Executive Staff Officer and the Chief Executive Officer (CEO); however, in most cases the cost of the initial license is the responsibility of the license holder. SpectraCare will pay for renewal of most professional licenses (ie, LPC, LCSW, ALC, Nursing, etc).

SpectraCare will grant administrative leave and pay travel for licensure of approved certification examinations. No payment for time or travel will be made for preparatory classes or obtaining preparatory materials.

## **MEMBERSHIPS**

Maintenance of membership by individual employees in professional, service, or community organization is encouraged in principle by SpectraCare. SpectraCare will assume financial support of such memberships insofar as payment of expenses for attendance at meetings, only when the employee is designated by SpectraCare to attend. Maintenance of membership in technical and professional societies (Rotary, Society for Human Resource Management, etc) may be paid for upon approval of the Chief Executive Officer (CEO) or designee.

## **PERFORMANCE APPRAISAL**

We believe you have the right to know how you're doing in your job. SpectraCare strives to conduct regular performance reviews. All SpectraCare employees will be evaluated at 6 months after hire and not less than annually thereafter.

A performance appraisal is intended to document an employee's performance by providing a means of measuring an employee's effectiveness on the job, identifying areas where an employee is in need of training or improving and maintaining a high level of motivation through feedback and the setting of specific goals on the basis of this feedback.

Employees are responsible for working with their supervisors on an ongoing basis to develop and maintain a clear performance plan defining various performance expectations and their relative priority.

In no case will an employee's salary automatically be raised simply by spending time in service.

All performance appraisals will be reviewed by the rater's supervisor, their Executive Staff Officer, the Chief Human Resources Officer (CHRO) and the Chief Executive Officer (CEO) before being reviewed with the employee.

The Chief Executive Officer (CEO) shall be appraised annually by the current Board President, the two (2) immediate past Presidents, if still incumbent Board members, and current Chairman, Personnel Committee of SpectraCare's Board of Directors.

## SECTION V - SAFETY

It is the policy of SpectraCare to strive for the highest standards possible in regard to safety and occupational health in our workplace. The safety and health of each employee and our commitment to operate safely and productively are the primary goals and objectives of our organization. Safety and accident prevention are the products of a cooperative effort in which employees at all levels must work diligently to execute and maintain the organization's policies. Every employee and Director is personally responsible for reporting hazardous conditions and unsafe work procedures which cause injury to fellow employees or damage to property, thus allowing for these conditions and procedures to be corrected.

Our safety program at SpectraCare has been carefully developed to assure compliance with Federal, State and Local regulations as much as possible but the success of the program continues to rely on the assistance of our greatest asset – our employees. It is the obligation of all employees to be familiar with the safety rules and regulations of SpectraCare and adhere to them all as a condition of their employment.

A disciplinary procedure exists at SpectraCare in an effort to help enforce the rules and regulations that have been established. Violations of the safety rules are looked at very strongly and are subject to disciplinary action up to and including termination of employment.

Accidents are costly not only from a production standpoint but from a physical and mental state as well. It is SpectraCare's pledge to commit to safety in the workplace to all employees. In return, as a condition of employment, SpectraCare requires observance of our policies by employees to the satisfaction of our goal – a safe and productive workplace.

### **VISITOR POLICY – *Reference Policy #805***

From time to time, SpectraCare employees may have visitors stop by their office. Visitors are non-employees who may include: children, spouses, relatives, and friends of employees. Please limit this time and be courteous to other employees and clients in the work area. No visitors are allowed in clinical areas unless they are conducting SpectraCare business. Employees working in residential programs shall not have visitors, family members, children, and/or other guests in the home. This will allow for compliance with confidentiality and HIPAA laws, as well as for the safety of the clients and staff.

Off-duty employees are not permitted access to the interior of the facility and other working areas during their off-duty hours.

All visitors on SpectraCare property must sign in and out according to the prescribed register. All visitors will be issued a visitor name tag by the appropriate SpectraCare employee and must be accompanied by the employee(s) that they are visiting for the duration of their stay.

## **WORKPLACE ANTI-VIOLENCE**

SpectraCare is committed to providing a safe and secure workplace and an environment free from physical violence, harassment, intimidation, and threats. Therefore, it is expected that all employees will perform their jobs in a nonviolent manner. In addition, SpectraCare believes that violence is a form of serious misconduct that undermines the integrity of the employment relationship. Physical violence, threats, harassment or intimidation by an employee may result in disciplinary action up to and including termination of employment.

SpectraCare will not permit retaliation against anyone who brings a complaint of workplace violence or who participates in the investigation of a complaint of workplace violence.

## **WORK-RELATED INJURY OR ILLNESS – *Reference Policy # 801***

Employees should report work related injury or illness to their Director and/or Human Resources Department immediately. This includes needle stick injuries as well. Employees will be required to complete a First Report of Injury report with the Human Resources Department. Employees will be sent for medical treatment which is approved by SpectraCare. Employees will be required to submit a Work Status Report upon returning to duty. Should an employee choose not to seek medical attention for a minor injury, a written statement from the employee denying medical care will be required and kept on file in the Human Resources Department. For questions, please contact the Human Resources Department.

## **MEDICAL EVALUATIONS ON STAFF**

From time to time, we have staff members become sick while at work. Under no circumstances should our staff (including nurses) be performing medical assessments on their co-workers. This includes but not limited to blood pressure check, blood sugar levels, etc.

## **TUBERCULOSIS POLICY – *Reference Policy # 802***

SpectraCare recognizes that the population served is in the “HIGH RISK” category of having Tuberculosis disease. The system also acknowledges that our employees are at risk of becoming infected because they work in facilities that serve “HIGH RISK” clients. It is SpectraCare’s emphasis to screen and protect both staff and clients against Tuberculosis disease. Employees will be tested and/or screened as outlined in the policy.

## **EVACUATION MAP**

An emergency evacuation map is posted at each SpectraCare facility. Please contact your Director for questions regarding evacuation.

## **FIRE PREVENTION**

Safety is the responsibility of all SpectraCare employees. Every reasonable precaution is taken to provide a safe environment for employees. Safety rules are for your protection and for the protection of our clients and co-workers. SpectraCare asks for your support and cooperation to maintain an effective fire safety program.

### **IDENTIFICATION BADGES – *Reference Policy # 204***

As an important part of our security program, SpectraCare will issue all employees with an identification badge with your name, location, and photograph at new hire orientation. You are required to wear your identification badge in clear view at all times during working hours or while out in the community with clients. If you do not have a current name badge, contact the Human Resources Department to obtain a new one.

### **INCLEMENT WEATHER**

We consider every position at SpectraCare to be essential; therefore, it is important for you to report to work, as scheduled, during inclement weather. In the event that hazardous weather conditions exist, SpectraCare management will monitor the weather closely. Should a decision be made that may affect program operations, employees will be notified by email, telephone or media. For closing information, employees should listen to local radio stations and watch local news. Should you have any questions, please contact your Director.

### **WORKPLACE SEARCHES – *Reference Policy # 803***

SpectraCare reserves the right to inspect all portions of its premises, including but not limited to employee desks, computers, personal vehicles, workstations, lunch boxes, briefcases, purses, and the like for any reason. Employees should not expect any areas on company property to be private. In addition, SpectraCare may use any method deemed advisable in its sole discretion, including trained canines, to conduct searches on property.



## **SECTION VI - MISCELLANEOUS**

### **EMPLOYEE BUSINESS EXPENSE – *Reference Policy #202***

It is expected that senior management staff of SpectraCare will incur expenses in the conduct of business affairs that are not reimbursable under travel and other policies. These expenses would include, but are not limited to, meals for persons involved or to be involved where SpectraCare affairs are discussed; individual memberships in chambers of commerce, professional associations (Ex: Rotary, Human Resources Society, etc) and other organizations having an immediate or potential influence on SpectraCare; remembrances in case of death or illness of persons involved in SpectraCare affairs; and any other expenses which further the mission of SpectraCare. The Chief Executive Officer (CEO) or designee must approve these expenses.

### **PARTIES & SOCIAL EVENTS**

Staff parties and/or social events will need to be done outside of SpectraCare hours and facilities. This includes but not limited to parties such as birthdays, wedding showers, baby shower, etc. Going away parties will not be approved for those employees leaving the system. Employees who are retiring from SpectraCare (not just leaving their job to go to another) will certainly be recognized for their service to our organization. These parties will be scheduled and planned by the Human Resources Department and Executive Staff Member of that program. Holiday lunches such as Thanksgiving and Christmas will be arranged by the Executive Staff Officer accordingly. In residential programs, parties will be scheduled and planned by the Director and Executive Staff Officer as well.

In addition to the above, staff do not need to collect monies amongst themselves for employee gifts. This can create a feeling of obligation for some staff and is not allowed.

### **SOLICITATION**

With one (1) major exception, it is contrary to SpectraCare's policy to permit solicitation of employees in working areas or on working time for contributions or patronage. This exception is the voluntary giving to the United Way Drive.

### **QUESTIONNAIRES, SURVEYS AND INQUIRIES**

Questionnaires and surveys of SpectraCare operations or inquiries concerning SpectraCare personnel are to be directed to Executive Staff Officer or designee.

### **PROFESSIONAL LIABILITY**

Malpractice Liability/Professional Liability coverage is extended to all employees while engaged in SpectraCare activities which are a part of their duties and responsibilities. This coverage is granted at no cost to the employee. Incidents which indicate a potential claim should be discussed immediately with the employee's supervisor and/or Executive Staff Officer.

### **LIABILITY EXCEPTION**

SpectraCare does not afford liability insurance coverage for an individual employee's private vehicle. It is expected that all employees will retain adequate personal coverage since all employees may have to use their automobiles for company business. Employees are covered

while operating a SpectraCare owned or leased vehicle on SpectraCare business. Any employee who may drive a system vehicle must be approved by the company's insurance carrier. SpectraCare vehicles will not be used for personal purposes.

**REFERENCE TELEPHONE NUMBERS**

- Retirement Systems of Alabama 877.517.0020
- Lincoln Financial (Voluntary Life Insurance) 800.423.2765
- BCBS (Dental) 800.292.8868
- BCBS – LGHIB Health (SpectraCare Employees) 334.263.8326
- BCBS – Gold Health Plan (Premier Employees) 866.836.9137
- BCBS – Gold Health Plan (Premier Employees) 855.880.6350



## RECEIPT FOR EMPLOYEE HANDBOOK & POLICIES

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Employee Name (please print)

My signature on this form is to acknowledge that I have received a copy of SpectraCare and/or its subsidiaries' (hereinafter referred to as "SpectraCare") Employee Handbook & Policies.

I understand that it is my responsibility to read the Handbook and the content of policies. If I have questions concerning the information herein, I will bring them to the attention of my Director or to a member of Human Resources Department. I understand that Human Resources can provide me with more detailed information regarding the policies and procedures of SpectraCare.

**Furthermore, I understand that this handbook and policies is not an employment contract and that my employment is "at will". My "at will" status means SpectraCare or I may terminate the employment relationship at any time, with or without cause or advance notice.**

I understand that SpectraCare may change its policies and procedures and any provision of this handbook at any time without advance notice.

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Employee Signature

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Date

# SpectraCare Health Systems Inc.

## 101 – Lactation Policy – version 2

<b>Policy Section</b>	<b>100 – Benefits Policies</b>
<b>Policy Number</b>	<b>101</b>
<b>Revision Number</b>	<b>Version 2</b>
<b>Effective Date</b>	<b>January 1, 2021</b>
<b>Board Approval</b>	<b>December 10, 2020</b>
<b>Last Reviewed Date</b>	<b>August 29, 2020</b>

**Policy Statement:** SpectraCare Health Systems and/or its subsidiaries (hereinafter referred to as “SpectraCare”) recognizes that breast milk is the optimal food for growth and development of infants and encourages employees and management to have a positive, accepting attitude toward working women and breastfeeding. SpectraCare promotes and supports breastfeeding and the expression of breast milk by employees who are breastfeeding when they return to work.

Discrimination and harassment of breastfeeding mothers in any form is unacceptable and will not be tolerated.

**Applicability:** This policy applies to all SpectraCare and/or its subsidiaries’ employees.

**Attachments:** None

**Definitions:**

- **Time to Express Milk/ Lactation Time** – As stated in the Patient Protection and Affordable Care Act (PPACA) under Section 7 of the Fair Labor Standards Act (FLSA)<sup>1</sup>, covered employers must provide employees with a “reasonable break time for an employee to express breast milk for her nursing child for one (1) year after the child’s birth each time such employee has need to express milk”.

**Procedure:**

- **Benefits of Policy**
  - Creates cost savings
  - Decreased absenteeism
  - Decreased healthcare costs
  - Allows mothers time beyond FMLA and accrued leave time to express milk.

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<sup>1</sup> Section 7 of the Fair Labor Standards Act of 1938 (29 U.S.C. 207)  
<https://www.dol.gov/agencies/whd/nursing-mothers/law> ,August 29, 2020

# SpectraCare Health Systems Inc.

## 101 – Lactation Policy – version 2

- **Time to Express Milk/Lactation**

- Lactation times shall be established for each employee based on her work schedule. Directors may consider flexible working arrangements. If possible, the lactation time is to run concurrently with any break/meal time already provided.
- The frequency of breaks needed to express milk as well as the duration of each break will likely vary. Each supervisor shall work with the employee to determine time needed. Lactation time beyond the regular break time (more than 20 minutes) is unpaid. Accrued leave will need to be used for this unpaid time.

- **Space and Equipment for Expressing Milk or Breastfeeding**

- Employees shall be provided the use of a clean, comfortable space or “Lactation Area”. SpectraCare will work with the employee to determine a lactation area at the work facility. This space will be shielded from view, and free from any intrusion from co-workers and the public. Restrooms shall not serve as the lactation area.
- The lactation area will be equipped with an electrical outlet, is in close proximity to the employee’s work area, and contains comfortable seating.
- If possible, the lactation area will be near a sink with hot water and soap for hand washing and cleaning of equipment.
- Employees will be responsible for the storage of the expressed milk. If possible, the milk may be stored in a refrigerator and must be labeled with the employee’s name. Use of refrigerators that store medication is prohibited. To ensure the safety of stored breast milk, it is recommended that the container used to store the milk be sealed in a plastic bag to prevent contamination. Employees storing milk in the refrigerator assume all responsibility for the safety of the milk and risk of harm for any reason, including but not limited to improper storage, refrigeration and tampering. Any non-conforming products stored in the refrigerator may be disposed of.

- **Atmosphere of Tolerance**

- Breastfeeding/lactation should not constitute a source of discrimination in employment or in access to employment. It is prohibited under this policy to harass a breastfeeding employee; such conduct unreasonably interferes with an employee’s work performance and creates an intimidating, hostile, or offensive working environment.

# SpectraCare Health Systems Inc.

## 101 – Lactation Policy – version 2

- Any incident of harassment of a breastfeeding employee will be addressed in accordance with SpectraCare's policies and procedures for discrimination and harassment.

**Notes:** The CEO may approve for this policy to be altered, replaced or discontinued at any time with or without notice. This policy does not represent any contractual obligation for the company.

# SpectraCare Health Systems Inc.

## 102 – Military Leave Policy – version 2

<b>Policy Section</b>	<b>100 – Benefits Policies</b>
<b>Policy Number</b>	<b>102</b>
<b>Revision Number</b>	<b>Version 2</b>
<b>Effective Date</b>	<b>January 1, 2021</b>
<b>Board Approval</b>	<b>December 10, 2020</b>
<b>Review Date</b>	<b>August 29, 2020</b>

**Policy Statement:** It is the policy of SpectraCare Health Systems Inc. and/or its subsidiaries (hereinafter referred to as “SpectraCare”) to comply fully with the Uniform Services Employment and Reemployment Rights Act (“USERRA”)<sup>1</sup>, 38 U.S.C. §§ 4301-4333<sup>2</sup> and Alabama Code § 31-2-13. As the laws change, or as interpretations of the laws change, military leave benefits for SpectraCare employees may change accordingly. No attempt is made in this policy to cover all possible situations and circumstances that may arise when an employee is ordered to active duty. Employees should consult with their Director and/or Human Resources Department for current and complete details regarding their military leave rights.

**Applicability:** This policy applies to all SpectraCare and/or its subsidiaries’ employees.

**Attachments:** None

**Procedure:**

1. SpectraCare will grant military leave of absence to any employee for service on active duty, for service in the National Guard or Reserves on weekends or annual training, or for any other uniformed service as provided by the USERRA and Alabama Code § 31-2-13.
2. Upon receiving an assignment for military service, employees should give SpectraCare as much advanced notice as possible of the need for such leave of absence, unless precluded by military necessity, and must submit a copy of their orders to active duty to the Human Resources Department.
3. Employees who are active members of the state National Guard, Naval Militia, Alabama State Guard organized in lieu of the National Guard, Civil Air Patrol, U.S. reserves or the National Disaster Medical System (NDMS) are entitled to a military leave of absence to engage in field or coast defense or other service ordered under the National Defense Act, the Public Health Security

<sup>1</sup> *United States Department of Justice* Uniform Services Employment and Reemployment Rights Act (USERRA) <https://www.justice.gov/crt-military/userra-statute> , August 29, 2020

<sup>2</sup> *Office of the Law Revision Council United States Code* 38 USC Ch. 43: Employment and Reemployment Rights of Members of the Uniformed Services <https://uscode.house.gov/view.xhtml?path=/prelim@title38/part3/chapter43&edition=prelim>, August 29, 2020

# SpectraCare Health Systems Inc.

## 102 – Military Leave Policy – version 2

and Bioterrorism Preparedness and Response Act of 2002 or of the federal laws governing the U.S. reserves. This leave is to be granted without loss of pay, time, efficiency rating, annual or sick leave. One hundred sixty-eight (168) hours per calendar year of this leave is paid leave. This military service includes drills, annual training, or military schools. Once the 168 hours of paid military leave is exhausted, an employee may use other leave available, such as annual leave.

4. Per Alabama Code § 31-2-13, employees are entitled to be paid for an additional 168 hours in pay when called by the governor to active state duty. Service members that are entitled to this military leave of absence shall incur no loss of pay, time, efficiency rating, annual or sick leave.
5. No person granted a leave of absence with pay shall be paid more than 168 working hours per calendar year or be paid no more than 168 working hours at any one time while called by the Governor to duty in the active service of the state.
6. In order to ensure employees on a military leave of absence do not incur any loss in pay, SpectraCare provides a Difference in Pay when wages from SpectraCare are more than the active duty pay. An employee who is on active duty shall receive the difference in pay between their SpectraCare pay (if it is more than their military earnings) and their military pay for up to 168 hours.
7. If an employee qualifies for the difference of pay, he/she must provide a copy of a military leave earned statement (LES) or pay stub to the Human Resources Department. If proof of military earnings is not readily available, the employee must provide an estimate of their military base pay and allowances in order to estimate their adjusted pay from the company. Upon receipt of the first earnings statement from the military, the employee must submit it to Human Resources in order to ensure proper payment is being received by the employee from SpectraCare. Adjustments will be made in accordance to the earnings statement provided by the employee in order to ensure no loss of pay is incurred.
8. Employees on active duty military leave who are not eligible for the difference in pay program because their military pay exceeds their SpectraCare pay, will be on military leave without pay. Employees not eligible for the difference in pay may choose to take annual leave. Employees will continue to earn sick and annual leave for up to 21 days as outlined in the law.
9. Because employees on military leave must be treated as though they are on a leave of absence, health benefits must be offered to the extent they are available to other employees on leave. Under USERRA, for periods up to 30 days of service, the employee will only be charged their normal share of the health insurance premium, not the employers share. For periods of service longer than 30 days, the employee must be offered COBRA continuation coverage for 24 months. Please see the Insurance Provider policy for more detail.
10. Cumulatively, an employee's absence may not exceed five (5) years, which includes only time spent actually performing military services and not, for example, time between completing military service and reporting back to work. There are however, nine categories of military service that are



# SpectraCare Health Systems Inc.

## 102 – Military Leave Policy – version 2

exempt from the five (5) year limit. Please consult the Human Resources Department for more information.

11. To be reemployed after completion of a military leave of absence, employees must reapply in accordance with the following rules:

1. If the leave of absence exceeds one hundred eighty (180) days, the employee must make an application for reemployment within 90 days of completion of military leave to Human Resources. A DD214 must be presented to the Human Resources Dept.

2. If the leave of absence is more than thirty (30) days, but less than one hundred eighty (180) days, the employee must make an application for reemployment within fourteen (14) days of completion of military leave. A DD214 form must be supplied to the Human Resources Department with request.

3. If the leave of absence is less than thirty-one (31) days, the employee must make an application for reemployment, “not later than the beginning of the first full regularly scheduled work period on the first full calendar following completion of the period of service and the expiration of the eight hours after a period allowing for safe transportation of the person from the place of that service to the person’s residence.” - 38 U.S.C. §§ 4312 (e) (1)<sup>3</sup>. A DD214 form must be presented to Human Resources.

### **Military Reemployment Rights:**

1. For leaves of absence ranging from 1 to 90 days of military service, the employee must be “promptly reemployed” in the following priority:
  - a. First, to the job the employee would have held had they remained continuously employed, provided the employee is qualified or can become qualified with reasonable effort on the part of SpectraCare
  - b. To the position the employee held on the date that the military service began, provided the employee is qualified or can become qualified with reasonable effort on the part of SpectraCare
  - c. If the employee cannot become qualified in either case (except due to a disability incurred during military service), he or she must be reemployed in a position that the employee can perform and which most closely approximates the positions above, with full seniority.
2. For leaves of absence longer for 91 days or more, the employee must be “promptly reemployed” in the following priority:
  - a. First, to the job the employee would have held had the employee remained continuously employed, or a position of like seniority, status, and pay, provided the employee is qualified or can become qualified with reasonable effort on the part of SpectraCare.

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<sup>3</sup>Office of the Law Revision Council United States Code 38 USC Ch. 43: Employment and Reemployment Rights of Members of the Uniformed Services 38 U.S.C. §§ 4312 (e)  
<https://uscode.house.gov/view.xhtml?path=/prelim@title38/part3/chapter43&edition=prelim>, August 29, 2020

# SpectraCare Health Systems Inc.

## 102 – Military Leave Policy – version 2

- b. To the position the employee held on the date that the military service began, or a position of like seniority, status, and pay, provided the employee is qualified or can become qualified with reasonable effort on the part of SpectraCare.
  - c. If the employee cannot become qualified in either case (except due to a disability incurred during military service), he or she may be reemployed in a position of lesser seniority, status, and pay, that the employee can perform, but that most closely approximates the positions above, with full seniority.
3. Employees will receive full credit for length of service, eligibility, and funding requirements under the pension plan. The Retirement Systems of Alabama has issued guidance for payment of the employee and employer retirement matching after the employee returns from active duty. Please contact RSA if additional guidance is needed. A DD 214 or equivalent must be provided.
4. The employee on military leave of absence will receive credit for time spent on military leave of absence as though he/she had continued to work for SpectraCare, to include leave accrual and salary increases. For non-seniority based benefits, the employee will be treated in a nondiscriminatory way in accordance with SpectraCare's other leave of absence policies.
5. In all cases, SpectraCare will interrupt and apply this policy to comply with the Uniformed Services Employment and Reemployment Rights Act (USERRA) **and** Alabama Code § 31-2-13. Please consult the Human Resources Department if you have any questions.

**Notes:** The CEO may approve for this policy to be altered, replaced or discontinued at any time with or without notice. This policy does not represent any contractual obligation for the company.

# SpectraCare Health Systems Inc.

## 201 – Employee Exit Policy – version 2

<b>Policy Section</b>	<b>200 – Operating Policies</b>
<b>Policy Number</b>	<b>201</b>
<b>Revision Number</b>	<b>Version 2</b>
<b>Review Date</b>	<b>August 29, 2020</b>
<b>Board Approval</b>	<b>December 10, 2020</b>
<b>Effective Date:</b>	<b>January 1, 2021</b>

**Policy Statement:** It is the policy of SpectraCare Health Services, Inc. and/or its subsidiaries (hereinafter referred to as “SpectraCare”) to provide employees an orderly exit process from employment status. It is our policy to retrieve all company property and allow the exiting employee an opportunity to make comments.

