



Board of Health Meeting November 18, 2025

The Public Health Authority of Cabarrus County Board Meeting Agenda

November 18, 2025
5:30 pm

A. CALL TO ORDER	Chairperson Lara Pons, MD
<u>B. ADOPTION OF THE AGENDA</u> Motion November 18, 2025	Chairperson Lara Pons, MD
<u>C. APPROVAL OF THE MINUTES</u> Motion October 21, 2025 – Regular Meeting October 21, 2025 – Closed Session	Chairperson Lara Pons, MD
<u>D. INFORMAL PUBLIC COMMENT</u>	
<u>E. RECOGNITIONS</u> Women’s Health & Integrated Behavioral Health	Dr. Megan Easterday, Medical Director
<u>F. REPORTS</u> <u>Academic Health Department Overview</u> <u>Fall 2025 Communication and Marketing Intern Report</u> <u>Finance Committee Reports:</u> <u>Financial Summary Report</u> <u>CHA Snapshot</u>	Dr. Alicia Primus, Community Impact Director Tyler LaBorwit, Community Outreach and Communications Intern Sue Yates, Chief Financial Officer
<u>G. CONSENT AGENDA</u> Motion <u>Budget Revisions</u> <u>Finance Policies</u>	Chairperson Lara Pons, MD Sue Yates Sue Yates
<u>H. BUSINESS AGENDA</u> <u>Personnel Policy</u> Motion <u>State Contract Pricing</u> Motion	Chairperson Lara Pons, MD Rolanda Patrick, MPH, Deputy Health Director Sue Yates
<u>I. HEALTH DIRECTOR REMARKS</u>	Erin Shoe, MPH, Health Director
<u>J. ANNOUNCEMENTS</u>	Chairperson Lara Pons, MD
<u>K. MOTION TO ADJOURN</u> Motion	Chairperson Lara Pons, MD



B. ADOPTION OF THE AGENDA

Chairperson Lara Pons, MD



C. APPROVAL OF THE MINUTES

Chairperson Lara Pons, MD

October 21, 2025

Regular Meeting

[Click to view minutes](#)

October 21, 2025

Closed Session



D. INFORMAL PUBLIC COMMENTS

Chairperson Lara Pons, MD



E. RECOGNITIONS

Dr. Megan Easterday,

Medical Director

Women's Health & Integrated Behavioral Health



F. REPORTS

Academic Health Department Overview

Dr. Alicia Primus, Community Impact Director

Fall 2025 Communication and Marketing Intern Report

Tyler LaBorwit, Community Outreach and Communications Intern

Finance Committee Reports

- CHA Financial Summary
- CHA Snapshot

Sue Yates, Chief Financial Officer



F. REPORTS

Academic Health Department Overview

Dr. Alicia Primus, Community Impact Director



Academic Health Department

Internship, Fellowship, &
Practicums

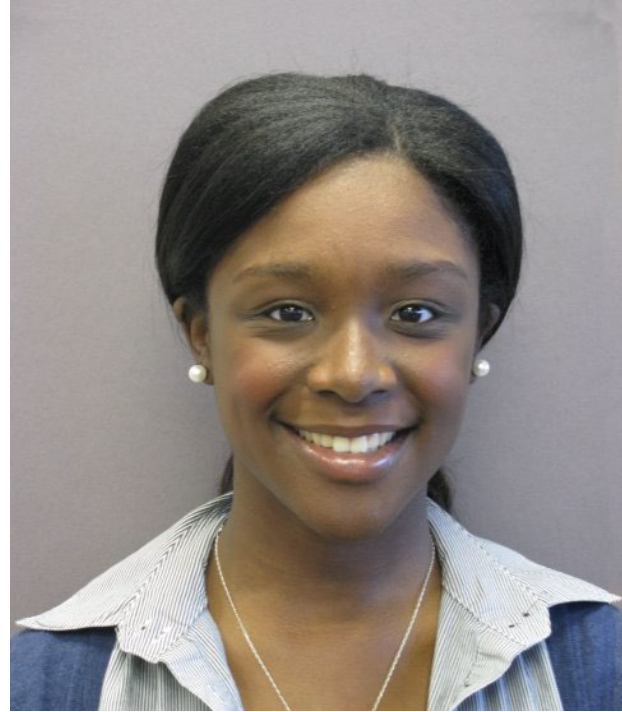
Clinical Rotations

Workforce Training &
Development

Research and Evaluation

Community Education and
Promotion

Academic Instruction*



AHD Team Members

- Julia Patterson
- Celeste Greene
- Dr. Alicia Primus
- Asma Warrich
- Rick Clark
- Caitlan Webster

A group of five diverse students are shown outdoors, smiling and looking at their smartphones. From left to right: a man with glasses and a beard wearing a white patterned cardigan over a black shirt; a woman with dark curly hair in a bun wearing a yellow long-sleeved shirt; a man with dark hair wearing a grey t-shirt and a black backpack; a man with dark skin and curly hair wearing a white hoodie; and a woman with long dark hair wearing a red shirt. In the foreground on the right, the back of a woman with long blonde hair wearing a grey hoodie is visible. The background shows a brick building and greenery.

CHA Hosted 264 students*

Totaling 9,962 contact hours (FY25)



Student experiences at CHA (Summer'24)

 cabarrushealthalliance





F. REPORTS

Fall 2025 Marketing and Communications Intern Report

Tyler LaBorwit, Community Outreach and Communications Intern



My Internship Journey at CABARRUS HEALTH ALLIANCE

Community Outreach and Communication Intern



ABOUT ME

Tyler LaBorwit

UNDERGRAD CLASS OF '24



Strategic Communications



Biology



MARYLAND





WHY CHA?

- Learn about public health communications
- Get involved in a new community
- Develop marketing campaigns
- Connect and learn from other professionals and mentors





FEATURED PROJECTS
I'VE CONTRIBUTED TO



PLAY AND GROW MAP

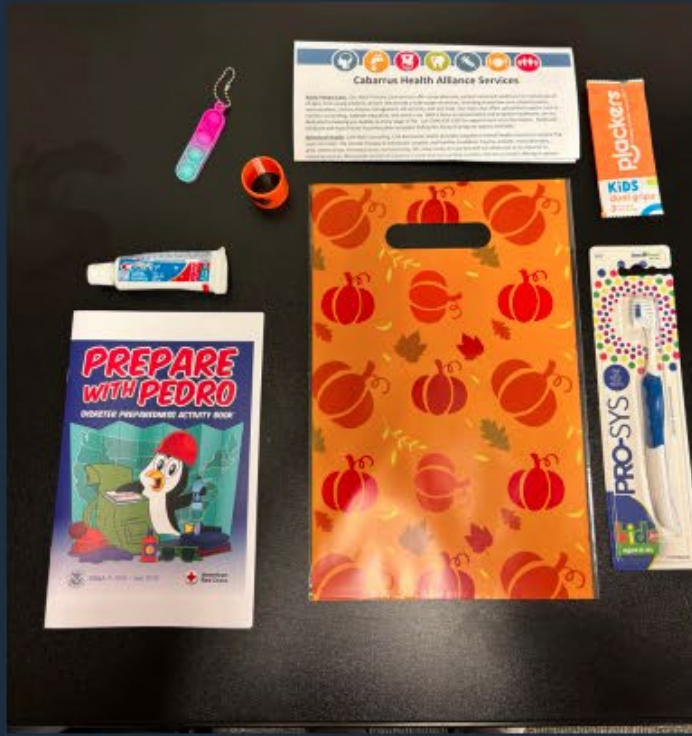


- Reached out to new sponsors
- Organized edits from partners
- Learned spreadsheet workflow

Country/Group	Name of Contact	Sponsoring?	Followup Sent?	Meeting Time	Meeting/Contact Reachouts	Interactive Map
Harrisburg	Jim Spina and Shawn (Kacy Nestor)			Two Followups Sent	First Email: 9/4 Follow-up: 9/17 Next Email: 10/1 Last Contact 10/7	https://cabarrus.maps.arcgis.com/apps/webappviewer/index.html?id=0f1569783c7240d793418bd9a5a768f1
County	Macy Andrews				First Email: 9/30 Joe Battinelli email 9/30	
Concord	Sheila Lowry (Lindsay Manson)			Oct. 15 at 4pm	First email: 9/17 Team call: 10/15 Followup: 10/16 & again on 11/5	
Kannapolis	Gary Mills (Annette)			Oct. 9 at 10am		
Midland	Doug (Savannah Suggs)					
Mount Pleasant	Randy (Erin Burris)					
CVB (Explore Cab.)	Gayle Lee (Julie Hinson) (Michael Bonoffski)			Oct. 21 they said yes and sent me logos		
Cannonballers	Vince Marucci		April Followup			
Healthy Cabarrus	Jessica Grant					
El Puente	Sandra Torres					



TOUCH A TRUCK 2025 (1,000)



Touch a Truck 2025

Budget for 1,000 bags

Item	Price
Slinkies	(36pcs) \$7.59 x 28 = \$212.52
Halloween bags	(100bags) \$13.99 x 10 = \$139.90
Pop-it Toys	(260pcs) \$25.99 x 4 = \$103.96
Total = \$456.38	

- Around 1,000 Dental Kits for children and adults Available (No Branding on them)



CONCORD MILLS TABLING EVENTS

- Learned about tabling events/mobile marketing
- Discovered future marketing opportunities in the mall

MEDICINE LOCK BOX KITS (50) G IS FOR GERM SANITIZER (450)



COMMUNITY KITCHEN RIBBON CUTTING CEREMONY FILMING



SOCIAL MEDIA PROJECTS

Using feedback to change verbiage, add proper logos, and social media scheduling software

BACK-TO-SCHOOL CHECKLIST

#1 Medications
Tell the school if your child needs medication during the day

#2 Vaccinations
Double-check that your child has up to date immunizations

#3 Health Assessment Form
Confirm your child health form has been submitted

#4 School Enrollment
Complete enrollment if your child is new to NC Public Schools



BACK-TO-SCHOOL CHECKLIST

#1 Medications
Notify your school nurse if your child needs medication during the day

#2 Vaccinations
Ensure your child's vaccine record is up-to-date

#3 Health Assessment Form
Confirm a health form for your child has been submitted

c| h | a CABARRUS HEALTH ALLIANCE

OCTOBER
NATIONAL
LUNG MONTH



cha CABARRUS
HEALTH
ALLIANCE

HISPANIC
HERITAGE MONTH
September, 15 - October, 15

wic WOMEN, INFANTS,
& CHILDREN

PROTECT YOUR
PETS IN A CRISIS

Pack Food & Water

Prepare a 3-7 day supply of dry food and fresh water per pet

Bring Medical Records

Include identification tags, immunizations, and medical records

Comfort Items

Don't forget a bed, blanket, leash, toys, and carrier

cha CABARRUS
HEALTH
ALLIANCE



Get a
Flu Shot
Today

STAY HEALTHY ALL SEASON LONG

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ALLIANCE

OCTOBER
BREAST
CANCER
AWARENESS MONTH

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HEALTH
ALLIANCE



NATIONAL
PREPAREDNESS
MONTH



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HEALTH
ALLIANCE

WIC MARKETING PROJECTS

MyNCWIC Portal Features

My Appointment Calendar

- View upcoming appointments.
- Cancel, reschedule or request an appointment.
- Quick access to telehealth appointments.
- Upload documentation and answer questions before your appointment and save time.

My Family

- See a list of family members on WIC.
- Send information to your WIC clinic about a new family member.

My Contact Info

- See and edit your address, phone number and email address.

My Documents

- View and download documents from your WIC clinic including a list of food benefits, nutrition education materials and more.

The MyNCWIC Portal can be used on your phone, tablet, computer or any other device with internet connection.

Create quick access to MyNCWIC

Android phones:

1. Open your internet browser and navigate to myncwic.ncdhhs.gov/portal.
2. Tap the menu icon (three dots in upper right-hand corner).
3. Tap "Add to Home Screen."
4. Type in a name for the website shortcut, then you will see it added your home screen.

Apple phones:

1. Open your internet browser and navigate to myncwic.ncdhhs.gov/portal.
2. Tap the share icon.
3. Tap "Add to Home Screen."
4. Type in a name for the website shortcut, then click "Done." You will then see it added to your home screen.

Great news!
The North Carolina WIC Program has a new online portal called the

MyNCWIC Portal



See, prepare for and even attend appointments online. The MyNCWIC Portal helps you to get the most of your WIC appointment.

Sign up today!

NC Department of Health and Human Services
Division of Child and Family Well-Being
Community Nutrition Services Section
www.ncdhhs.gov/wic-casb
This institution is an equal opportunity provider.
500,000 copies of this public document were printed at a cost of \$0.000
or \$0.00 per copy. (06/24 CWS # 296)

MyNCWIC Portal Features

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Great news! You can now access your WIC information online through the new MyNCWIC Portal.



See, prepare for and even attend appointments online. The MyNCWIC Portal helps you to get the most of your WIC appointment.

WIC CABARRUS HEALTH ALLIANCE

Benefits of Using MyNCWIC Portal

- Attend your WIC appointments virtually
- Upload your documents
- Answer health questions you may have
- Ask your nutritionist questions
- See your upcoming appointments



cha CABARRUS HEALTH ALLIANCE

Stay Connected with MyNCWIC

- Attend your WIC appointments virtually
- Upload your documents
- Answer health questions you may have
- Ask your nutritionist questions
- See your upcoming appointments



WIC CABARRUS HEALTH ALLIANCE

OUTSIDE OF MARKETING

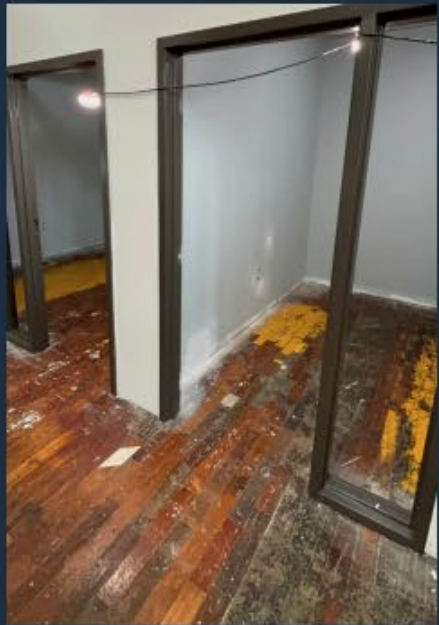


Environmental Health



Shadowed a Support Services leadership meeting that included the following departments: Facilities, IT, HR, Marketing, Dental and Medical Operations

BROWN MILL WALKTHROUGH



- Learned how signage works
 - Fire code
 - Office space standards
 - Monument Signage
- Budget
- Vendor Bidding Process
- Future of Project





Cabarrus Health Alliance Urges Measles Awareness and Prevention as Cases Rise Nationally

FOR IMMEDIATE RELEASE

Kannapolis, N.C. – Cabarrus Health Alliance, INSERT DATE, 2025 – In response to an increase in measles cases across the United States, Cabarrus Health Alliance (CHA) is joining with state and national public health agencies to urge residents to remain vigilant, review vaccination records, and take steps to protect themselves and their loved ones.

Although no confirmed cases have been reported in Cabarrus County or North Carolina so far in 2025, over 480 cases have been documented nationally in 20 jurisdictions—with three reported deaths. These numbers mark a concerning surge compared to prior years and serve as a clear call for prevention and preparedness.

"Measles is not just a childhood illness—it's a highly contagious virus that can lead to serious health complications," said Dr. Megan Easterday, CHA's Medical Director. "Vaccination remains our best defense against outbreaks."

County Table Top Exercise

- Community partners came together
- Learned about risk/crisis communication
- Internal/external communication and marketing tools
- Protocols for sending SMS messages to parents/community for contact tracing

GROWTH THROUGH EXPERIENCE

- **Prioritizing time and deadlines**
- **Working with multiple teams/departments**
- **Understanding budget and vendor proposals**
- **Federal and state grant opportunities**
- **Learning from an experienced mentor**





THANK YOU!