**Applicability:** This policy applies to all SpectraCare and/or its subsidiaries’ employees.

**Attachments:** Employee Exit Form – 201A

### **Definitions:**

- **Involuntary Termination** – The termination of employment at the requirement of the company. May be due to disciplinary or corrective action status or unsatisfactory performance during the probationary period.
- **Voluntary Resignation** – The employee chooses to end their employment with the company for any reason. The company requests that employees provide adequate notice when resigning from the company. Non-professional employees voluntarily terminating shall give a minimum of a two (2) week notice. Employees in Professional positions and/or Director’s positions are expected to give a four (4) week notice – Examples of professional employees include but not limited those holding degrees and/or licenses (Therapists, Case Managers, LPC, ATC, Nurses, Prevention, etc). The company requests that resignations be made in writing.
- **Termination Due to Excessive Leave** – Employees will be terminated if they fail to report to work for longer than the approved Leave of Absence (LOA).
- **Exit Interview** – The exit interview process will be a multi-step process involving division management, and the Human Resource Department. The exit interview will be conducted on the last day of work, where possible.

### **Procedure:**

- As employees are scheduled to leave employment with the company, the division director must notify Human Resources as soon as possible.
- Human Resources will set up an exit date and the exit interview process on the employee’s last day of work.
- The exiting employee will be assigned an Employee Exit Form and Human Resources will complete as much information as possible.

# SpectraCare Health Systems Inc.

## 201 – Employee Exit Policy – version 2

- The following information is required:
  - Future address and telephone number.
  - Exit reason.
  - Final workday.
  - How to handle last paycheck.
  - Benefit information.
  - Workmen’s Compensation information.
  - Disability information.
  - Property Returns
- Division Checkout – The employees must checkout with division management and turn in all assigned company property. Failure to return company assigned equipment may result in legal action taken against the employee.
- Human Resources Checkout – The employee will be interviewed by Human Resources to determine the reason for the employee exit. The employee will be given an opportunity to make a voluntary written statement to be put in the employee file. Any unusual claim will be reported to company management and investigated by Human Resources.
- Post Employment Reference Policy or Recommendations – Any future employment reference or recommendation for the employee must come through Human Resources. We will only verify employee’s period of employment and job title.
- Safety Checkout – The Human Resource Department will determine the status of any Workmen’s Compensation claim.
- Probationary Period - Any job performance inefficiencies or repeating absence pattern during the 6-month initial probationary period may result in involuntary termination.
- Form Retention – The completed Employee Exit Form will be filed in the employee’s personnel file for future reference.

**Notes:** The CEO may approve for this policy to be altered, replaced or discontinued at any time with or without notice. This policy does not represent any contractual obligation for the company.

# SpectraCare Health Systems Inc.

## 202 – Travel & Entertainment Policy – Version 3

<b>Policy Section</b>	<b>200 – Operating Policy</b>
<b>Policy Number</b>	<b>202</b>
<b>Revision Number</b>	<b>Version 3</b>
<b>Review Date</b>	<b>August 29, 2020</b>
<b>Board Approval</b>	<b>December 10, 2020</b>
<b>Effective Date</b>	<b>January 1, 2021</b>

**Policy Statement:** Travel expenses are to be within established company guidelines and will be reimbursed with proper documentation.

The company (SpectraCare and its subsidiaries – hereinafter referred to as “SpectraCare”) recognizes that employees who travel to represent the company’s business interests may forego their living accommodations and may forfeit personal time. Accordingly, the company will make efforts to provide comfortable and secure accommodations for lodging, meals and travel for employees. However, these items are not intended to be perquisites and the company reserves the right to deny reimbursement of expenses that are considered lavish or extravagant.

This policy is to provide guidelines relative for travel and entertainment expenses and the procedures for reimbursement.

**Applicability:** This policy applies to all SpectraCare and/or its subsidiaries’ employees who travel or entertain for the company.

**Attachments:** None

**Definitions:** None

**Procedure:**

- **Travel Arrangements**– Arrangements required for business travel are to be made by the individual incurring the travel time and expense.
  - Authorization for attendance at workshops, conferences, and administrative meetings, etc. of a professional nature must be approved by the Executive Staff Officer and the Chief Executive Officer. Routine administrative or business travel within the catchment area will not require prior authorization but will be subject to review and approval by the Executive Staff member concerned after it

# SpectraCare Health Systems Inc.

## 202 – Travel & Entertainment Policy – Version 3

- is incurred. Out of state travel for whatever purpose will require prior approval of the CEO.
- Travel by the Board of Directors will require the approval of the Board except for travel within the catchment area and travel within the state in the transaction of company business with State and other supporting agencies.
  - For maximum savings on airfares, the Chief Executive Officer's approval should always be completed at least 30 days advance unless an emergency trip is required. An emergency trip will also require CEO approval in writing.
- Cash Advances – To help ensure accurate and timely expense report preparation and reduce the additional paperwork required to process and track advances, the company generally discourages cash advances unless special circumstances apply. Employees are encouraged to use credit cards with a grace period to provide float time between incurring the expense and receiving the reimbursement from the company.
    - If an employee requires a cash advance, the amount should be requested in writing with Chief Executive Officer's approval notated with a supporting explanation for the advance. The advance request will then be forwarded to Accounts Payable for processing.
    - When a cash advance is received, the employee will reduce their expense reimbursement by the amount of the cash advance. In the case where the cash advance exceeds the expenses for the report submitted, the remaining cash must be turned into the business office with the expense report. Amounts owed the company cannot be carried forward to future expense reports. Any advance outstanding may be deducted from the employee's paycheck.
  - Direct Billings – Direct billings to the company from motels, restaurants, etc. are not permitted unless previously authorized.
  - Air Travel – The employee will make airline reservations based on the following criteria:
    - Expediency – Getting the employee to their destination in an expedient way (Direct flights when possible or connecting flights if necessary for faster flight schedules)
    - Cost – Employee will fly coach unless extenuating circumstances apply
    - Carrier – An employee's preferred airline can be utilized as long as expediency and cost factor are equal.
  - In most cases airfare will be directly billed to the company, through the use of a company credit card.
  - Employees must use regularly scheduled airlines to obtain the lowest (discount) fare available. This may mean that employees will fly at times that are not always most convenient for them.

# SpectraCare Health Systems Inc.

## 202 – Travel & Entertainment Policy – Version 3

- Lodging – The employee will make lodging arrangements based on value, convenience for the traveler and according to what are usual and customary company guidelines. The actual cost of the hotel room will be reimbursed. Actual and original unaltered receipts must be submitted for reimbursement.
  - Whenever multiple employees are traveling to the same location, employees may be required to share accommodations if possible (i.e. male/male or female/female). Lodging accommodations may then be made for double rooms accordingly. Should an employee request a single room for personal reasons, the additional cost will not be reimbursed unless approved by the Executive Staff Member. If an employee is accompanied by a non-employee such as family or friend, and therefore requires separate accommodations, the employee will be responsible for the payment of any excess lodging accommodations.
  
- Meals – Employees will generally be responsible for obtaining their own meals while traveling. Meals do not include entertaining guests which should be itemized as entertainment expenses.
  - The standard rate of reimbursement for meals and incidental expenses will be reimbursed according to the GSA-Federal rate of reimbursement for meals and incidental expenses (known as M&IE)<sup>1</sup>. This rate is adjusted for cities with higher costs, such as Birmingham, Gulf Shores, Panama City, and Huntsville. The "incidental" expenses would be items such as additional tips for service.
  - The GSA Website is [GSA Home](#)<sup>2</sup>
  - Reimbursement for meals incurred while traveling within the catchment area will not be reimbursed except for such expenses incurred in attending a formal meeting or workshop involving persons in addition to company employees. The Executive Staff Member concerned shall approve such reimbursement.
  - You are not required to turn in your actual receipts for the cost of your meals.
  
- Car Rentals – If a car is required at the destination, advance arrangements should be made by the employee. Vehicle selection will be based upon the most cost-effective class that satisfies requirements for the employee(s). Actual receipts are to be submitted for reimbursement.
  - Supplemental auto insurance coverage offered by car rental agencies is to be declined as Liability and Collision coverage is provided by the company's insurance policy.
  
- Personal Vehicles – An employee required to use their own automobile for business will be reimbursed at a standard mileage rate as set by SpectraCare and within the IRS guidelines<sup>3</sup>. This mileage rate is subject to review annually. The employee must

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<sup>1</sup> U.S. General Services Administration Meals & Incidental Expenses <https://www.gsa.gov/travel-resources> August 29, 2020

<sup>2</sup> U.S. General Services Administration Home <https://www.gsa.gov/> August 29, 2020

<sup>3</sup> Internal Revenue Service Tax Pro / Standard Mileage Rates <https://www.irs.gov/tax-professionals/standard-mileage-rates> August 29, 2020

# SpectraCare Health Systems Inc.

## 202 – Travel & Entertainment Policy – Version 3

provide on the expense report, documentation including dates, points of travel, miles traveled, hours of departure and return, and purpose of each trip.

- When two or more staff members are traveling to the same destination and using personal automobiles, as few vehicles as possible should be utilized.
  - When, for the traveler's personal convenience, there is an interruption of travel or deviation from the direct route, the mileage allowed will not exceed that which would have been incurred in uninterrupted travel by the most direct route. The company will not reimburse travel expenses in commuting from the employee's home to their normal business location.
  - SpectraCare assumes no responsibility for personal automobiles used for business. Further, any parking or speeding violation is the sole responsibility of the employee. It is understood that employees will maintain their own proper vehicle insurance coverage. If clients are transported in employee's personal vehicle, proof of insurance must be provided to the Human Resources Department.
- Telephone – Business related telephone charges on an itemized lodging receipt and/or telephone charge card should be itemized under miscellaneous expense.
    - If an employee is out of town on business for several days, the employee may make personal telephone calls home, as long as the charges and length of call are reasonable.
  - Entertainment – In order to be reimbursed, entertainment expenses must be ordinary and necessary expenses directly related or associated with the active conduct of business. Approval for reimbursement must be obtained in writing from the CEO. For tax purposes, it is very important to properly document entertainment expenses and substantiate the following elements:
    - The date.
    - The place (name and location).
    - Description or type of entertainment.
    - The business purpose and the nature of the business benefit expected to be gained by the company.
    - The business relationship to the Company of the persons entertained (name, occupation, title, etc)
  - Miscellaneous Expenses – Any additional business expenses that are not categorized above should be listed under miscellaneous expenses and documented with all pertinent information to substantiate the expense.
  - Expense Report Preparation and Reimbursement – All business travel and entertainment expenditures incurred by employees of the company are reimbursed through the use of SpectraCare's ERP, Acumatica<sup>4</sup>. Expense reports should be

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<sup>4</sup> Acumatica [https://spectracare.acumatica.com/\(W\(1\)\)/Frames/Login.aspx?ReturnUrl=%2fMain](https://spectracare.acumatica.com/(W(1))/Frames/Login.aspx?ReturnUrl=%2fMain) August 29, 2020



# SpectraCare Health Systems Inc.

## 202 – Travel & Entertainment Policy – Version 3

completed and submitted for approval within 3 business days after the end of each month. The Executive Staff Officer has the ability to approve late travel ONLY in extreme or rare circumstances

- Expense claims must be filled out electronically within Acumatica. Required receipts for items charged must be uploaded/scanned into the Acumatica system. Any questions regarding completion of the report should be directed to the employee's supervisor or the business office.
- Upon completion, the expense report along with all attachments will be submitted through the Acumatica system for approval by the Director and/or Executive Staff member. If there are items noted for reimbursement that require approval by the CEO, they will be automatically routed for approval by the system. After signature(s) and approval(s) are obtained, the expense report will be processed for reimbursement. In order to expedite reimbursement, the employee should ensure that the report is completed properly, required documentation is attached, proper authorization is obtained, and any unusual items properly explained and documented.
- Authorized expense reports will be reimbursed by direct deposit the Thursday after receipt by the business office.

### **Acumatica Reminders:**

In order to streamline submission of expense claims:

- 1) You should only submit **ONE** claim to be approved, regardless of the department that you are charging for that expense. You can batch multiple receipts for multiple departments into one claim to be approved.
- 2) The guidelines for submission have not changed from those we used with FormDocs. You may enter daily receipts, but you should only submit one claim once the total of your receipts have reached \$50 or it is the end of the month, at which time you will submit any expenses incurred for the month.

**Notes:** The CEO may approve for this policy to be altered, replaced or discontinued at any time with or without notice. This policy does not represent any contractual obligation for the company.

# SpectraCare Health Systems Inc.

## 203 – Harassment Policy – version 3

<b>Policy Section</b>	<b>200 – Operating Policies</b>
<b>Policy Number</b>	<b>203</b>
<b>Revision Number</b>	<b>Version 3</b>
<b>Review Date</b>	<b>October 17, 2020</b>
<b>Board Approval</b>	<b>December 10, 2020</b>
<b>Effective Date</b>	<b>January 1, 2021</b>

### **Policy Statement:**

SpectraCare Health Systems and/or its subsidiaries (hereinafter referred to as “SpectraCare”) is committed to maintaining a work environment that is free of unlawful discrimination. In keeping with this commitment, we will not tolerate harassment of our employees by anyone, including any supervisor, co-worker, client, or third party. Harassment consists of unwelcome conduct, whether verbal, physical or visual, that is based on a person’s race, color, national origin, religion, genetics, age, sex, gender, or disability or other legally-protected status. Harassment that affects job benefits, interferes with an individual’s work performance, or creates an intimidating, hostile, or offensive work environment will not be tolerated. It is the policy of SpectraCare to abide by Equal Employment Opportunity Laws<sup>1</sup>.

### **Applicability:**

This policy applies to all SpectraCare and/or its subsidiaries’ employees.

### **Attachments:**

None

### **Definitions:**

- **Harassment**<sup>1</sup> – abusive or hostile conduct that is directed toward or inflicted upon another person because of his or her race, color, religion, ethnicity, national origin, sex, genetics, age, disability, or veteran’s status and which, because of its severity or pervasiveness, unreasonably interferes with an individual’s work or creates a hostile or abusive work environment or an environment non-conducive to client care. Harassment is typically based on stereotyped prejudices and includes, but is not limited to, slurs, jokes, objectionable epithets or name calling, or other verbal, graphic, or physical conduct that demeans, insults, or intimidates an individual because of his or her race, religion, ethnicity, national origin, sex, genetics, age, disability, or veteran status.
- **Sexual Harassment**<sup>2</sup> - Sexual harassment constitutes discrimination and is illegal under federal, state and local laws. For the purposes of this policy, sexual harassment is defined, as in the Equal Employment Opportunity Commission Guidelines, as unwelcome sexual advances, requests for

<sup>1</sup> U.S. Equal Employment Opportunity Commission, Harassment, [www.eeoc.gov/harassment](http://www.eeoc.gov/harassment) October 17, 2020

<sup>2</sup> U.S. Equal Employment Opportunity Commission, Sexual Harassment [www.eeoc.gov/sexual-harassment](http://www.eeoc.gov/sexual-harassment) October 17, 2020

# SpectraCare Health Systems Inc.

## 203 – Harassment Policy – version 3

sexual favors and other verbal or physical conduct of a sexual nature when, for example: (1) submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment; (2) submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual; or (3) such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile or offensive working environment.

- Equal Employment Opportunity – It is the policy of SpectraCare to ensure employment opportunity without discrimination or harassment on the basis of race, color, religion, sex, national origin, genetics, age, disability, or any other characteristic protected by law. SpectraCare prohibits any such discrimination or harassment.

### Procedure:

- Employees are expected to maintain a productive work environment that is free from harassing or disruptive activity. No form of harassment will be tolerated.
- Each Supervisor has a responsibility to keep the workplace free of any form of harassment, in particular, sexual harassment. No supervisor or employee is to threaten or insinuate, either explicitly or implicitly, that an employee's refusal or willingness to submit to sexual advances will affect the employee's terms or conditions of employment.
- Other sexually harassing or offensive conduct in the workplace, whether committed by supervisors, managers, non-supervisory employees, or non-employees, is also prohibited. Prohibited conduct includes, but not limited to:
  - Unwanted physical contact or conduct of any kind, including sexual flirtations, touching, advances, or propositions
  - Verbal harassment to include of a sexual nature, such as lewd comments, sexual jokes or references, and offensive personal references
  - Demeaning, insulting, intimidating, or sexually suggestive comments about an individual
  - The display in the workplace of demeaning, insulting, intimidating, or sexually suggestive objects, pictures, or photographs
  - Demeaning, insulting, intimidating, or sexually suggestive written, recorded, or electronically transmitted messages.
  - Preferential treatment or promises or preferential treatment to an employee for submitting to sexual conduct, including soliciting or attempting to solicit any employee to engage in sexual activity or compensation or reward
  - Subjecting, or threats of subjecting, an employee to unwelcome sexual attention or conduct or intentionally making performance of the employee's job more difficult because of that employee's sex.

# SpectraCare Health Systems Inc.

## 203 – Harassment Policy – version 3

Any of the above conduct, or other offensive conduct, directed at individuals because of their sex, race, color, religion, national origin, pregnancy, age, marital status, disability, military status or any other characteristic protected by law is also prohibited.

- Employees are encouraged and have the responsibility of bringing incidents of harassment by fellow employees, clients, or non-employees on SpectraCare premises to the attention of their immediate Supervisor or the Chief Human Resources Officer, the Executive Staff Officer, or the Chief Executive Officer. Correspondingly, SpectraCare expects any supervisor or employee who is given information indicating that this policy has been violated by any person to report such information to the proper level of authority with the company. SpectraCare cannot be responsible for problems involving harassment which are not brought to its attention.
- It is the policy of SpectraCare to take prompt and appropriate action in any case of harassment brought to the attention of management. Complaints of harassment will be treated confidentially and expedited in accordance with current Grievance Procedures. Employees are required to cooperate in any investigation. A timely resolution of each complaint should be reached and communicated to the parties involved.
- Employees will not have their jobs placed in jeopardy because they have lodged a harassment complaint. All Supervisors and management employees are responsible for enforcing this policy fairly and uniformly.
- Any employee or supervisor who is found to have violated the harassment policy may be subject to appropriate disciplinary action, up to and including termination of employment. Employees engaging in harassment must realize they have personal liability as this policy does not preempt or supersede any legal procedures or remedies otherwise available to a victim of harassment under state or federal law.

**Notes:** The CEO may approve for this policy to be altered, replaced or discontinued at any time with or without notice. This policy does not represent any contractual obligation for the company.



**204 B – Clinical Programs Dress Code Policy**  
**Reviewed: October 17, 2020**  
**Board Approved: December 10, 2020**  
**Effective: January 1, 2021**

As a staff member of SpectraCare Health Systems and/or its subsidiaries (hereinafter referred to as “SpectraCare”), you represent our agency to the people we serve, your co-workers, all visitors, as well as to the entire community. As an agency, SpectraCare wants to communicate an image of professionalism to everyone we come in contact with; therefore, your appearance and behavior must be professional at all times. In an effort to maintain a professional standard of work attire at all times, the clinical dress code policy has been updated.

All staff must adhere to the following:

- No hair curlers, hair rollers, stocking caps, etc are permitted.
- Excessive nail length that restricts ones’ ability to perform required duties or which may present a safety hazard is unacceptable.
- No dangling jewelry, especially jewelry that will cause physical damage if forcibly removed. This includes but not limited to nose piercings, ear piercings, or other piercings. SpectraCare is not responsible for the loss or damage to any jewelry items.
- Undergarments must be worn at all times. Undergarments should not be visible at any time.
- Tattoos that have slogans and/or images that are demeaning or feature profanity or other messages that do not promote or enhance a safe and productive work environment should not be displayed.
- Hair color should be a naturally occurring color (this includes but not limited to pink, blue, green, purple, orange, or other hair color that does not occur naturally).
- No head covering or sunglasses may be worn indoors.
- When required, face masks must be worn. Mask should be professional and should not have slogans and/or images that are demeaning or feature profanity or other messages that do not promote or enhance a safe and productive work environment.
- Staff must be considerate of co-workers, individuals, and guests. Good personal hygiene is a must. Staff should be mindful of wearing perfume or cologne due to the sensitivity (allergies, illness) of others.

**Name Badges:** Staff must wear his/her name badge at all times, regardless if you are in a SpectraCare facility or out in the community with clients. If you do not have a current name badge, contact the Human Resources to obtain a new one.

**Dress Code: Scrubs**

Please review the chart below for assigned dress code based on positions. Scrub pants should be solid color, clean, neat and hemmed to an appropriate length. An appropriate length means not so long that the pants are walked on and the hem is frayed. Tops can be solid in color or of a simple pattern (no animal prints). A short or long sleeve t-shirt can be worn underneath scrub tops for warmth if needed. Regular coats/sweaters should not be worn over scrubs; however, a professional scrub jacket is permissible. Non-faded SpectraCare T-shirts may be worn with scrub pants on Fridays.

Clothing should be appropriate to size of individual. Clothing should not be tight fitting or overly baggy. Soiled or torn scrubs are not to be worn.

<b><i>Job Title</i></b>	<b><i>Garment Required</i></b>
<i>Cleaners / Housekeeping</i>	<i>Scrubs</i>
<i>MHTs, Cooks</i>	<i>Scrubs</i>
<i>Secretaries</i>	<i>Scrubs</i>
<i>Nurses</i>	<i>Scrubs</i>
<i>Case Managers</i>	<i>Scrubs</i>

Shoes: No sandals, open toed shoes, and/or open back shoes allowed. CROCS are not allowed for safety reasons.

**Dress Code: Professional Dress Code**

The following clinical positions will follow the Professional Dress Code Policy set forth by the SpectraCare Personnel Policy and Procedure manual.

<b><i>Job Title</i></b>	<b><i>Garment Required</i></b>
<i>Program Directors</i>	<i>Professional Dress Code</i>
<i>Counselors / Therapists</i>	<i>Professional Dress Code</i>
<i>Juvenile Court Liaisons</i>	<i>Professional Dress Code</i>
<i>Prevention</i>	<i>Professional Dress Code or appropriate dress based on event</i>
<i>Court Referral Officers</i>	<i>Professional Dress Code</i>

Shoes: Flip flops, CROCS, etc are not allowed for safety reasons. Open toed shoes (sandals) are acceptable based on the specific duties that the day permits.

The aforementioned is not an all - inclusive list, thus SpectraCare reserves the right to determine appropriateness. A good rule of thumb: If you are unsure an article of clothing is acceptable, most likely it is not. If in doubt, do not wear it.

When a staff member violates the dress code policy, the employee will be sent home to change into acceptable attire. During this absence, accrued leave is required to be used. Continued violation of this policy may result in disciplinary action up to and including termination of employment.

# SpectraCare Health Systems Inc.

## 204 – Professional Dress Code Policy – version 2

<b>Policy Section</b>	<b>200 – Operating Policies</b>
<b>Policy Number</b>	<b>204</b>
<b>Revision Number</b>	<b>Version 2</b>
<b>Review Date</b>	<b>October 17, 2020</b>
<b>Board Approval</b>	<b>December 10, 2020</b>
<b>Effective Date</b>	<b>January 1, 2021</b>

### **Policy Statement:**

SpectraCare Health Systems and/or its subsidiaries (hereinafter referred to as “SpectraCare”) adheres to a dress code to promote safety and professionalism to our employees. As a staff member of SpectraCare, work attire should complement an environment that reflects a positive image to clients, co-workers, visitors, and guests we serve. Because job duties and work environments differ, facilities may have a unique dress code. This dress code applies to all personnel, with the exception of employees who are required to wear scrubs or other uniforms as specified in their Division (see Attachment for Clinical Program Dress Code).

### **Applicability:**

This policy applies to all SpectraCare and/or its subsidiaries’ employees.

### **Attachments:**

Clinical Program Dress Code Policy – 204 B

### **Definitions:**

- None

### **Procedure:**

- The following list is a guideline of what attire is appropriate and inappropriate:
- APPROPRIATE:
  - Dresses and skirts (length cannot be more than three (3) inches above the knee)
  - Blouses/shirts
  - Blazers
  - Capri pants
  - Collared casual shirts or dress shirts for men
  - Slacks
  - Suits/pantsuits/ties
  - Clothing must be clean, pressed, and fit appropriately
  - Business shoes – heels, flats, dressy sandals, etc



# SpectraCare Health Systems Inc.

## 204 – Professional Dress Code Policy – version 2

- Leggings under dresses and/or long tops that are no shorter than three (3) inches above the knee)
- Naturally Occurring Hair Color
  
- INAPPROPRIATE
  - Casual/sport T-shirts (other than casual Fridays or other specified days)
  - Casual Shorts (unless specific to your program and/or approved by director)
  - Stirrup pants
  - Blue jeans (unless on casual Friday or other designated time). Blue jeans and shorts with cutouts are prohibited.
  - Casual flip flops (Dressy sandal like flip flops are permitted on casual Friday)
  - Tennis shoes (unless on casual Friday or other designated time)
  - Backless, halter, cut-out tops, tube tops and midriiffs (Cold-Shoulder Shirts are permitted on casual Friday)
  - Camisoles or tank tops when worn as an outer garment, to include spaghetti strap tops
  - Mini Skirts
  - Exposed Undergarments
  - Low-cut necklines
  - T-shirts that are objectionable or offensive
  - Tattoos and facemasks that have slogans and/or images that are demeaning or feature profanity or other messages that do not promote or enhance a safe and productive work environment.
  - Unnaturally occurring hair color (this includes but not limited to pink, blue, green, purple, orange, or other hair color that does not occur naturally)
  - Head covering and/or sunglasses worn indoors.
  