F. REPORTS

Finance Committee Reports

- CHA Financial Summary
- CHA Snapshot

Sue Yates, Chief Financial Officer



Financial Summary Report

Reviewed and
recommended for
approval by Finance
Committee: 11/12/2025

PUBLIC HEALTH AUTHORITY OF CABARRUS COUNTY FINANCIAL SUMMARY REPORT					Fiscal Year 2025 3 Months ending September 30, 2025 Target Percentage 25% Modified Accrual			
REVENUES	ACTUAL	ACTUAL	ACTUAL	ACTUAL	Fiscal Year 2026	Fiscal Year 2026	ACTUAL	Year to Date %
	Fiscal Year 2022	Fiscal Year 2023	Fiscal Year 2024	Fiscal Year 2025	ORIGINAL BUDGET	BUDGET	09/30/25	COLLECTED
INTERGOVERNMENTAL REVENUES	\$ 24,443,947	\$ 28,216,196	\$ 24,550,592	\$ 25,599,140	\$ 24,583,856	\$ 24,611,424	\$ 5,459,543	22.18%
MEDICAID COST SETTLEMENT	\$ 3,098,145	\$ 2,118,045	\$ 3,740,447	\$ 4,577,929	\$ 4,187,526	\$ 4,187,526	\$ 1,046,882	25.00%
MANAGED CARE QUARTERLY PAYMENT	\$ -	\$ 529,831	\$ 450,509	\$ 432,498	\$ 564,901	\$ 564,901	\$ 1,046,739	185.30%
PERMITS & FEES	\$ 340,160	\$ 363,658	\$ 298,053	\$ 326,185	\$ 338,849	\$ 338,849	\$ 54,960	16.22%
SALES & SERVICES	\$ 1,541,742	\$ 1,243,433	\$ 1,177,936	\$ 1,201,564	\$ 1,745,426	\$ 1,745,426	\$ 306,683	17.57%
INVESTMENT EARNINGS	\$ 15,223	\$ 298,825	\$ 362,632	\$ 359,956	\$ 235,000	\$ 235,000	\$ 107,304	45.66%
MISCELLANEOUS	\$ 67,453	\$ 76,531	\$ 53,715	\$ 70,119	\$ 40,817	\$ 40,817	\$ 16,845	41.27%
CONTRIBUTIONS & PRIVATE GRANTS	\$ 579,848	\$ 1,476,544	\$ 1,595,583	\$ 3,958,869	\$ 1,750,127	\$ 2,383,127	\$ 183,592	7.70%
FUND BALANCE APPROPRIATED	\$ -	\$ -	\$ -	\$ -	\$ 4,857,446	\$ 4,857,446	\$ -	0.00%
TOTAL	\$ 30,086,519	\$ 34,323,063	\$ 32,229,467	\$ 36,526,260	\$ 38,303,948	\$ 38,964,516	\$ 8,222,548	21.10%
EXPENDITURES	ACTUAL	ACTUAL	ACTUAL	ACTUAL	Fiscal Year 2026	Fiscal Year 2026	ACTUAL	Y-T-D %
	Fiscal Year 2022	Fiscal Year 2023	Fiscal Year 2024	Fiscal Year 2025	ORIGINAL BUDGET	BUDGET	09/30/25	SPENT
ENVIRONMENTAL HEALTH	\$ 1,429,941	\$ 1,735,411	\$ 1,712,590	\$ 1,905,268	\$ 2,086,162	\$ 2,097,317	\$ 456,604	21.77%
INFORMATION TECHNOLOGY SYSTEMS	\$ 1,158,973	\$ 1,092,401	\$ 1,054,304	\$ 940,765	\$ 1,219,977	\$ 1,219,977	\$ 301,642	24.73%
GENERAL ADMINISTRATION	\$ 3,235,818	\$ 4,665,661	\$ 4,307,096	\$ 7,765,538	\$ 9,047,704	\$ 9,680,704	\$ 1,857,380	19.19%
FAMILY CARE COORDINATION	\$ 1,251,648	\$ 1,582,220	\$ 1,341,827	\$ 1,519,929	\$ 1,567,780	\$ 1,570,523	\$ 301,396	19.19%
SCHOOL HEALTH	\$ 6,979,729	\$ 7,392,127	\$ 4,838,775	\$ 5,335,494	\$ 5,582,196	\$ 5,582,196	\$ 965,970	17.30%
COMMUNITY IMPACT	\$ 2,502,914	\$ 3,199,702	\$ 3,474,876	\$ 4,556,845	\$ 3,293,977	\$ 3,293,977	\$ 1,020,968	30.99%
DENTAL HEALTH	\$ 3,708,063	\$ 4,015,567	\$ 5,180,045	\$ 5,859,187	\$ 6,678,331	\$ 6,677,001	\$ 1,138,522	17.05%
VITAL RECORDS	\$ 70,154	\$ 72,346	\$ 78,036	\$ 79,245	\$ 84,046	\$ 84,046	\$ 11,786	14.02%
COMMUNICABLE DISEASE	\$ 4,145,338	\$ 5,158,646	\$ 4,228,051	\$ 2,057,475	\$ 1,927,896	\$ 1,927,896	\$ 431,867	22.40%
CLINICAL SERVICES	\$ 3,816,726	\$ 3,594,777	\$ 2,924,908	\$ 2,915,664	\$ 3,837,376	\$ 3,852,376	\$ 720,662	18.71%
BEHAVIORAL HEALTH	\$ 147,966	\$ 807,960	\$ 1,636,290	\$ 1,767,898	\$ 2,058,696	\$ 2,058,696	\$ 423,565	20.57%
WOMEN, INFANTS, CHILDREN	\$ 811,156	\$ 880,309	\$ 928,672	\$ 900,683	\$ 919,807	\$ 919,807	\$ 188,516	20.50%
TOTAL	\$ 29,258,426	\$ 34,197,127	\$ 31,705,471	\$ 35,603,991	\$ 38,303,948	\$ 38,964,516	\$ 7,818,878	20.07%
FUND BALANCE INCREASE (DECREASE)	\$ 828,093	\$ 125,936	\$ 523,996	\$ 922,269	\$ -	\$ -	\$ 403,669	



Snapshot

Reviewed and
recommended for
approval by Finance
Committee: 11/12/2025

Cabarrus Health Alliance Snapshot				
September 30, 2025				
Target Percentage 25%				
Modified Accrual				
	Budget	Actual	YTD Percentage	Comments
Environmental Health				
Revenue	2,097,317	478,720	22.83%	
Expense	2,097,317	456,604	21.77%	
Information Technology				
Revenue	841,967	210,492	25.00%	
Expense	1,219,977	301,642	24.73%	
General Administration				
Revenue	8,793,713	1,433,637	16.30%	
Expense	9,680,704	1,857,380	19.19%	
Family Care Coordination				
Revenue	1,570,523	399,364	25.43%	
Expense	1,570,523	301,396	19.19%	
School Health				
Revenue	5,582,196	958,962	17.18%	
Expense	5,582,196	965,970	17.30%	
Community Impact				
Revenue	3,237,271	1,039,990	32.13%	
Expense	3,293,977	1,020,968	30.99%	
Dental Health				
Revenue	8,118,131	1,631,723	20.10%	
Expense	6,677,001	1,138,522	17.05%	
Vital Records				
Revenue	83,060	20,765	25.00%	
Expense	84,046	11,786	14.02%	
Communicable Disease				
Revenue	1,927,896	417,542	21.66%	
Expense	1,927,896	431,867	22.40%	
Clinical Services				
Revenue	3,852,376	738,386	19.17%	
Expense	3,852,376	720,662	18.71%	
Behavioral Health				
Revenue	2,058,696	411,829	20.00%	
Expense	2,058,696	423,565	20.57%	
Women, Infants, and Children				
Revenue	801,370	188,120	23.47%	
Expense	919,807	188,516	20.50%	
Green - Revenues are greater than expenses or percentage is within 5% points				
Yellow - Revenues are less than expenses when not anticipated and percentage variance is between 6% and 15%				
Red - Revenues are less than expenses when not anticipated and percentage variance is greater than 16%				



G. CONSENT AGENDA

Chairperson Lara Pons, MD

- **Budget Revisions**
- **Finance Policies**

Sue Yates, Chief Financial Officer



G. CONSENT AGENDA

Budget Revisions

Sue Yates, Chief Financial Officer

[Click to view full revisions](#)



Budget Revisions

Reviewed and recommended for approval by Finance Committee: 11/12/2025

Summary	Amount Increase or (Decrease)
Behavioral Health: Harm Reduction Harm Reduction carryover amount alignment; more funds used in FY2025 than anticipated leading to minor decrease in carryover amount for FY2026.	\$(1,164)
Clinical: Opioid Settlement Grant Additional revenue for the Opioid Settlement Grant carryover	\$56,606
Clinical: Pregnancy Care Management Additional revenue for Pregnancy Care Management from Medicaid and Rowan County Health Department	\$41,863
Clinical: Care Coordination Additional revenue for Care Coordination from Rowan County Health Department	\$9,533



G. CONSENT AGENDA

Finance Policies

Sue Yates, Chief Financial Officer

[Click to view full policies](#)

Finance Policies

Summary	
Finance: Donation Policy	No changes
Finance: Donation Policy – Cabarrus Public Health Interest	No changes
Finance: Public Health, Primary Care & Dental Services False Claims and Fraud Prevention Policy	No changes



H. BUSINESS AGENDA

Personnel Policy

Rolanda Patrick, MPH, Deputy Health Director

State Contract Pricing

Sue Yates, Chief Financial Officer

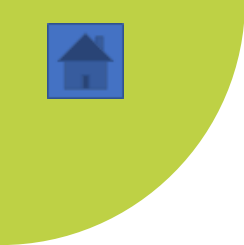


H. BUSINESS AGENDA

Personnel Policy

Rolanda Patrick, MPH, Deputy Health Director

[Click to view full policy](#)



Personnel Policy Updates

2025

Rolanda Patrick, MPH, Deputy Health Director



CABARRUS
HEALTH
ALLIANCE

Section	Page	Title	Change
Article III, Section 12	13	Longevity Pay	Deleted language around Organizational Performance Award and replaced it with Longevity Pay. (previously approved, updating policy)
Article IV, Section 5	15	Recruitment Sources	Clarified the requirement to interview any internal candidate who applies during the internal recruitment period and meets the minimum requirements of the position.
Article V, Section 2	18	Hours of Work	Added the right of the CEO to alter the work location, in addition to work hours, based on business necessity.
Article V, Section 6	19	Outside Employment	Added requirement to report all outside employment to HR.
Article V, Section 9	22	Telephones & Devices	Removed prohibition from taking pictures on CHA property and clarified the restriction is when PHI could be captured.



Section	Page	Title	Change
Article V, Section 12	23	Children at Work	Prohibits children from accompanying staff to work. If staff wish to bring children to CHA to visit coworkers, they must be with their guardian at all times. Children over the age of five (5) are not permitted in staff only areas.
Article VI, Section 1	24	Holidays	Clarifies that the amount time awarded for the floating holiday on January 1, will not be adjusted for later changes to FTE.
Article VI, Section 6	25	Annual Leave - Manner of Accumulation	Clarifies that employees with full-time military service qualify to have their time credited toward their leave accrual rate. Adds ability for an employee who retired with 20 years from the reserve forces to receive five (5) years of credit for their part time service.
Article VI, Section 11	26	Bereavement	Adds maximum of ten (10) days an employee may receive bereavement pay per calendar year.





H. BUSINESS AGENDA

State Contract Pricing

Sue Yates, Chief Financial Officer



Statewide Term Contracts from the North Carolina Department of Administration

NCGS 143-129g allows Cabarrus Health Alliance to utilize a state or federal contract that has completed the competitive procurement process. The state or federal agencies already completed the competitive bid process which allows eligible agencies to use the contracts without securing separate multiple bids.

NCGS 115D-58.14 and **NCGS 116-13** statewide term contracts may be utilized, without further competition, by state agencies and other eligible entities.

Request Approval for Utilization of Statewide Term Contracts

Requesting approval for statewide term contracts listed below to be utilized by Cabarrus Health Alliance.

Signatory limits still apply per Contract and Procurement Policy.

- 260A: Dental Products & Services
- 269A: Pharmaceutical Distribution Services
- 269B: Influenza Vaccines
- 3121A: Interior Paint
- 5213A: Window Coverings & Installation
- 946A: Procurement Card
- 5610A: Office and Outside Furniture
- 958A: Small Package Delivery Services
- 1412: Office Paper, Forms, and Supply Inc.



I. HEALTH DIRECTOR REMARKS

Erin Shoe, MPH



J. ANNOUNCEMENTS

Chairperson Lara Pons, MD



K. MOTION TO ADJOURN

Chairperson Lara Pons, MD



Supplementary Documents Linked to Agenda Items



Public Health Authority of Cabarrus County
Board Meeting Minutes
October 21, 2025

A regular meeting of The Public Health Authority Board was held on Tuesday, October 21, 2025.

Board members attended in-person at CHA.

Members Present:

Lara Pons, MD, Chair
Mark Spitzer, Vice-Chair
Amy Jewell
Kerry Dove
Cecilia Plez
Laura Lindsey
Natasha Lipscomb
Asha Rodriguez
Daryle Adams

Members Absent:

Staff Present: Erin Shoe, Rolanda Patrick, Alicia Primus, April Sloop, Sue Yates, Alisha Richards, Asma Warrich, Ryan McGhee, Tyler LaBorwit, & Sarah Vingoe

Guest and Members of the Public Present: Kavya Saxena, Candice Kane, Lilly Skok Bunch, Kelly Weston, Laurie Abounader, & members of the family of Greg Stewart

CALL TO ORDER

Chairperson Dr. Lara Pons called the meeting to order at 5:39 pm.

ADOPTION OF THE AGENDA

Chairperson Dr. Lara Pons requested a motion to adopt the agenda with changes. Laura Lindsey moved. Mark Spitzer seconded. Motion and approval carried unanimously.

APPROVAL OF THE MINUTES

Chairperson Dr. Lara Pons requested a motion to approve the August 2025 minutes. Mark Spitzer moved. Laura Lindsey seconded. Motion and approval carried unanimously. Chairperson Dr. Lara Pons requested a motion to approve the August 2025 closed session minutes. Natasha Lipscomb moved. Mark Spitzer seconded. Motion and approval carried unanimously. Chairperson Dr. Lara Pons requested a motion to approve the special called board meeting September 2025 minutes. Laura Lindsey moved. Kerry Dove seconded. Motion and approval carried unanimously.

INFORMAL PUBLIC COMMENTS

No public comments.

RECOGNITIONS

Presentation by Adaria Russell to the family of Greg Stewart. CHA's Wellness Kitchen was renamed the Gregory Keith Stewart Wellness Kitchen. Dr. Pons thanked the family for sharing Greg Stewart with CHA and the community.

BOARD MEMBER INSTALLATION & OATH OF OFFICE

Daryle Adams took the Oath of Office as a re-appointed Member to the Board of Commissioners. The Oath of Office was provided by Alisha Richards, notary.

REPORTS

Philanthropy Strategy

Sarah Vingoe, Development Officer, presented Candice Kane, Senior Trust Officer for the Cannon Foundation. Candice Kane presented an overview of the Cannon Foundation and Charitable Trusts. She also presented Lilly Skok Bunch, Senior Counsel for Cap Dev. Lilly provided the board with an overview of a potential philanthropy strategy that includes participation of the Board of Health. Discussion centered on collaboration, complementary strategies, and serving as "connectors."

Finance Committee Reports

Sue Yates, Chief Finance Officer, presented the following reports:

- CHA Financial Summary as of August 31, 2025. The summary includes revenues and expenditures, actuals for past and present fiscal year, and the year-to-date collected percentages.
 - Reviewed and recommended for approval by Finance Committee on 10/14/2025
 - Net positive amount \$922,269.
- CHA Snapshot as of August 31, 2025. The snapshot shows the budget, actuals, and year-to-date percentage collected for each department.
 - Reviewed and recommended for approval by Finance Committee 10/14/2025
 - All departments are in 'the green.'

CONSENT AGENDA

Budget Revisions

Sue Yates presented an overview of the Budget Revisions. There are currently eight (8) Budget Revisions. All were reviewed by the Executive and Finance Committee on 10/14/2025.

The Budget Revisions include the following:

- Behavioral Health: Child Therapist; \$59,679
Cabarrus County Opioid Settlement Funds received for Child Therapist
- Behavioral Health: OSSUN (Opioid Settlement Funds - Implementation of Opioid Abatement Strategies: Addressing the needs of pregnant or parenting women and their families, including babies with Neonatal Abstinence Syndrome); \$59,273
Fiscal Year 2025 carryover for the Opioid Settlement OSSUN Grant
- Behavioral Health: OSMAT (Opioid Settlement Funds - Implementation of Opioid Abatement Strategies: Evidence Based Addiction Treatment); \$165,392
Fiscal Year 2025 carryover from Cabarrus County Opioid Settlement Fund for OSMAT Grant
- Community Impact: Lifestyle Medicine; \$(135)
Reduce Lifestyle Medicine budget due to Fiscal Year 2025 carryover

- Community Impact: Lifestyle Medicine; \$34,839
Fiscal Year 2025 carryover for the Lifestyle Medicine Extension Grant
- Community Impact: Elevate Grant; \$10,334
Fiscal Year 2025 carryover for the Elevate Grant
- Community Impact: Community Health Worker Grant; \$10,334
Fiscal Year carryover for the Center for Disease Control - Community Health Worker Grant
- Women, Infants, & Children: Funding; \$81,379
Increase in Women, Infants, & Children funding due to increase caseload

Finance Policies

Sue Yates presented an overview of the Finance Policies. There are currently five (5) Finance Policies for review. All were reviewed by the Executive and Finance Committee on 10/14/2025.

- Finance: Conflict of Interest Policy - American Rescue Plan Act of 2021 Policy
 - No changes;
- Finance: Allowable Costs and Costs Principles Policy
 - No changes;
- Finance: Eligible Use Policy - American Rescue Plan Act of 2021 Policy
 - No changes;
- Finance: Non-Discriminations Policy - American Rescue Plan Act of 2021 Policy
 - No changes;
- Finance: Subscription-Based Technology Arrangements Policy
 - No changes;

Chairperson Dr. Lara Pons requested a motion to approve the Budget Revisions & Finance Policies. Mark Spitzer moved. Laura Lindsey seconded. Motion and approval carried unanimously.

BUSINESS AGENDA

Strategic Plan Adoption

Kelly Weston from Centralina Regional Council provided the Board with a presentation of the Strategic Plan, including an overview of the planning process, its importance, and components. Erin Shoe thanked the Centralina team for their leadership and guidance. Asma Warrich presented the Strategic Plan Fiscal Years 2026-2029 to the Board. She highlighted the involvement of various groups and demographics representing CHA staff, leadership, community stakeholder groups, and partners. National accreditation requirements were taken into account during the Plan's development, as well as alignment with the Community Health Needs Assessment to include patient and community voice. Division Directors will identify yearly tactics going forward.