- Staff must wear his/her name badge at all times, regardless if you are in a SpectraCare facility or out in the community with clients. If you do not have a current name badge, contact Human Resources to obtain a new one.
  
- When required, face masks must be worn. Mask should be professional and should not have slogans and/or images that are demeaning or feature profanity or other messages that do not promote or enhance a safe and productive work environment.
  
- Employees should be considerate of co-workers, clients, and guests. Good personal hygiene is a must. Employees should be mindful of wearing perfume or cologne due to sensitivity (allergies, illness) of other employees and clients.
  
- SpectraCare is confident each employee will use his or her best judgment in following this policy. This is not an all-inclusive list; thus, management reserves the right to determine appropriateness. A rule of thumb: If you are unsure an article of clothing is acceptable, most likely it isn't. If in doubt, don't wear it.

# SpectraCare Health Systems Inc.

## 204 – Professional Dress Code Policy – version 2

- When an employee violates the dress code policy, the employee will be sent home to change into acceptable attire. During this absence, accrued leave is required to be used. Continued violation of this policy may result in disciplinary action up to and including dismissal.

**Notes:** The CEO may approve for this policy to be altered, replaced or discontinued at any time with or without notice. This policy does not represent any contractual obligation for the company.

# SpectraCare Health Systems Inc.

## 205 – Fuel Fleet Policy – version 1

<b>Policy Section</b>	<b>200 – Operating Policies</b>
<b>Policy Number</b>	<b>205</b>
<b>Revision Number</b>	<b>Version 1 - Original</b>
<b>Review Date</b>	<b>August 29, 2020</b>
<b>Board Approval</b>	<b>December 10, 2020</b>
<b>Effective Date</b>	<b>January 1, 2021</b>

**Policy Statement:** Employees authorized to fuel SpectraCare and/or its subsidiaries’ (hereinafter referred to as “SpectraCare”) vehicles are issued a (5) digit Personal Identification Number (PIN) to be used with the company’s FUELZ Fleet Cards. This document is to verify that you understand your responsibilities and SpectraCare’s policies regarding the use of your PIN.

**Applicability:** This policy applies to all SpectraCare and/or its subsidiaries’ employees.

**Attachments:** None

**Employee Acceptance Statements:**

1. I have been issued a PIN, which authorizes me to fuel SpectraCare vehicles only, using the company’s FUELZ Fleet Cards.
2. I understand that my PIN identifies me by name on a weekly fuel report and that I am accountable for all transactions made using my PIN. Therefore, I will not share my PIN with anyone. If I believe someone else knows my PIN, I will immediately notify my supervisor and/or fleet manager.
3. I understand that the FUELZ Fleet Cards are not to be used for personal vehicles or non-business purposes. Using the FUELZ care for any purpose other than official business use will be considered theft of company property.
4. I understand that each time I use a FUELZ Fleet Card I am required to completely fill the vehicle’s fuel tank and enter an accurate odometer reading. This will allow SpectraCare to monitor fuel usage and track required maintenance intervals.
5. I understand that each FUELZ Fleet Card is assigned to either an individual company vehicle or specific fueling purpose (example: off road equipment fuel card). My PIN will work with any FUELZ Fleet Card issued to the company. I understand that is against company policy to swap or share cards between vehicles or to use any card for other than the intended purpose.

**Notes:** The CEO may approve for this policy to be altered, replaced or discontinued at any time with or without notice. This policy does not represent any contractual obligation for the company.

# SpectraCare Health Systems Inc.

## 206 – Grievance Policy – version 1

<b>Policy Section</b>	<b>200 – Operating Policies</b>
<b>Policy Number</b>	<b>206</b>
<b>Revision Number</b>	<b>Version 1 - Original</b>
<b>Review Date</b>	<b>August 29, 2020</b>
<b>Board Approval</b>	<b>December 10, 2020</b>
<b>Effective Date</b>	<b>January 1, 2021</b>

**Policy Statement:** SpectraCare and/or its subsidiaries (hereinafter referred to as “SpectraCare”) recognizes the need to provide a formal procedure for employees to bring a complaint or problem to the attention of management which cannot be resolved to the employee’s satisfaction through informal procedures provided (i.e., discussions with supervisor). This procedure is not intended to give any right or interest to any employee in his/her job, position or employment with SpectraCare.

**Applicability:** This policy applies to all SpectraCare and/or its subsidiaries’ employees.

**Attachments:** None

### **Definitions:**

- **Grievance** – a formal action by an employee to resolve anything within the organization that the employee feels is unjust, unfair, and inequitable or creates a problem. There shall be no restrictions placed upon subjects which may be considered for recourse action.

### **Policy:**

- Employees have a right to take problems and complaints to their Director. In turn, Directors have a responsibility to listen and discuss with the employee. An employee who uses this formal process for settling a problem or grievance shall not suffer any form of reprisal nor be penalized or discriminated against in any way.
- The Chief Human Resources Officer, when made aware of grievance is responsible for insuring that it is processed quickly and shall provide assistance to the employee or Director at each step of the proceedings.
- Records of formal grievances will not be placed in employee’s personnel file. Separate records and files will be maintained by the Human Resources Department. Records, proceedings and reports of grievances shall be treated as confidential by all participants.
- Normally, all grievance proceedings will take place during regular working hours with all participants receiving normal pay for time expended. In any event, there shall be no pay authorized for proceedings outside regular working hours.
- An employee may have another employee present to participate or not at any discussion or meetings during the grievance procedure. An employee may ask the assistance of another

# SpectraCare Health Systems Inc.

## 206 – Grievance Policy – version 1

employee to prepare written material. However, no grievance will be accepted if signed by more than one employee. Employees with common complaints shall be required to submit them separately when using the grievance procedure.

- If formal grievances are filed concerning matters over which SpectraCare has no control, the grievance shall be immediately forwarded to the Chief Human Resources Officer who will notify the employee in writing.
- Deviations from these grievance policies and procedures shall not be authorized.
- Normally, a grievance shall not extend beyond a thirty (30) calendar day period from the time it is first brought to the attention of the employee's immediate Director until it receives final decision.
- Employees who are involuntarily terminated from SpectraCare may, if they desire, additionally appeal the termination action to the Personnel Committee of the Board of Directors. Such appeal must be made in writing and not more than seven (7) calendar days following the Chief Executive Officer's decision.
- Employees filing grievances may withdraw their grievance at any time provided they do so in writing.

### Procedure:

#### 1. Employee Action

1. Inform Immediate Director of the grievance in writing.
2. If the grievance concerns the Immediate Supervisor the employee may inform the Executive Staff Officer and/or the Chief Human Resources Officer in writing.

#### 2. Immediate Director

1. Afford the employee an opportunity to discuss the complaint in private.
2. Listen, discuss and investigate all matters which involve events and/or other people in an attempt to resolve the problem.
3. Confer with other levels of supervision as necessary.
4. Resolve the employee's grievance.
5. Document the grievance and resolution in writing and provide a copy to the employee and the Executive Staff Officer and Chief Human Resources Officer.
6. If the Immediate Director is unable to resolve the complaint to the employee's satisfaction, refer the grievance to the Executive Staff Officer.

#### 3. Executive Staff Officer

1. Review documented grievance and interview the employee in effort to find a resolution.
2. Consult other Executive Staff as necessary.
3. Resolve the employee's grievance.
4. Document the grievance and resolution in writing and provide a copy to the employee, Immediate Supervisor (as appropriate), and the Chief Human Resources Officer.
5. If the Executive Staff Officer is unable to resolve the complaint to the employee's satisfaction, refer the grievance to the Chief Human Resources Officer.
6. \*Note: If an Executive Staff Officer has a grievance that involves the Chief Executive Officer, the Executive Staff Officer may inform the Chief Human Resources Officer or a

# SpectraCare Health Systems Inc.

## 206 – Grievance Policy – version 1

member of the Board. If an Executive Staff Officer has such grievance and it does not involve the Chief Executive Officer, it shall be submitted to the Chief Executive Officer.

### 4. Chief Human Resources Officer

1. Review all documentation of the grievance and arrange a meeting with the employee and any other staff deemed necessary.
2. Discuss the grievance and previous attempts at resolution with regard to SpectraCare policy.
3. Resolve the grievance.
4. Document the grievance and resolution, or attempts of resolution, in writing. The documentation should be signed by the employee and Executive Staff Officer.
5. If the Chief Human Resources Officer is unable to resolve the complaint to the employee's satisfaction, the grievance will be referred to the Chief Executive Officer.

### 5. Chief Executive Officer

1. Review all documentation of the grievance and interview the employee and any other staff deemed necessary.
2. The Chief Executive Officer will render a final decision on the grievance.
3. Documentation of the grievance and final decision will be provided to the employee, all appropriate supervisors, and the Chief Human Resources Officer.



**Notes:** The CEO may approve for this policy to be altered, replaced or discontinued at any time with or without notice. This policy does not represent any contractual obligation for the company.

# SpectraCare Health Systems Inc.

## 208 – Non-Exempt Employee Attendance Control Policy – version 2

<b>Policy Section</b>	<b>200 – Operating Policies</b>
<b>Policy Number</b>	<b>208</b>
<b>Revision Number</b>	<b>Version 2</b>
<b>Effective Date</b>	<b>August 29, 2020</b>
<b>Board Approval</b>	<b>December 10, 2020</b>
<b>Effective Date</b>	<b>January 1, 2021</b>

**Policy Statement:** Regular attendance and punctuality by non-exempt staff are important elements in our efforts to maintain high levels of client care and achieve our goals in facilitating the well-being of our clients. Reassigning staff or revising schedules to accommodate absences/tardiness puts a burden on all team members. However, we recognize that non-exempt staff occasionally become ill, need to miss work or will be late. This policy details how absences and tardiness are counted for the purposes of maintaining excellent client care within SpectraCare and/or its subsidiaries' (hereinafter referred to as "SpectraCare") programs.

**Applicability:** This policy applies to all regular status, non-exempt, SpectraCare and/or its subsidiaries' employees.

**Attachments:** None

### **Definitions:**

- **Scheduled Work Shift** - Any time that an employee is scheduled to work includes: voluntary, mandatory overtime shifts, and/or scheduled shifts.
- **Unexcused Absence** – Any absence that is not pre-approved by Director. When an employee is unable or fails to produce a written Doctors excuse for the absence, if required by the company. An absence is also unexcused if the employee fails to work after being notified by company management. An unexcused absence may be reclassified by an Executive Staff Director as an excused absence with an appropriate excuse or reason.
  - No-Call No-Show is considered an unexcused absence. Any employee who is absent without approval for three (3) consecutively scheduled working days without notification to or contact with their supervisor or Executive Staff Director will be considered to have abandoned their position and SpectraCare will affect their voluntary termination.
- **Excused Absence** – If an employee is absent from work with prior approval of their immediate Director or company management and has accrued leave available to use.

# SpectraCare Health Systems Inc.

## 208 – Non-Exempt Employee Attendance Control Policy – version 2

Examples include but not limited to: doctor's appointment, funeral. If reported correctly an employee absence covered by a valid Doctors excuse will be excused.

- Leave Without Pay Requests (LWOP) – Leave Without Pay requests, although may be approved, will still be considered as an attendance event.
- Excluded Time – Preapproved Annual Leave, Scheduled Sick Leave, Personal Leave, FMLA, ADA, Jury Duty, Bereavement, Military Leave, Voting Time, Work Comp/Work-Related Injury and Inclement Weather (with company approval) will not count as absences under this policy. A tardy due to malfunctions of electronic timeclocks verified by the IT Department and/or Personnel Department are also excluded.
- Holiday - An employee who is scheduled to work the shift before, the shift after, or on a recognized holiday and fails to do so may forfeit the holiday pay and will receive a unexcused absence for the missed shift unless a legitimate reason for the absence is approved in writing by the Executive Staff Director. Also, an unplanned absence for a scheduled shift(s) immediately before or after an approved vacation and/or holiday day(s), will also be subject to an unexcused event. The Unexcused Absence may be reduced to an excused absence if medical documentation is provided to substantiate the need for the absence adjacent to the holiday or scheduled vacation shift.
  - An employee who is denied a requested day off and calls in on that day may be subject to disciplinary action up to and including termination of employment.
- Tardy – Reporting to work eight minutes after the employee's scheduled shift start time and/or returning late from lunch break is considered a tardy and will count as an attendance event. Any tardy that is not reported and/or preapproved by company policy is unexcused.
- Early Out– Leaving work early before the scheduled end of the employee's shift without prior approval and using accrued leave. Early outs that are not pre-approved and accrued leave is not available to use is unexcused.
- Missing Punch – Failure to clock in/out at the beginning and/or end of assigned shift; failure to clock in/out for meal break.
- Overtime – Extra work beyond the employee's normal work shift that has been required and approved by the employee's Executive Staff Director and/or immediate Director. Failure to work overtime follows the same rules as normally scheduled work time.
- Absence Reporting – Whenever possible, employees must report an absence as soon as possible but at least two (2) or more hours prior to the beginning of the absence for the absence to be excused (note: a dr excuse may be required). If the absence is unforeseen, the employee must report the absence by the beginning of the shift and the employee may be required to furnish a valid Doctors note for the absence. Failure to follow these guidelines will result in the absence being unexcused. The primary method to report an absence is a telephone call to the employee's direct supervisor. Leaving a message with another non-management employee (unless the non-management employee has been previously designated by the Supervisor to approve absences) is not sufficient.
- FMLA – Employees who are on an approved FMLA will not have any absence covered by the FMLA counted against them for attendance control purposes.



# SpectraCare Health Systems Inc.

## 208 – Non-Exempt Employee Attendance Control Policy – version 2

### Procedure & Point System:

- FMLA – Employees who will need to be off work that meet FMLA guidelines will be enrolled in this program and their absences covered by FMLA (480 hours in a rolling 52 weeks) will not have their occurrences and hours counted against the attendance control policy. The company encourages all employees in this situation to contact Human Resources. FMLA absences can only be back-dated two (2) weeks from FMLA approval date.
- Reporting back to work – If employees are absent for three (3) or more consecutive days for personal medical conditions, they are required to submit written documentation from their doctor that they can resume the essential functions of their job before they can return to work.
- Documentation of absence – The company reserves the right to require a doctor's excuse for any illness or absence or a doctor's release to return to work after any absence due to illness or medical leave. The employee is responsible for any charges from the doctor for this documentation.
- Lack of Work – For lack-of-work situations employees will be off work and the absence will not be counted in the attendance
- Reporting Time – The period to record yearly absences is a rolling twelve (12) month period. Attendance will be monitored with the most recent occurrence and subsequent disciplinary action taken for additional occurrences.

Unexcused Events	Type	Exception	Points
Tardy 8-29 Min	Exception	Late In	1
Tardy 30-59 Min	Exception	Late In	3
Tardy 1 Hour or More	Exception	Late In	5
Missing Punch	Exception	Missing Punch	1
Leave Without Pay Request	Exception	LWOP	3
Unexcused Absence	Exception	Unexcused Absence	7
Early Out 8-29 Min	Exception	Early Out	1
Early Out 30-59 Min	Exception	Early Out	3
Early Out 1 Hour or More	Exception	Early Out	5

# SpectraCare Health Systems Inc.

## 208 – Non-Exempt Employee Attendance Control Policy – version 2

Disciplinary Level	Points Earned
Verbal Written Warning	10
Step I Disciplinary Action	20
Step II Disciplinary Action	25
Termination	30

**Notes:** The CEO may approve for this policy to be altered, replaced or discontinued at any time with or without notice. This policy does not represent any contractual obligation for the company.

# SpectraCare Health Systems Inc.

## 209 – Policy for Credentialing of Staff – version 1

<b>Policy Section</b>	<b>200 – Operating Policies</b>
<b>Policy Number</b>	<b>209</b>
<b>Revision Number</b>	<b>Version 1</b>
<b>Effective Date</b>	<b>January 1, 2021</b>
<b>Last Reviewed Date</b>	<b>March 9, 2020</b>
<b>Board Approval</b>	<b>December 10, 2020</b>

**Policy Statement:** It is the policy of SpectraCare Health Systems and/or its subsidiaries (hereinafter referred to as “SpectraCare”) to assess and confirm the credentials and qualifications of each licensed or certified health care provider, whether employed, contracted, volunteer, or locum tenens, at all SpectraCare sites prior to providing clinical services on behalf of SpectraCare Health Systems and on a regular basis thereafter. SpectraCare will verify that its health care providers have met standards of practice and training and possess the requisite skills and expertise to manage and treat patients and to perform services that are authorized.

**Applicability:** This policy applies to all SpectraCare and/or its subsidiaries’ employees whether employed, contracted, volunteer, or locum tenens.

**Attachments:** None

### **Definitions:**

- **Credentialing** - the process of assessing and confirming the qualifications of a licensed or certified health care provider, which includes collecting and verifying information, assessing and interpreting the information, and making decisions about the qualifications of the provider.
- **Licensed Independent Providers** – Individuals permitted by law and the organization to provide care and services without direction or supervision, within the scope of the individual’s license and consistent with individually granted clinical privileges, including, but not limited to, physician, nurse practitioner, psychologist, licensed clinical social worker, licensed marriage and family therapist, licensed professional counselor.
- **Other Licensed or Certified Health Care Provider** – An individual who is licensed, registered, or certified but is not permitted by law to provide patient care services without direction or supervision. Examples include, but are not limited to, registered nurse, licensed practical nurse, medical assistant, social worker.
- **Source Verification** - Verification by the original source of a specific credential to determine the accuracy of a qualification reported by an individual health care provider. Depending on the type of verification needed, examples of source

# SpectraCare Health Systems Inc.

## 209 – Policy for Credentialing of Staff – version 1

verification include, but are not limited to, direct correspondence, telephone verification, internet verification, and reports from a credential verification organization. The Medical Board of Examiners, Alabama Board of Examiners in Counseling, the American Board of Medical Specialties, the American Osteopathic Association Physician Database, or the American Medical Association (AMA) Master File can be used to verify education and training.

### **Procedure for Credentialing:**

- The credentialing process must follow the requirements of the accrediting organization.
- Credentialing of Licensed Independent Providers and Other Licensed or Certified Health Care Providers requires source verification to include but not limited to the following:
  - Current Licensure and/or Registration
  - Board Certification
  - Drug Enforcement Administration (DEA) registration (as applicable)
  - Narcotics Enforcement Division (NED) registration (as applicable)
  - Hospital Admitting Privileges (as applicable)
  - Relevant Education, training, or experience,
  - Current competence
- Prior to initializing the credentialing process, all licensed or certified health care providers must accept an offer of employment or contract and clear a criminal history background check and drug screen.
- Human Resources will perform source verification of credentials or will submit a request for credentials verification to a credential verification organization.
- After completion of the verification process, Human Resources will forward all applicable documents to the Insurance/Business Department for provider credentialing.
- All documentation from the credentialing process will be kept in the provider's file as a part of their Personnel record.
- The Insurance/Business Office will house Credentialing applications regarding Insurance Companies, etc. These documents are housed in electronic format with a back-up system for security.
- The Insurance/Business Office is responsible for ensuring that all Provider applications are submitted in timely manner and maintained accordingly. This includes but not limited to re-enrollment, information updates, notification of provider termination, etc.
- Human Resources will maintain the provider's personnel file to ensure that all expiring licenses, registrations, and/or certifications are renewed by the Provider.
- A provider may be placed on Suspension without Pay if a license, registration and/or certification expires, and no renewal is received by Human Resources prior to the Expiration Date.

### **Procedure for Exclusion Checks**

- The Human Resources Department will complete exclusion checks prior to hire and monthly thereafter through the Office of Inspector General (OIG) and General Services Administration's System for Award Management (SAM).

# SpectraCare Health Systems Inc.

## 209 – Policy for Credentialing of Staff – version 1

- Exclusion records will be filed in the personnel files with the database being kept in the HR Department files on SharePoint. The HR Director will oversee this area of compliance.
- Documents will be maintained in accordance with federal regulations by the Human Resources Department for no less than 10 years.

**Notes:** This policy may be altered, replaced or discontinued at any time with or without notice by the CEO. This policy does not represent any contractual obligation for the company.

# SpectraCare Health Systems Inc.

## 211 – Hiring Practices – version 1

<b>Policy Section</b>	<b>200 – Operating Policies</b>
<b>Policy Number</b>	<b>211</b>
<b>Revision Number</b>	<b>Version 1</b>
<b>Effective Date</b>	<b>January 1, 2021</b>
<b>Last Reviewed Date</b>	<b>March 9, 2020</b>
<b>Board Approval</b>	<b>December 10, 2020</b>

**Policy Statement:** SpectraCare Health Systems believes that hiring qualified individuals to fill positions contributes to the overall strategic success of the company and to the individuals we serve in the community. Prior to employment, SpectraCare will verify that all staff have met standards of practice and possess the requisite skills and expertise to manage, treat patients and to perform services that are authorized. In hiring the most qualified candidates for positions, the following hiring practices have been established.

**Applicability:** This policy applies to all SpectraCare and/or its subsidiaries' employees whether employed, contracted, volunteer, or locum tenens.

**Attachments:** None

**Definitions:** None

**Practice:**

### **HIRING PRACTICES**

It is the policy that hiring practices of SpectraCare are in compliance with laws and funding source regulations, are handled in a consistent manner and are non-discriminatory. Selections will be made based primarily upon job qualifications and relevant experience.

### ***JOB ADVERTISEMENTS***

It will be at the discretion of the Chief Human Resources Officer (CHRO) to advertise for candidates to fill a vacancy from a pool only within the ranks of SpectraCare or to include advertisements to the general public. In house job postings are posted for a period of two (2) to seven (7) days depending on the position and the urgency to fill it. SpectraCare has the discretion to post jobs outside the system simultaneously if there is an urgent need to fill the position quickly.

# **SpectraCare Health Systems Inc.**

## **211 – Hiring Practices – version 1**

Advertisements of an opening will typically be placed on the SpectraCare intranet (internal postings), website, job boards and/or in the employment service provided by the State. Dependent upon the position, media advertisements may be purchased, as authorized by the Chief Human Resources Officer (CHRO).

### ***INTERVIEW & SELECTION PROTOCOL***

Invitations to interview will be based upon a comparison of qualifications listed on the candidates resume/application to the requirements of the position as listed on job description. Internal candidates are not guaranteed an interview thus interview selection is based off skill level needed and the applicant's prior experience for the position applied for. Interviews do not mandate selection. Persons interviewed will be rated as to their qualifications, responses to questions and subjective impressions about their overall interview performance.

### ***REFERENCE, MOTOR VEHICLE RECORD AND BACKGROUND CHECKS***

The Human Resources Department completes a reference check on applicants once a recommendation of hire has been made by the Director or the HR Department. Reference checks may include but not limited to personal references, professional references, and/or educational background. Some positions that deal with money or financial transactions may require a credit background check with the approval of the Chief Executive Officer.

All employees will sign a release for motor vehicle record check. This check is to assure the employee is insurable for driving a system vehicle. Negative findings at any point, even after hire, may be grounds for termination of employment. If at any time an employee is not insurable and their position requires them to drive a company vehicle, termination of employment may occur.

All employees who are offered employment, any volunteer, and/or agent must pass a criminal background check. Background checks will include at minimum: Social Security Verification, Sex Offender Registry, Court Search Records for State of Alabama and other states applicant may have lived. Misdemeanors and/or felonies will be evaluated in accordance with the position offered. Factors such as job relations, age and time of offense, seriousness and nature of violation and rehabilitation will be taken into account. No perspective employee will be hired who has been convicted of assaulting any person.

### ***PRE-EMPLOYMENT DRUG SCREEN***

A pre-employment drug screen is required of all new persons being considered for employment prior to their actual employment. Employees will be required to sign a Confidential Drug Screen Testing Consent Form at the time of testing. Individuals whose pre-employment drug test

# SpectraCare Health Systems Inc.

## 211 – Hiring Practices – version 1

returns positive (except with a valid prescription of prescribed drug or over the counter medications) will be ineligible for employment and any previous offer of employment will be rescinded. Refusal to submit to or cooperate with testing will result in disqualification of further employment consideration; this includes leaving the testing site prior to successful completion of testing as certified by the MRO.

### ***EXCLUSION CHECKS***

The Human Resources Department will complete exclusion checks prior to hire and monthly thereafter through the Office of Inspector General (OIG) and General Services Administration's System for Award Management (SAM). Exclusion records will be filed in the personnel files with the database being kept in the HR Department files on SharePoint. The HR Director will oversee this area of compliance. Documents will be maintained in accordance with federal regulations by the Human Resources Department for no less than 10 years.

### ***OTHER EMPLOYMENT TESTS***

SpectraCare employees may be required to have a TB Baseline Screening, a one-step TB test or chest x-ray once offered employment. If the TB test is positive, validation of non-contagious condition must be provided in writing by physician on behalf of the new employee.

In addition, SpectraCare offers the Hepatitis B vaccination to all employees as well. Employees have the right to refuse series of vaccination.

**Notes:** This policy may be altered, replaced or discontinued at any time with or without notice by the CEO. This policy does not represent any contractual obligation for the company.



# SpectraCare Health Systems Inc.

## 301 – Family Medical Leave Policy – Version 1

<b>Policy Section</b>	<b>300 - Employee Benefits</b>
<b>Policy Number</b>	<b>301</b>
<b>Revision Number</b>	<b>Version 2</b>
<b>Review Date</b>	<b>November 1, 2020</b>
<b>Board Approval</b>	<b>December 10, 2020</b>
<b>Effective Date</b>	<b>January 1, 2021</b>

**Policy Statement:**

It is the policy of SpectraCare Health Systems Inc. and/or its subsidiaries (hereinafter referred to as “SpectraCare”) to grant up to 12 weeks of family and medical leave during any 12 month period to eligible employees, in accordance with the Family and Medical Leave Act of 1993 (FMLA) and up to 26 weeks of leave in any 12-month period in compliance with the expansion of FMLA under The Support for Injured Service members Act of 2007<sup>1</sup>. The leave may be paid, unpaid or a combination of paid and unpaid leave, depending on the circumstances of the leave as specified in this policy.

**Applicability:**

This policy applies to all regular status SpectraCare and/or its subsidiaries’ employees.

**Attachments:**

- FMLA Request Form – 301A
- Health Care Provider Certification Form – 301B

**Definitions:**

- Family Medical Leave Act (FMLA)– SpectraCare complies with all requirements of the Family and Medical Leave Act of 1993 (FMLA). FMLA provides up to 12 workweeks (in a rolling year) of unpaid leave for eligible employees to care for the employee’s child after birth or placement for adoption or foster care, to care for the employee’s spouse, child, or parent who has a serious health condition, for a serious health condition that makes the employee unable to perform his or her job, or for any qualifying exigency arising out of the fact that a spouse, son, daughter, or parent is a military member on covered active duty or call to covered active duty status.

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<sup>1</sup> Department of Labor The Employer’s Guide to the Family Medical Leave Act, page 6  
[www.dol.gov/sites/dolgov/files/WHD/egacy/files/employerguide.pdf](http://www.dol.gov/sites/dolgov/files/WHD/egacy/files/employerguide.pdf) November 1, 2020

# SpectraCare Health Systems Inc.

## 301 – Family Medical Leave Policy – Version 1

- FMLA Eligibility – Employees are eligible for FMLA benefits after they have completed at least one (1) year of service and have worked at least 1,250 hours in the last twelve (12) months.
- Consecutive FMLA – Consecutive FMLA is a leave that meets all of the listed criteria and is at least three (3) days in length, and those days run consecutively.
- Intermittent FMLA – Intermittent FMLA is a leave that meets all of the criteria noted above but requires the employee to be absent for a serious health condition on an intermittent basis, i.e. appointments, treatments, etc.
- FMLA Start Date – FMLA status will begin on the date of request or the date of need. SpectraCare will look back a maximum of two (2) weeks to enroll an employee in FMLA.
- Compensation During Leave – An employee will be required to use all available sick leave during a FMLA leave.
- Reporting Requirements – While on FMLA, an employee must contact the Human Resources Department at least every two weeks. Documentation may be required to remain on leave.
- Requirement to Use FMLA – If an employee is absent for a reason that qualifies for FMLA, the employee must use that benefit. It is not an option that can be delayed until sometime in the future.

### **Eligibility:**

- To qualify to take family or medical leave under this policy, the employee must meet all of the following conditions:
  - Works for a covered employer.
  - The employee must have worked for the employer for at least 12 months or 52 weeks. The 12 months or 52 weeks need not have been consecutive. For eligibility purposes, an employee will be considered to have been employed for an entire week even if the employee was on the payroll for only part of the week or if the employee is on leave during the week<sup>2</sup>.
  - The employee must have worked at least 1,250 hours during the 12-month period immediately preceding the start of the FMLA leave. Generally, the principles for compensable hours of work under the FLSA are used in determining the hours of service that an employee has worked. Only the actual time worked, including overtime hours worked is counted. Time not actually worked, including vacation, personal leave, sick leave, holidays, and any other form of paid time (PTO) is not counted towards the 1,250 hours of service. Unpaid leave of any kind or periods of layoff also are not counted.<sup>3</sup>

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<sup>2</sup> Department of Labor The Employer's Guide to the Family Medical Leave Act, page 16 [www.dol.gov/sites/dolgov/files/WHD/egacy/files/employerguide.pdf](http://www.dol.gov/sites/dolgov/files/WHD/egacy/files/employerguide.pdf) November 1, 2020

<sup>3</sup> Department of Labor The Employer's Guide to the Family Medical Leave Act, page 17 [www.dol.gov/sites/dolgov/files/WHD/egacy/files/employerguide.pdf](http://www.dol.gov/sites/dolgov/files/WHD/egacy/files/employerguide.pdf) November 1, 2020

# SpectraCare Health Systems Inc.

## 301 – Family Medical Leave Policy – Version 1

- The employee must work in an office or work site where 50 or more employees are employed by the company within 75 miles of that office or work site. The 50 or more employee count is determined based on the number of employees on payroll regardless of whether they are part-time, temporary, or seasonal employees. The 75 miles are measured from the employee's worksite by surface miles, using surface transportation over public streets, roads, highways, and waterways by the shortest route possible. An employee's personal residence is not a worksite. For employees who work from home under "telework" or "flexi-place" arrangements, or other employees, the worksite is the office to which they report or from which they receive assignments.<sup>4</sup>

### Circumstances that Qualify for FMLA Leave:

- To qualify as FMLA leave under this policy, the employee must be taking leave for one of the reasons listed below<sup>5</sup>:
  - The birth of a child or placement of a child for adoption or foster care;
  - To bond with a child (leave must be taken within one year of the child's birth or placement);
  - To care for the employee's spouse, child, or parent who has a qualifying serious health condition;
  - For the employee's own qualifying serious health condition that makes the employee unable to perform the employee's job (described below);
  - Any qualifying exigency arising out of the fact that the employee's spouse, son, daughter, or parent is a military member on covered active duty or call to covered active duty status (see "A covered family member's active duty or call to active duty in the Armed Forces").

In addition, eligible employees may take up to 26 workweeks of leave in a single 12-month period to care for a covered servicemember with a serious injury or illness if the employee is the spouse, son, daughter, parent, or next of kin of the servicemember (referred to as military caregiver leave). An eligible employee is limited to a *combined* total of 26 workweeks of leave for **any** FMLA qualifying reasons during the single 12-month period. (see below "Military Caregiver Leave").

### Serious Health Condition

- An employee may take leave because of a serious health condition that makes the employee unable to perform the functions of the employee's position.
- A serious health condition is an illness, impairment, or physical or mental condition that involves **inpatient care** or **continuing treatment** by a healthcare provider.<sup>6</sup>

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<sup>4</sup> Department of Labor The Employer's Guide to the Family Medical Leave Act, page 17 [www.dol.gov/sites/dolgov/files/WHD/egacy/files/employerguide.pdf](http://www.dol.gov/sites/dolgov/files/WHD/egacy/files/employerguide.pdf) November 1, 2020

<sup>5</sup> Department of Labor The Employer's Guide to the Family Medical Leave Act, page 23 [www.dol.gov/sites/dolgov/files/WHD/egacy/files/employerguide.pdf](http://www.dol.gov/sites/dolgov/files/WHD/egacy/files/employerguide.pdf) November 1, 2020

<sup>6</sup> Department of Labor The Employer's Guide to the Family Medical Leave Act, page 25 [www.dol.gov/sites/dolgov/files/WHD/egacy/files/employerguide.pdf](http://www.dol.gov/sites/dolgov/files/WHD/egacy/files/employerguide.pdf) November 1, 2020

# SpectraCare Health Systems Inc.

## 301 – Family Medical Leave Policy – Version 1

- For all conditions “incapacity” means inability to work, including being unable to perform any one of the essential functions of the employee’s position, or inability to attend school, or perform other regular daily activities due to the serious health condition, treatment of the serious health condition, or recovery from the serious health condition. The term “treatment” includes but is not limited to examinations to determine if a serious health condition exists and evaluations of the condition.<sup>6</sup>
- This policy covers illnesses of a serious and long-term nature, resulting in recurring or lengthy absences. Generally, a chronic or long-term health condition, which, if left untreated, would result in a period of incapacity of more than three days, would be considered a serious health condition.
- Employees with questions about what illnesses are covered under this FMLA policy or under the company’s sick leave policy are encouraged to consult with the HR department.
- The company may require an employee to provide a doctor’s certification of the serious health condition. The certification process is outlined in more detail in the certification section of this policy.
- If an employee takes paid sick leave for a condition that progresses into a serious health condition and the employee requests unpaid leave as provided under this policy, the company may designate all or some portion of related leave taken as leave under this policy, to the extent that the earlier leave meets the necessary qualifications.

### **Military Family Leave**

A covered family member’s active duty or call to active duty in the Armed Forces (including National Guard and Reserves)<sup>7</sup>:

- An eligible employee may take qualifying exigency leave (up to 12 weeks of leave) when the employee’s spouse, son, daughter or parent who is a member of the Armed Forces (including the National Guard and Reserves) is on covered active duty, under a call to covered active duty status, or has been notified of an impending call or order to covered active duty.
  - For members of the Regular Armed Forces, covered active duty is duty during the deployment of the member with the Armed Forces to a foreign country.
  - For members of the Reserved components of the Armed Forces (members of the U.S. National Guard and Reserves), covered active duty is duty during the deployment of the member with the Armed Forces to a foreign country under a call or order to active duty in support of a contingency operation.
- Unlike non-military FMLA leave, for purposes of qualifying exigency leave, an employee’s son or daughter on covered active duty refers to a son or daughter of any age.
- Qualifying Exigency Categories:

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<sup>7</sup> *Department of Labor* The Employer’s Guide to the Family Medical Leave Act, page 37-40  
[www.dol.gov/sites/dolgov/files/WHD/egacy/files/employerguide.pdf](http://www.dol.gov/sites/dolgov/files/WHD/egacy/files/employerguide.pdf) November 1, 2020

# SpectraCare Health Systems Inc.

## 301 – Family Medical Leave Policy – Version 1

- Issues arising from the military member's short notice deployment (i.e., deployment within seven or fewer days of notice),
- To make or update financial and legal arrangements to address a military member's absence,
- To attend counseling for the employee, the military member, or a child of the military member when the need for that counseling arises from the covered active duty or call to covered active duty status of the military member and the counseling is provided by someone other than a health care provider;
- To attend military events and related activities, including official military ceremonies and programs or informational briefings related to the military member's covered active duty sponsored or promoted by the military or military service organizations;
- To spend up to 15 calendar days with a military member who is on rest and recuperation leave,
- Certain childcare and related activities for the military member's child while the military member is on covered active duty,
  - The employee does not need to be related to the military member's child to take qualifying exigency leave for this purpose. But, (1) the military member must be the parent, spouse, or child of the employee taking leave; and (2) the child for whom the employee is arranging for or providing childcare must be the child of the military member.
- To attend post-deployment activities within 90 days of the end of the military member's covered active duty or to attend to issues arising from the death of a military member while on covered active duty;
- Certain parental care activities for the military member's parent who is incapable of self-care, and
  - The employee does not need to be related to the military member's parent to take qualifying exigency leave for this purpose. But, (1) the military member must be the parent, spouse, or child of the employee taking FMLA leave; and (2) the parent receiving assistance must be the parent of the military member.
- Any other event that the employee and employer agree is a qualifying exigency. • Both the employee and employer must agree to the timing and duration of the leave.
- This type of leave would be counted toward the employee's 12-week maximum of FMLA leave in a 12-month period.
- Employees requesting this type of FMLA leave must provide proof of the qualifying family member's call-up or active military service before leave is granted.

### **Military Caregiver Leave**<sup>8</sup>:

- A covered servicemember is either:

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<sup>8</sup> *Department of Labor* The Employer's Guide to the Family Medical Leave Act, page 41-45  
[www.dol.gov/sites/dolgov/files/WHD/egacy/files/employerguide.pdf](http://www.dol.gov/sites/dolgov/files/WHD/egacy/files/employerguide.pdf) November 1, 2020

# SpectraCare Health Systems Inc.

## 301 – Family Medical Leave Policy – Version 1

- **A Current Servicemember:** A covered servicemember means a current member of the Armed Forces, including a member of the U. S. National Guard or Reserves, who is undergoing medical treatment, recuperation, or therapy, is otherwise in outpatient status, or is otherwise on the temporary disability retired list, for a serious injury or illness; or
- **A Veteran:** A covered servicemember means a veteran who is undergoing medical treatment, recuperation, or therapy for a serious injury or illness, and who was discharged within the previous five years before the employee takes military caregiver leave to care for the veteran.
- This leave may extend to up to 26 weeks in a single 12-month period for an employee whose spouse, son, daughter, parent or next-of-kin is injured or recovering from an injury suffered while on active military duty and who is unable to perform the duties of the service member's office, grade, rank or rating.
  - For purposes of military caregiver leave, a son or daughter refers to the servicemember's son or daughter of any age.
  - Next-of-kin is defined as the closest blood relative of the injured or recovering service member.
- A serious injury or illness for a current servicemember is an injury or illness that was incurred by the servicemember in the line of duty on active duty that may render the servicemember medically unfit to perform the duties of his or her office, grade, rank, or rating. A serious injury or illness may also result from the aggravation of a pre-existing condition in the line of duty on active duty.
- A serious injury or illness for a veteran is an injury or illness that was incurred in the line of duty when the veteran was on active duty in the Armed Forces, including any injury or illness that resulted from the aggravation of a preexisting condition in the line of duty on active duty. The injury or illness may manifest itself during active duty or may develop after the servicemember becomes a veteran.
  - A serious injury or illness of a veteran must be either:
    - A continuation of a serious injury or illness that was incurred or aggravated when the covered veteran was a member of the Armed Forces and rendered the servicemember unable to perform the duties of the servicemember's office, grade, rank, or rating; or
    - A physical or mental condition for which the veteran has received a United States Department of Veterans Affairs Service Related Disability Rating (VASRD) of 50% or more and the need for care is related to that condition, or
    - A physical or mental condition because of a disability or disabilities related to military service that substantially impairs the veteran's ability to work, or would do so absent treatment; or
    - An injury for which the veteran is enrolled in the Department of Veterans' Affairs Program of Comprehensive Assistance for Family Caregivers.
- The "single 12-month period" for military caregiver leave begins on the first day the employee takes leave for this reason and ends 12 months later, regardless of the 12-month period established by the employer for other types of FMLA leave. An eligible employee is limited to a combined total of 26 workweeks of leave for any FMLA-

# SpectraCare Health Systems Inc.

## 301 – Family Medical Leave Policy – Version 1

qualifying reason during the “single 12-month period.” Up to 12 of the 26 workweeks may be for an FMLA-qualifying reason other than to care for a covered servicemember.

### **Calculation of FMLA Leave**

- An eligible employee can take up to 12 weeks (or up to 26 weeks of leave to care for an injured or ill service member) under this policy during any 12-month period. The company will measure the 12-month period as a rolling 12-month period measured backward from the date an employee uses any leave under this policy (for non-military leave). Each time an employee takes leave, the company will compute the amount of leave the employee has taken under this policy in the last 12 months and subtract it from the 12 weeks (or 26 weeks for the care of an injured or ill service member) of available leave, with the balance remaining being the amount the employee is entitled to take at that time<sup>9</sup>.
- If a husband and wife both work for the company and each wishes to take leave for the birth of a child, adoption or placement of a child in foster care, or to care for a parent (but not a parent-in-law) with a serious health condition, the husband and wife may only take a combined total of 12 weeks of leave. If a husband and wife both work for the company and each wishes to take leave to care for a covered injured or ill service member, the husband and wife may only take a combined total of 26 weeks of leave.

### **Employee Status and Benefits During Leave:**

- While an employee is on leave, the company will continue the employee’s health benefits during the leave period at the same level and under the same conditions as if the employee had continued to work.
- SpectraCare will pay its portion of the cost of the employee’s benefits including health, dental, life insurance benefits while an employee is on FMLA. The employee must continue to pay his or her portion of the benefits which may be made by payroll deduction (if applicable) or by a check which must be submitted to Human Resources Department each pay period, unless other arrangements have been made. If the payment is more than 30 days late, the employee’s health care coverage may be terminated and he/she will be offered COBRA to continue benefits, excluding life and disability insurance. If employee does not return to work, repayment of employer’s share of health insurance must be made. The employer will provide 15 days’ notification prior to the employee’s loss of coverage.
- This leave does not negatively affect employee savings vesting, if applicable.

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<sup>9</sup> *Department of Labor* The Employer’s Guide to the Family Medical Leave Act, page 51  
[www.dol.gov/sites/dolgov/files/WHD/egacy/files/employerguide.pdf](http://www.dol.gov/sites/dolgov/files/WHD/egacy/files/employerguide.pdf) November 1, 2020

# SpectraCare Health Systems Inc.

## 301 – Family Medical Leave Policy – Version 1

### **Employee Status after Leave:**

- An employee who takes leave under this policy will be restored to their previous position or a comparable position upon completion of leave unless employee would have been laid off or terminated if not on leave. This position will be the same or virtually identical in terms of pay, benefits, and working conditions.
- The company may choose to exempt certain key employees from this requirement and not return them to the same or similar position.

### **Use of Pay and Unpaid Leave:**

- An employee who is taking FMLA leave because of the employee's own serious health condition or the serious health condition of a family member must use all paid vacation, personal and sick leave prior to being eligible for unpaid sick leave.
- An employee who is taking leave for the adoption or foster care of a child must use all paid vacation, personal and sick leave prior to being eligible for unpaid leave.

### **Intermittent Leave or a Reduced Work Schedule:**

- The employee may take FMLA leave in 12 consecutive weeks, may use the leave intermittently, or may use the leave to reduce the work week or work day, resulting in a reduced hour schedule. In all cases, the leave may not exceed a total of 12 work weeks (or 26 work weeks to care for an injured or ill service member over a 12-month period).
- SpectraCare may temporarily transfer an employee to an available alternative position with equivalent pay and benefits if the alternative position would better accommodate the intermittent or reduced schedule, in instances of when leave for the employee or employee's family member is foreseeable and for planned medical treatment, including recovery from a serious health condition or to care for a child after birth, or placement for adoption or foster care.
- For the birth, adoption or foster care of a child, the company and the employee must mutually agree to the schedule before the employee may take the leave intermittently or work a reduced hour schedule. Leave for birth, adoption or foster care of a child must be taken within one year of the birth or placement of the child.
- If the employee is taking leave for a serious health condition or because of the serious health condition of a family member, the employee should try to reach agreement with the company before taking intermittent leave or working a reduced hour schedule. If this is not possible, then the employee must prove that the use of the leave is medically necessary. SpectraCare may require certification of the medical necessity as discussed below.

### **Certification of the Serious Health Condition of the Employee or the Spouse, Child, or Parent of the Employee<sup>10</sup>:**

- SpectraCare may ask for certification of the serious health condition. The employee must respond to such a request within 15 days of the request or provide a reasonable

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<sup>10</sup> *Department of Labor* The Employer's Guide to the Family Medical Leave Act, pages 28-36  
[www.dol.gov/sites/dolgov/files/WHD/egacy/files/employerguide.pdf](http://www.dol.gov/sites/dolgov/files/WHD/egacy/files/employerguide.pdf) November 1, 2020



# SpectraCare Health Systems Inc.

## 301 – Family Medical Leave Policy – Version 1

explanation for the delay. Failure to provide certification may result in a denial of continuation of leave. Medical certification may be provided by using the Medical Certification Form. Request for a medical certificate must be made in writing as part of the employer response to employee request for leave.

- Certification of the serious health condition shall include the date when the condition began, its expected duration and a brief statement of treatment. For medical leave for the employee's own medical condition, the certification must also include a statement that the employee is unable to perform the essential functions of the employee's position. For a family member who is seriously ill, the certification must include a statement that the patient, the family member, requires assistance and that the employee's presence would be beneficial and desirable.
- If the employee plans to take intermittent leave or work a reduced schedule, the certification must also include dates and the duration of treatment as well as a statement of medical necessity for taking intermittent leave or working a reduced schedule.
- SpectraCare has the right to ask for a second opinion if it has reason to doubt the certification. The company will pay for the employee to get a certification from a second doctor, which the company will select. If necessary to resolve a conflict between the original certification and the second opinion, the company will require the opinion of a third doctor. The company and the employee will mutually select the third doctor, and the company will pay for the opinion. This third opinion will be considered final. The employee will be provisionally entitled to leave and benefits under the FMLA pending the second and/or third opinion.

### **Certification of the Covered Family Member's Active Duty or Call to Active Duty in the Armed Forces:**

- Employees requesting this type of service member FMLA leave must provide proof of the qualifying family member's call-up or active military service. This documentation may be a copy of the military orders or other official Armed Forces communication.

### **Certification for Military Caregiver Leave<sup>11</sup>:**

- Employees requesting this type of Service member FMLA leave must provide documentation of the family member's or next-of-kin's injury, recovery or need for care. This documentation may be a copy of the military medical information, orders for treatment, or other official Armed Forces communication pertaining to the service member's injury or illness incurred on active military duty that renders the member medically unfit to perform his or her military duties. Certification may be completed by a Department of Defense (DOD), Veterans Affairs (VA), or TRICARE health care provider, or by a private health care provider.

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<sup>11</sup> *Department of Labor The Employer's Guide to the Family Medical Leave Act*, page 46  
[www.dol.gov/sites/dolgov/files/WHD/egacy/files/employerguide.pdf](http://www.dol.gov/sites/dolgov/files/WHD/egacy/files/employerguide.pdf) November 1, 2020

# SpectraCare Health Systems Inc.

## 301 – Family Medical Leave Policy – Version 1

### **Procedure for Requesting Leave for 1) the birth of a child or in order to care for that child; 2) the placement of a child for adoption or foster care and to care for the newly placed child; 3) to care for a spouse, child or parent with a serious health condition; or 4) the serious health condition of the employee:**

- All employees requesting this type of FMLA leave must provide verbal notice with an explanation of the reason(s) for the needed leave to their immediate supervisor, who will advise the HR department. If the leave is foreseeable, the immediate supervisor may require the employee to provide a written request for leave and reasons(s) with a copy to the HR department. Failure of the employee to provide a written request for leave cannot be grounds to deny or delay the taking of FMLA leave.
- SpectraCare will provide individual notice of rights and obligations to each employee requesting leave within five business days or as soon as practicable. If the need for leave changes and/or an employee is close to exhausting leave, a new notice will be provided to the employee.
- When an employee plans to take leave under this policy, the employee must give the company 30 days' notice. If it is not possible to give 30 days' notice, the employee must give as much notice as is practicable. An employee who is to undergo planned medical treatment is required to make a reasonable effort to schedule the treatment in order to minimize disruptions to the company's operations.
- If an employee fails to provide 30 days' notice for foreseeable leave with no reasonable excuse for the delay, the leave request may be denied until at least 30 days from the date the employer receives notice. While on leave, employees are requested to report, at minimum, every two weeks to the company regarding the status of the medical condition and their intent to return to work.

### **Procedure for Requesting Leave for 1) a covered family member's active duty or call to active duty in the Armed Forces or 2) to care for an injured or ill service member:**

- All employees requesting this type of FMLA leave must provide verbal notice with an explanation of the reason(s) for the needed leave to their immediate supervisor, who will advise the HR department. Leave may commence as soon as the individual receives the call-up notice. If the leave is foreseeable, the immediate supervisor may require the employee to provide a written request for leave and reasons(s) with a copy to the HR department.
- The company will provide individual notice of rights and obligations to each employee requesting leave within two business days or as soon as practicable.