Chairperson Dr. Lara Pons requested a motion to approve the Strategic Plan. Asha Rodriguez moved. Laura Lindsey seconded. Motion and approval carried unanimously.

Cabarrus County Well-Being Strategy Introduction

Alicia Primus, Director of Community Impact, presented an overview of the Cabarrus County Well-Being Strategy called THRIVE. This is a ten-year plan that incorporates community voice and family and community empowerment to make change for healthier lives. THRIVE is based on the six pillars of Lifestyle Medicine. Daryle Adams underscored that this is work that community partners are already doing and THRIVE aligns. Mark Spitzer recalled that this reflects goal one of the Strategic Plan. Dr. Primus assured that THRIVE will align with the Strategic Plan through tactics and strategies.

Logically Contract for Information Technology Services

Ryan McGhee, Information Technology Director presented the Logically contract for Board review. Logically provides core cybersecurity services at CHA. This is for a 36-month contract. Asha Rodriguez asked about the use of different vendors which may interface. Mark Spitzer asked if Logically is recognized as appropriate for CHA-external partner connectivity. Asha Rodriguez explained how monitoring systems work to ensure appropriate use. Ryan McGhee explained how the contract with Logically protects our data center. Dr. Lipscomb asked about insurance within Business Associate Agreements. Ryan McGhee responded that insurance is part of all contracts.

Chairperson Dr. Lara Pons requested a motion to approve the Logically contract. Amy Jewell moved. Daryle Adams seconded. Motion and approval carried unanimously.

HEALTH DIRECTOR REMARKS

Erin Shoe shared the Health Director's Remarks.

1. Catalog of videos available for Brown Mill
2. Brown Mill move in date mid-January with staff and ribbon cutting shortly after
3. CHA will continue to share updates and impacts on Federal government changes

ANNOUNCEMENTS

No announcements.

After a short intermission, the Board proceeded into the closed session. Chairperson Dr. Lara Pons requested a motion for a closed session. Mark Spitzer moved. Dr. Kerry Dove seconded. Motion and approval carried unanimously.

MOTION TO ADJOURN

No further business to come before the Board.

Chairperson Dr. Lara Pons requested a motion to adjourn the meeting. Mark Spitzer moved. Amy Jewell seconded. Motion and approval carried unanimously.

Lara Pons, MD, Chair

Public Health Authority Board of Commissioners

Minutes Taken by Sarah Vingoe

Development Officer



CABARRUS
HEALTH
ALLIANCE

Cabarrus Health Alliance Board Meeting Agenda Form

Meeting Date: November 18, 2025

Name of Item: Budget Revision Request

Submitted by: Sue K Yates

Expected Length of Presentation: 5 minutes

Brief Summary:

Budget revisions are being requested due changes in revenues and expenses. These changes are due to either an increase or decrease in a funding source, new source of funding, or realignment of revenues and/or expenses.

Requested Action:

Approval of budget revisions

1. Additional revenue for the Opioid Settlement Grant Carryover. \$56,606
2. Reduce Harm Reduction budget due to FY25 carryover. \$(1,164)
3. Additional revenue for Pregnancy Care Management from Medicaid and Rowan County Health Department. \$41,863
4. Additional revenue for Care Coordination from Rowan County Health Department. \$9,533

Previous Action/Discussion on this item? If yes, explain

Yes, discussed by the Finance Subcommittee.

Items reviewed by:

Erin K Shoe, Health Director
Sue K Yates, Chief Financial Officer



CABARRUS HEALTH ALLIANCE

Budget Revision/Amendment Request

#1

Date: 11/18/2025Amount: \$ 56,606

Type of Adjustment:

Health Director: Erin Shoe☐ Internal Transfer Within ProgramPurpose of Request: Budget for Fiscal Year 2025 Opioid Settlement Grant Carryover.☐ Transfer Between Programs☒ Supplemental Request

Account	Account Name	Present Approved Budget	Increase	Decrease	Revised Budget Amount
00265877-6902-416	Cabarrus Cty Grant Funds OSSUN	\$ 344,937	\$ 56,606	\$ -	\$ 401,543
00295877-9101-416	Salaries & Wages-OS SUN	\$ 169,343	\$ 7,000	\$ -	\$ 176,343
00295877-9201-416	Social Security-OS SUN	\$ 10,499	\$ 1,000	\$ -	\$ 11,499
00295877-9202-416	Medicare-OS SUN	\$ 2,455	\$ 500	\$ -	\$ 2,955
00295877-9205-416	Group Hospital Insurance-OSSUN	\$ 22,765	\$ 1,250	\$ -	\$ 24,015
00295877-9206-416	HRA OS SUN	\$ 3,502	\$ 1,000	\$ -	\$ 4,502
00295877-9210-416	Retirement-OS SUN	\$ 24,361	\$ 1,250	\$ -	\$ 25,611
00295877-9211-416	401K Match-OS SUN	\$ 3,387	\$ 500	\$ -	\$ 3,887
00295877-9230-416	Workers' Compensation-OS SUN	\$ 1,016	\$ 200	\$ -	\$ 1,216
00295877-9640-416	Insurance & Bonds-OS SUN	\$ 2,558	\$ 350	\$ -	\$ 2,908
00295877-9659-416	Unemployment Comp-OS SUN	\$ 271	\$ 356	\$ -	\$ 627
00295877-9320-416	Printing & Binding-OS SUN	\$ 100	\$ 50	\$ -	\$ 150
00295877-9356-416	Special Program Supplies-OSUN	\$ 500	\$ 7,850	\$ -	\$ 8,350
00295877-9360-416	Medical Supplies-OS SUN	\$ 407	\$ 1,605	\$ -	\$ 2,012
00295877-9447-416	Outsourced Services-OS SUN	\$ 84,000	\$ 42,000	\$ -	\$ 126,000
00295877-9355-416	Other Operation Costs-OS SUN	\$ 8,350	\$ -	\$ 8,075	\$ 275
00295877-9611-416	Mileage-OS SUN	\$ 400	\$ -	\$ 200	\$ 200
00295877-9635-416	Training & Education-OS SUN	\$ 8,150	\$ -	\$ 30	\$ 8,120

Finance Office Use Only

Finance Director _____ Health Director _____ Chairman of Cabarrus Health Alliance _____

Approved/Denied Date _____ Approved/Denied Date _____ Approved/Denied Date _____

CABARRUS HEALTH ALLIANCE

Budget Revision/Amendment Request

#2

Date: 11/18/2025

Amount: \$ (1,164)

Type of Adjustment:

Health Director: Erin Shoe

☐ Internal Transfer Within Program

Purpose of Request: Reduce Harm Reduction budget for Fiscal Year 2025 carryover.

☐ Transfer Between Programs

☒ Supplemental Request

Account	Account Name	Present Approved Budget	Increase	Decrease	Revised Budget Amount
00265845-6803-906	Miscellaneous Revenue-SEP	\$ -	\$ 125	\$ -	\$ 125
00265845-6805-906	Contributions & Private Donat	\$ 35,000	\$ -	\$ 1,289	\$ 33,711
00295845-9355-906	Other Operation Costs-SEP	\$ 9,000	\$ 1,000	\$ -	\$ 10,000
00295845-9360-906	Medical Supplies	\$ 22,000	\$ -	\$ 2,164	\$ 19,836

Finance Office Use Only

Finance Director _____ Health Director _____ Chairman of Cabarrus Health Alliance _____

Approved/Denied Date _____ Approved/Denied Date _____ Approved/Denied Date _____

CABARRUS HEALTH ALLIANCE

Budget Revision/Amendment Request

#3

Date: 11/18/2025

Amount: \$ 41,863

Type of Adjustment:

Health Director: Erin Shoe

☐ Internal Transfer Within Program

Purpose of Request: Budget for additional revenue for Pregnancy Care Management from Medicaid and Rowan County Health Department.

☐ Transfer Between Programs

☒ Supplemental Request

Account	Account Name	Present Approved Budget	Increase	Decrease	Revised Budget Amount
00265832-6415-51070	Medicaid - PCM	\$ -	\$ 32,330	\$ -	\$ 32,330
00265832-6459-51070	Rowan County Health Department	\$ -	\$ 9,533	\$ -	\$ 9,533
00295832-9101-51070	Salaries & Wages -PCM	\$ 504,086	\$ 11,480	\$ -	\$ 515,566
00295832-9201-51070	Social Security - PCM	\$ 31,254	\$ 2,000	\$ -	\$ 33,254
00295832-9202-51070	Medicare - PCM	\$ 7,309	\$ 1,000	\$ -	\$ 8,309
00295832-9205-51070	Group Hospital Ins - PCM	\$ 55,960	\$ 2,000	\$ -	\$ 57,960
00295832-9206-51070	HRA - PCM	\$ 8,400	\$ 2,000	\$ -	\$ 10,400
00295832-9210-51070	Retirement - PCM	\$ 72,538	\$ 5,000	\$ -	\$ 77,538
00295832-9211-51070	401K Match	\$ 10,082	\$ 7,000	\$ -	\$ 17,082
00295832-9401-51070	Building & Equipment Leases	\$ -	\$ 9,533	\$ -	\$ 9,533
00295832-9630-51070	Dues & Subscriptions-PCM	\$ -	\$ 1,500	\$ -	\$ 1,500
00295832-9659-51070	UnempComp-PCM	\$ 700	\$ 350	\$ -	\$ 1,050

Finance Office Use Only

Finance Director _____ Health Director _____ Chairman of Cabarrus Health Alliance _____
 Approved/Denied Date _____ Approved/Denied Date _____ Approved/Denied Date _____

#4

Type of Adjustment:

____ Internal Transfer Within Program

Transfer Between Programs

X Supplemental Request

[illegible]**Finance Office Use Only**

Finance Director _____ Health Director _____ Chairman of Cabarrus Health Alliance _____

Approved/Denied Date _____	Approved/Denied Date _____	Approved/Denied Date _____
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Cabarrus Health Alliance Board Meeting Agenda Form

Meeting Date: November 18, 2025

Name of Item: Annual Finance Policy Review

Submitted by: Sue Yates

Expected Length of Presentation: 5 minutes

Brief Summary:
Policies are reviewed at least annually for accreditation purposes and revisions are made when necessary.

Requested Action:
To approve the following reviewed and revised policies: - Donation Policy – no changes - Donation Policy – Cabarrus Public Health Interest – no changes - Public Health, Primary Care & Dental Services False Claims and Fraud Prevention Policy – no changes

Previous Action/Discussion on this item? If yes, explain
Yes - The reviewed/revised policies were discussed & approved at the Finance Committee meeting.

Items reviewed by:
Sue Yates, Chief Finance Officer Erin Shoe, Health Director Finance Subcommittee

SUBJECT: DONATION POLICY

EFFECTIVE DATE: November 14, 2017

REVISION DATE: November 2, 2017

REVIEW DATE: November 2, 2017, October 29, 2018; September 25, 2019; October 29, 2020; September 30, 2021; January 17, 2023; January 16, 2024, October 15, 2024, November 18, 2025

POLICY STATEMENT:

The primary objective of this policy is to establish guidelines, standards, and procedures for real and/or monetary donations (federal, state and or local) administered by and/or passed through the Public Health Authority of Cabarrus County dba Cabarrus Health Alliance (CHA).

DONATION ACCEPTANCE AND DISPERSION

- 1.1. According to **G.S. 153A-11** (counties); **G.S. 160A-11** (municipalities), CHA has the authority to acquire and hold any property and rights of property, real and personal, that may be devised, sold, or in any manner conveyed, dedicated to, or otherwise acquired by the CHA.
- 1.2. Donations for a specific purpose can be distributed or dispersed without prior Board approval assuming the CHA has statutory authority to use/spend the donation for the purposes(s) that is intended. Such dispersion of funds will be brought to the attention of the Board at the following board meeting for informational purposes.
- 1.3. The CHA Board of Directors hereby delegates authority to formally receive donations of real or monetary value to the Chief Executive Officer (CEO) and Chief Financial Officer (CFO).
- 1.4. The CHA has the right to reject an offered donation if it does not have the statutory authority to engage in the activity or purpose(s) to which the donation is directed. At the discretion of the Board, the CHA has the right to reject a donation for any reason, even if it has statutory authority.
- 1.5. Donations of significant value should contain a receipt containing the following:
 - 1.5.1. Name of local unit and legal status under state law (county, municipality, etc.).
 - 1.5.2. Amount donated (if cash or cash equivalent) or description of the property donated.
 - 1.5.3. Purpose to which donation will be used.
 - 1.5.4. Date the donation was received.
 - 1.5.5. Either a statement that “no goods or services were received in return for the donation” or, if the donation was \$75 or more, a good faith estimate of the value

of goods/services provided in exchange for the donation (if the goods/services were more than insubstantial benefit).

- 1.5.6. A statement indicating that the donor should consult with a tax professional about the tax implications of the donation under both state and federal law.
- 1.6. Monetary donations collected or received by a CHA employee must be deposited daily in an official depository in accordance with **G.S. 159-32**.
- 1.7. Donated funds will be recognized as revenue in the annual budget ordinance (or a project/grant ordinance) and appropriated to a particular department, function, or project for expenditure before funds are disbursed as per **G.S. 159-8; G.S. 159-13**.

Date

Board Chairman



SUBJECT: DONATION POLICY

EFFECTIVE DATE: November 14, 2017

REVISION DATE(S): November 2, 2017

DATE OF LAST REVIEW: November 2, 2017, October 29, 2018; September 25, 2019; October 29, 2020; September 30, 2021; January 17, 2023; January 16, 2024, October 15, 2024, November 18, 2025

POLICY STATEMENT: The primary objective of this policy is to establish guidelines, standards, and procedures for real and/or monetary donations (federal, state and or local) administered by and/or passed through the Public Health Authority of Cabarrus County dba Cabarrus Health Alliance's (CHA) not-for-profit organization, the Cabarrus Public Health Interest (CPHI).

GENERAL

- The CPHI will serve as a regulating body for the solicitation, receipt, management, and disbursement of all funds and/or other negotiable assets acquired by the Interest through fundraising efforts.
- The CPHI solicits and accepts gifts only for purposes that will help the CPHI further and fulfill its mission.
- The CPHI Board of Directors hereby delegates authority to formally receive donations of real or monetary value to the CHA Chief Executive Officer (CEO) and Chief Financial Officer (CFO).
- Donations for a specific purpose can be distributed or dispersed without prior Board approval. Such dispersion of funds will be brought to the attention of the Board at the following board meeting for informational purposes.
- The CPHI Board has the right to reject an offered donation for any reason.
- Donations of significant value should contain a receipt containing the following:
 - Name of local unit and legal status under state law (county, municipality, etc.).
 - Amount donated (if cash or cash equivalent) or description of the property donated.
 - Purpose to which donation will be used.
 - Date the donation was received.
 - Either a statement that "no goods or services were received in return for the donation" or, if the donation was \$75 or more, a good faith estimate of the value of goods/services provided in exchange for the donation (if the goods/services were more than insubstantial benefit).
 - A statement indicating that the donor should consult with a tax professional about the tax implications of the donation under both state and federal law.
- Monetary donations collected or received by a CHA employee will be deposited daily in an official depository.
- The CPHI will seek the advice of legal counsel in matters relating to acceptance of gifts when appropriate. Review by counsel is recommended for:
 - Gifts of securities that are subject to restrictions or buy-sell agreements.
 - Documents naming the CPHI as trustee or requiring the CPHI to act in any fiduciary capacity.

- Gifts requiring the CPHI to assume financial, legal, or other obligations.
- Transactions with potential conflicts of interest.
- Gifts of property which may be subject to environmental or other regulatory restrictions.

Restrictions on Gifts

- The CPHI will not accept gifts that:
 - a) Would result in the CPHI violating its corporate charter,
 - b) Would result in the CPHI losing its status as an IRC § 501(c)(3) not-for-profit organization,
 - c) Are too difficult or too expensive to administer in relation to their value,
 - d) Would result in any unacceptable consequences for CPHI, or
 - e) Are for purposes outside CPHI's mission. Decisions on the restrictive nature of a gift, and its acceptance or refusal, shall be made by the Board of Directors Chairman, in consultation with the CHA Chief Executive Director (CEO).

Gifts Generally Accepted Without Review

- *Cash*. Cash gifts are acceptable in any form, including by check, money order, credit card, or on-line. Donors wishing to make a gift by credit card must complete the Donation Form and provide the card type (e.g., Visa, MasterCard), card number, expiration date, and name of the card holder as it appears on the credit card.
- *Marketable Securities*. Marketable securities may be transferred electronically to an account maintained at one or more brokerage firms or delivered physically with the transferor's endorsement or signed stock power (with appropriate signature guarantees) attached. All marketable securities will be sold promptly upon receipt unless otherwise directed by CPHI. In some cases, marketable securities may be restricted, for example, by applicable securities laws or the terms of the proposed gift. In such instances, the decision whether to accept the restricted securities shall be made by the Board.
- *Bequests and Beneficiary Designations under Revocable Trusts, Life Insurance Policies, Commercial Annuities and Retirement Plans*. Donors are encouraged to make bequests to the CPHI under their wills, and to name the CPHI as the beneficiary under trusts, life insurance policies, commercial annuities and retirement plans.
- *Charitable Remainder Trusts*. The CPHI will accept designation as a remainder beneficiary of charitable remainder trusts.
- *Charitable Lead Trusts*. The CPHI will accept designation as an income beneficiary of charitable lead trusts.

Gifts Accepted Subject to Prior Review

- Certain forms of gifts or donated properties may be subject to review prior to acceptance. Examples of gifts subject to prior review include, but are not limited to:
 - *Tangible Personal Property*. The Board shall review and determine whether to accept any gifts of tangible personal property in light of the following considerations: does the property further the organization's mission? Is the property marketable? Are there any unacceptable restrictions imposed on the property? Are there any carrying costs for the property for which the organization may be responsible? Is the title/provenance of the property clear?

- *Life Insurance.* The CPHI will accept gifts of life insurance where the CPHI is named as both beneficiary and irrevocable owner of the insurance policy. The donor must agree to pay, before due, any future premium payments owing on the policy.
- *Real Estate.* All gifts of real estate are subject to review by the Board. Prior to acceptance of any gift of real estate other than a personal residence, the CPHI shall require an initial environmental review by a qualified environmental firm. In the event that the initial review reveals a potential problem, the organization may retain a qualified environmental firm to conduct an environmental audit. Criteria for acceptance of gifts of real estate include: Is the property useful for the organization's purposes? Is the property readily marketable? Are there covenants, conditions, restrictions, reservations, easements, encumbrances or other limitations associated with the property? Are there carrying costs (including insurance, property taxes, mortgages, notes, or the like) or maintenance expenses associated with the property? Does the environmental review or audit reflect that the property is damaged or otherwise requires remediation?

Cabarrus Public Health Interest Board Chairman

Date

SUBJECT: PUBLIC HEALTH, PRIMARY CARE, AND DENTAL
FALSE CLAIMS AND FRAUD PREVENTION POLICY

EFFECTIVE DATE: November 14, 2017

REVISION DATE: October 31, 2017; August 1, 2018

REVIEW DATE: October 31, 2017; August 1, 2018; August 1, 2019; July 30, 2020;
July 26, 2021; January 17, 2023, January 16, 2024, Oct 15, 2024,
November 18, 2025

POLICY STATEMENT: The purpose of this policy is to inform employees of the key provisions of laws relating the prevention of fraud, abuse, and waste of Federal and State Programs and to comply with the requirements of Section 1396(a)(68) of the Social Security Act and other related laws. In addition, this policy provides guidance regarding efforts to combat fraud, waste, and abuse within the Public Health Authority of Cabarrus County dba Cabarrus Health Alliance (CHA). The benefits of this policy include, but are not limited to demonstrating our commitment to honest and responsible conduct, decreasing the likelihood of unlawful and unethical behavior at an early stage, and encouraging employees to report potential problems to allow for appropriate internal inquiry and corrective action. This policy may be revised at any time if necessary and will be reviewed at least annually.

DEFINITIONS

1. *Fraud:* An intentional deception or misrepresentation to achieve an unauthorized benefit.
2. *Knowing and Knowingly:* Generally means that a person with respect to information:
 - a. Has actual knowledge of the information,
 - b. Acts in deliberate ignorance of the trust or falsity of the information, or
 - c. Acts in reckless disregard of the truth or falsity of the information, and no proof of specific intent to defraud is required.
3. *Claim:* Includes any billing to Medicare, Medicaid, or other State or Federal programs.

OVERVIEW OF RELEVANT LAWS:

- *Federal Deficit Reduction Act (DRA) of 2005: Section 6032 of the DRA of 2005.* The DRA was signed into law in February 2006 and contains many provisions that reform Medicare and Medicaid. This law also provides provisions for reducing Medicaid fraud and requires an entity that receives or makes annual payments under the State Medicaid Plan of at least \$5,000,000 to establish written policies for all employees of the entity, and of any contractor or agent of the entity, that provide detailed information about the False Claims Act, administrative remedies for false claims and statements, as well as whistleblower protections for reporting waste, fraud, and abuse.

- *The False Claims Act (FCA): 31 U.S.C. Sections 3729 through 3733.* This law is one of several that have been implemented to assist in the detection and prevention of fraud, abuse, and waste in federal programs. The FCA provides that anyone who “knowingly” presents, or causes to be presented, a “false or fraudulent claim” is liable for damages. The FCA prohibits retaliation against any party that reports any actual or potential violation of the False Claims Act.
- *North Carolina State False Claims Laws: Medicaid Fraud Statute, § 108A-70.10 et seq.* The North Carolina Medicaid fraud statute makes it unlawful for any provider to:
 - Knowingly present, or cause to be presented to the Medical Assistance, a false or fraudulent claim for payment or approval; or
 - Knowingly make, use or cause to be made or used a false record or statement to get a false or fraudulent claim paid or approved by the Medical Assistance Program
 - Knowingly means that a provider with respect to the information:
 - Has actual knowledge of the information;
 - Acts in deliberate ignorance of the truth or falsity of the information; or
 - Acts in reckless disregard of the truth and falsity of the information. No proof of specific intent to defraud is required.
 - Upon finding that such person has intentionally violated the Medicaid Fraud Statute, the court shall assess against any provider of medical assistance under the Medical Assistance Program a civil penalty of not less than \$5,000 and not more than \$10,000 plus three times the amount of damages which the Medicaid Program sustained because of the act of the provider.
- *Program Fraud Civil Remedies Act of 1986 (DFCRA).* DFCRA authorizes Federal agencies such as the Dept. of Health and Human Services (DHHS) to investigate and assess penalties for the submission of false claims to the agency.

It is essential that each employee be aware of compliance to existing standards for activities performed on the job. Areas include but are not limited to, medical record documentation, coding, billing, accounts receivable and compliance with state/federal regulatory requirements.

STANDARDS OF CONDUCT FOR PERSONNEL

1. No employee shall make false, or use any false, fictitious, or fraudulent statements or documents in connection with the delivery of, or payment for, health care benefits, items, or services.
2. No employee shall falsify, conceal, or cover up a material fact in the performance of their duties.
3. Each employee will be responsible for reporting any violations of this policy to their immediate supervisor.

POTENTIAL RISK AREAS

1. Billing for procedures, items or services that were not provided.
2. Billing for procedures, items or services that are not documented.
3. Submitting duplicate claims:
 - a. More than one claim for the same service.
 - b. Claim is submitted to more than one primary payer at the same time.
4. Up-coding; using a billing code that provides a higher payment rate than the billing code that accurately reflects the service furnished to the patient.
5. Inappropriate balance billing.
6. Inappropriate resolution of overpayments.
7. Incorrectly or improperly recording receivables.
8. Failure to maintain the confidentiality of information/records.
9. Alteration of documentation.
10. Destroying records/documentation without proper authority.

CLAIM AND DEVELOPMENT AND SUBMISSION PROCESS

1. Provide a mechanism for the billing or reimbursement staff to communicate effectively and accurately with the clinical and dental staff.
2. Provide proper and timely documentation of all physician, dental and other professional services prior to billing to ensure that only accurate and properly documented services are billed.
3. Emphasize that claims will be submitted only when appropriate documentation supports the claims and only when such documentation is maintained appropriately, organized in legible form, and available for audit and review.
4. Ensure that the diagnosis and procedures reported on the reimbursement claim are based on the medical record and other documentation.
5. Ensure all billings to government and private insurance payers reflect true and accurate information and conform to all pertinent federal and state laws and regulations.

REPORTING COMPLIANCE CONCERNS

Each employee has a duty to report possible wrongdoing or suspected violations of applicable federal and state laws and regulations. CHA has an open door policy available to all employees acting in good faith to encourage communication, dialogue, and the reporting of incidents of potential wrongdoing or suspected violations. CHA will not retaliate or discriminate against any employee who makes a good faith report of a suspected violation regarding the observed conduct or actions by another person by reason of such a report being made. Also see the CHA Whistleblowers Policy and Reporting Policy.

In the event you discover a compliance error that could lead to a violation of the FCA, you should bring it to the attention of your immediate supervisor or program manager.

TRAINING AND EDUCATION

Training and education is an essential component of an effective compliance policy. The amount of training provided to employees will be directly related to how much their job requires them to be involved with the provision of services, or in the coding and billing of services.

AUDITING AND MONITORING

Ongoing auditing and monitoring is an essential part of any effective compliance policy. Auditing and monitoring activities shall be conducted on an ongoing basis. These auditing and monitoring activities will be designed to address compliance with laws governing CPT, HCPCS, and ICD-10 coding, claim development and submission and reimbursement.

RESPONSE AND PREVENTION

Violations of the compliance policy threaten our status as a reliable, honest and trustworthy provider and may result in our being excluded from participating in federal healthcare programs. For this reason, supervisors will promptly respond to any and all reports of non-compliance. All violations will be assessed to determine whether a violation of the compliance policy actually exists. If warranted, appropriate corrective action measures shall be determined on a case-by-case basis. Disciplinary action, if required will be managed in accordance with the CHA disciplinary policies.

Date

Board Chairman



Personnel Policy

Mission

“To improve individual and community health through services, education, and collaborative action.”

Vision

“We envision a thriving community where people make healthy choices in healthy environments.”

Values



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INTRODUCTION: UNDERSTANDING THIS PERSONNEL POLICY

This Personnel Policy contains information about the employment policies and practices of the Cabarrus Health Alliance (“CHA”). We expect each employee to read this Personnel Policy carefully as it is a valuable reference for understanding your job. You will be given an opportunity to sit down and carefully review this Personnel Policy. The Personnel Policy is reviewed upon hire and annually.

This Personnel Policy supersedes all previously issued Personnel Policies and inconsistent verbal or written policy statements. Except for the policy of at-will employment, which can only be changed by CHA’s Chief Executive Officer in writing, CHA reserves the right to revise, delete, and add to the provisions of this Personnel Policy. All such revisions, deletions, or additions must be in writing. No oral statements or representations can change the provisions of this Personnel Policy.

Nothing contained in this Personnel Policy shall be construed as constituting a contract or as creating any contractual obligations on the part of CHA or any employee. None of CHA’s personnel documents and benefit plans, including this Personnel Policy, constitutes, or is intended to constitute, an express or implied contract guaranteeing continued employment for any employee. No manager/department head has any authority to enter into a contract of employment--express or implied--that changes or alters the at-will employment relationship. Only CHA’s Chief Executive Officer has the authority to enter into an employment agreement that alters the at-will employment relationship and any such agreement must be in writing.

This Personnel Policy is the property of CHA. All rights are reserved. No part of this Personnel Policy may be reproduced in any form or by any electronic or mechanical means, including information storage and retrieval systems, except in connection with employment with CHA.

If you have any questions or concerns about this Employee Handbook or any other policy or procedure, please ask your manager, Human Resources, or the Chief Executive Officer.

Adopted: 11-13-2012

Revised: 09-30-2012; 06-02-2017

Reviewed: 02-11-2014; 02-13-2018; 10-01-2019; 02-09-2021; 05-18-2022; 08-21-2023; 08-30-2024

ARTICLE I. ORGANIZATION OF PERSONNEL SYSTEM

Section 1. Purpose

The purpose of this Policy is to establish a personnel system which will recruit, select, develop and maintain an effective and responsible work force for the Public Health Authority of Cabarrus County operating under the business name of the Cabarrus Health Alliance. This ordinance is established under the authority of Chapter 153A – Article 5 and Chapter 126 of the General Statutes of North Carolina.

Section 2. Coverage

All employees in CHA's service shall be subject to this Policy, except as provided in this section. Also, contractors and partners are subject to some sections of this Policy, as noted throughout.

- (a) The following are exempt:
 - 1. Board Members of the Cabarrus Public Health Authority;
 - 2. Chief Executive Officer;
 - 3. Attorney for the Cabarrus Public Health Authority; and
 - 4. Members of advisory and special boards or commissions.
- (b) Temporary employees designated by the Cabarrus County Public Health Authority Board ("Authority Board"). The Authority Board shall be subject to all Articles except Article III, Sections 12-13; Article IV, Sections 10-12; Article VI, Sections 2-11, 23-28 and 30; Article VII, Sections 1-5 and 7; and Article IX, Section 1, 4, and 6.
- (c) Employees with employment agreements may be exempt from certain articles based on the provisions of their contract.

Section 3. Employee Definitions

- (a) Adverse Action. A demotion, suspension, dismissal, reduction in pay or benefits, involuntary transfer or lay-off, or failure to promote.
- (b) Anniversary Date. An employee's original date of hire in a position. This may be adjusted to an artificial date if there is split service.
- (c) Appointing Authority. Position with the authority to make hiring decisions. (Chief Executive Officer)
- (d) Classification Plan. An approved plan by the Authority Board which assigns positions with similar kinds of duties into job classes for similar treatment in selection, compensation and other employment processes.
- (e) Complaint. Any expression of displeasure with CHA. Examples of complaints are alleged safety or health hazards, unsatisfactory physical facilities, unequitable or abusive treatment by a supervisor or other employee.
- (f) Completed Month. Any month in which an employee works at least one-half the workdays.
- (g) Completed Year. A period of twelve (12) calendar months in which the employee is in active pay status or is receiving Worker's Compensation payments while on leave without pay.
- (h) Demotion. The reassignment of an employee to an existing position having a lower salary grade than the position from which the reassignment is made.
- (i) Dependent. The legal spouse or child(ren), stepchild(ren) of an employee.
- (j) Effective Date. Normally the date of an employee's last significant personnel action related to their position – such as hire or promotion date. Determines when an employee is eligible for a performance evaluation and any related salary increase.
- (k) Full-time Employee. An employee, either regular or temporary, who is scheduled to work the number of hours per workweek designated by the Authority Board as full-time.
- (l) Grievance. A claim based upon events or conditions that affect employees in an adverse manner. A grievance typically involves adverse actions of employment such as a reduction in salary, loss of benefits, harassment, retaliation, suspension, and/or demotion.

- (m) Job Class. A position or group of positions having similar duties and responsibilities requiring similar qualifications, which can properly be designated by one title indicative of the nature of work performed and which carries the same salary range.
- (n) Part-time Employee. An employee, either regular or temporary, who is scheduled to work less than the number of hours per workweek designated by the Authority Board as full-time.
- (o) Pay Plan. A listing by grade of all approved minimum, intermediate and maximum rates of pay authorized by the Authority Board for various job classifications.
- (p) Pay Plan Adjustment. The raising or lowering of the salary grade for one or more classes or positions within the classification plan.
- (q) Position. A group of current duties and responsibilities, assigned by a competent authority, requiring the full or part-time employment of one person. The existence of a position or its identity does not depend upon its being occupied by an employee.
- (r) Probationary Employee. A person appointed to a regular position who has not yet completed the probationary period.
- (s) Probationary Period. The required period of time an employee serves upon entering service before obtaining regular status. In most cases, 90 calendar days.
- (t) Promotion. The reassignment of an employee to an existing vacant position that is in a higher salary grade than the position from which the reassignment is made.
- (u) Public Health Authority of Cabarrus County Board of Health. The appointed board is responsible for hiring the Chief Executive Officer, approving personnel policy, and budget for operations of the Public Health Authority.
- (v) Reclassification. The reassignment of an existing position from one class to another, based on changes in job content such as duty, difficulty, required skill and responsibility of the work performed.
- (w) Regular Employee. An employee who has satisfactorily completed their probationary period and has been approved for continued employment by their department head and Human Resources.
- (x) Regular Position. A position approved by the Authority Board in which the duties and responsibilities are required on a continuous and annually recurring basis, requiring either the full-time or part-time employment of an individual.
- (y) Salary Range. The minimum, intermediate, and maximum salary for a given job classification.
- (z) Salary Schedule. A schedule of minimum, intermediate, and maximum rates of pay for each class of positions.
- (aa) Temporary Employee. A person appointed to serve in a position for a definite duration or working variable hours (PRN).
- (bb) Transfer. The reassignment of an employee from one position or department to another.

Section 4. Merit Principle

All appointments and promotions hereunder shall be made solely on the basis of merit and qualifications for the position. All positions requiring the performance of the same duties and the fulfillment of the same responsibilities shall be assigned to the same class and the same salary range. No applicant for employment or employee shall be deprived of employment opportunities or otherwise adversely affected as an employee because of such an individual's age, sex, race, ethnicity, gender identity, sexual orientation, religion, color, national origin, physical or mental disability, veteran status, genetic information, or any other status protected by federal, state or local laws.

Section 5. Responsibility of Public Health Authority of Cabarrus County Board of Health

The Authority Board shall establish personnel policies and rules, including the classification and pay plan, and shall appoint the Chief Executive Officer for the Cabarrus Health Alliance.

Section 6. Responsibility of Chief Executive Officer

The Chief Executive Officer shall be responsible to the Authority Board for the administration of the personnel program. The Chief Executive Officer shall appoint, suspend, and remove all CHA employees in accordance with 153A-82 of the General Statutes of the State of North Carolina and Articles IV, VII, and VIII of this Personnel Policy.

The Chief Executive Officer may appoint or contract for assistance in the preparation and maintenance of the classification plan and the pay plan, and performance of such other duties in connection with a personnel program, as Chief Executive Officer shall require, such as:

- (a) Apply, interpret, and carry out this Policy, as directed by the Chief Executive Officer;
- (b) Establish and maintain records of all persons in service of CHA, setting forth each officer and employee, class title of position, pay or status history and other relevant employment data;
- (c) Develop and administer such recruiting programs as may be necessary to obtain an adequate supply of competent applicants to meet the needs of CHA;
- (d) Encourage and exercise leadership in the development of effective personnel administration within the various CHA departments, and to make available the facilities of the personnel office to this end;
- (e) Investigate, from time to time, the operation and effect of this Policy and the policies made there under, and report such findings and recommendations to the Chief Executive Officer;
- (f) Make recommendations to the Chief Executive Officer regarding the personnel functions, as well as revisions to the personnel system, as may be appropriate;
- (g) Issue and publish any necessary administrative directives, supplements, interpretations, and necessary prescribed forms and reports for any personnel matters for the proper functioning, maintenance, and documentation of the procedures established by and in accordance with this Policy.