# SpectraCare Health Systems Inc.

## 301 – Family Medical Leave Policy – Version 1

**Notes:** The CEO may approve for this policy to be altered, replaced or discontinued at any time with or without notice. This policy does not represent any contractual obligation for the company.

# SpectraCare Health Systems Inc.

## 302 – Employee Compensation Policy – Version 3

<b>Policy Section</b>	<b>300 - Employee Benefits</b>
<b>Policy Number</b>	<b>302</b>
<b>Revision Number</b>	<b>Version 3</b>
<b>Review Date</b>	<b>October 17, 2020</b>
<b>Board Approval</b>	<b>December 10, 2020</b>
<b>Effective Date</b>	<b>January 1, 2021</b>

**Policy Statement:** At SpectraCare Health Systems, Inc., and/or its subsidiaries (hereinafter referred to as “SpectraCare”) we believe it is in the best interest of both the organization and the employee to fairly compensate our workforce for the value of the work provided. This enables the company to attract and retain quality employees. The company makes all employment decisions, including pay, based on job-related qualifications. SpectraCare Health Systems, Inc. will comply with and follow all State and Federal laws regarding compensation, including FLSA<sup>1</sup>.

The Systems structure is reflected on the current organizational chart. Each job position, as shown on the organizational chart, will have a corresponding job description including job title, classification, supervisor, grade level, duties, and qualifications. Salary ranges for each grade level will be in accordance with the approved System pay schedule.

**Applicability:** This policy applies to all SpectraCare and/or its subsidiaries’ employees.

**Attachments:** None

**Definitions:**

- Pay Grades – All SpectraCare jobs are classified into broad pay grades for base compensation purposes. Changes in established ranges will be made only with the approval of the Chief Executive Officer.
  - Skill/Pay Level – SpectraCare has established a very broad salary range for each grade of jobs. Individual salaries for specific employees are established by the Executive Staff Officer and Chief Human Resources Officer, with final approval by the Chief Executive Officer.
- New Hires- New hire salaries will typically be established in the lower section of the range. Salaries for employees will be set by Chief Human

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<sup>1</sup> U.S. Dept of Labor, Wage and Hour Division, Fair Labor Standards Act [www.dol.gov/agencies/whd/flsa](http://www.dol.gov/agencies/whd/flsa)  
October 17, 2020

# SpectraCare Health Systems Inc.

## 302 – Employee Compensation Policy – Version 3

Resources Officer and within guidelines established by the Chief Executive Officer. The Chief Executive Officer will approve any new hire before a job offer is made.

- Base Pay Adjustments – Periodic adjustments to selected salary grades or all jobs will be made based on comparison of job duties and pay to the local market using local and industry surveys, changes in the cost of living, and the ability of the company to remain competitive. Base pay adjustments are recommended by Chief Human Resources Officer, Chief Executive Staff Officer and Chief Finance Officer and approved by the Chief Executive Officer. The financial strength and competitiveness of the company will always be a consideration in deciding base pay adjustments. Pay may be adjusted downwards based on financial factors.
- Reallocation and Salary Adjustment – When it is found by audit that a position should be reallocated to a higher or lower job or grade level, the Chief Human Resources Officer and Chief Executive Staff Officer will make recommendations to the Chief Executive Officer who may then approve the change to a more appropriate level.
- Overtime Pay – Overtime pay does apply to Non-Exempt employees. It **DOES NOT** apply to Salaried Exempt employees. It is the policy of the System that non-exempt employees work no more than 40 hours/week. Additional hours over 40 per week will be compensated one and one-half (1 ½) times the employee's regular rate. Vacation, Sick, Personal Leave and/or Holiday pay is not counted for purposes of overtime calculations. SpectraCare will fairly administer the overtime requirements. Employees may not work overtime without the approval of their Executive Staff Officer and/or Chief Executive Officer (CEO). Working unauthorized overtime may result in disciplinary action. Repeated offenses may result in termination.
- Holiday Work – Salaried Non-Exempt employees who are required to work on designated holidays will be paid for that time at their regular pay rate. Employees who are scheduled to work on a holiday may be given another day off within the same week as their holiday. You are not eligible to receive holiday pay when you are on suspension, Workers' Compensation leave or any other approved leave of absence (excluding FMLA).
- Non-Exempt Hourly Employee – A non-exempt hourly employee, is generally subject to the overtime provisions of the Fair Labor Standards Act ("FLSA") and is paid on an hourly basis. These employees are expected to clock in and clock out daily. The base pay for non- exempt employees is set on a pay grade established by SpectraCare.
- Exempt Salary-Paid Employee – An exempt employee is exempt from the provisions of the FLSA and is not entitled to overtime payments. Exempt employees typically are paid on a salary basis and include but not limited to executive and professional employees, and certain highly skilled computer professionals.

# SpectraCare Health Systems Inc.

## 302 – Employee Compensation Policy – Version 3

- Relief/PRN Employee – A PRN/Relief employee is generally an individual who is hired to work at SpectraCare for a specified, limited period. PRN / Relief employees may apply for open positions within the organization. SpectraCare may also extend a regular status job offer to Relief/PRN employees who are performing satisfactorily if an open position exists. Relief/PRN employees are not eligible for SpectraCare benefits and are limited to the number of hours worked each week.
- Contract Employee – A contract employee is a worker hired to perform specified tasks for a set period of time and paid for work produced. SpectraCare will utilize the IRS' 20-Factor test to determine whether a worker will be classified as a contract employee. Contract employees are not eligible for SpectraCare benefits.
- Full Time Employee – A full-time employee is an individual who works a normal work week of at least 30 hours and is hired for an indefinite period.
- Part-Time Employee – A part-time employee is an individual who works less than a normal work week (less than 30 hours) and is hired for an indefinite period.
- Probationary Period – Initial six (6) months after hire. Generally, salary increases are not given during the initial probationary period. If special circumstances merit consideration, this must be delineated in writing to the Chief Executive Officer. The probationary period may be extended at management's request for employee performance or attendance issues.
- Required Attendance – Employee attendance at required meetings, training, or events will be considered hours of work for compensation purposes, and therefore will be compensated time, if management requires and authorizes attendance.
- Comp Time- Comp Time may be offered to Salaried Exempt employees. Hours worked over forty (40) hours in a work week constitute comp time earned. Comp time is earned on a one hour worked/one hour earned basis. A maximum of 40 hours can be taken in any calendar year. Comp time cannot be carried from year to year. Comp time not used will not be reimbursed at the time of termination or at the end of the calendar year.
- Pay Periods – Employees are paid bi-weekly and will have twenty-six (26) pay periods per year. Payday is normally Friday for services performed for the two-week period ending the Sunday following the payday. There shall be no advance of pay to any employee.
- Work Schedule – The hours of operation vary among System programs according to the needs of the clients and mission of the program. Your schedule of daily work hours will be communicated to you by your Program Director and placed in the Electronic Timekeeping System via Paycor. Any changes in this schedule will be communicated to you as far in advance as possible. Should you have any questions concerning your work schedule, please ask your Program Director. As noted above,

# SpectraCare Health Systems Inc.

## 302 – Employee Compensation Policy – Version 3

overtime may be necessary. We will give you as much notice possible when overtime will be required.

- Timekeeping – Employees (Exempt & Non-exempt) are responsible for their electronic time record. The employee's Log-in Credential is his/her "electronic signature". If you forget to document your time or make an error on your record, your director must make the correction and approve. Non-exempt employees are not permitted to be in the work area for more than seven (7) minutes before your shift starts or more than seven (7) minutes after your scheduled quitting time nor can you electronically document (by clocking in/clocking out) such time without the expressed approval of your Director. All overtime must be approved in advance by your Executive Staff Officer or CEO. No one may record hours worked on another's time record (i.e. punch the time clock). Employee's may not alter another person's record, or influence anyone else to alter your record for you. Such conduct to include but not limited to falsification of record is grounds for disciplinary action up to termination of employment. In the event of an error in recording your time, report the matter to your Director immediately.
- Lunch Periods – All employees scheduled to work eight hours (8) or more may receive a thirty (30) minute lunch or meal break. You will not be compensated for this time. Non-exempt employees should not perform any work during your lunch break unless specifically requested to do so by management. Employees are encouraged not to eat at their workstations, unless their job requires them to be available for work, in which they will be paid for their mealtime. In the event you are unable to take your regularly scheduled lunch break at the request of your supervisor, your lunch break will be rescheduled or you will be paid for the time you worked. All time worked must be accurately recorded on your time record. Failure to do so may result in disciplinary action. When leaving the premises during your lunch period, you must clock out. Employees are expected to return to work from lunch break at the assigned time.
- Emergency On-Call (Call-Back) Pay – An emergency call-back is defined as an unscheduled request made by an appropriate member of management for an employee to return to work to do unforeseen or emergency work after the end of the employee's regular shift and before the beginning of the next regularly scheduled shift. A non-exempt employee who is called back to work outside his/her normal work schedule shall be paid for the time worked. Overtime compensation is applicable only when the total hours worked exceed the regularly scheduled work week hours.
- Transfers and Promotions – Personnel vacancies will be filled with the best qualified person available to the System with first consideration given insofar as is practicable to current employees who have applied for the position. All job openings are posted for a period of two (2) to seven (7) calendar days, depending on the position and the urgency to fill it.

# SpectraCare Health Systems Inc.

## 302 – Employee Compensation Policy – Version 3

SpectraCare has the discretion to post jobs outside the system simultaneously if there is an urgent need to fill the position quickly. Employees desiring to be considered for a transfer to a job open in another unit must: successfully complete the six (6) month probation period in present job and have the required qualifications posted for the position. Employees placed on Step II may not apply for an open position/transfer in another unit until successful completion of probation. The Chief Executive Officer (CEO) has the discretion to allow a transfer before the six month probation period has ended if it is deemed beneficial for SpectraCare

- Promotions – Promotions are defined as employees who apply for and/or are assigned positions to a higher-level pay grade. These employees will enter the new grade at an appropriate level of pay established by the Chief Human Resources Officer, with final approval of the Chief Executive Officer.
- Demotions – Demotions are defined as employees who apply for or are assigned a position within a lower pay grade. Employees will enter the new grade at an appropriate level of pay established by Human Resources and their Director, with the approval of the Chief Executive Officer.
- Lateral Moves – Lateral moves are defined as employees apply for and/or are assigned to a different job within their pay grade.

### Procedure:

- Establishing Starting Base Pay – Human Resources will work to establish a highly competitive starting base pay for each job. The compensation system will price positions and job skills to market using local, national, and industry specific survey data. Market research will occur at least annually and may be required more frequently on certain “hard to fill” jobs. Newly hired employees will typically start at an appropriate entry level. Human Resources may recommend starting the employee at some higher level based on the factors listed in this policy. The Chief Executive Officer has the final approval for salary recommendations.
- Salary Increases – The Chief Executive Officer may announce a salary increase for cost of living, annual merit, etc. Periodic adjustments to salaries may be made based on comparison of job duties and pay to the local market using local and industry surveys, changes in the cost of living, and the ability of the company to remain competitive. Pay adjustments are recommended by Chief Human Resources Officer, Chief Finance Officer and approved by the Chief Executive Officer. The CEO will approve the maximum percentage increase allowed for the following fiscal year. The financial strength and competitiveness of the company will always be a consideration in deciding salary increases.
- Special Merit Increase – The Chief Executive Officer may announce annually the maximum percentage allowed for a special merit increase. Employees may be granted special merit increases only when they are performing in their job in a consistently acceptable manner.



# SpectraCare Health Systems Inc.

## 302 – Employee Compensation Policy – Version 3

- Salary Negotiations – Salary negotiations must be done by Human Resources with the approval of the Chief Executive Officer. Human Resources will work closely with the Hiring Director in this decision but all communication to the applicant must be through Chief Human Resources Officer or designee. The only exception to this policy is certain high-level hires managed by the Chief Executive Officer of the system.
- Maximum of the Salary Range – No increases shall be granted above the maximum of the employee's assigned salary range except to adjust the salary for cost of living increases or merit increases. In the event of extraordinary circumstances warranting an increase beyond the increase authorized under this policy, a narrative documentation will be prepared in sufficient detail to allow an accurate decision upon the proposal in increase. The entire proposal will be reviewed by the Chief Human Resources Officer who will submit complete details to the Chief Executive Officer for approval.
- Pay Procedures for Lateral Moves – When an employee volunteers, applies for, or is moved to a job within the same pay grade, they will typically transfer at their current base rate of pay.
- Performance Expectations – Employees are expected to master their job skills within a reasonable amount of time. In most cases this is within a twelve (12) month time frame. Failure to master the requisite job skills may result in disciplinary action. Repeated failure to master the job skills may lead either to disciplinary action or termination.
- Equity and Consistency – Human Resources will review salaried pay data and ensure that pay adjustments are made on a fully equitable basis and that no bias or discrimination occurs.
- Establishing a New Position – The Human Resources Department shall maintain a job classification plan approved by the Chief Executive Officer. When new positions are to be established, complete descriptions shall be furnished to the Chief Human Resources Officer who will study the duties, responsibilities and other facts, recommend appropriate job level(s) to the Chief Executive Officer and, securing their approval, integrate the new job into the pay grade classification.
- Assignment of Job Titles to Pay Grades – Human Resources with the assistance of Executive Staff Officers and/or Chief Executive Officer is responsible for assigning specific job titles to specific pay grades. This assignment is done based on the knowledge, skills and abilities required to satisfactorily perform in these job titles. Job evaluations of each job will be conducted and these figures used to establish pay grade and pay grade equity.
- Pay Scale and Job Titles – Pay scales and job titles are kept on file in the Human Resources Department.
- Pay Computation – Compensation for regular work shall be based upon an approved annual rate or portion thereof. Pay calculations shall be made using forty (40) hours as a standard work week, and one-hundred seventy-three and one-third (173.33333) hours as a standard work month, and two thousand and eighty hours (2080) as a standard work year.
- Pay upon Termination – Termination of employment shall be either voluntary or involuntary. Employees will receive their last paycheck on the next payday following their last day of employment. Employees who voluntarily resign and complete the

# SpectraCare Health Systems Inc.

## 302 – Employee Compensation Policy – Version 3

requirements of their job to the satisfaction of their Director and who also work the required resignation notice as stated in the Employee Handbook may receive payment for accrued vacation leave. An employee who is involuntarily terminated will not receive payment for accrued vacation leave. There shall be no payment for accrued sick leave, personal leave or comp time not taken when an employee leaves the employ of SpectraCare.

- Garnishment – In the event a garnishment of wages is filed against the System, all such garnishments will be honored, and employee wages will be docked. Appropriate deductions for compliance will be figured and the employee will be notified in writing of the amount, length of time, and other necessary information. All garnishments will be handled by the Payroll Department in a confidential manner.
- Comp Time – Leave for comp time earned will be requested in the same manner as other leave. This time will be recorded on the time record as compensatory time earned or compensatory time taken. In allocating of staff time to programs, no compensatory time earned will be allocated at the time it is earned. When compensatory time is taken, it will be allocated to the program in which the employees' records show it was earned.
- Leave of Absence without Pay – Subject to the approvals of their Executive Staff Officer and the Chief Executive Officer, any employee may be granted a leave of absence without pay for a period not to exceed one (1) year. Employees on leave of absence without pay will not receive payment for paid holidays that occur during the leave of absence for that pay period and do not accrue Annual Leave, Sick Leave or vesting towards retirement when on leave without pay. Insurance benefits will continue for the employee on a Leave of Absence without pay only if the employee pays the entire premium of the benefit monthly.
- Jury Duty (Witness Service) – When an employee is summoned or subpoenaed to service, employees (FT/PT) will be paid for work hours lost for all days on which service is given. An employee fulfilling their community obligation does not; however, relieve employees of their obligation to work their schedule when possible or their obligation to keep their supervisor fully informed of their schedule while serving as a juror or witness. Scheduling arrangements may be made for residential employees working midnight to 8am shifts who are called for jury duty.
- Special Pay – With the Executive Director's approval, qualified employees may be engaged by the System or specific System unit to conduct programs, provide relief or otherwise assist in the delivery of mental health services outside their usual regularly scheduled System hours. When System employees are authorized to perform such work outside their regularly assigned duties and responsibilities, the Human Resources Director shall be notified in writing of each instance. Special pay authorization shall require separate Executive Staff Director approval in each instance of extra work and will be paid in addition to the employee's regular salary.
- Consultant Services Pay – Consultant services by System employees with an outside agency will be governed by a contract between the System and the agency requesting the service. Any consultation rendered by System employees on System time must have prior written approval of the Chief Executive Officer. In approved cases, employees may receive additional compensation for consultant services. Employees

# SpectraCare Health Systems Inc.

## 302 – Employee Compensation Policy – Version 3

may accept payment for consultant services rendered outside the catchment area performed while on authorized annual leave or leave of absence without pay with the approval of the Chief Executive Officer. (See Conflict of Interest Policy).

**Notes:** The CEO may approve for this policy to be altered, replaced or discontinued at any time with or without notice. This policy does not represent any contractual obligation for the company.

# SpectraCare Health Systems Inc.

## 601 – Cellular Telephone/Electronic Tracking Policy – version 3

<b>Policy Section</b>	<b>600 – Technology Policies</b>
<b>Policy Number</b>	<b>601</b>
<b>Revision Number</b>	<b>Version 3</b>
<b>Review Date</b>	<b>October 17, 2020</b>
<b>Board Approval</b>	<b>December 10, 2020</b>
<b>Effective Date</b>	<b>January 1, 2021</b>

**Policy Statement:** The purpose of this policy is to promote a safe and productive work environment for SpectraCare Health System and/or its subsidiaries (hereinafter referred to as “SpectraCare”) in addition to increasing public safety while driving. This policy applies to both incoming and outgoing cellular calls, along with any other cellular phone usage/electronic tracking device.

**Applicability:** This policy applies to all SpectraCare and/or its subsidiaries’ employees.

**Attachments:** Consent for Electronic Tracking / Receipt of Cellular Phone Policy – 601A  
Guidelines for GPS Tracking Phones in Vehicles – 601B

### **Definitions:**

- **Cellular phone usage** - Applies to any device (Cell Phone, Digital Devices, etc) that makes or receives phone calls, leaves messages, sends text messages, surfs the Internet, or downloads and allows for the reading of and responding to email whether the device is company-supplied or personally owned.
- **Electronic Tracking Device** – Electronic cellular device that contains global positioning system (GPS) tracking equipment capable of monitoring various factors, which may include speed, time, route, location, and other variables.

### **Procedure:**

**Use of Devices while Driving SpectraCare vehicles** – SpectraCare would like to emphasize “safety first” and **prohibits** use of all cell phones as well as other devices that may cause a driver’s attention to be elsewhere while driving a company vehicle. This includes but not limited to either hands on or hands free, or similar devices, for business purposes related in any way to our company, or for personal reasons while driving.

Employees should pull off the roadway to use your cellular phone or similar device for any reason.

We recognize that other distractions occur during driving, however curbing the use of cell phones, while driving, is one way to minimize the risk, for our employees, of accidents.

# SpectraCare Health Systems Inc.

## 601 – Cellular Telephone/Electronic Tracking Policy – version 3

Therefore, you are required to stop your vehicle in a safe location so that you can safely use your cell phone or similar device.

- **Use of Devices while Transporting Clients** – SpectraCare Health Systems **prohibits** employees from using cell phones or other devices while transporting clients (either in System vehicles or personal vehicles) for any reason. The driver is asked to exit the roadway and park in a safe area for the duration of cell phone use.
- **Use of Devices while Driving Personal Vehicle** – SpectraCare **strongly discourages** employee use of personal cellular devices, either hands on or hands free, or similar devices, for business purposes related in any way to our company, or for personal reasons while driving during working hours.

SpectraCare **encourages** employees to pull off the roadway to use your cellular phone or similar device for any reason.

- **Cell Phones or Similar Devices at Residential and Day Treatment Programs** –

SpectraCare is aware that employees utilize their personal cellular phones/digital devices on occasion during working hours. At the same time, these devices are a distraction in the workplace. Due to client safety and direct client care needed by staff in residential and day treatment programs, the use of cell phones or similar devices is not prohibited, but use must be kept to a minimum to ensure the effectiveness of services.

Guidelines for usage include but not limited to:

- Personal cell phones or other digital devices shall not be kept on your person during working hours, but in a locked cabinet or designated storage area.
- Phones or other personal devices should be kept on vibrate or powered off during working hours.
- Staff must not leave clients unattended while checking their cell phones or other digital device.
- Should an employee need to check their personal phone or other device, they must have another employee oversee/monitor their clients while away.
- Personal phones or other devices must not be checked or used during a crisis, Basic Living Skill (BLS), groups, etc.
- Usage of all personal devices should be kept at a minimum, as staff should be attending to clients during working hours.
- Should you need to receive a personal phone call while at work, it is encouraged they be received on the facility landline telephone.

Each residential and day treatment facility has a company cell phone that shall remain charged at all times. This phone will be kept in a designated area as decided upon Director. The company cell phone will be used in case of emergency, while traveling in system vehicles, etc. This phone line should remain open at all times.

# SpectraCare Health Systems Inc.

## 601 – Cellular Telephone/Electronic Tracking Policy – version 3

Staff are encouraged to report to their Program Director immediately any abuse of guidelines and/or excessive use of personal devices.

- **Cell Phones or Similar Devices in all other Programs (excluding Residential & Day Treatment Programs)**- SpectraCare Health Systems is aware that employees utilize their personal or company-supplied cellular phones for business and/or personal purposes (on occasion). At the same time, cell phones are a distraction in the workplace. To ensure the effectiveness of services, employees are asked to limit personal calls and/or text messages to only very important or emergency situations.

Guidelines for usage include but not limited to:

- Personal cell phones or other digital devices shall not be kept on your person or on your desk during working hours. Devices should be kept out of sight from clients and/or guests visiting facilities.
- Personal phones or devices should be kept on vibrate or powered off during working hours.
- Personal phones or devices must not be checked or used during an intake process, groups, crisis, while assisting clients checking in to a facility, etc.
- Usage of all personal devices should be kept at a minimum, as staff should be attending to clients/guests during working hours.
- **Texting via Personal Cell Phone** – Texting work-related matters of any kind is prohibited on personal cell phones. This is due to Personal Health Information (PHI) and HIPAA Compliance Laws.
- **Reimbursement of business use on personal cell phone** – In approved programs, SpectraCare may provide a monthly stipend to employees for SpectraCare business conducted on their personal cell phone. This stipend is processed through Payroll and must be approved by the Executive Staff Officer and Chief Human Resources Officer.
- **Electronic Cellular Devices/Tracking Devices** - Must be powered on and operational from the beginning of the work shift and/or van route, until the end of the work shift and/or van route. Under no circumstances should the device be powered off during shift or van operation hours.
- **Video or Audio Recording Devices** - The use of camera phones, digital devices or other audio or video recording capable devices within the company may constitute not only an invasion of employees' personal privacy, but may breach confidentiality of SpectraCare clients and other protected information. Therefore, the use of camera or other video-capable recording devices within SpectraCare is prohibited without the express prior permission of Management and of the person(s) present at the time.
- **Reporting Lost or Stolen Company Devices** – All company provided electronic devices to include but not limited to cellular telephones should be secured through a locked passcode at all

# SpectraCare Health Systems Inc.

## 601 – Cellular Telephone/Electronic Tracking Policy – version 3

times. In the event that a company device is lost or stolen, employees should report the incident immediately to their Director and/or IT Department.

- Employees who violate this policy may be subject to disciplinary actions, up to and including employment termination.

**Notes:** The CEO may approve for this policy to be altered, replaced or discontinued at any time with or without notice. This policy does not represent any contractual obligation for the company.

# SpectraCare Health Systems Inc.

601 – Cellular Telephone/Electronic Tracking Policy – version 3

## Form 601 - A Consent for Electronic Tracking / Statement of Receipt Cellular Phone Policy

I, the undersigned, understand and acknowledge that the electronic cellular device (the “Device”) that has been provided to me contains global positioning system (GPS) tracking equipment capable of monitoring various factors, which may include speed, time, route, location, and other variables. By accepting the Device, I consent to the use of the tracking and monitoring features by Spectracare Health Systems, Inc. and its subsidiaries, its employees, agents, officers, directors, administrators, or other authorized personnel (hereinafter referred to as “Spectracare”).

I further understand and acknowledge that Spectracare has purchased the Device and pays for the monthly charges incurred by its use; therefore, I agree to use the Device solely for purposes related to the business of Spectracare or in the event of an emergency.

In addition, I have received a copy of the Cellular Phone / Electronic Device Policy. I understand it is my responsibility to read and follow these guidelines.