All matters dealing with personnel shall be forwarded to the appointed person, who shall maintain a complete system of personnel files and records.

Adopted: 07-01-1997

Revised: 07-01-2001; 11-09-2004; 06-02-2017; 10-01-2019; 02-09-2021

Reviewed: 02-11-2014; 02-13-2018; 05-18-2022; 08-21-2023; 08-30-2024

ARTICLE II. CLASSIFICATION PLAN

Section 1. Adoption of Classification Plan

The Job Classification Schedule, as set forth in Appendix A, is hereby adopted as the position classification plan for the Cabarrus Health Alliance.

Section 2. Allocation of Positions

The Chief Executive Officer shall allocate each position covered by the classification plan to its appropriate class in the plan.

Section 3. Administration of the Position Classification Plan

The Chief Executive Officer or person(s) designated by the Chief Executive Officer shall be responsible for the administration and maintenance of the position classification plan so that it will accurately reflect the duties performed by employees in the classes to which their jobs are allocated. Program Directors shall be responsible for bringing to the attention of the Chief Executive Officer or designee (1) the need for new positions or classifications and (2) material changes in the nature of duties, responsibilities, working conditions, or other factors affecting the classification of any existing positions.

The Chief Executive Officer may establish new positions when funding is available. The Chief Executive Officer shall either (1) allocate the new position to the appropriate class within the existing classification plan or (2) amend the position classification plan to establish a new class to which the new position may be allocated. This is done in conjunction with Human Resources and the Chief Executive Officer.

When the Chief Executive Officer finds that a substantial change has occurred in the nature or level of duties and responsibilities of an existing position, the Chief Executive Officer shall (1) direct that the existing class specification be revised, (2) reallocate the position to the appropriate class within the existing classification plan, and/or (3) amend the position classification plan to establish a new class to which the position may be allocated.

Section 4. Amendment of Position Classification Plan

Classes of positions shall be added to and deleted from the position classification plan based on the recommendation of the Chief Executive Officer and Human Resources.

Adopted: 07-01-1997

Revised: 07-01-2001; 10-01-2019

Reviewed: 02-11-2014; 02-13-2018; 02-09-2021; 05-18-2022; 08-21-2023; 08-30-2024

ARTICLE III. THE PAY PLAN

Section 1. Adoption

The job classification schedule, reflecting salary grade and job class titles, as set forth in Appendix A, is hereby adopted as the pay plan for the Cabarrus Health Alliance.

Section 2. Administration of Pay Plan

The Chief Executive Officer shall be responsible for the administration and maintenance of the pay plan. The pay plan is intended to provide appropriate compensation for all positions reflecting the differences

in duties and responsibilities, the comparable rates of pay for positions in private and public employment in the area, the financial conditions of CHA, and other factors. To this end, the Chief Executive Officer shall, from time to time, make comparative studies of all factors affecting the level of salary ranges and shall recommend to the Authority Board such changes in salary ranges as appear to be warranted.

The pay plan of the Cabarrus Health Alliance shall be administered in a fair and systematic manner in accordance with work performed. The pay plan shall be externally competitive, shall maintain proper internal relationships among positions, and shall recognize job performance and employee conduct as factors in the consideration of pay increases, if any, within the established salary range.

Section 3. Use of Salary and Job Classification Schedule

The Job Classification Schedule is maintained on the Human Resources page of the intranet, accessible to all staff. The job classification schedule defines the grade in which each position is classified.

Salary Adjustments. Increases may be made to an employee's base salary if justified by an unusual or inequitable situation and approved by the Chief Executive Officer.

Section 4. Salary of a Trainee

An applicant hired or an employee promoted to a position who does not meet all the established requirements of the position may be appointed at a rate in the pay plan below the minimum rate established for that position. The established trainee rate for any given position shall be the hiring rate for the salary grade below the one of that position. An employee at the trainee level shall be evaluated every six months. The supervisor may certify that the trainee is qualified to assume the full responsibilities of the position at the conclusion of any six-month evaluation period. At this point the employee will be paid the entry salary for the position. The employee becomes eligible for salary increases as outlined in Article III Section 13.

No employee shall remain in a trainee status (pay below lowest amount for salary grade assigned to his or her job classification) for more than twelve (12) months.

Section 5. Pay Rates in Promotion, Demotion, Transfer, and Reclassification

- (a) When an employee is promoted or reclassified to a job classification in a higher pay range, then the employee may receive an increase to the salary grade of the new job classification. The rate shall be determined by the head of Human Resources and is subject to approval by the Chief Executive Officer.
- (b) When an employee is demoted for non-disciplinary reasons or has a job status change which results in a lower salary range being assigned to a job classification or position, the employee's salary may be reduced to any amount in the lower salary range, as long as the reduced salary does not fall below the minimum salary rate of that range.
- (c) When an employee is demoted for disciplinary reasons, which results in a lower pay range being assigned to the employee's job, the employee's pay will be placed in the lower salary range or have

their salary reduced by a minimum of 10%, upon the recommendations of the head of Human Resources with the approval of the Chief Executive Officer.

- (d) When an employee is transferred to a position in the same salary range, then they will normally retain the same pay in the salary range. Adjustments to the salary can be made for special situations, if justified, upon recommendations of the head of Human Resources with the approval of the Chief Executive Officer.

Section 6. Pay Rates in Pay Plan Adjustments

When the Authority Board approves a change in salary range for a class of positions, the salaries of the employees whose positions are allocated to that class shall be affected as follows:

- (a) When a class of positions is assigned to a higher salary range, employees in those positions shall receive a 5% or an increase to the minimum of the new salary grade, whichever is greater, unless already at or above the mid for that range.
- (b) When a class of positions is assigned to a lower salary range, employees will move to the new salary grade and will retain their current rate of pay, not to exceed the maximum rate of pay of the salary grade. Until general schedule adjustments or range revisions bring it back within the lower range.

Section 7. Pay Rates for Interim Job Assignments

Occasionally a position vacancy or the long-term absence of the person in the position requires the temporary assignment of all or part of such a position's duties to another employee. A temporary stipend would be implemented for an employee accepting such an assignment with the approval of the head of Human Resources and the Chief Executive Officer.

The exact size of the temporary increase will be based in part upon the size of the department, the significance of duties assumed, and the level of responsibility for persons, property, and operations, and is at the discretion of the Chief Executive Officer.

Increases will not be given for additional duties that are routine or similar to those of an employee's regular job assignment.

Section 8. Overtime

Overtime work shall be administered in accordance with federal and state law as set forth in the Wage and Hour Policy as contained in Appendix B.

Section 9. Call Back Pay

An employee eligible to receive overtime compensation or compensatory time as defined in the Wage and Hour Policy contained in Appendix B shall be guaranteed a minimum of two (2) hours for being called back to work outside of normal working hours.

Section 10. Payroll Deductions

Only payroll deductions specifically mandated or authorized by Federal or State act, authorized by the employee or authorized by the Authority Board, may be deducted from each employee's pay at each pay period.

Section 11. Employee Merit Increase

Regular status employees in classes 9101, 9102, and 9103 are eligible for a salary increase based on performance as documented in the performance evaluation. The amount of the salary increase is related to the score received on the performance evaluation. The performance evaluation period is July 1 – June 30 of each year.

The salary increase is added to the employee's base salary up to the maximum of the pay grade. A lump sum award will be paid to the employee at the maximum pay level for the grade. The amount of the lump sum paid is based on performance as documented on the performance evaluation. All salary increases and the amount are granted on availability of funds and market conditions.

Employees in class 9104 will not participate in the annual performance evaluation. If offered, 9104 employees qualify for a cost-of-living adjustment (COLA), subject to the timeframe defined below. As such, pay rates should be evaluated at least every three years and adjustments made based on market rate, as approved by the Chief Executive Officer. Interns in a 9104 class do not qualify for a COLA.

Employees hired between July 1st and March 30th will participate in the full performance evaluation process and are eligible for a merit increase. Employees hired between April 1st and June 30th should complete their probationary review, but will not be eligible for a merit increase until the following year. Employees who receive a written warning are not eligible for a merit increase for the fiscal year of the warning.

Section 12. Organizational Performance Award

Employees in class 9101, 9102, 9103, and 9104 (the lump sum award for 9104 will be based on hours worked) are eligible for a lump sum award based on achieving the performance goals established by the Authority Board for each fiscal year. Employees with unsatisfactory performance, as documented on the most recent performance appraisal, are not eligible for an award.

Formula for Payment:

- Full-time, Class 9101 employees who have worked 12 months, ending June 30, and are on the payroll when awards are processed shall receive the full award amount.
- Full-time, Class 9101 employees who have worked less than 12 months, ending June 30 and are on the payroll when awards are processed shall receive a prorated amount 1/12th for each month of service.
- Part-time, Class 9102 and 9103 employees as of June 30, and are on the payroll when awards are processed shall receive a prorated amount based on full time equivalency (FTE).

- Part-time, Class 104 employees as of June 30, and are on the payroll when awards are processed shall receive a prorated amount based on hours worked during the fiscal year.

Section 13. Increases for other Achievements

Employees may be considered for a salary increase upon achieving a degree or certification in an area relevant to their work. Details can be found in the Education Attainment and Compensation policy, as well as department specific policies, see your supervisor or Human Resources if you have questions regarding a course of study or certification.

Adopted: 07-01-1997

Revised: 08-21-2001; 06-02-2017; 10-01-2019; 02-09-2021; 08-21-2023

Reviewed: 02-11-2014; 02-13-2018; 05-18-2022; 08-30-2024

ARTICLE IV. RECRUITMENT AND EMPLOYMENT

Section 1. At Will Employment

Employment at CHA may be terminated for any reason, with or without cause or notice, at any time by the employee or CHA. Nothing in this Personnel Policy or in any oral or written statement shall limit the right to terminate employment at will. No manager/department head or employee of CHA shall have any authority to enter into an employment agreement--express or implied--with any employee providing for employment other than at-will.

This policy of at-will employment is the sole and entire agreement between you and CHA as to the duration of employment and the circumstances under which employment may be terminated.

With the exception of employment at will, terms and conditions of employment with CHA may be modified at the sole discretion of CHA with or without cause or notice at any time. No implied contract concerning any employment-related decision or term or condition of employment can be established by any other statement, conduct, policy, or practice.

Section 2. Statement of Equal Employment Opportunity and Non-Discrimination Policy

It is the policy of CHA to maintain a systematic, consistent recruitment program, to promote equal employment opportunity, and to identify and attract the most qualified applicants for all present and future vacancies. This intent is achieved through consistency in announcing all positions and evaluating all applicants on the same criteria.

CHA shall select employees on the basis of applicants' qualifications and without regard to age, sex, race, ethnicity, gender or gender identification, sexual orientation, religion, color, national origin, physical or mental disability, veteran status, genetic information, or any other status protected by federal, state or local laws, except where specific age, sex, or physical requirements constitute a bona fide occupational qualification necessary for job performance. CHA is dedicated to the fulfillment of this policy in regard to all aspects of the employment relationship, including but not limited to recruiting,

hiring, placement, transfer, training, promotion, rates of pay and other compensation, and all other terms, conditions and privileges of employment. It is CHA's intent to maintain a work environment which is free from discrimination because of one's protected class status. CHA will conduct a prompt and thorough investigation of all allegations of discrimination or any violation of this policy and take appropriate corrective action, if and where warranted.

Individuals who believe they have been subjected to discrimination shall be entitled to any and all existing grievance procedures without fear of coercion or reprisal.

Section 3. Implementation and Enforcement of Federal EEOC Policies

All personnel responsible for recruitment and employment shall implement this policy through procedures that will assure equal employment opportunity based on reasonable performance-related job requirements. Notices with regard to equal employment matters shall be posted conspicuously on Cabarrus Health Alliance premises in places where notices are customarily posted, including but not limited to CHA intranet. CHA will conduct a prompt and thorough investigation of all allegations of discrimination or any violation of this Equal Employment Opportunity Policy and will take appropriate corrective action, if and where warranted. CHA prohibits retaliation against any employee who provides information about, complains, or assists in the investigation of any complaint of discrimination or violation of CHA's Equal Employment Opportunity and Non-Discrimination Policy.

Section 4. Disability Accommodation

Procedure for Reasonable Accommodation Requests:

- Employee advises Human Resources of the need for accommodation. Employee completes a Request for Accommodation form and submits it to Human Resources.
- The accommodation request will be discussed with the employee and the employee's manager(s).
- The employee may be required to provide documentation supporting a disability.
- If a reasonable accommodation is available, the request may be approved and the accommodation implemented.

Section 5. Recruitment Sources

When positions are to be filled within CHA, supervisors shall get approval from their Division or Department Head. The Chief Executive Officer approves all new positions, as well as the number and classification of positions which are to be filled. Human Resources shall publicize these opportunities for employment, including the applicable hiring rates and employment qualifications. Positions will be posted for internal applicants for four (4) business days. CHA employees must work in their current position for a minimum of six (6) months before applying for another position, except in cases where an employee's position is being eliminated, internship ending or funding is ending. An exception to the six (6) months may also be approved by the head of Human Resources or Chief Executive Officer, when the new position requires much of the same training and is in the same department, making the transition minimally disruptive, or when the new position is classified as hard-to-fill and we lack qualified candidates. Temporary employees working at CHA through staffing agencies at the time of an internal

posting, may apply through the internal application process. CHA employees will be given priority. Information on job openings and hiring practices shall be provided to recruitment sources, including organizations and news media available to minority applicants. Candidates shall be recruited from a variety of diverse sources in order to foster an inclusive environment that attracts a well-qualified pool of applicants.

Section 6. Applications for Employment

All applications must be filed per CHA Human Resources process. All applications are retained for two (2) years per EEOC retention policy.

Section 7. Qualification Standards

- (a) Employees shall meet the minimum employment standards established by the position classification plan and such other requirements as may be established by the Chief Executive Officer with the advice and recommendations of Human Resources.
- (b) Qualifications shall be reviewed periodically to assure that requirements conform to the actual job performance requirements.

Section 8. Employment Tests

All employment tests administered by CHA, or by agencies for CHA, shall be valid measures of job performance.

Section 9. Selection Process

Human Resources shall make such investigations and conduct such examinations, as deemed appropriate to assess the qualifications required for positions in the service of CHA.

Section 10. Appointments

Before any commitment is made to an applicant, the head of Human Resources or Chief Executive Officer shall approve proceeding with an offer.

Section 11. Probationary Period of Employment

New hire 9101, 9102, and 9103 employees shall serve a 90-day probation. During this probationary period, employees will become familiar with CHA, job responsibilities and the like. At the same time, CHA will have the opportunity to monitor the quality and value of the employee's performance and make any necessary adjustments in the job description or responsibilities. An employee serving a probationary period following initial appointment may be dismissed at any time during the probationary period for failure in the performance of duties or failure in personal conduct. Prior to the dismissal, depending on the nature and severity of the failure(s), the employee should be considered for counseling and/or training related to the unsatisfactory performance/conduct and, if appropriate, given an opportunity to improve in the deficient area(s). CHA reserves the right to bypass any such counseling

or training in lieu of immediate termination if deemed appropriate in the sole discretion of CHA. A regular employee serving a probationary period following a promotion shall be disciplined as provided in Article VII of this policy if unable to perform assigned duties of the new job satisfactorily.

At completion of the probationary period, all supervisors shall conduct a performance evaluation in which the employee's progress (accomplishments, strengths, and weakness) are discussed. As part of the process, the evaluation shall determine;

- (a) whether or not the employee is performing satisfactory work;
- (b) whether or not the probationary period should be extended (not to exceed three additional months); and
- (c) whether or not the employee should be retained in the present position or should be released, transferred, or demoted.

At the end of the initial 90-day probationary period, the probationary period may be extended for up to another 60 days. No employee shall remain on probation for more than five (5) months.

Employees in 10-month positions may be hired in a timeframe such that their first 90 days of employment includes the summer months. In these cases, the probationary period is paused for summer break, and resumes when the employee returns to work. There may be rare situations where an employee is not physically working for a period of time during their probationary period. If time away exceeds three (3) weeks, the probationary period may be extended to allow for the appropriate amount of training during the probationary period.

Successful completion of the probationary period shall not imply guaranteed or continued employment, and under no circumstances shall such completion affect the employee's status as an employee-at-will.

Section 12. Promotion

- (a) Candidates for promotion shall be chosen on the basis of their qualifications, job performance, conduct, education, knowledge, experience and skills required for the available position.
- (b) Qualified internal applicants shall be granted interviews for vacant positions.
- (c) If a current CHA employee is chosen for promotion, the Chief Executive Officer, or designee, shall make final approval prior to making an offer to the employee.

Section 13. Demotion

Any employee may be demoted, for failure to satisfactorily perform in their current role. Representative causes for demotion because of failure in work performance or failure in personal conduct are listed in Article VII, Section 2. This policy does not in any manner restrict or limit CHA's options in implementing any disciplinary action it deems appropriate under the circumstances and CHA specifically reserves its rights to discharge an employee when the circumstances so warrant.

Section 14. Transfer & Appointment

CHA may also transfer, by way of appointment, employees from one position to another as required by business necessity subject to the approval of the Chief Executive Officer or head of Human Resources.

Any employee transferred without having requested it may appeal the action in accordance with the grievance procedure outlined in Article VIII.

Section 15. Emergency Appointment

An emergency appointment may be made when an emergency situation exists requiring the services of an employee before it is possible to identify a qualified applicant through the regular selection process. When it is determined by the Chief Executive Officer that an emergency appointment is necessary, all other requirements for appointment will be waived.

An emergency appointment may be made for a period of up to sixty work days (consecutive or nonconsecutive) then must be reviewed by the Chief Executive Officer or head of Human Resources before continuing.

Adopted: 07-01-1997

Revised: 07-01-2001, 06-21-2005, 05-12-2015, 06-02-2017, 10-01-2019, 02-09-2021, 08-21-2023, 08-30-2024

Reviewed: 02-11-2014, 02-13-2018, 05-18-2022

ARTICLE V. CONDITIONS OF EMPLOYMENT

Section 1. Workweek

Alliance employees are subject to a Friday through Thursday workweek, and to the overtime provisions set forth in Appendix B. Employees are expected to work the hours for which they are scheduled, and as necessary to support CHA services.

Section 2. Hours of Work

Chief Executive Officer or designee reserves the right to alter, adjust or change work schedules and shifts at any time based on business necessity. All employees may be required to work varied hours, overtime, holidays and/or weekends in order to meet staffing requirements or in the event of a public health emergency. Failure to report as requested may result in disciplinary action up to and including termination from employment.

Section 3. Work Schedules and Attendance

To maintain a safe and productive work environment, the organization expects employees to be reliable and to be punctual in reporting for scheduled work. Absenteeism and tardiness place a burden on other employees and on the organization. In the rare instances when employees cannot avoid being late to work or are unable to work as scheduled, they should notify their supervisor as soon as possible in advance of the anticipated tardiness or absence. Employees may be required to provide documentation of any medical or other excuse for being absent four (4) or more, documentation should be retained by Human Resources.

An unscheduled absence is any period for which an employee is absent from their work assignment without their supervisor's prior knowledge and approval. This policy will take into account a three-

month period of time. This three-month period gives supervisors and Human Resources a sufficient time period in which to identify patterns. Identified patterns of unscheduled absences or tardiness may lead to disciplinary action up to and including termination. An unscheduled absence is any period of time an employee is absent from their normal work schedule (regardless of the time of day or partial day worked) without supervisor approval.

Section 4. Gifts and Favors

- (a) No official or employee of CHA shall directly or indirectly, intentionally or unintentionally, accept or solicit any personal gift, benefit or item of value, whether in the form of service, loan, item or promise from any person where the employee has influence over any decision involving such person.
- (b) No official or employee shall directly or indirectly accept or solicit any personal gift, favor or thing that may tend to influence that employee in the discharge of duties.
- (c) No official or employee shall grant in the discharge of duties any improper favor, service or item of value.
- (d) No official or employee shall use their association with CHA to advance personal interests or private gain.

The Conflict-of-Interest policy will be reviewed annually by all staff, effective FY2025. It can be found on SharePoint with General Policies.

All potential Conflicts of Interest should be reported to the heads of HR and Finance, so that appropriate action can be taken to remedy the situation and protect the employee and the agency.

Section 5. Political Activity Restricted

No employee shall (1) engage in any political or partisan activity, including wearing political or partisan attire, while on duty; (2) use official authority or influence for the purpose of interfering with or affecting the result of an election or a nomination for office; (3) be required as a duty of employment or as a condition of employment, promotion, or tenure in office to contribute funds for political or partisan purposes; (4) coerce or compel contributions for political or partisan purposes by another employee of CHA; or (5) use any supplies or equipment of CHA for political or partisan purposes.

Alliance employees in certain federally aided programs are subject to the Hatch Act as amended in 1975. This federal act, in addition to prohibiting (2), (3), and (4) above, also prohibits candidacy for elective office in a partisan election. Any violation of this section shall be considered a failure in personal conduct pursuant to Article VII, Section 2 and shall subject each employee to dismissal or other disciplinary action.

Section 6. Outside Employment

The work of CHA will take precedence over other occupational interests of employees. No Alliance employee shall engage in or accept outside employment or render service for a private interest when this behavior is incompatible with the proper discharge of their official duties for CHA, which creates an actual or potential conflict of interest, or which would reasonably impair their independence of

judgment or performance of duties (unless otherwise permitted by law and disclosed as required by this policy).

Section 7. Employment of Related Persons

- (a) Employment of related persons in the workplace can create conflicts of interest and raise legitimate concerns about actual or perceived favoritism. It is the policy of CHA not to employ related persons when there is a senior-subordinate relationship between them in the chain of command, or if one is in a leadership position which can affect or influence the terms and conditions of the other's employment (hiring, firing, promotions, demotions, award of bonuses, progressive discipline, etc.).
- (b) A related person may not participate in or attempt to influence any CHA decision affecting the terms and conditions of a related party's employment with CHA.
- (c) For purposes of this policy, "related person" means any CHA employee who is related by blood, marriage, or law to another CHA employee, or the relationship is of such nature that the relationship is, in CHA's discretion, one of related persons for purposes of this policy. A related person includes, but is not necessarily limited to, a spouse, fiancé, domestic partner, son, daughter, step-child, adopted child, father, mother, legal guardian, brother, sister, first cousin, aunt, uncle, nephew, niece, grandfather, grandmother, grandson, granddaughter, father-in-law, mother-in-law, brother-in-law, daughter-in-law, son-in-law, sister-in-law, step-father, step-mother, step-brother, step-sister, half-brother, and half-sister. The term "related person" may also include individuals involved in a long-term committed, romantic and/or sexual relationship.
- (d) When a related person relationship is created after the related parties are already employed by CHA, it is the obligation of the related persons to ensure that the related parties' supervisors and Human Resources are promptly made aware of the related party relationship. Each related situation will be reviewed by CHA on a case-by-case basis to determine whether changes in reporting relationships, transfers, terminations, or other action is appropriate.
- (e) This policy applies to all CHA employees. Any exceptions to this policy must be approved in writing by the Chief Executive Officer.

Section 8. Policy Against Workplace Harassment

CHA has a strict policy against all types of workplace harassment, including sexual harassment and other forms of workplace harassment based upon an individual's age, sex, race, ethnicity, gender identity, sexual orientation, religion, color, national origin, physical or mental disability, veteran status, genetic information, or any other status protected by federal, state or local laws. All forms of harassment of, or by, employees, vendors, visitors, customers and clients are strictly prohibited and will not be tolerated. This policy applies to all Alliance sponsored events and agency partners.

Harassment may include, but is not limited to:

Offensive or derogatory jokes, comments, slurs, or written or photographic materials;
Threatening, intimidating, or unwelcome touching of another person
Sexual objectification, meaning favorably or negatively commenting on attractiveness or desirability.

Sexual Harassment includes:

Sexual harassment is defined as unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature constitutes sexual harassment when (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 work environment.

While it is not possible to identify each and every act that constitutes or may constitute sexual harassment, the following are some examples of sexual harassment are provided below: (a) unwelcome requests for sexual favors; (b) lewd or derogatory comments or jokes; (c) comments regarding sexual behavior or the body of another employee; (d) sexual innuendo and other vocal activity such as catcalls or whistles; (e) obscene letters, notes, invitations, photographs, cartoons, articles, or other written or pictorial materials of a sexual nature; (f) continuing to express sexual interest after being informed that interest is unwelcome; (g) retaliating against an employee for refusing a sexual advance or reporting an incident of possible sexual harassment to CHA or any government agency; (h) offering or providing favors or employment benefits such as promotions, favorable evaluations, favorable assigned duties or shifts, etc., in exchange for sexual favors; and (i) any unwanted physical touching or assaults, or blocking or impeding movements.

Other Workplace Harassment

Other workplace harassment is verbal or physical conduct that insults or shows hostility or aversion towards an individual because of the individual's age, sex, race, gender, sexual orientation, religion, color, national origin, physical or mental disability, veteran status, genetic information, or any other status protected by federal, state or local laws, and that: (1) contributes to or has the effect of creating an intimidating, hostile, or offensive working environment; (2) unreasonably interferes with an individual's work performance; or (3) otherwise adversely affects an individual's employment opportunities.

Again, while it is not possible to list all the circumstances that constitute other forms of workplace harassment, the following are some examples of conduct that may constitute workplace harassment: (a) the use of disparaging or abusive words or phrases, slurs, negative stereotyping, or threatening, intimidating or hostile acts that relate to the above protracted categories; (b) written or graphic material that insults, stereotypes or shows aversion or hostility towards an individual or group because of one of the above protected categories and that is placed on walls, bulletin boards, email, voicemail or elsewhere on CHA's premises, or circulated in the workplace; and (c) a display of symbols, slogans or items that are associated with hate or intolerance towards any select group.

WE WILL NOT TOLERATE ANY FORM OF DISCRIMINATION OR HARASSMENT! Any employee who feels that they have witnessed, or been subject to, any form of discrimination or harassment **is required to immediately** report it to Human Resources or any other member of management, up to and including the Chief Executive Officer. Any supervisor or manager who becomes aware of possible harassment of any kind must immediately report it to Human Resources.

CHA prohibits retaliation against any employee who provides information about, reports, or assists in the investigation of any claim of harassment or discrimination.

We will promptly and thoroughly investigate any claim and take appropriate action where we find a claim has merit. Discipline for violation of this policy may include, but is not limited to reprimand, suspension, demotion, transfer and discharge. If CHA determines that harassment or discrimination occurred, corrective action will be taken to effectively end the harassment. As necessary, CHA may monitor any incident of harassment or discrimination to assure the inappropriate behavior has stopped. In all cases, CHA will follow up as necessary to ensure no retaliation for making a complaint or cooperating with an investigation.

Individuals who believe they have been subjected to harassment shall be entitled to any and all existing grievance procedures without fear of coercion or reprisal. If the employee or witness feels insufficient action is taken, they should make a report to an Authority Board member. Contact information for board members can be found on CHA's website.

Section 9. Telephones

While at work, employees are expected to perform their job duties and responsibilities. Personal calls, both incoming and outgoing must not interfere with employees' duties and responsibilities. Employees should not use Alliance phones for personal, long-distance calls. In the event it is necessary to make a personal long-distance call, employees will be asked to reimburse CHA for the cost of such calls.

Violations of these policies may result in discipline, up to and including termination.

CHA prohibits employees' use of cameras in the workplace (other than cameras that are issued by CHA for business-related uses), including camera phones. Employees may not use any cameras (including camera phones), or take any photographs, videos, or audio of any kind in the workplace, using a device of any kind, without prior written approval of the Chief Executive Officer. While CHA does not wish to unreasonably constrain the use of such devices, the more fundamental responsibilities which prevail are ensuring that such devices are used in an appropriate manner and ensuring the integrity of proprietary information and the privacy of other individuals. Employees should, at all times, exhibit good judgment and professionalism as it relates to the use of personal cell phones, and should not engage in personal phone calls, including text conversations, in the presence of customers.

Employees must adhere to all federal, state or local laws, regulations or ordinances regarding the use of cell phones while driving. Accordingly, employees must not use cell phones if such conduct is prohibited by law, regulation or ordinance.

CHA prohibits employee use of cellular phones, or similar devices, while driving. Employees may utilize fully hands-free devices such as phones or GPS that comply with all federal, state and local laws, and if the employee is proficient and comfortable with the technology, so as not to create a distraction while driving. Texting, emailing, or using any hand-held device functions while driving is strictly prohibited. Employees should set up any necessary GPS destinations and review driving direction before starting the trip.

Section 10. Voicemail, Email and Internet Policy

General Provisions

- The voicemail/E-mail/fax/internet system, and all data transmitted or received through the system, are the exclusive property of CHA. No individual should have any expectation of privacy in any communication over this system. The system is to be used solely for Alliance-related business, and is not to be used for personal business or pleasure.
- Any individual permitted to have access to CHA's system will be given a Voicemail, E-mail, fax, and/or Internet address and/or access code, and will have use of the system, consistent with this policy. CHA reserves the right to monitor, intercept and/or review all data transmitted, received or downloaded over the system. Any individual who is given access to the system is hereby given notice that CHA will exercise this right periodically, without prior notice and without the prior consent of the employee. CHA's interests in monitoring and intercepting data include, but are not limited to: protection of Alliance proprietary and classified data; managing the use of CHA's computer system; preventing the transmission or receipt of inappropriate materials by employees; and/or assisting the employee in the management of electronic data during periods of absence. No individual should interpret the use of password protection as creating a right or expectation of privacy. In order to protect everyone involved, no one can have a right or expectation of privacy with regards to the receipt, transmission or storage of data on CHA Voicemail/E-mail/Internet system.

Any employee who abuses the privilege of access to CHA's Voicemail, E-mail or the Internet system will be subject to corrective action, up to and including termination. If necessary, CHA will advise law enforcement officials of any illegal conduct.

Section 11. Non-Solicitation Policy

Employees may conduct solicitations during the work day as long as it does not interfere with their job duties or the job duties of their co-workers. Employees are not allowed to solicit an employee who requests not to be solicited.

Adopted: 07-01-1997

Revised: 09-13-2005, 06-13-2006, 10-09-2007, 06-14-2011, 09-13-2011, 12-09-2013, 02-11-2014, 10-01-2019, 08-21-2023; 08-30-2024

Reviewed: 07-01-2001, 02-13-2018, 02-09-2021, 05-18-2022

VI. LEAVES OF ABSENCE

Section 1. Holidays

The following days are designated as holidays with pay for employees and officers of CHA working in a 9101 class position. Employees working in a 9102 class position receive a pro-rated payment based on the position FTE.

New Year's Day	Veterans Day
Dr. Martin Luther King, Jr. Birthday	Thanksgiving
Good Friday	Day After Thanksgiving

Memorial Day	Christmas (3) Days. When Christmas falls on Friday, Saturday, or Monday, CHA will observe Christmas Eve and Christmas Day. When Christmas falls on Tuesday, Wednesday, or Thursday, CHA will observe the State Christmas schedule.
Juneteenth	
Independence Day	
Labor Day	
Floating Holiday	

When a holiday other than Christmas Day falls on a Saturday or Sunday, CHA shall observe the same day as the State of North Carolina observes for the holiday in question. If a holiday as designated by this policy falls on a day other than Monday and is designated nationally to be observed on Monday, then the policy is amended to observe that holiday on a Monday.

Floating Holiday. Effective July 1st, 2024, CHA employees will have a floating holiday available. This supports diversity, inclusion, and offers flexibility for a day significant to each employee. Floating holidays acknowledge the diverse backgrounds and beliefs of employees. Like other holidays, the floating holiday will be prorated for part-time staff. The floating holiday must be used during the calendar year and expires 12/31. It will NOT roll over to the next calendar year. The next floating holiday will be loaded in your accrual bank January 1st of each year. The floating holiday does not pay out upon separation from CHA. The floating holiday will appear as a bank, and can be scheduled for one day, or in partial days.

Employees may also request annual leave for religious observances. Annual leave and the floating holiday should be denied only when it would create an insufficient staffing condition which cannot be prevented in any other manner.

Employees must work or use leave accruals for their full scheduled shift before and after a holiday to be eligible for holiday pay. Part time (9102) employees and employees working an alternate schedule (such as four ten-hour days) may use accruals in order to reach their full FTE for the week, work extra hours for the week in order to avoid using accruals to cover the holiday (this is based on department need and supervisor discretion), or take leave without pay.

Section 2. Effect of Work on Holidays or Unscheduled Workdays on Other Types of Paid Leave

Regular holidays or unscheduled work days which occur during an annual, sick or other paid leave period of any employee of CHA shall not be charged as annual, compensatory, or sick.

Section 3. Holiday – When Work Required

Exempt employees who are required to perform work on regularly scheduled holidays may be granted straight time pay at the discretion of the Chief Executive Officer. Non-exempt employees who are required to perform work on regularly scheduled holidays shall be paid in accordance with the Fair Labor and Standards Act or elect another day off.

Section 4. Annual Leave

All regular and probationary employees who work at least 1,000 hours during the calendar year shall receive annual leave in accordance with this policy. Annual leave may be used at the employee's discretion with the approval of the employee's supervisor.

Section 5. Annual Leave – Probationary Employees

Employees serving a probationary period following initial appointment may accumulate annual leave and shall be permitted to take such leave only with the prior approval of the supervisor.

Effective July 1st, 2024, eligible new employees start out with two annual leave days in a separate time-off bank, to utilize at their discretion with prior approval of the supervisor. These New Hire Vacation Days will not pay out upon separation.

Section 6. Annual Leave – Manner of Accumulation

The anniversary date of employment shall be used for determining earned annual leave. Any eligible employee shall earn annual leave at the following rates:

SCHEDULE A

Schedule A is for all persons hired or rehired on July 1, 1997, or thereafter; and those in full-time Cabarrus County employment immediately prior to that date who voluntarily, as Cabarrus Health Alliance employees, chose to change from Schedule B effective July 1, 1997.