Dated this the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

\_\_\_\_\_  
Employee Signature

\_\_\_\_\_  
Employee Printed Name

\_\_\_\_\_  
Human Resources Signature

\_\_\_\_\_  
Printed Human Resources Name



# SpectraCare Health Systems Inc.

601 – Cellular Telephone/Electronic Tracking Policy – version 3

## FORM 601 - B

### Guidelines for GPS Tracking phones in vans

- When the route is started for the day make sure the phone is in the van in its mount and plugged in to mobile charger.
- Do not leave phone in vehicle, as the heat will drain the battery power. When van is not in route, the phone should be in the facility.
- Make sure the van is locked when not being used.
- When the van is no longer used for the day remove the phone and secure inside the facility.
- Always leave the phone turned on during program hours.
- The phone can be used to make needed business calls to the SpectraCare facility, Director or emergency numbers.
- If you are a driver make sure you are safely off the road and stopped while using the phone.

# SpectraCare Health Systems Inc.

## 602 – Social Media Policy – version 2

<b>Policy Section</b>	<b>600 – Technology Policies</b>
<b>Policy Number</b>	<b>602</b>
<b>Revision Number</b>	<b>Version 2</b>
<b>Effective Date</b>	<b>October 17, 2020</b>
<b>Board Approval</b>	<b>December 10, 2020</b>
<b>Effective Date</b>	<b>January 1, 2021</b>

### **Policy Statement:**

SpectraCare Health System and/or its subsidiaries (hereinafter referred to as “SpectraCare”) understands that some employees may maintain Web logs (or “blogs”), may contribute posts to the blogs of other persons, and may maintain and participate in other social media, such as Twitter, Facebook, Plaxo and LinkedIn (collectively “social media”). In some instances, SpectraCare and your career may benefit from your appropriate use of social media. Still, these sites have nearly unlimited communication potential, nearly unlimited duration and retention, and unless the creator restricts access, they may be accessed by anyone around the world with access to the internet. This policy is created to protect the interests of SpectraCare Health Systems, Inc.

### **Applicability:**

This policy applies to all SpectraCare and/or its subsidiaries’ employees.

### **Attachments:**

N/A

### **Definitions:**

- Social Media - term for the tools and platforms people use to publish, converse and share content online. The tools include blogs, wikis, podcasts, and sites to share photos and bookmarks.

### **Procedure:**

- Company time and equipment, including computers and electronic systems, are not to be used for social media, including updating your personal website or profile, unless you have received prior written authorization from your Executive Staff Officer and/or Chief Executive Officer (CEO).
- When discussing your work on a social media website, whether at home, work, or otherwise, you must abide at all times with all legal and ethical requirements, as well as SpectraCare’s policies. This includes without limitation our anti-harassment, anti-discrimination, anti-retaliation policies.

# SpectraCare Health Systems Inc.

## 602 – Social Media Policy – version 2

- You may not disclose via social media any of SpectraCare’s confidential or trade secret information, including information about our products, services, clients, board members, and vendors that you learn during your employment.
- Online conversations remain a permanent part of the internet. It is best to assume that even if a post is deleted, it will be available elsewhere forever. Access to social media sites leaves an audit trail. Anything you post is accessible to anyone with a browser. Because social media is considered a public forum, any information posted or shared on the site is subject to legal discovery, including law enforcement.
- Keep patient information confidential. SpectraCare is committed to protecting the medical information of our clients. Privacy laws, such as HIPAA, still apply in posts in social media and networking websites, including professional and private posts.
- You may not use in social media any materials belonging to SpectraCare Health Systems, Inc., including our promotional and marketing materials, unless you have received prior written authorization from your Executive Staff Officer and/or CEO.
- You may post a picture of yourself wearing or displaying SpectraCare’s logo. Be professional, use good judgment and be accurate and honest in your communications; errors, omissions or unprofessional language or behavior reflect poorly on SpectraCare, and may result in liability for you or SpectraCare. Be respectful and professional to fellow employees, business partners, competitors, and clients. Honor the privacy rights of our current employees by seeking their permission before writing about or displaying internal company happenings that might be considered to be a breach of their privacy and confidentiality.
- The use of a personal email address as the primary means of identification when posting information to a social media or networking website is required. Employees are not permitted to use a company email address, unless written authorization has been granted to company representatives who are using social media for work related business.
- When using social media, you must be respectful. You may not post discriminatory, defamatory, libelous or slanderous comments when discussing SpectraCare, its Directors, its Board Members, your supervisors or co-workers, our clients or vendors on any social media. You should not use social media for personal attacks. Should someone post a derogatory or negative comment(s), address the comment in a private forum. It is highly recommended to let appropriate internal SpectraCare leadership know about it and allow them to handle it.
- Social media postings by you that reflect negatively on SpectraCare Health Systems, Inc, its employees, vendors, clients, board members, or otherwise violates any provision of this policy may result in disciplinary action up to and including termination of employment.

# SpectraCare Health Systems Inc.

## 602 – Social Media Policy – version 2

- **Social Media Best Practices:**

- SpectraCare encourages its staff to comment/share posts on SpectraCare –related matters. Staff are encouraged to speak respectfully about the company, current or potential employees, customers, partners and/or competitors. Do not engage in name-calling or behavior that will reflect negatively on the company’s reputation. Note that use of copyrighted materials, unfounded or derogatory statements or misrepresentation is not viewed favorably by SpectraCare and can result in disciplinary action up to and including termination of employment. Examples of such conduct might include offensive posts meant to intentionally harm someone's reputation or posts that could contribute to a hostile work environment on the basis of race, sex, disability, religion or any other status protected by law or company policy.
- Express only your personal opinions. Never represent yourself as a spokesperson for SpectraCare. If SpectraCare is a subject of the content you are creating, be clear and open about the fact that you are an associate and make it clear that your views do not represent those of SpectraCare, fellow associates, members, customers, suppliers or people working on behalf of SpectraCare. If you do publish a blog or post online related to the work you do or subjects associated with SpectraCare, make it clear that you are not speaking on behalf of the company. It is best to include a disclaimer such as “The postings on this site are my own and do not necessarily reflect the views of my employer.”
- If approved to represent SpectraCare, use spell checking before posting comments. Make an effort to be clear, complete, and concise. In addition, do not write anonymously. Make your status as a SpectraCare employee clear. Also, be clear about whether you are speaking for yourself or on behalf of the company.

**Notes:** The CEO may approve for this policy to be altered, replaced or discontinued at any time with or without notice. This policy does not represent any contractual obligation for the company.

# SpectraCare Health Systems Inc.

## 603 – Information Technology Policy – version 2

<b>Policy Section</b>	<b>600 – Technology Policies</b>
<b>Policy Number</b>	<b>603</b>
<b>Revision Number</b>	<b>Version 2</b>
<b>Review Date</b>	<b>November 7, 2020</b>
<b>Board Approval</b>	<b>December 10, 2020</b>
<b>Effective Date</b>	<b>January 1, 2021</b>

**Policy Statement:** SpectraCare Health Systems and/or its subsidiaries (hereinafter referred to as “SpectraCare”) provides its users with Internet access and electronic communications services as required for the performance and fulfillment of job responsibilities. Users must understand that this access is for the purpose of increasing productivity and not for non-business activities. Users must also understand that any connection to the Internet offers an opportunity for non-authorized users to view or access corporate information. Therefore, it is important that all connections be secure, controlled, and monitored.

To this end, users in SpectraCare should have no expectation of privacy while using company-owned or company-leased equipment. Information passing through or stored on company equipment can and will be monitored. Users should also understand that SpectraCare maintains the right to monitor and review internet use, email communications, or other communications and/or files sent or received by users as necessary.

**Applicability:** This policy applies to all SpectraCare and/or its subsidiaries’ employees.

**Attachments:** 603 – Consent for Electronic Equipment Form

**Definitions:**

- None

**Procedure:**

- The internal communication systems, as well as the equipment and data stored, are and remain at all times the property of SpectraCare. Accordingly, all messages and files created are and remain at all times the property of SpectraCare.
- SpectraCare reserves the right to retrieve and review any message or file composed sent or received. It should be noted that although a message or file is deleted or erased, it is still

# SpectraCare Health Systems Inc.

## 603 – Information Technology Policy – version 2

possible to recreate the message. Therefore, ultimate privacy of messages cannot be assured to anyone. Although electronic mail and voice mail may allow the use of passwords for security, confidentiality cannot be guaranteed. It is possible for messages to be retrieved and viewed by someone other than the intended recipient. Furthermore, all system passwords should be kept confidential by each assigned employee; however, SpectraCare has a right to change these passwords at any time.

- **Approved Software Applications:**
  - The organization's information technology department tests and approves the use of only specific software programs and applications, including updates and patches to existing installed applications. Only the information technology department will install approved software programs, applications and updates on all organization systems and for those users requiring those programs and applications. The installation and use of any unauthorized applications is prohibited. Employees and other users must obtain written departmental approval prior to requesting any unauthorized software or using any unapproved application on any organization-provided equipment or systems.
  
- **Acceptable Use:**
  - The organization provides email, internet, software applications, etc as a means of increasing productivity enabling electronic communications and transacting business. Software programs and applications are provided as required to employees, contract employees, relief employees, volunteers or other authorized agents only for the performance and fulfillment of job responsibilities. Programs and services are neither provided nor supported for non-business activities; the organization's information technology to include but not limited to email, internet, software applications are not to be used for personal activities.
  
- **Prohibited Use:**
  - The content of email, text messages, voice mail messages, etc. for any file may not contain anything that would reasonably be considered offensive or disruptive to any employee. Offensive content would include, but is not limited to, sexual comments or images, racial slurs, gender specific comments or any comments that would reasonably offend someone on the basis of their race, age, sex, genetics, religious or political beliefs, national origin, or disability.
  
  - Regarding Internet and email access and usage, be advised that use of the internet and email provided by SpectraCare expressly prohibits the following:
    - Dissemination or printing of copyrighted materials, including articles and software, in violation of copyright laws

# SpectraCare Health Systems Inc.

## 603 – Information Technology Policy – version 2

- Sending, receiving, printing, or otherwise disseminating proprietary data, or other confidential information of SpectraCare or its business counterparts in violation of company policy.
  - Sending chain letters
  - Gambling or engaging in any other activity in violation of local, state, or federal law
  - Operating a business, usurping business opportunities or soliciting money for personal gain, personal school related activities or searching/applying for jobs outside of SpectraCare
  - Circulating jokes, comics or non-job related computer graphics
  - Sending or soliciting offensive content of any kind, to include but not limited to sexually oriented messages or images
  - Offensive or harassing statements or language including disparagement of others based on their race, national origin, sex, age, disability, genetics, religious or political beliefs.
  - Sending of commercial messages
  - Spamming email accounts from SpectraCare's services or company equipment
  - Opening files received from the internet without verifying from the sender that they actually sent the file.
  - Misrepresenting yourself and SpectraCare to others
  - Accessing social networking, sports, entertainment sites or other sites, unless necessary for work.
  - Erasing and/or clearing history and/or cookies from SpectraCare equipment.
  - Downloading software from the Internet without approval from IT Director or designee
  - Sending unencrypted Personal Health Information (PHI) outside the organization.
- **Accessing System Resources (Email, Electronic MAR, etc) on Personal Equipment and/or after Working Hours:**
    - To protect SpectraCare's services and to uphold client confidentiality under 42 CFR and HIPAA law, SpectraCare prohibits the following:
      - SpectraCare prohibits accessing and/or downloading any company information to include but not limited to email, electronic MARS, electronic medical records on any personal devices during and/or after working hours. Should a personal device need to be used, prior written approval from the

# SpectraCare Health Systems Inc.

## 603 – Information Technology Policy – version 2

Executive Staff Officer is required. These devices include but not limited to jump drives, Ipads, personal laptops, smart phones, etc.

- Texting work-related matters of any kind is prohibited on personal cell phones. This is due to Personal Health Information (PHI) and HIPAA Compliance Laws.
- Employees who are non-exempt under the Fair Labor Standards Act and use SpectraCare laptops to access system resources (Email, EMR, etc) are prohibited from doing such after scheduled working hours.

- **Laptop Security:**

- Employees who are provided a SpectraCare laptop or other portable device is responsible for the physical security of the equipment. All equipment acquired for or on behalf of SpectraCare shall be deemed company property. Where possible, employees must avoid leaving equipment unattended and/or in an automobile. It is encouraged when equipment is not used for an extended period to be locked out of sight in a secure cabinet/office.
- Employees should immediately report lost or stolen equipment to their Director and/or the Information Security Officer in the IT Department.

- **Use of Personal Radios, DVD/CD Players, Ipods, Etc.**

- To ensure the safety of our clients and staff, usage of personal radios, Ipods /Smart Phones (to include with ear buds), portable DVD players, Bluetooth or other similar devices are not allowed to be used while at work. These devices interfere with client care and job responsibilities and can also be a distraction towards others. Should an employee need to utilize such device, prior approval from your Executive Staff Officer is required.
- Employees are prohibited from streaming audio and/or video on their smartphones and/or electronic devices.

- **Employee Responsibility:**

- SpectraCare's users are responsible for:
  - Honoring acceptable use policies of networks accessed through SpectraCare internet and email services
  - Abiding by existing federal, state, and local telecommunications and networking laws and regulations
  - Following copyright laws regarding protected commercial software or intellectual property.
  - Minimizing unnecessary network traffic that may interfere with the ability of others to make effective use of SpectraCare's network services.



# SpectraCare Health Systems Inc.

## 603 – Information Technology Policy – version 2

- Not overloading networks with excessive data or wasting SpectraCare's other technical resources.
  - Following clinical and IT guidelines for sending PHI to outside the organization. All PHI data sent outside the organization should be sent through encryption software.
  - Contacting the IT Department if job responsibilities or job workflow results in storing important information on their workstation, to ensure that information is routinely backed up. Backup solutions must be approved by the IT Department.
  - Reporting violations of this policy to their immediate Supervisor, their Executive Staff Officer, IT Officer and/or Human Resources Officer.
- **Account Access while on Certain Leave**
    - Employees who are out of work due to Leave of Absence, Family Medical Leave Act (FMLA), Administrative Leave, etc will have their SpectraCare accounts disconnected until they return to duty.
- **Policy Violation:**
    - SpectraCare will follow the Sanction Policy and/or Disciplinary Action policy listed in the SpectraCare Employee Handbook for policy violations. Violations will be reviewed on a case by case basis. If it is determined that a user has violated one or more of the above use regulations, the user may receive disciplinary action up to and including termination of employment. Remedial action may include but not limited to, counseling, changes in work assignments, and/or workstations. The measure of discipline will correspond to the gravity of the offense as weighed by its potential effect on SpectraCare and/or fellow employees.

### **IT Department Contact Information:**

Ashley Cole, Chief Information Officer – 334.712.2720 Ext. 2222; cell: 334.701.1586

Wess Howell, Asst. Chief Information Officer – 334.712.2720 Ext. 2208; cell: 334.791.4511

**Notes:** The CEO may approve for this policy to be altered, replaced or discontinued at any time with or without notice. This policy does not represent any contractual obligation for the company.

# SpectraCare Health Systems Inc.

603 – Information Technology Policy – version 2

## Form 603 Consent for Electronic / IT Equipment

I, the undersigned, understand and acknowledge that the electronic equipment / data devices that have been provided to me are property of SpectraCare and/or its companies (hereinafter referred to as “SpectraCare”). All data devices are encrypted at all times to protect PHI (personal health information) in order to comply with all HIPAA laws. Should the equipment assigned to me become lost or damaged at any time, it is my responsibility to notify the IT department immediately. Furthermore, I acknowledge that all equipment / data devices assigned to me are to be returned to SpectraCare upon voluntary resignation or termination of employment during the exit interview process to include any chargers, adaptors, carrying cases, etc.. Failure to comply with any part of this policy could result in disciplinary action up to and including termination. By accepting the Device(s) listed below, I consent to the policy stated above to include the return of all items issued to me by SpectraCare Health Systems, Inc.

I further understand and acknowledge that SpectraCare has purchased the Device and pays for the monthly charges incurred by its use; therefore, I agree to use the Device solely for purposes related to the business of SpectraCare or in the event of an emergency. I also understand that these devices are subject to monitoring and/or inspection at any given time during my employment of SpectraCare.

Items assigned to staff:

Cellular Phone:	Number:
E-Signature Pad	Number:
Laptop:	Serial Number:
Hotspot:	Number:
Scanner:	Serial Number:

Date Equipment Issued: \_\_\_\_\_

Date Equipment Returned: \_\_\_\_\_

\_\_\_\_\_  
Employee Signature

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Issuer Signature

\_\_\_\_\_  
Print Issuer Name

# SpectraCare Health Systems Inc.

## 604 – Training Policy – version 2

<b>Policy Section</b>	<b>600 – Technology Policies</b>
<b>Policy Number</b>	<b>604</b>
<b>Revision Number</b>	<b>Version 2</b>
<b>Review Date</b>	<b>November 7, 2020</b>
<b>Board Approval</b>	<b>December 10, 2020</b>
<b>Effective Date</b>	<b>January 1, 2021</b>

**Policy Statement:** SpectraCare Health Systems provides employee training as a means to help employees develop and/or enhance their professional skills and to assist them with their career development goals.

As part of our commitment to staff training and development, we provide online courses from Relias Learning within Relias LMS, a learning management system (LMS).

To this end, users in SpectraCare should abide by all policies as set forth by SpectraCare Health Systems and Relias Learning. Users should also understand that SpectraCare and Relias maintain the right to monitor and review the use of its systems as necessary.

**Applicability:** This policy applies to all SpectraCare and/or its subsidiaries employees.

**Attachments:** 604 A – Training Policy Acknowledgement  
604 B – Relias Use & Password Form

**Definitions:**

- None

**Procedure:**

- Mandatory Training and Education
  - SpectraCare requires mandatory training for all employees on such topics to include but not limited to Crisis Intervention, Consumer Rights, Fire Safety, and Infection Control. Employees are given access to their training plans via a password secured log-in to Relias LMS. Mandatory training and other agency requirements are listed with specific due dates on the employee’s training plan.
  - All mandatory training is expected to be completed on or before the “required by” date and should be done **during the employee’s scheduled work hours**. Employees

# SpectraCare Health Systems Inc.

## 604 – Training Policy – version 2

will be paid their regular hourly rate during their shift while conducting training. Non-exempt (generally hourly) employees must obtain prior written approval from their Executive Staff Officer if training time will require overtime pay. Exempt employees should also complete training courses during their scheduled shift.

- Timely completion of training will be part of an employee's performance evaluation. Completion of required training does not guarantee raises, promotion or other compensation or in any way alters the "at will" status of employment. Supervisors are expected to allow training time within normal work hours.

- Recommended Training and Education

- From time to time a supervisor may recommend specific online courses as a performance improvement activity or as part of an employee's professional development plan, or the employee may request permission to take specific courses. Time spent on online courses that are taken with supervisory pre-approval will be compensated as described in the Mandatory Training and Education section of this policy.
- Directors may contact the HR Department for a catalog of additional courses offered.

- Elective Training and Education

- Relias Learning provides a library of professional courses on a variety of behavioral health and human service topics. Should an employee be interested in additional courses (for CEUs, contact hours, etc), the employee may contact their Director for approval of additional courses. The catalog of courses is housed in the Human Resources Department. These courses may or may not be required to be taken on an employee's own time. Employees may or may not be compensated for their time while taking elective courses.

- All system passwords should be kept confidential by each assigned employee; however, SpectraCare has a right to change these passwords at any time.

- Employee Responsibility:

- SpectraCare's users are responsible for:
  - Honoring acceptable use policies of the training program accessed through SpectraCare and Relias services.
  - Abiding by existing federal, state, and local telecommunications and networking laws and regulations
  - Following copyright laws regarding Relias Learning and SpectraCare training content.
  - Reporting violations of this policy to their immediate Supervisor, their Executive Staff Officer, IT Officer and/or Chief Human Resources Officer.

# SpectraCare Health Systems Inc.

## 604 – Training Policy – version 2

- **Policy Violation:**

- Violations will be reviewed on a case-by-case basis. If it is determined that a user has violated one or more of the above use regulations, the user may receive disciplinary action up to and including termination of employment. Remedial action may include but not limited to, counseling, changes in work assignments, and/or workstations. The measure of discipline will correspond to the gravity of the offense as weighed by its potential effect on SpectraCare and/or fellow employees.

**Notes:** The CEO may approve for this policy to be altered, replaced or discontinued at any time with or without notice. This policy does not represent any contractual obligation for the company.

# SpectraCare Health Systems Inc.

## 801 – Injury Reporting & Return to Work Policy – version 2

<b>Policy Section</b>	<b>800 – SHS Policies</b>
<b>Policy Number</b>	<b>801</b>
<b>Revision Number</b>	<b>Version 2</b>
<b>Review Date</b>	<b>October 18, 2020</b>
<b>Board Approval</b>	<b>December 10, 2020</b>
<b>Effective Date</b>	<b>January 1, 2021</b>

**Policy Statement:** SpectraCare Health Systems Inc. and/or its subsidiaries (hereinafter referred to as “SpectraCare”) has a high commitment to safety and injury prevention on the job. However, there may be times that injuries occur at the workplace or while an employee is traveling for business purposes. In these instances, it’s important that everyone follow the injury reporting procedures SpectraCare has established. These procedures are intended to ensure that an injured employee receives the proper medical attention as promptly as possible and that we are able to fully comply with worker’s compensation regulations.

In addition, SpectraCare Health Systems Inc. has established a return-to-work program / light duty policy for those employees recovering from illnesses and injuries. The return-to-work program / light duty policy allows employees with physical limitations from injuries or illnesses to have their job duties modified, or to perform alternate duties based on their physical abilities / limitations, until they are able to perform their regular jobs again.

**Applicability:** This policy applies to all SpectraCare and/or its subsidiaries’ employees.

**Attachments:**  
State of Alabama First Report of Injury – 801-A  
Receipt of Accident Procedures – 801-B

- Definitions:**
- **Accident** – An unexpected or unforeseen event happening suddenly and violently with or without human fault producing, at the same time, injury to the physical structure of the body or damage to an artificial member of the body by accidental means. The accident must arise out of and in the course of the employment. There must be a relationship between the employment and the accident, and it must occur within the period of employment, at a place where the employee may reasonably be, and while he/she is fulfilling the duties of his/her employment or engaged in something incidental to it. Proper notice of the accident and injury must be given to the employer.
  - **Light Duty** - Work that a treating physician says will fall within the physical restrictions of an injured worker while that worker continues to heal from a work-related injury or illness.
  - **Minor Injury/Incidents** – Minor injuries or incidents can usually be treated without medical attention or with minor first aid by the employer. Minor injuries and/or incidents include: a small

# SpectraCare Health Systems Inc.

## 801 – Injury Reporting & Return to Work Policy – version 2

cut, falling and/or tripping over an object, back strain or any other type strain that occurred while performing job duties.

- More Serious Injuries/Accidents – More serious injuries usually require medical treatment by a medical professional. Examples of more serious injuries include: broken limb, severe bleeding, or an injury rendering the employee unconscious.

### **Procedure:**

- Reporting Minor Injuries/Incidents – All employees are required to report any injury/incident that occurs on the job, no matter how minor it may seem. Some examples of minor injuries/incidents would include:
  - A small cut
  - Falling and/or tripping over an object
  - Back strain, or any other type strain that occurred while performing job duties

Such injuries/incidents should be reported to the employee's Program Director/Supervisor as soon as possible, but no later than 24 hours after the occurrence. The Program Director/Supervisor will then report the accident to Human Resources. A first report of injury must be submitted to the Human Resources Department no later than 24 hours after the injury/illness is reported.

When an injury is reported, the employee's immediate Supervisor/Director is responsible for interviewing the involved employee and making a written report of the facts surrounding the injury. The involved employee and any witnesses are required to cooperate in the questioning in a truthful and straightforward manner. The employee may be instructed to seek medical attention if deemed necessary. Only trained personnel can clean up the accident scene should a biohazard be present.

While injuries do occasionally happen, injuries that occur due to horseplay, misconduct, or inappropriate behavior will result in a corrective action for the involved employees. However, we do stress, SpectraCare's first concern is its employees' safety and no employee should be afraid of reporting an injury, no matter how it occurred. Injured employees who were following company safety rules will not receive corrective action and SpectraCare Health Systems Inc. will not tolerate any retaliation against the injured employee from any director or co-worker.

Injuries that originally seem minor can evolve into larger medical problems – this is why it is crucial that SpectraCare Health Systems Inc. has documentation of the original incident so that we may properly handle any worker's compensation claims or other issues that arise from the injury in a fair and timely manner. Additionally, multiple minor accidents or injuries can be a signal to the company that our safety practices in a particular area need improvement or that our employees need additional safety training.