Years of Aggregate Service	Accrual Rate Per Hour (no accruals earned for hours worked over FTE)	Leave Earned Yearly
0 to 2 years	0.0385	80 hrs. (10 days)
2 to 5 years	0.05	104 hrs. (13 days)
5 to 10 years	0.0577	120 hrs. (15 days)
10 to 15 years	0.0692	144 hrs. (18 days)
15 to 20 years	0.0808	168 hrs. (21 days)
20 years plus	0.0923	192 hrs. (24 days)

Schedule A was updated with higher accrual rates, and the addition of New Hire Annual Leave days, noted in Section 5, effective July 1, 2024.

Employees hired since January 2000, who contributed to a Local Government Retirement System or Teachers and State Retirement System in any state or at a federal agency, including the Centers for Disease Control (CDC), may have their years of service credited from that employer. The credited years of service will be counted toward calculating the employee's annual leave accrual rate, after the required documentation is provided to Human Resources.

SCHEDULE B

Schedule B is for all persons employed full-time with Cabarrus County on June 30, 1997, that earned annual leave on this schedule and chose voluntarily, as Cabarrus Health Alliance employees, to remain on this schedule after that date in lieu of receiving paid health and life insurance coverage at retirement.

Years of Aggregate Service	Accrual Rate Per Hour (no accruals earned for hours worked over FTE)	Leave Earned Yearly (accrual total at 40 hours per week)	
Less than 2 years	.0385	80 hrs.	(10 days)
2 but less than 5 years	.0462	96 hrs.	(12 days)
5 but less than 10 years	.0577	120 hrs.	(15 days)
10 but less than 15 years	.0692	143.9 hrs.	(18 days)
15 years but less than 20 years	.0808	168 hrs.	(21 days)
20 years plus	.0923	192 hrs.	(24 days)

Anyone earning annual leave under this schedule on July 1, 1997 who is separated from employment and rehired at a later date will earn leave as listed in Schedule A.

Section 7. Annual Leave – Maximum Accumulation

Annual leave may be accumulated without any applicable maximum until December 31st of each calendar year. However, if an employee separates from service, payment for accumulated annual leave shall not exceed 240 hours. At the end of each calendar year on December 31st, any Alliance employee with accrued annual vacation leave in excess of 240 hours shall have this leave converted to sick leave. This converted sick leave shall be used in the same manner as accrued sick leave and may be used for authorized sick leave purposes. And, like regular sick leave, any unused converted sick leave may be counted toward creditable service at retirement up to a maximum of 12 total sick days per year of service.

Employees are cautioned not to retain excess accumulation of annual leave until late in the calendar year. Due to the necessity of keeping all Alliance functions in operation, large numbers of employees cannot be granted annual leave at any one time. If an employee has excess leave accumulation during the latter part of the year and is unable to take such leave because of staffing demands, the employee shall receive no special consideration either in having annual leave scheduled or in receiving any exception to the maximum accumulation.

Section 8. Annual Leave – Approval/Manner of Taking Leave

Annual leave earned by an employee shall be taken only upon prior approval of the immediate supervisor, and is subject to needs of the department.

Section 9. Annual Leave – Terminal Pay and Repayment of Annual Leave

An employee who is separated shall be paid for annual leave accrued and accumulated to the date of separation, not to exceed a maximum of 240 hours.

Section 10. Annual Leave - Payment for Accumulated Annual Leave upon Death

The estate of an employee who dies while employed by CHA shall be entitled to payment for all of the accumulated annual leave credited to the employee's account, not to exceed a maximum of 240 hours. The date of death shall be used as the date of separation for purposes of determining such payment.



Section 11. Bereavement

Employees shall have five (5) days of paid bereavement for the death in the employee's immediate family. Immediate family shall be deemed to include spouse, mother, father, guardian, children, sister, brother, grandparents, grandchildren, plus the various combinations of half, step, in-law, and adoptive relationships that can be derived from those named.

Sick time, annual leave time, and/or the floating holiday may be used for non-immediate family members. It is CHA's policy to try to accommodate employees during times of grief. Supervisors are encouraged to be as flexible as possible when working with employees who have experienced a death in their families.

Section 12. Sick Leave

All regular and probationary employees who work at least 1,000 hours during the calendar year shall receive sick leave in accordance with this policy.

Sick leave shall be granted to an employee absent from work for any of the following reasons: sickness, bodily injury, mental health, mental wellbeing, required physical or dental examinations and treatment, or exposure to a contagious disease when continuing work might jeopardize the health of others.

Sick leave may also be used when illness, injury, or a medical appointment (including physical health and mental health) of a member of the employee's immediate family (that lives in the same household as the employee, and/or for whom the employee has legal responsibility) requires the presence of the employee.

Section 13. Sick Leave – Manner of Accumulation

Each regular and probationary employee scheduled to work at least 1,000 hours during the calendar year shall be credited sick leave at the rate of .0462 per hour worked up to their FTE, for a total of 96 hours per year for full time (40 hour per week) employees.

Effective July 1, 2024, eligible new employees start out with two (2) New Hire Sick Days in addition to the accruals they begin earning upon hire. These days do not count toward retirement, so should be utilized first.

Section 14. Sick Leave – Maximum Accumulation

Sick leave will be cumulative for an indefinite period.

Section 15. Sick Leave – Retirement Credit for Accumulated Sick Leave

One (1) month of retirement credit is allowed for each twenty (20) days and part thereof accrued in an employee's sick leave account at the time of retirement to employees who are members of the North Carolina Local Governmental Employees Retirement System.

Section 16. Sick Leave – Credit for Accumulation from Previous Employment

New employees who were previously employed by a governmental entity in North Carolina will receive credit with CHA for all sick leave accumulated at that entity provided that verification of that accumulated sick leave is received from the entity, and that the employee was not reimbursed for these days. This only applies to governmental entities that were the employee's place of employment immediately prior to their employment with the Cabarrus Health Alliance.

Section 17. Paid Parental Leave

The purpose of paid parental leave is to enable the employee to care for and bond with a newborn or a newly adopted or newly placed child. This policy will run concurrently with Family and Medical Leave Act (FMLA) leave, as applicable. This policy will be in effect for births, adoptions or placements of foster children occurring on or after January 1, 2021.

The paid parental leave benefit is triggered for eligible employees by the qualifying event of becoming a parent by birth, adoption, foster care or another legal placement of a child. Eligible CHA employees shall receive three (3) weeks of paid leave to recover from the birth, bond with, and care for their newborn. paid parental leave will be paid at 100 percent of the eligible employee's regular pay.

Eligibility is based on the same guidelines as the Family & Medical Leave Act (FMLA) and runs concurrent with approved FMLA. This means that no accruals need to be used for the first three (3) weeks (or any three (3) weeks if also utilizing employee paid short-term disability benefits) of parental leave.

Eligible employees will receive a maximum of three weeks of paid parental leave per birth, adoption or placement of a child/children. The fact that a multiple birth, adoption or placement occurs (e.g., the birth of twins or adoption of siblings) does not increase the three-week total amount of paid parental leave granted for that event. In addition, in no case will an employee receive more than three (3) weeks of paid parental leave in a rolling 12-month period, regardless of whether more than one birth, adoption or foster care placement event occurs within that 12-month time frame.

Eligible employees must meet the following criteria:

- Have been employed with the company for at least 12 months (the 12 months do not need to be consecutive).
- Have worked at least 1,250 hours during the 12 consecutive months immediately preceding the date the leave would begin.
- Be a full- or part-time (.5 FTE or greater), regular employee (temporary employees and interns are not eligible for this benefit).

In addition, employees must meet one of the following criteria:

- Have given birth to a child.
- Be a spouse or committed partner of a person who has given birth to a child.
- Have adopted a child or had a foster child placed in the home (in either case, the child must be age 17 or younger). The adoption of a new spouse's child is excluded from this policy.

Section 18. Family Medical Leave Act

Federal legislation made the Family and Medical Leave Act (FMLA) effective on August 5, 1993, see Appendix E.

In compliance with the FMLA, the Cabarrus Health Alliance provides up to 12 weeks of job-protected leave (unpaid if accrued paid leave is not available) to employees if they have worked for CHA for at least one year and for 1,250 hours over the previous 12 months.

(a) Eligible employees may request FMLA leave for the following events or conditions:

- For the birth of a son or daughter or to care for the child after birth;
- For placement of a son or daughter for adoption or foster care or to care for the child after placement;
- To care for the employee's spouse, son, daughter or parent (but not a parent "in-law") with a serious health condition;
- Because of a serious health condition that makes the employees unable to perform the functions of the job, including pregnancy related complications;
- For a qualifying exigency arising out of the fact that the employee's spouse, son, daughter, or parent is a covered military member (of any branch of the armed forces) on active duty or has been notified of an impending call or order to active duty.

The twelve (12) month period for determining leave entitlement will be a rolling 12-month period. The 12 months immediately preceding the current leave request will determine the entitlement. Eligible employees are entitled to twelve (12) weeks of unpaid FMLA leave, minus any leave used for a qualifying FMLA purpose during the preceding twelve (12) months. Employees may not take more than twelve weeks unpaid/paid leave for a qualifying FMLA purpose in any 12-month period, unless the employee has accrued paid leave in excess of that amount and has management approval to use it or leave without pay.

In addition to the leave described above, eligible employees may take up to 26 weeks of unpaid "military caregiver" leave in any single 12-month period. Military caregiver leave is available to the spouse, son, daughter, parent, or next of kin of a covered service member who has a serious injury or illness incurred in the line of duty. This military caregiver leave entitlement is applied on a per-covered service member, pre-injury basis, so that an eligible employee may be entitled to more than one military caregiver leave in a single 12-month period. Any other FMLA leave taken in the same 12-month period must be counted in calculating this 26-week entitlement (for example, 10 weeks of FMLA leave previously taken for a newborn child would mean the employee is entitled to an additional 16 weeks of military caregiver leave in that 12-month period).

(b) The use of paid leave for a purpose defined in the FMLA will qualify toward the time CHA is required to make available to an employee eligible for leave under the Act. As in any leave situation, Alliance employees will use all available paid leave time before being allowed to use unpaid leave. Employees are entitled to use all accrued available paid leave benefits according to policy, even if it exceeds the 12-week maximum under the FMLA. If the accrued paid leave is not sufficient to cover the leave requested for a FMLA purpose, maximum 12 weeks in any 12-month period, the remaining leave is unpaid leave.

(c) The employee will be required to provide leave notice and medical certification; the taking of leave may be denied if these requirements are not met:

- The employee should provide 30 days advance notice when leave is “foreseeable.” Otherwise, notice should be given as soon as possible.
- CHA requires medical certification to support a request for FMLA leave because of a serious health condition and may require second or third opinions (at CHA’s expense).
- Employees must provide sufficient information for the employer to determine if the leave may qualify for FMLA protection and the anticipated timing and duration of the leave. Sufficient information may include that the employee is unable to perform job functions, the family member is unable to perform daily activities, the need for hospitalization or continuing treatment by a health care provider, or circumstances supporting the need for military family leave. Employees also must inform the employer if the requested leave is for a reason for which FMLA leave was previously taken or certified. Employees also may be required to provide a certification and periodic recertification supporting the need for leave.
- For “military exigency” leave, CHA will require the certification pursuant to FMLA regulations, section 29 C.F.R. 825.309, which will include but not be limited to, a copy of the covered military member’s active-duty orders.
- For “military caregiver” leave, CHA may require the employee to obtain a certification, pursuant to FMLA regulations, section 29 C.F.R. 825.310, from the covered service member’s health care provider.
- While on FMLA leave, CHA may require the employee to periodically recertify the ongoing medical need for the leave.
- An employee is required to give advance notice before returning to work and medical certification as to fitness to return to their former position or work schedule.

(d) The Family and Medical Leave Act requires that employers must continue to provide group health insurance benefits to an employee during any periods of leave permitted by the Act on the same basis as if the employee had continued in active employment during the leave. Employees will be required to pay their portion of the group insurance, the same as if they continued to work, to keep the benefit.

- If Family and Medical Leave Act leave is substituted paid leave, the employee’s share of premiums must be paid by the method normally used during any paid leave – by payroll deduction.
- If Family and Medical Leave Act leave is unpaid, the employee’s share of premiums must be made in payments to CHA by the 25th day of the month prior to the month for which coverage is needed.
- In the event an employee elects not to return to work upon completion of Family and Medical Leave of absence, CHA may recover from the employee the cost of any payments it made on behalf of the employee to maintain any employee benefit while the employee was on leave (unless failure to return to work was for reasons beyond the employee’s control or due to the continuation, recurrence, or onset of a serious health condition of the employee or the employee’s family member).

Section 19. Leave Without Pay - Policy

When it is necessary for an employee to be absent from work for an extended period of time, CHA may, in its discretion, grant employees a leave of absence for a limited period of time, under the terms and conditions specified herein. Leaves under this policy will be granted only when supported by a valid reason requiring an extended absence. Valid reasons for using this leave may include, but not be limited to, personal disability after available sick leave and/or annual leave have been exhausted, maternity or paternity related leave, continuation of education, special work that will permit CHA to benefit by the experience gained or the work performed, or for other reasons deemed justified by the Chief Executive Officer. If granted, such leaves will be without pay once applicable paid accrued leave (i.e., sick pay, vacation) has been exhausted. Employees will be required to exhaust all applicable paid accrued leave prior to utilizing unpaid leave under this policy (education leave cannot utilize sick time, etc.). Requests for a leave of absence must be made in writing to supervisor and Human Resources at least thirty (30) days prior to the leave commencement date, or as soon as the need for leave becomes known to the employee. The employee's written request must contain an explanation of the reasons for the leave as well as the anticipated length of absence, including the dates upon which the leave will begin and end.

The factors to be considered in determining whether a request for leave should be granted under this policy include, but are not limited to: (1) the purpose for which the leave is requested; (2) the length of time the employee will be away from work; (3) the effect the leave will have on the ability of CHA to carry out its ordinary functions; (4) previous leaves of absences requested or taken; and (5) the employee's performance history. The employee will be notified in writing whether the request for leave is granted or denied. Leaves of absence under this policy will not be granted for periods greater than 12 weeks. The Chief Executive Officer will grant final approval of the request.

If leave is granted, the employee must comply with the terms and conditions of the leave, including keeping in touch with the supervisor during leave, and giving prompt notice if there is any change in the return date. Not less than two (2) weeks prior to the employee's scheduled return date, the employee shall notify the supervisor and Human Resources in writing concerning their availability to return to work. Failure to follow this policy (e.g., failure to notify the supervisor or to return to work as scheduled) may result in disciplinary action up to and including termination.

An employee must not accept other employment or apply for unemployment benefits while on a leave of absence. Acceptance of other employment while on leave will be treated as a voluntary resignation from employment at CHA.

CHA may suspend or proceed with any counseling, performance review, or disciplinary action, including discharge, that was contemplated prior to any employee's request for or receipt of a leave of absence or that has come to CHA's attention during the leave. If any action is suspended during the leave of absence, CHA reserves the right to proceed with the action upon the employee's return. Requesting or receiving a leave of absence in no way relieves employees of their obligation while on the job to perform their job responsibilities capably and up to CHA's expectations and to observe all CHA's policies, rules, and procedures.

Employees taking leave under this policy may not be entitled to reinstatement to their former position, an equivalent position or any other position with CHA. The opportunity for reinstatement will depend upon the facts and circumstances of each employee's leave and will be determined at CHA's discretion.

Section 20. Leave Without Pay – Retention and Continuation of Benefits

Benefits, such as vacation time, sick time, and holidays, will not accrue during a leave without pay. A regular employee shall retain all unused sick leave while on leave without pay, if leave of absence is not medically related. Sick leave will be used for FMLA and medically related circumstances. Sick leave and vacation leave are both to be exhausted before an employee uses leave without pay while on FMLA. An employee ceases to earn leave credits on the date leave without pay begins. The employee may continue to be eligible for benefits under CHA's group insurance plans, when subject to the Family Medical Leave Act, or may be required to pay the full premium during other types of leave, when Leave Without Pay greater than 30 days occurs.

Section 21. Workers' Compensation Leave

An employee absent from duty because of sickness or disability covered by the North Carolina Workers' Compensation Act may receive workers' compensation benefits and elect to use accumulated annual and sick leave as a supplemental payment for the difference between their regular salary and the payments received under the Workers' Compensation Act. An employee may have credited back to the leave used or the hourly equivalent, as the checks are received from workers' compensation. Upon reinstatement, an employee's salary will be computed on the basis of the last salary earned plus any increment or other salary increase to which the employee would have been entitled during the disability covered by workers' compensation.

Employees on workers' compensation leave who elect not to use accumulated sick and annual leave as a supplemental payment shall retain and continue to earn all leave credits during the period of disability. In addition, CHA shall continue its contribution to the employee's health insurance. Temporary employees on workers' compensation leave will be placed in a leave without pay status and will receive all benefits for which they may be adjudged eligible under the Workers' Compensation Act.

Section 22. Military Leave

CHA complies with applicable federal and state law regarding military leave and reemployment rights. Unpaid military leave of absence will be granted to members of the uniformed services in accordance with the Uniformed Services Employment and Reemployment Rights Act of 1994 ("USERRA") and all amendments thereto and all applicable state law. According to CHA's policy, employees who are members of the uniformed services will be allowed 10 workdays per year military training leave with pay, to be calculated based on amount earned from military leave. If during this period of paid military leave, the compensation received while on military leave is less than the salary that would have been earned during the same period as an Alliance employee, the employee shall receive partial compensation equal to the difference in the base salary earned as a reservist or guardsman and the salary that would have been earned during this same period as an Alliance employee. The effect will be to maintain the employee's salary at the normal level during this period.