If medical attention is not being sought, employees are still required to complete a First Report of Injury and write "For Record Only" across the top of the claim. If it is later

# SpectraCare Health Systems Inc.

## 801 – Injury Reporting & Return to Work Policy – version 2

determined that medical attention is needed for the same incident, please notify the Human Resources Department. At this time, our Worker's Compensation insurance carrier will be notified to change the status from "For Record Only" to that of a medical claim in order for benefits to be paid.

Because SpectraCare considers injury reporting so important, employees who ignore these rules on reporting injuries may be subject to corrective action.

- Reporting More Serious Injuries/Accidents – When an employee is more seriously injured on the job, the first priority is to make sure he or she receives the proper medical attention. Some examples of more serious injuries would include:
  - broken limb
  - severe bleeding
  - injury rendering the person unconscious
  - a vehicle accident

If the injury does not necessitate emergency medical attention, but does require prompt attention from a medical professional, the injured employee should notify his or her immediate Supervisor/Director. The employee will be allowed to go to the hospital/clinic approved by SpectraCare or transportation will be arranged if the employee is unable to drive.

The Program Director/Supervisor is responsible for reporting accidents to the Human Resources Department. Human Resources will then notify appropriate personnel in addition to the Worker's Compensation insurance carrier.

If the injury requires emergency medical attention, the employee will be sent to the hospital /clinic that is approved by SpectraCare Health Systems Inc. For accidents after hours, employees should contact their Director immediately and report to the appropriate emergency room for their county. After contacted by the Director, Human Resources will alert the medical facility that an employee is on their way to see them. When emergency room visits require follow-up medical treatment, employees should follow-up with the company designated physician or clinic.

Upon admittance to the clinic or emergency room, employees should report that the accident/injury is work-related. Employees do not need to file medical visits for worker's compensation claims on their personal health insurance. All referrals to medical specialist and/or physicians other than those designated must be pre-authorized by the Worker's Compensation insurance carrier. Employees should contact the Human Resources office if there is a need for a referral to anyone other than the designated physician or hospital.

Employees must have a drug screen conducted at the doctor's office or hospital as per SpectraCare's Worker's Compensation policy. Refusal to cooperate with this policy or a positive result may have an impact on the availability of Worker's Compensation benefits. Circumstances which may negate an employee's claim for benefits include:



# SpectraCare Health Systems Inc.

## 801 – Injury Reporting & Return to Work Policy – version 2

- When the accident is caused by the willful misconduct of the employee
- When caused by the act of a third person or fellow employee for personal reasons, and not directed against him as an employee or because of this employment
- By the employee's intention to bring about the injury or death of himself or another
- By the employee's intoxication from alcohol or use of illegal drugs
- By failure or willful refusal to use safety appliances provided by the employer
- By willful refusal or willful neglect of the employee to perform a statutory duty
- By the employee's willful breach of a reasonable rule or regulation of the employer, of which rule or regulation the employee has knowledge.

Only trained personnel can clean up the accident scene should a biohazard be present.

A driver who has a serious injury while on the road should seek appropriate medical attention at the nearest hospital designated by SpectraCare Health Systems Inc.

Once the injury or accident situation is under control, the injured person (if able) or a fellow employee should contact their Program Director/Supervisor. SpectraCare Health Systems Inc. will follow the same procedures for documenting the injury as explained in the minor injuries of this policy.

Such injuries should be reported to the employee's Director/Supervisor immediately, but no later than 24 hours after the occurrence. A First Report of Injury must be submitted to the Human Resources Department no later than 24 hours after the injury/illness is reported and a follow-up accident/incident investigation will then occur. The First Report of Injury can be found on SpectraCare's SharePoint site. Prompt claim reporting is essential and beneficial to all parties involved (employees, employers, and insurance carriers). State requirements established by the Department of Industrial Relations<sup>1</sup> also mandate the prompt reporting of employee injuries.

- Reporting Accidents/Injuries involving exposure to blood or other potentially infectious materials (OPIM) – Needle stick injuries and other sharps related injuries which expose workers to blood borne pathogens continues to be an important public health concern. If workers come into contact with blood or other potentially infectious body fluids, they must wash their hands or any other possible contaminated body parts with soap and warm water for at least 15 seconds. If eyes or other mucous membranes are exposed, they should be flushed with water as well. Employees must notify their Program Director/Supervisor and the Infection Control Nurse (RN) **immediately**. The Infection Control Nurse should contact the Human Resources Department as soon as possible. Prompt reporting can reduce the possible spreading of blood borne infection to others.

Employees should report to the medical facility designated for their location/county. If the incident occurs after hours, employees should report to the appropriate emergency room.

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<sup>1</sup> Alabama Department of Labor Workers' Compensation [www.labor.alabama.gov/wc/workers-compensation.aspx](http://www.labor.alabama.gov/wc/workers-compensation.aspx)  
October 18, 2020

# SpectraCare Health Systems Inc.

## 801 – Injury Reporting & Return to Work Policy – version 2

Employees should not delay reporting to a medical facility. Early action is crucial; immediate intervention can forestall the development of hepatitis B or enable the infected worker to track potential HIV infection. Testing for HIV, HBV, and HCV will be made available at no cost to the employee. Initial testing is performed immediately and will be repeated in two weeks, and again in six months. The results of these tests are confidential and will only be made available to the employer if the employee gives specific written consent. The employee has the option to decline testing if they choose. This declination must be documented by circling their choice on the HIV/HBV Exposure Data Form. An HIV/HBV Exposure Data Form located on SharePoint must be completed and signed by both the employee and their Program Director/Supervisor and submitted to the Chief Human Resources Officer within twenty-four (24) hours of the incident.

If HIV and HBV infectivity of the source individual is unknown, the Director/Supervisor should respectfully ask if they will consent to being tested for HIV/HBV also. SpectraCare cannot force a source individual to consent to being tested. If the source individual agrees, an appointment should be scheduled as soon as possible with a designated physician for the appropriate county. Source individuals should sign a release of information to SpectraCare's Infection Control Nurse, RN to allow him or her to obtain a copy of the test results. The Infection Control Nurse will inform the employee of the test results with the understanding that the employee must respect the consumer's confidentiality. SpectraCare will pay for all costs involved with testing the source individual. This should be coordinated through the Infection Control Nurse and Human Resources.

- First Aid Kits - SpectraCare Health Systems Inc. has first aid kits available at each facility. First aid kits should only be used when necessary. If you notice the supplies in the kit are low, please contact your Director and/or Purchasing Department to order more kits.
- Return to Work Program - SpectraCare Health Systems Inc. has a return-to-work program for employees recovering from illnesses or injuries sustained on the job or away from work. According to the physician's statement of work status, employees who have physical limitations from an injury or illness will have their job duties modified, or will perform alternate duties, until they are able to perform their regular jobs again.

The return-to-work program has several objectives. SpectraCare's first goal is to help its employees. The return-to-work program allows employees to get back on the job more quickly after an illness or injury. Returning to work as soon as possible:

- minimizes the employee's loss of income
- makes the transition back to regular duties easier, physically, and psychologically
- keeps up the employee's self esteem because he/she can continue to perform useful and meaningful work

Secondly, SpectraCare Health Systems Inc. also benefits from the return-to work program. An employee who continues to work, even in a restricted capacity, allows the company to continue utilizing the employee's skills and keeps up productivity.

# SpectraCare Health Systems Inc.

## 801 – Injury Reporting & Return to Work Policy – version 2

Employees who were injured on the job and are receiving worker's compensation benefits will be required, if able, to participate in the return-to-work program.

- Return To Work Procedures - If an employee cannot perform his/her regular job duties because of injury or illness and/or because the company cannot accommodate work restrictions as indicated by physician, the employee may be placed out of work. Should this occur, the employee should remain in contact with his or her supervisor/director and/or a representative of Human Resources a minimum of once per week. If the employee cannot work due to injury or illness, he or she should contact the company on a regular basis (once per week) to keep the company up to date on his or her status. Any paperwork (Work Status Reports, drug test results, billing, etc.) should be forwarded to the Human Resources Department.

When the time is appropriate (as determined by the company, the employee, and the medical professional treating the employee) for the person to resume some form of work, the company will request that a medical professional complete a return-to-work statement. The statement should summarize the employee's current physical abilities and what physical task the employee should not perform.

SpectraCare Health Systems Inc. has or will prepare written job descriptions outlining the work tasks each employee performs. A recovering employee is encouraged to take a job description to his or her medical professional to help the treatment provider better understand the employee's job and prepare a more thorough return to work statement.

Once completed, the return-to-work statement should be brought to a representative in Human Resources. Responsible personnel will forward the statement to SpectraCare Health Systems Inc.'s insurance provider in the case of a worker's compensation claim.

SpectraCare Health Systems Inc. does have the option of requiring the injured/ill employee to see a qualified medical professional specified by the company. SpectraCare Health Systems Inc. may request this for the initial return to work examination/statement or anytime during the employee's recovery.

- Return to Work Duties – Based on the medical professional's return to work statement, a Human Resources representative and the employee's Supervisor/Director will determine what regular job duties the employee can perform, what job duties the employee can perform with some modifications, or if the employee should be given alternate duties. A returning employee's temporary job duties may be a combination of regular, modified, and alternate duties.

While the assigned work may be considered "light" in terms of its physical demands (if that is what is necessary based on the injury or illness), all returning employees will be asked to perform tasks that are necessary and meaningful to SpectraCare Health Systems Inc.' operations.

In the case of a driver in the return-to-work program, SpectraCare Health Systems Inc. will first assess the driver's return to work statement and determine if the company has driving duties the employee could continue to perform within his or her restrictions. If continued driving is not an

# SpectraCare Health Systems Inc.

## 801 – Injury Reporting & Return to Work Policy – version 2

option, SpectraCare Health Systems Inc. will try to assign alternate duties that are driving related and utilize the employee's specialized knowledge and skills. If this is not a workable option, the driver will be assigned other duties at SpectraCare Health Systems Inc.

Returning employees who have concerns about their return-to-work duties should consult their immediate Supervisor/Director, a Human Resources representative, or their medical professionals. Under no circumstances will employees be assigned tasks, or allowed to do tasks, that do not meet the approval of a medical professional.

Because the return-to-work program is intended to be a transition back to an employee's original job, employees in the return-to-work program will not be allowed to keep their alternative job duties after they have recovered.

- Periodic Re-Evaluation - Employees in the return-to-work program must be re-evaluated by a qualified medical professional as specified by the physician or on a schedule agreed to by the employee, medical professional, and Human Resources representative. After each re-evaluation, the medical professional should prepare a written statement concerning the employee's physical progress. The employee will submit this statement to the Human Resources Department. As the employee's recovery continues, job tasks may be reassigned to match the employee's increased ability. When the medical evaluation indicates the employee can resume his/her original job, the employee will do so.

**Notes:** The CEO may approve for this policy to be altered, replaced or discontinued at any time with or without notice. This policy does not represent any contractual obligation for the company.

# SpectraCare Health Systems Inc.

## 802 – Tuberculosis Policy – version 3

<b>Policy Section</b>	<b>800 – SHS Policies</b>
<b>Policy Number</b>	<b>802</b>
<b>Revision Number</b>	<b>Version 3</b>
<b>Effective Date</b>	<b>July 1, 2020</b>
<b>Board Approval</b>	<b>June 24, 2020</b>
<b>Review Date</b>	<b>May 6, 2020</b>

**Policy Statement:** SpectraCare Health Systems Inc. and/or its subsidiaries (hereinafter referred to as “SpectraCare”) has a high commitment to safety and injury prevention on the job. It is recognized that the population serviced by SpectraCare is in the “HIGH RISK” category of having Tuberculosis disease. The system also acknowledges that our employees are at risk of becoming infected because they work in facilities that serve “HIGH RISK” clients. It is SpectraCare’s emphasis to screen and protect both staff and clients against the Tuberculosis disease.

**Applicability:** This policy applies to all SpectraCare and/or its subsidiaries’ employees, volunteers, interns, and/or agents.

**Attachments:** None

- Definitions:**
- **Chest X-Ray** - a picture of the inside of your chest. A chest x-ray is made by exposing a film to x-rays that pass through your chest. A doctor can look at this film to see whether TB bacteria have damaged your lungs.
  - **Negative** - usually refers to a test result. If you have a negative Tuberculosis skin test reaction, you probably do not have Tuberculosis infection.
  - **Positive** - usually refers to a test result. If you have a positive Tuberculosis skin test reaction, you probably have Tuberculosis infection.
  - **TB skin test** - a test that is often used to detect TB infection. A liquid called tuberculin is injected under the skin on the lower part of your arm. If you have a positive reaction to this test, you probably have TB infection.
  - **TB Screening Assessment**- is a written screening that determines if an individual is at risk for having been exposed to TB by determining if someone has common symptoms of TB or has been in a high risk situation for exposure to TB. Attachment A is for individuals with no history of TB. Attachment B is for individuals with a history of Latent TB.
  - **Tuberculin** - a liquid that is injected under the skin on the lower part of your arm during a TB skin test. If you have TB infection, you will probably have a positive reaction to the tuberculin.
  - **Tuberculosis Infection** - a condition in which TB bacteria are alive but inactive in the body. People with TB infection have no symptoms, don't feel sick, can't spread TB to others, and usually

# SpectraCare Health Systems Inc.

## 802 – Tuberculosis Policy – version 3

have a positive skin test reaction. But they may develop TB disease later in life if they do not receive preventive therapy.

- Tuberculosis Disease - an illness in which TB bacteria are multiplying and attacking different parts of the body. The symptoms of TB disease include weakness, weight loss, fever, no appetite, chills, and sweating at night. Other symptoms of TB disease depend on where in the body the bacteria are growing. If TB disease is in the lungs (pulmonary TB), the symptoms may include a bad cough, pain in the chest, and coughing up blood.

### Procedure:

- Mental Illness & Substance Abuse Staff –
  - MI & SA Employees – All newly employed staff will have a TB Baseline Screening Assessment during orientation and annually by SpectraCare’s Infection Control Nurse **prior** to reporting to the work site.
  - Post Exposure Screening and Testing – Employees will be referred to PrimeCare for TB testing. If baseline negative TB and no prior TB disease or LTBI, a TB test will be performed at PrimeCare when the exposure is identified. If that test is negative, PrimeCare will do a repeat TB test in 8-10 weeks after the last exposure to TB.
  - Results of TB Skin Test – will be sent to SpectraCare Human Resources Department by PrimeCare. Documentation of TB testing will be kept in a separate medical file with the Human Resources Department.
- Developmental Disabilities Staff – All employees are required to have a pre-employment tuberculin PPD “TB Test” (Purified Protein Derivative) skin test administered and results read by PrimeCare as part of pre-employment screening. All employees must have TB test read **prior** to reporting to the work site.
  - DD Employees – All newly employed staff will have a TB Baseline Screening Assessment during orientation and annually by SpectraCare’s Infection Control Nurse.
    - Negative Skin Test – Employees will have a TB Screening Assessment annually.
    - Positive Skin Test – Employees with a positive skin test will receive prompt medical evaluation for active TB, will be considered for preventative therapy, and will have close medical follow-up if any symptoms of possible active TB develop. The positive test cut point is an induration of 10mm or greater. In the event of a positive result, employees will be required to complete a TB chest x-ray. Clear chest x-ray results will remain in employee’s medical file.
    - Past Positive Skin Test – Employees not taking TB skin tests due to past positive readings will be asked to complete a TB Baseline Screening Assessment for Individuals with Latent TB. This screening will be administered annually thereafter and assessed by SpectraCare’s Infection Control Nurse. Employees who have a past positive skin test are required to have a clear chest x-ray on file. If employees do not have a copy of a clear chest x-ray they will be required to go to PrimeCare to obtain a chest x-ray for their employee file. Employees presenting with new symptoms based on the TB Screening Assessment will be referred to PrimeCare for further evaluation of symptoms and possibly require a repeat chest x-ray.

# SpectraCare Health Systems Inc.

## 802 – Tuberculosis Policy – version 3

- Post Exposure Screening and Testing – Employees will be referred to PrimeCare for TB testing. If baseline negative TB and no prior TB disease or LTBI, a TB test will be performed at PrimeCare when the exposure is identified. If that test is negative, PrimeCare will do a repeat TB test in 8-10 weeks after the last exposure to TB.
- Results of TB Skin Test – will be sent to SpectraCare Human Resources Department by PrimeCare. Documentation of TB testing will be kept in a separate medical file with the Human Resources Department.
- TB Symptoms – Employees with chronic cough, fever and other symptoms will be rapidly evaluated for possible TB. If active TB is confirmed, the staff member will be immediately referred for treatment and will not be allowed to return to work until such time as the Infection Control Nurse or appropriate medical entities release him or her back to work. Workman's Compensation policy will apply should it be determined TB was contracted in the working environment and within the scope of duties.
- Annual TB Screening – Annual TB Screening will be given as follows:
  - Mental Illness/Substance Abuse Division – employees will have annual TB Screening Assessment in October and/or November.
  - Developmental Disability Division – employees will have TB Screening Assessment annually tested in April.
  - Administration – will have initial TB Screening and offered and encouraged to have annual TB Screening.
  - Employees that have recently been employed with the system will be have their TB Screening Assessment during their division's assigned month.

**Notes:** The CEO may approve for this policy to be altered, replaced or discontinued at any time with or without notice. This policy does not represent any contractual obligation for the company.

# SpectraCare Health Systems Inc.

## 803 – Substance Abuse Policy – version 2

<b>Policy Section</b>	<b>800 – SHS Policies</b>
<b>Policy Number</b>	<b>803</b>
<b>Revision Number</b>	<b>Version 2</b>
<b>Effective Date</b>	<b>October 18, 2020</b>
<b>Board Approval</b>	<b>December 10, 2020</b>
<b>Effective Date</b>	<b>January 1, 2021</b>

### **Policy Statement:**

Substance Abuse has been a continually increasing problem affecting all facets of the workforce today. SpectraCare Health Systems Inc. and/or its’ subsidiaries (hereinafter referred to as “SpectraCare”) recognizes that alcohol and drug abuse pose a threat to the health and safety of its employees, clients, and to the security of our equipment and facilities. Individuals involved in substance abuse may create a potential hazard in the workplace which is created through accidents, impaired judgment, and loss of productivity.

Consistent with concerns for the health and safety of our employees and clients, SpectraCare will strive to maintain a work environment which is free from the effects and dangers of substance abuse. Employees are strictly forbidden from using, consuming, possessing, or being under the influence of alcohol while on SpectraCare premises or during work time, break times or meal periods, except at company sanctioned events approved by the Chief Executive Officer. All employees are strictly forbidden from possessing, selling, buying, distributing, manufacturing, using, consuming, or being under the influence of any Illegal/Prohibited Drug or drug paraphernalia on SpectraCare premises or during work time, break times or meal periods.

In accordance with federal and state law, SpectraCare reserves the right to require a drug test in the situations including but not limited to those described in this policy. Failure to submit to or cooperate with a drug or alcohol test under the circumstances described in this policy is subject to corrective action, up to and including dismissal.

If applicable, all Department of Transportation (DOT)<sup>1</sup> Federal Regulatory Standards will be followed as required.

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<sup>1</sup> U.S. Department of Transportation [www.transportation.gov](http://www.transportation.gov) October 18, 2020



# SpectraCare Health Systems Inc.

## 803 – Substance Abuse Policy – version 2

**Applicability:** This policy applies to all SpectraCare and/or its subsidiaries' employees, applicants, and volunteers.

**Attachments:** Receipt of Notice Drug Testing & Worker's Compensation Insurance – 803-B  
Reasonable Suspicion Report Form – 803-C

### **Definitions:**

- **Alcohol** – Is ethyl alcohol, any other intoxicating form of alcohol, beer, liquor, or spirits of wine, from whatever source or by whatever means produced.
- **Company Premises** – includes, but is not limited to, all buildings, offices, facilities, grounds, parking lots, places and vehicles owned, leased or managed by SpectraCare or on any site on which the System is conducting business.
- **Drugs** – for the purpose of this policy, include but not limited to alcohol, legal and illegal controlled substances, narcotics, hallucinogens, depressants, stimulants, inhalants and other substances capable of creating or maintaining effects on one's physical, emotional or mental state, such as marijuana, cocaine, opiates, phencyclidine and amphetamines. Any such drugs may be included in the testing program.
- **Illegal/Prohibited Drugs**- substances whose use or possession is controlled by federal law but that is not being used or possessed under the supervision of a licensed health care professional for the individual intended. The term also includes prescription drugs obtained without authorization, and prescribed drugs and over-the-counter drugs not being used for their intended purposes or in the intended manner.
- **Refusal to Cooperate with or Submit to** – to obstruct the collection or testing process; to submit an altered, adulterated, or substitute sample; to fail to show up for a scheduled test; to refuse to complete the requested drug testing forms; or fail to promptly provide specimen(s) for testing when directed to do so, without a valid medical basis for the failure. Employees who leave the scene of an accident without justifiable explanation prior to submission to drug and alcohol testing will also be considered to have refused to cooperate and will automatically be subject to disciplinary action, up to and including termination.
- **Under the Influence of Alcohol**- means a breath alcohol concentration (BrAC) equal to or greater than 0.02 or actions, appearance, speech or bodily odors that reasonably cause a supervisor to conclude that an employee is impaired because of alcohol use.
- **Under the Influence of Drugs** – a confirmed positive test result for illegal drug use per this policy. In addition, it means the misuse of legal drugs (prescription and possibly over the counter) where there is not a valid prescription from a physician for the lawful use of a drug in the course of medical treatment (containers must include the patient's name, the name of the substance, quantity/amount to be taken, and the period of authorization).
- **Medical Review Officer (MRO)** - Medical Review Officer as a licensed physician (medical doctor or doctor of osteopathy) is responsible for receiving laboratory results generated by an employer's drug testing program, who has knowledge of substance abuse disorders and has appropriate medical training to interpret and evaluate an employee's confirmed positive test result together with his or her medical history and any other relevant biomedical information. The MRO shall be an agent of the employer. The MRO should be used to review all positive tests with the employee

# SpectraCare Health Systems Inc.

## 803 – Substance Abuse Policy – version 2

or applicant before the employer is advised of the test results. Using an MRO helps to protect both the employer and the employee.

### **Employee Assistance & Drug-Free Awareness:**

- Illegal drug use and alcohol misuse have a number of adverse health and safety consequences. Information about those consequences and sources of help for drug/alcohol problems is available from the Human Resources Department. The HR Department can make referrals and assist employees with drug/alcohol problems.
- SpectraCare will not discipline employees who voluntarily seek help for such problems before being asked to submit to a drug test or becoming subject to discipline and/or termination under this or other System policies. Such employees will be allowed to use accrued paid time off, placed on leaves of absence, referred to treatment providers and otherwise accommodated as required by law. Such employees may be required to document that they are successfully following prescribed treatment and to take and pass follow-up tests. Once a drug test has been scheduled, the employee will have forfeited their right to be granted a leave of absence for treatment and possible discipline, up to and including discharge, will be unavoidable.

### **Work Rules:**

- Whenever employees are working, are operating any SpectraCare vehicle, are present on SpectraCare premises, or are conducting System related work off-site, they are prohibited from:
  - Using, possessing, buying, selling, manufacturing or dispensing an illegal drug (to include possession of drug paraphernalia);
  - Being under the influence of alcohol or an illegal drug as defined in this policy; and
  - Possessing or consuming alcohol
- The presence of any detectable amount of any illegal drug or illegal controlled substance in an employee's body system, while performing company business or while in a company facility, is prohibited.

### **Reporting Requirements:**

- Use of Over-the-Counter or Prescription Drugs
  - Any employee who is taking an over-the-counter or prescribed medication that may affect the employee's safety, the safety of co-workers, or the employee's ability to perform his or her job duties must promptly disclose such use to that employee's director. Employees taking a prescribed medication must carry it in the container labeled by a licensed pharmacist or be prepared to produce this if asked.
  - Employees should not disclose underlying medical conditions unless directed to do so by Human Resources.
- Criminal Violations
  - An employee who is convicted under a criminal drug statute for violations occurring on or off SpectraCare premises while conducting System business must report such conviction within five (5) calendar days after the conviction to the Human Resources Department. Failure to do so may result in termination.

# SpectraCare Health Systems Inc.

## 803 – Substance Abuse Policy – version 2

### **Required Testing:**

- **Pre-Employment Drug Testing** – All applicants offered employment must pass a drug test before beginning work. Any applicant testing positive will not be employed by SpectraCare Health Systems, Inc. Refusal to submit to or cooperate with testing will result in disqualification of further employment consideration; this includes leaving the testing site prior to successful completion of testing as certified by the MRO. Applicants that tested positive may, after a period of at least six months, seek employment with SpectraCare, but the applicant must present themselves free of substance as evidenced by the System's Pre-Employment Testing.
- **Reasonable Suspicion** – Employees are subject to testing when it is suspected, based upon facts and reasonable inferences from facts, that an employee is using or has used alcohol or illegal/prohibited drugs in violation of this policy. The Chief Human Resources Officer and/or Chief Executive Officer shall be consulted before sending the employee for testing. All levels of management making this decision must document specific observations and behaviors (Reasonable Suspicion Report Form – 803C) that create a reasonable suspicion that the employee is under the influence of prohibited drugs or alcohol. This report must be completed within 24 hours of testing in any event. If it is decided to test an employee for reasonable suspicion, a member of management or designee must transport the employee to the testing facility and make arrangements for transport to their home after completion of the test. The employee should not be allowed to drive while under the influence of alcohol or illegal/prohibited drugs. Because it may involve two or three working days to receive the test results, the employee under suspicion will be suspended from work (See Suspension for Investigation or Test Results). The following circumstances are examples, but are not meant to be an exhaustive list, of behaviors that may establish reasonable suspicion:
  - Incoherent Mental State
  - Possession of paraphernalia
  - Observed use of alcohol or illegal/prohibited drugs
  - Abnormal conduct or erratic behavior while at work or a significant deterioration in work performance
  - Causing or contributing to a workplace accident
  - Physical symptoms of impairment, such as dilated pupils or slurred speech
- **Random Testing** – SpectraCare employees may be randomly tested at any given moment without prior notice. A representative from the testing organization will select employees at random (20-25 employees) each quarter. Employees failing the test or refusing to submit to or cooperate with the test will be subject to disciplinary action and may be terminated. Employees are required to cooperate with Human Resources and the testing personnel at all times. Failure to produce a sample within three (3) hours will result in the employee being sent to the Emergency Room for testing.
- **Post Accident/Injury** – Employees will be tested for Illegal/Prohibited Drugs when they cause or contribute to an accident or incident that damages a company vehicle, machinery, equipment, or property and/or results in an injury to them or to another person involving loss of work time or requiring off-site medical attention. Employees may also be tested for alcohol under these circumstances if there is an at fault accident. In any of these cases the investigation and subsequent testing must take place as soon as possible but within 2 hours of the incident.

# SpectraCare Health Systems Inc.

## 803 – Substance Abuse Policy – version 2

- **Follow-Up Testing** – Post-rehabilitation/follow-up testing shall occur once per year for at least two years if the System has sent an employee to drug rehabilitation treatment. If the employee either does not complete their rehabilitation program or tests positive after completing the rehabilitation program, they will be subject to immediate discharge from employment.

### Collection and Testing Procedure:

- **Test Methods** – The specimen collected for substance abuse testing may be tissue, blood, urine, breath, or other product of the human body that is capable of revealing the presence of drugs or their metabolites or of alcohol. To balance the degree of intrusion on the individual's privacy interest against SpectraCare's legitimate interests, the preferred specimen is:
  - Urine for drug testing, and
  - Breath for alcohol testing.
- **Specimen Collection & Analysis** – Specimens shall be collected in a manner that will afford the individual privacy yet be reasonably calculated to prevent substitution or adulteration of the specimen. The employee/applicant shall observe the collector prepare the chain of custody control form and the specimen for testing. The employee/applicant shall initial and/or sign the appropriate labels and control form for transporting the specimen as verification of the collector preparation of the control form and specimen.
- **Provider** – SpectraCare will ensure all laboratory/testing facilities used are approved by the National Institute on Drug Abuse<sup>2</sup> or the College of American Pathologists<sup>3</sup>.
- **MRO** – MRO will attempt to contact the donor within 72 hours of notification to ascertain if there is a medical reason for a positive result. If the MRO cannot contact the donor within 72 hours, the test will be reported to the employer as positive. The employee/applicant may request another analysis of the original specimen (split sample) at his or her own expense. The results of the second test are determinative. If the split sample test is negative, SpectraCare will reimburse the employee for the cost of the split sample test. If a medical reason caused a positive test result and would not affect the employee's ability to perform his or her duties, the MRO will report the test to the employer as negative.
- **Alcohol Testing** – If the test of the employee's breath alcohol concentration (BrAC) is 0.02 or more a second test shall be administered in approximately twenty (20) minutes. The results of the second test shall be determinative. Alcohol tests may be breath, blood or saliva, at SpectraCare's discretion.
- **Test Results** – SpectraCare will provide the employee/applicant written notice of any positive test result within five days after receipt of a positive confirmed test result from the testing facility/laboratory. Upon request, SpectraCare will provide the employee a copy of the test results.
  - Any employee who receives a positive confirmed test result may contest or explain the result to SpectraCare within five (5) working days after written notification of the positive test result.

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<sup>2</sup> National Institute on Drug Abuse [www.drugabuse.gov](http://www.drugabuse.gov) October 18, 2020

<sup>3</sup> College of American Pathologist Accredited Laboratory and Biorepository Directory

<https://www.cap.org/laboratory-improvement/accreditation/accredited-laboratory-and-biorepository-directory/>  
October 18, 2020

# SpectraCare Health Systems Inc.

## 803 – Substance Abuse Policy – version 2

### **Suspension for Investigation or Test Results:**

- If management has strong reason to believe the tested employee is under the influence or suspects that the employee may present a safety hazard, the employee may be suspended and sent home. Employees involved in an “at fault” accident while driving a system vehicle, will be suspended pending the receipt of negative drug screen results. Human Resources will attempt to expedite the testing procedure. If the test is negative, SpectraCare will reinstate the employee and back pay for the missed time. If the test results are positive, the employee will be subject to disciplinary action, up to and including termination, and back pay is not applicable.

### **Confidentiality:**

- Information and records received through SpectraCare’s testing program will be kept confidential to the extent required by law and maintained in secure files separate from normal personnel files. Such record and information may be disclosed among management on a need-to-know basis. Such records and information may also be disclosed outside the System (1) pursuant to a written consent form signed voluntarily by the person tested, (2) as permitted by law in a lawsuit or administrative proceeding, (3) or as otherwise compelled by an agency of the government or a court of competent jurisdiction.

### **Off-Duty Conduct:**

- Off duty use of drugs, alcohol, or any other prohibited substances which results in impaired work performance, which may include but not limited to absenteeism, tardiness, poor work performance, damage to the employer’s reputation, or inferior quality of work, is prohibited.

### **Inspections:**

- SpectraCare reserves the right to inspect all portions of its premises, including but not limited to employee desks, computers, personal vehicles, workstations, lunch boxes, briefcases, purses, and the like for any reason. Employees should not expect any areas on company property to be private. In addition, SpectraCare may use any method deemed advisable in its sole discretion, including trained canines, to conduct searches on property.
- SpectraCare further reserves the right to require an employee or other workers to consent to a search of his or her person as a condition of continued employment or work. Employees who possess such contraband or refuse to cooperate in such inspections are subject to appropriate discipline, up to and including termination.
- SpectraCare reserves the right to call any appropriate law enforcement agency for assistance and to use any surveillance method in public areas of the facilities and associated properties to deter and detect violations of this policy.
- Any illegal drug or drug paraphernalia will be turned over to an appropriate law enforcement agency and may result in criminal prosecution.

### **Training:**

- All employees shall semiannually receive one hour of education which will include at a minimum the following subjects: an explanation of the disease model of addiction, the effects and dangers of commonly abused substances in the workplace, and SpectraCare’s policy and procedures regarding substance abuse.

# SpectraCare Health Systems Inc.

## 803 –Substance Abuse Policy – version 2

- Supervisors shall receive an additional two hours of annual training which will include at a minimum of the following subjects: how to recognize signs of employee substance abuse, how to document and corroborate signs of employee substance abuse, and how to refer substance abusing employees to the proper treatment providers.

### **Effect on Workers' Compensation & Unemployment Benefits:**

An employee may be denied unemployment benefits if the employee is terminated for violating this policy. If the employee's intoxication or impairment from the use of alcohol or prohibited drugs caused or contributed to an accident, workers' compensation may be disallowed. Likewise, workers' compensation may be disallowed if the employee refuses to submit to or cooperate with a post-accident blood or urine test.

**Notes:** The CEO may approve for this policy to be altered, replaced or discontinued at any time with or without notice. This policy does not represent any contractual obligation for the company.

# SpectraCare Health Systems Inc.

803 –Substance Abuse Policy – version 2

## SUBSTANCE ABUSE POLICY ACKNOWLEDGEMENT / RECEIPT / CONSENT FORM 803 A

I hereby certify that I have reviewed a written copy of *SpectraCare Health System's* Substance Abuse/Drug-Free Workplace Policy which was (is) effective *January 1, 2021*. I understand this policy applies to SpectraCare and /or its subsidiary companies (hereinafter referred to as "SpectraCare"). I have been given the opportunity to ask questions regarding this policy. I understand that violation of this policy is cause for disciplinary action, up to and including termination, or disqualification of employment.

I hereby give my voluntary consent for specimen(s) to be collected from me and submitted for drug and/or alcohol testing as a condition of my initial or continued employment. I understand that I will not be forced to submit to any alcohol or drug test, but my refusal to do so shall result in termination of employment or consideration for employment. I further consent to the release of said test results to *SpectraCare Health Systems* and the said employer's Medical Review Officer. I understand that these results will be held in strict confidence.

I understand that *SpectraCare Health Systems, Inc.* has the right to conduct searches and inspections of any employee's personal effects, clothing, work area, and vehicle for the purpose of determining if such employee or other person is in possession, uses, transports, or conceals any prohibited items and/or substances.

Searches, inspections, and substance use testing as may be required from time to time without prior announcement shall be conducted with concern for the personal privacy of each employee.

I understand that consent and cooperation in these procedures is a condition of employment, and that refusal to consent may result in termination or disqualification from employment.

I authorize the release of any test results to the company's workers' compensation insurer(s), the Alabama Unemployment Compensation Division, or any other government agency investigating my employment or termination.

I understand that copies of this original shall have the same force and effect as the original.

I further agree to hold *SpectraCare Health Systems*, its agents, directors, officers and employees harmless from any and all liabilities in connection with search and investigation.

\_\_\_\_\_  
Employee Signature

\_\_\_\_\_  
Date

# SpectraCare Health Systems Inc.

803 –Substance Abuse Policy – version 2

## DRUG TESTING AND WORKERS’ COMPENSATION INSURANCE (FORM 803 B)

Under Alabama Law, workers who are injured at the workplace or in the course of employment may be tested for drugs and alcohol and, if impaired, may not be paid benefits under the Alabama Worker’s Compensation Law if the injury is a result of an accident caused by drug and/or alcohol impairment:

**“A POSITIVE DRUG TEST CONDUCTED AND EVALUATED PURSUANT TO STANDARDS ADOPTED FOR DRUG TESTING BY THE U.S. DEPARTMENT OF TRANSPORTATION IN 49C.F.R. PART 40 SHALL BE A CONCLUSIVE PRESUMPTION OF IMPAIRMENT RESULTING FROM THE USE OF ILLEGAL DRUGS. NO COMPENSATION SHALL BE ALLOWED IF THE EMPLOYEE REFUSES TO SUBMIT TO OR COOPERATE WITH A BLOOD OR URINE TEST AS SET FORTH ABOVE AFTER THE ACCIDENT AFTER BEING WARNED IN WRITING BY THE EMPLOYER THAT SUCH REFUSAL WOULD FORFEIT EMPLOYEE’S RIGHT TO RECOVER BENEFITS UNDER THIS CHAPTER.”**

SpectraCare Health Systems, Inc., and/or its subsidiaries now warns you that refusal to take a urine or blood drug test after an accident will forfeit your rights to recover benefits under the Alabama Worker’s Compensation Act.

I have read (or have had read to me) and understand the foregoing statement.

\_\_\_\_\_  
Employee Name (PRINT)

\_\_\_\_\_  
Employee Signature

\_\_\_\_\_  
Date



# SpectraCare Health Systems Inc.

## 805 – Visitor Policy and Procedure – version 2

<b>Policy Section</b>	<b>800 – SHS Policies</b>
<b>Policy Number</b>	<b>805</b>
<b>Revision Number</b>	<b>Version 2</b>
<b>Review Date</b>	<b>March 1, 2020</b>
<b>Board Approval</b>	<b>December 10, 2020</b>
<b>Effective Date</b>	<b>January 1, 2021</b>

**Purpose:** To assure the safety and security of SpectraCare and/or its subsidiaries’ (hereinafter referred to as “SpectraCare”) employees, consumers, visitors and property and to insure only authorized personnel have access to SpectraCare facilities.

**Policy Statement:** It is the policy of SpectraCare Health Systems, to ensure the safety and well-being of all clients, staff members and visitors in our facilities at all times. As a result of this commitment, SpectraCare Health Systems will maintain a safe and secure environment by implementing a Visitor Policy and Procedure.

**Applicability:** This policy applies to all SpectraCare and/or its subsidiaries’ employees, applicants, clients and volunteers in a SpectraCare facility.

**Attachments:** None

### **Definitions:**

- Visitors – Non-employees who do not have official business with SpectraCare. Visitors may include children, spouses, relatives, and friends of employees. This definition also includes outside individuals who do have official business with SpectraCare (i.e., drug reps, vendors, etc).

### **Policy:**

From time to time, SpectraCare employees may have visitors stop by their office. This time should be limited to be courteous to other employees and clients in the work area. No visitors are allowed in clinical areas unless they are conducting SpectraCare business. Employees working in residential programs shall not have visitors, family members, children, and/or other guests in the home. This will allow for compliance with confidentiality and HIPPA, as well as for the safety of the clients and staff.

# SpectraCare Health Systems Inc.

## 805 – Visitor Policy and Procedure – version 2

Off-duty Employees: Employees are not permitted access to the interior of the facility and other working areas during their off-duty hours.

### **Procedure:**

- All visitors on SpectraCare property must be issued a visitor name tag by the appropriate SpectraCare employee (administrative associate, receptionist, Mental Health Technician)
- All visitors to SpectraCare must sign in and out according to the prescribed register.
- Any unauthorized visitor failing to secure a pass will be asked to leave the premises until one can be obtained.
- All visitors must be accompanied by the employee(s) that they are visiting for the duration of their stay. Special arrangements may also be made to accommodate contractors on long term assignments.
- Any employees who notice a visitor without a visitor tag must bring the situation to the attention of the designated personnel issuing tags and/or program director.
- In the event of an emergency evacuation, the designated SpectraCare employee (administrative associate, receptionist, MHT) will bring a list of all visitors to the evacuation area. The Program Director and/or designee are responsible for accounting for all visitors during an evacuation.

**Notes:** The CEO may approve for this policy to be altered, replaced or discontinued at any time with or without notice. This policy does not represent any contractual obligation for the company.

# SpectraCare Health Systems Inc.

## 806 – Infection Control Policy – version 1

<b>Policy Section</b>	<b>800 – SHS Policies</b>
<b>Policy Number</b>	<b>806</b>
<b>Revision Number</b>	<b>Version 1</b>
<b>Effective Date</b>	<b>March 12, 2020</b>
<b>Review Date</b>	<b>March 11, 2020</b>

**Policy Statement:** SpectraCare Health Systems Inc. and/or its subsidiaries (hereinafter referred to as “SpectraCare”) has a high commitment to safety and injury prevention on the job. It is recognized that the population serviced by SpectraCare is in the “HIGH RISK” category of having communicable disease. The system also acknowledges that our employees are at risk of becoming infected because they work in facilities that serve “HIGH RISK” clients. It is SpectraCare’s emphasis to educate and protect both staff and clients against the communicable disease.

**Applicability:** This policy applies to all SpectraCare and/or its subsidiaries’ employees, volunteers, interns, and/or agents.

**Attachments:** None

### **Definitions:**

- **Communicable Disease** – an infectious disease transmissible (as from person to person) by direct contact with an affected individual or the individual’s discharges or by indirect means
- **Hepatitis B Virus (HBV)** – an acute or chronic [hepatitis](#) that is caused by a double-stranded DNA virus (species *Hepatitis B virus* of the genus *Orthohepadnavirus*, family *Hepadnaviridae*), is marked chiefly by fatigue, fever, nausea, vomiting, abdominal pain, darkened urine, jaundice, and joint pain but may be asymptomatic, and is transmitted especially by contact with infected blood (as by transfusion or by sharing contaminated needles in illicit intravenous drug use) or by contact with other infected body fluids
- **Human Immunodeficiency Virus (HIV)** - a virus that attacks cells that help the body fight infection, making a person more vulnerable to other infections and diseases. It is spread by contact with certain bodily fluids of a person with HIV, or through sharing injection drug equipment.
- **Tuberculosis Infection** - a condition in which TB bacteria are alive but inactive in the body. People with TB infection have no symptoms, don't feel sick, can't spread TB to others, and usually have a positive skin test reaction. But they may develop TB disease later in life if they do not receive preventive therapy.
- **Tuberculosis Disease** - an illness in which TB bacteria are multiplying and attacking different parts of the body. The symptoms of TB disease include weakness, weight loss, fever, no appetite, chills, and sweating at night. Other symptoms of TB disease depend on where in the body the bacteria are growing. If TB disease is in the lungs (pulmonary TB), the symptoms may include a bad cough,

# SpectraCare Health Systems Inc.

## 806 – Infection Control Policy – version 1

pain in the chest, and coughing up blood. See Tuberculosis Policy # 802 for more specific information.

### Procedure:

Strict observance of standard universal precautions can provide protection from Hepatitis B Virus, Hepatitis C Virus, HIV and other communicable diseases. The occupational risk of HBV infection is high as compared to HIV infection, which is estimated to be less than 1% in those who have parenteral contact with infected blood.

### **Universal Precautions**

The best way to reduce occupational risk of infection is to follow universal precautions. Health care workers must assume all patients are infected with HBV, HIV, or other communicable diseases thus taking adequate non-discriminatory precautions to protect themselves. Universal precautions should apply to blood, body fluids containing visible blood, semen, vaginal secretions, tissues, cerebrospinal fluid, synovial fluid, pleural fluid, peritoneal fluid, pericardial fluid, and amniotic fluid.

The Centers for Disease Control (CDC) has developed procedures to help health care workers protect themselves from a variety of possible infections, including HBV and HIV. In general, these precautions include the use of an appropriate barrier (gloves, masks, goggles, etc.) to prevent contact with infected body fluids. Additionally, standard sterilization and disinfection measures as well as infective waste disposal procedures are to be followed.

In addition to gowns, gloves, and surgical masks, protective eyewear or face- shields should be worn where generation of droplets or splashing of body fluids is possible. If the protective barrier becomes torn, it should be replaced immediately or as soon as patient safety permits. In the event of injury to the health care practitioner, the barrier should be removed, and the wound treated promptly. Any such injury should be followed up with an incident report.

### **Summary of Universal Precaution Recommendations**

- Hands should be washed immediately if hands become contaminated with blood or other body fluids.
- Gloves should be worn whenever there is a possibility of contact with body fluids.
- Masks should be worn whenever there is a possibility of splashing or splattering of body fluids.
- Gowns should be worn if soiling of exposed skin or clothing is likely.
- During resuscitation procedures, pocket masks or mechanical ventilation devices should be readily available.

# SpectraCare Health Systems Inc.

## 806 – Infection Control Policy – version 1

- Spills of blood or blood-containing body fluids should be cleaned up using a solution of household bleach (sodium hypochlorite) and water in a 1:100 solution for smooth surfaces and 1:10 for porous surfaces.
- Health care professionals who have open lesions, dermatitis, or other skin irritations should not participate in direct patient care activities or handle contaminated equipment.
- Contaminated needles should never be bent, clipped, or recapped. Immediately after use, contaminated sharp objects should be discarded into a puncture-resistant “sharps” container designed for this purpose.
- Contaminated equipment that is reusable should be cleaned of visible organic material, placed in an impervious container, and returned to central supply or some other designated place for decontamination and reprocessing.

**Body fluids to which universal precautions apply:** blood, serum/plasma, semen, vaginal secretions, cerebrospinal fluid, vitreous fluid, synovial fluid, pleural fluid, pericardial fluid, peritoneal fluid, amniotic fluid, and wound exudates. Body fluids when blood is visible: sweat, tears, sputum, saliva, nasal secretions, feces, vomit, and breast milk.

- (1) Absorb blood or other infectious spill with disposable towels (NOTE: For large spills of concentrated infectious agents, the spill should first be flooded with a disinfectant such as a 10% dilution of household bleach and then be allowed to stand for 20 minutes before being handled).
  - (2) Using a 10% Amphyll solution, clean the spill site of all visible blood or infectious substance.
  - (3) Wipe down the spill site with disposable towels soaked in an appropriate intermediate to high level disinfectant. Recommended disinfectant is a 10% dilution of household bleach if blood or blood contaminated body fluid is involved. Amphyll may be used if a body substance is involved.
  - (4) Place all disposable materials used to decontaminate the spill into a biohazard container.
- Approved Disinfectants
    - (1) 5-10% dilution of Amphyll
    - (2) 5-10% dilution of Sodium Hypochlorite (household bleach, Clorox).

# SpectraCare Health Systems Inc.

## 806 – Infection Control Policy – version 1

### Housekeeping

1. The work site should be maintained in a clean and sanitary condition by periodically mopping the floors and disinfecting all of the work area surfaces with a 10% Amphyll solution.
2. Disposal of sharps containers should be followed as outlined above.
3. Disposal of contaminated waste should be followed as outlined above.
4. Disposal and handling of contaminated laundry should be handled as outlined above.

The Occupational Safety and Health Administration (OSHA) has determined that employees face a significant health risk as the result of occupational exposure to blood and other potentially infectious materials because they may contain blood borne pathogens, including Hepatitis B virus (HBV), human immunodeficiency virus (HIV) and Hepatitis C (HCV). Using work practice codes, personal protective equipment (PPE), training, medical surveillance, HBV vaccinations, warning labels/signs, and other provisions will help minimize or eliminate exposure.

Universal Precautions are very important. Health care workers must assume that all patients are infected with HBV, HIV or HCV. Universal precautions apply to blood, body fluids containing visual blood, semen, vaginal secretions, tissues, cerebrospinal fluid, synovial fluid, pleural fluid, peritoneal fluid, pericardial fluid, amniotic fluid, tears, wound exudates, sputum, feces, urine, vomitus and breast milk.

Hands should be washed before and after patient contact and immediately if hands become contaminated with blood or body fluids. Hands should be washed in cool water with soap for 15 seconds only if visibly soiled or contaminated. Otherwise, the antibacterial gel is acceptable. Gloves should be worn whenever there is a possibility of body fluid exposure. Masks should be worn if there is a possibility of splatters. Any blood spill should be cleaned with a solution of bleach and water in a 1:100 solution. This includes cleaning the area where blood sugars are completed. Sharps containers must be besides testing area and not taken across the room. Sharps containers must be emptied when  $\frac{3}{4}$  full.

Should an employee have an open wound, dermatitis, or other skin problem; that employee should wear an occlusive dressing to cover the area.

Group homes and foster homes must use a bleach rinse after each consumer uses the washer. It is also suggested that the dryer be wiped down with a bleach water solution or germicidal spray.

*\*\*\*Remember hand-washing techniques when needed\*\*\*.*

# SpectraCare Health Systems Inc.

## 806 – Infection Control Policy – version 1

### Viruses Procedure

Procedure:

SpectraCare will follow strict clinical guidelines for identifying, treating, and prevention of viruses when they arise as set forth by the Center for Disease Control (CDC) and Alabama Department of Public Health

### Exposure Procedure

1. Should an exposure occur, the employee must notify the Infection Control nurse, Shana Dorriety, RN immediately and she will notify Human Resources. The Worker's Compensation First Report of Injury form as well as an Incident Report must be completed within 24hours of exposure.
2. The employee will then be given directives of whether to report to PrimeCare or local Emergency Room for testing of HIV, HBV, and HCV. The testing will also be repeated in two weeks, and again at six months or as directed by physician.
3. A release must be signed by the employee to allow the Infection Control Nurse to follow the process and receive results from the facility conducting the tests.

The employee may call the Infection Control Nurse at 712-6400 ext. 1030. For Chief Nursing Officer call 712-6400 ext. 1033 or 714-5363. For after-hours contact Shana Dorriety, RN at 714-5363. The Infection Control Nurse will then notify Human Resources.

\* The First Report of Injury and Exposure Control Forms are all on the SpectraCare's intranet site. If your employees do not have access to a computer, please provide a location where this information will be kept.

**Notes:** This policy may be altered, replaced or discontinued at any time with or without notice by the CEO. This policy does not represent any contractual obligation for the company.