If such military duty is required beyond this 10-workday period, the employee shall be eligible to take accumulated annual leave or unpaid leave. Reservists called to active duty, with no training period preceding the active duty, shall be allowed to charge up to 10 days per year of active duty as military training and receive pay for these days. While taking military leave with partial pay or without pay, the employee's leave credits and other non-monetary benefits shall continue to accrue as if the employee physically remained with CHA during this period. These leave credits will be calculated along with any compensation owed, after the employee submits their Leave Earnings Statement (LES) to Human Resources. Regular employees who are guardsmen and reservists have all job rights specified in the Veterans Readjustment Assistance Act.

Appropriate documentation is required to be turned in to Human Resources prior to the necessary leave unless military necessity makes this impossible. Advance notice needs to be given whether verbally or written per USERRA guidance, also providing a drill schedule. Once the duty has been completed and certified by either a DD-214 with acceptable discharge, completed signed orders, or leave and earning statement (LES) should be submitted to Human Resources, as a means of verification.

Anyone who completes a military leave of absence will be reinstated to the employee's previous or similar job in accordance with state and federal law. You must notify your manager of your intent to return to employment based on requirements of the law. For more information regarding status, compensation, benefits and reinstatement upon return from military leave, please contact Human Resources.

Section 23. Civil Leave

A regular Alliance employee called for jury duty or as a court witness for the Federal or State governments or a subdivision thereof shall receive leave with pay for such duty during the required absence without charge to accumulated annual or sick leave.

An employee may keep fees and travel allowances received for jury or witness duty in addition to regular compensation, except the employee must turn over to CHA any witness fees or travel allowances awarded by the court for court appearances in connection with official duties. While on civil leave, benefits and leave shall accrue as though on regular duty.

Section 24. Educational Leave

An educational leave of absence, with or without pay, may be granted to an employee who has been with Cabarrus Health Alliance for at least six (6) months, which will better equip the employee to perform job related duties. The employee must be in good performance standing with no performance improvement plans in place at the time of the request. Each request must be approved by the department head and the Chief Executive Officer. Leave will be granted to only attend institutions accredited by the Southern Association of Colleges and Schools or the equivalent. An agreement will be signed by the employee and CHA for each period of educational leave.

An employee on educational leave with full pay shall continue to earn leave credits and any other benefits to which Cabarrus Health Alliance employees are entitled. An employee on educational leave with partial pay shall earn proportional leave credits and benefits.

Section 25. Reimbursement for Tuition

An employee may receive reimbursement for approved courses of study (including those taken outside of working hours) which will better equip the employee to perform assigned duties, subject to the approval of the Chief Executive Officer, or designee. The Cabarrus Health Alliance shall reimburse the employee for tuition costs (up to an approved amount per semester, for up to three (3) semesters per year), provided the employee submits a receipt of tuition expenses and a notice of successful completion (passing grade or better) of the course from an institution accredited by the Southern Association of Colleges and Schools or the equivalent. Requests for reimbursements should be approved by Human Resources prior to enrollment in the course. Employees may submit up to three (3) requests for reimbursement per year for three (3) separate semesters. Employees must have been employed with CHA for at least six (6) months to qualify for tuition reimbursement, with the exception of employees hired in hard to fill positions, completing an education requirement.

The Reimbursement for Tuition forms are located on the CHA Intranet.

Section 26. Adverse Weather Conditions

The public's need for the availability of CHA's services dictates that offices should attempt to remain open during all normally scheduled hours. While severe weather may impact the ability to fully staff each function; every function should attempt to provide at least a base level of response.

To avoid inconvenience to the public, Alliance employees should attempt to report for their normal job at scheduled times. It is realized that severe weather conditions may restrict some employees from reporting on time or at all.

Adverse weather affects everyone's personal situation differently, so each employee must evaluate the severity of the circumstances and use their best judgment. Alliance employees are not expected to put themselves or their property unnecessarily at risk. Available appropriate leave will be taken in order to leave work early, to delay arrival at work, or in the case where an employee does not report to the job because of inclement weather.

Section 27. Volunteer Service Leave

All Alliance employees who are members of emergency volunteer service organizations shall receive leave with pay for such required absence under emergency circumstances without charge to accumulated leave, with approval of the Chief Executive Officer.

Adopted: 07-01-1997

Revised: 07-01-2001, 05-12-2015, 01-12-2016, 11-14-2017, 10-01-2018, 10-01-2019, 02-09-2021; 08-30-2024

Reviewed: 02-11-2014, 02-13-2018, 05-18-2022, 08-21-2023

ARTICLE VII. SEPARATION, DISCIPLINARY ACTION AND REINSTATEMENT

Section 1. Separation from Employment

Separation occurs when an employee leaves the payroll for reasons indicated below. Employees who have acquired regular employment status will not be subject to involuntary separation or suspension except for cause or reduction-in-force.

- (a) Resignation or Retirement. An employee may terminate services with CHA by submitting a written resignation or request for retirement to the supervisor. It is expected that an employee will give at least two (2) weeks (four (4) weeks for supervisors) notice prior to their last day of work. CHA reserves the right to accept employee resignations immediately without requiring any further service, and pay you up to two (2) weeks of straight time compensation in lieu of any further performance of job duties.
- (b) Dismissal. Dismissal is involuntary separation for cause and shall be made in accordance with this policy.
- (c) Reduction-in-Force. For reasons of curtailment of work, reorganization, or lack of funds, the appointing authority may separate employees. Retention of employees in classes affected shall be based on systematic consideration of type of appointment, length of service, and relative performance. No regular employee shall be separated while there are emergency, intermittent, temporary, probationary, or trainee employees in their first six (6) months of the trainee progression serving in the same or related class, unless the regular employee is not willing to transfer to the position held by the non-regular employee, or the regular employee does not have the knowledge and skills required to perform the work. of the alternate position within a reasonable period of orientation and training given any new employee.

If the agency has position vacancies at the time of the Reduction in Force, employees impacted may apply for these positions through the internal application process and will be interviewed in a competitive manner. Employees may not be transferred into the vacancy. Successful candidates will be selected based on qualifications such as skill set, education, and experience in order to provide the best fit for the position.

- (d) Voluntary Resignation Without Notice. An employee voluntarily terminates employment by failing to report to work without giving written or verbal notice of an acceptable reason for their absence to the employing department. Such a failure shall be deemed to be a voluntary resignation from employment without notice when the employee is absent without approved leave for a period of at least three (3) consecutive, scheduled workdays. Termination pursuant to this policy should not occur until the employing department has undertaken reasonable efforts to establish that the employee was able to give, or have someone else give notice during the period of days in question. This provision also applies when the employee is absent for at least three (3) consecutive, scheduled workdays, has been instructed verbally or in writing of a specific manner of reporting by management, and does not report to the appropriate supervisory personnel on a regular basis satisfactory to the employing agency.
- (e) Such terminations as described above are voluntary resignations from employment and create no right of grievance or appeal pursuant to Article VIII of this policy.
- (f) Separation Due to Unavailability When Leave is exhausted. An employee may be separated on the basis of unavailability when the employee becomes or remains unavailable for work after all

applicable leave has been exhausted and department management does not grant a leave without pay for reasons deemed sufficient by the department and Human Resources. Such reasons include, but are not limited to, lack of suitable temporary assistance, criticality of the position, budgetary constraints, etc. Such a separation is an involuntary separation, not a disciplinary dismissal, and may be grieved or appealed.

- (g) Disability. An employee may be separated for disability when the employee is unable to perform the essential functions of the job because of physical or mental disability and no reasonable accommodation is available. Action may be initiated by the employee or CHA and should be supported by medical evidence certified by a licensed physician. CHA may require an examination at its expense and performed by a physician of its choice. Before an employee is separated for disability, a reasonable effort shall be made to accommodate the employee including alternate positions within CHA's service for which the employee may be suited.
- (h) Death. The date of death shall be recorded as the employment separation date for the deceased employee. All compensation due in accordance with this ordinance will be paid to the estate of the deceased employee. This includes earned but unpaid salary and payment for accumulated annual leave up to the designated maximum.

Section 2. Disciplinary Actions

While it is expected that all employees strive to achieve the highest level of success in their jobs, it is the responsibility of each employee to maintain at least an acceptable level of job performance and conduct.

When employee performance and/or conduct falls below the acceptable standard, supervisors, using counseling and coaching techniques, should identify deficiencies at the time they are observed.

Disciplinary action may occur when the unacceptable performance/conduct is at a level of severity or frequency to be deemed inappropriate to the best interest of CHA. CHA does have a formal progressive discipline; however, each case is considered on its own facts and it may be determined that an employee's actions are egregious and warrants immediate dismissal.

The following categories provide **guidance** on how the wide range of unacceptable behaviors should be addressed. Behaviors listed are representative of those considered to be adequate cause for official reprimand, disciplinary suspension with or without pay, reassignment, demotion, or dismissal, but should not be considered all inclusive.

While the disciplinary procedures outlined are to be followed whenever possible, they are not to be construed as a limitation on CHA's right to take any form of disciplinary action, including dismissal, when deemed appropriate, and CHA expressly reserves the right to immediately dismiss employees with or without cause or notice, subject to the grievance procedures set forth herein.

Representative Behaviors:

- (a) Excessive absenteeism and/or tardiness.
- (b) Safety violations.
- (c) No call no show.

- (d) Inadvertent or knowing violation of any Cabarrus Health Alliance privacy policy or requirement of the HIPAA privacy rule. See the HIPAA Policy Manual and HIPAA trainings on SharePoint for detailed information and training regarding HIPAA standards and compliance.
- (e) Failure to disclose a conflict of interest. See the Conflict-of-Interest policy located on SharePoint.
- (f) Failure to demonstrate a reasonable competence on the job or to perform work in a satisfactory manner following normal job orientations and training.
- (g) Insubordination.
- (h) Careless, negligent or intentional improper use of Alliance property or equipment.
- (i) Failure of a supervisory employee to take the necessary or appropriate steps to properly supervise or discipline a subordinate employee when such actions are required.
- (j) Misappropriation of Alliance funds or property.
- (k) Willful violation of known and/or written work rules.
- (l) Failure to maintain current valid credentials required in the performance of job duties, including driver's license.
- (m) Reporting to work under the influence of intoxicants, nonprescription or illegal drugs, or partaking of such while on duty or on public property, or the possession, distribution, sale or transfer of intoxicants, nonprescription or illegal drugs on CHA property except that prescribed medication may be taken within the limits set by a physician so long as medically necessary.
- (n) Fighting, communicating threats or engaging in acts of workplace violence.
- (o) Possession of firearms or any other lethal weapon in any Alliance facility or at any official Alliance activity.
- (p) Unlawful harassment, discrimination or retaliation.

Progressive Disciplinary Process:

It is expected that supervisors are communicating with employees and that employees are aware of any deficiencies in performance. Conversations should be documented, and, in most cases, the employee should have had at least one (1) conversation with their supervisor and given time to correct the deficiency prior to the Verbal Warning. Human Resources should be consulted before any formal disciplinary action is taken.

1. Verbal Warning (must be documented through HR)
2. Written warning – Any additional unacceptable behavior may subject the employee to disciplinary action up to and including termination of employment.
3. Probation – If unacceptable behavior continues after the two (2) warnings, the employee may be placed on probation and/or terminated without any further notice.
4. Termination – With the appropriate documentation.

Section 3. Disciplinary Suspension

A regular employee who is suspended for disciplinary reasons shall be relieved temporarily of all duties and responsibilities and may receive no compensation, including pay for accumulated annual leave, for the period of suspension. Such disciplinary suspension shall be for no less than one full work week but no more than two full work weeks. All suspensions must be reviewed by the head of Human Resources prior to the start of the suspension and approved by the Chief Executive Officer. Human Resources must furnish the employee a written statement setting forth the reasons for the suspension and the

employee's appeal rights; one copy shall be given to the employee, and one copy shall be placed in the employee's personnel file. Such a suspension may occur without notice in order to avoid undue disruption of work, to protect the safety of persons or property, or for other serious reasons.

Section 4. Non-Disciplinary Suspension for Investigatory Purposes

A non-disciplinary suspension may be used to provide time to investigate, establish facts and reach a decision concerning a regular employee's status in those cases where it is determined the employee should not continue to work pending a decision. Also, management may elect to use investigatory suspension in order to avoid undue disruption of work or to protect the safety of persons or property. An investigatory suspension should not exceed 10 business days. An investigatory suspension is to be with pay.

Revised: 01-19-1999; 04-13-2010; 02-11-2014; 02-09-2021; 08-21-2023; 08-30-24

Reviewed: 07-01-2001; 02-13-2018; 10-01-2019; 05-18-2022

ARTICLE VIII. COMPLAINTS AND GREIVANCES

Section 1. Complaints and Grievances Policy

In order to maintain a harmonious and cooperative working environment it is the policy of CHA to provide for settlement of problems and differences through an orderly complaints and grievances procedure. Every regular employee shall have the right to present complaints and grievances in accordance with the established policy free from interference, coercion, restraint, discrimination, or reprisal.

It is the responsibility of supervisors at all levels to take appropriate action promptly, equitably, and consistently in all complaints and grievances.

In adopting this policy, CHA sets forth the following objectives:

- Ensure employees can get their problems or complaints considered equitably and without fear of reprisal.
- Encourage the employee to express how the conditions of work affect them as employees.
- Provide employees with assurance that actions are taken in accordance with policies.
- Provide a check on how policies are carried out by supervisors.

Section 2. Complaints Procedure

Refer to definitions for complaint and grievance in Article I. Section 3. Definitions. If an employee has any questions concerning the process of initiating a grievance or complaint, they should contact Human Resources for instructions.

Step One – Employees with a complaint shall present the matter in writing to their immediate supervisor within fifteen (15) calendar days of its occurrence or within fifteen (15) calendar days of the time the employee learns of its occurrence, with the objective of resolving the matter informally. Supervisors are encouraged to consult with any employee or officer deemed necessary to reach a correct, impartial,



and equitable determination and shall give the employee an answer as soon as possible but within ten (10) calendar days.

Step Two – If the decision is not satisfactory to the employee in Step One, or if they fail to receive an answer within the designated period provided in Step One, the employee may then speak to the department head. The department head will have five (5) calendar days render a decision and respond to the employee and supervisor.

Step Three – If the decision is not satisfactory to an employee in Step Two the employee should then contact Human Resources for help resolving the complaint. The appeal must be made in writing within ten (10) calendar days following the decision reached in Step Two.

Section 3. Grievance Procedure

Any employee who has reason to believe that they have been subjected to adverse actions of employment such as a reduction in salary, loss of benefits, harassment, retaliation, suspension, or demotion shall have the right to appeal directly to Human Resources within 10 business days of the alleged adverse action.

Human Resources will acknowledge receipt of the grievance within two (2) business days. Human Resources will investigate and render a decision in 30 business days. If Human Resources does not reach a decision that is satisfactory to the employee, the Chief Executive Officer shall hear the grievance appeal and render a decision in writing within ten (10) calendar days. The Chief Executive Officer's decision shall be final regarding the grievance.

Section 4. Protection of Complaints, Employees, Witnesses, and Representatives from Interference, Harassment, Intimidation and Reprisal.

All employees shall be free from any and all restraint, interference, coercion, or retaliation on the part of any CHA employee or employee representative when making any complaint or grievance, or acting as a witness to any actions surrounding the complaint or grievance process. The above principles apply with equal force after a complaint or grievance has been resolved. Any violation of this policy will result in immediate disciplinary action up to and including termination of employment

Adopted: 07-01-1997

Revised: 02-09-2021

Reviewed: 07-01-2001; 02-11-2014; 02-13-2018; 10-01-2019; 05-18-2022; 08-21-2023; 08-30-2024

ARTICLE IX. EMPLOYEE BENEFITS

Section 1. Retirement Benefits

All employees scheduled to work 1,000 or more hours of service per year will participate in the NC Local Governmental Employees' Retirement System. Employee contributions to the NCLGERS will begin immediately, per NCLGRS requirements. The employer elected Death Benefit through the Retirement

System provides a single lump-sum payment for your beneficiary if you die while still in active service after one year as a contributing member.

Section 2. Social Security Benefits

CHA complies with the provisions of the Social Security Act.

Section 3. Unemployment Insurance

In accordance with North Carolina General Statutes, local governments are covered by unemployment insurance. Alliance employees who are laid off or released from CHA service may apply for unemployment compensation through the Division of Employment Security (DES), who will determine the employee's eligibility for this benefit.

Section 4. Insurance Benefits

CHA offers basic group health and life insurance benefits for:

- (a) Current full-time employees (9101) with coverage beginning the first day of the month after thirty (30) days of employment.
- (b) Current part-time (9102) employees working an average of 30 or more hours per week – with coverage beginning the first day of the month after thirty (30) days of employment.
- (c) Current part-time (9102) employees working an average of less than 30 hours, but equal to or greater than 20 hours, per week are covered by the group life insurance benefit, but not eligible for group health insurance or flexible spending.
- (d) Dependent coverage can be purchased for group health insurance for eligible dependents. Eligible dependents include child(ren) and spouse.
- (e) A spouse (opposite sex or same sex) can be covered as long as the employee can provide proof that the couple was married in a jurisdiction with legal authority to authorize the marriage.
- (f) Children covered under an employee's health insurance can include natural children, legally adopted children, and step children under the age of 26 without regard to financial dependence, residency with the employee, student status, or employment.

Optional dental and life insurance programs, in addition to other cafeteria options are available through payroll deduction for full-time and part-time (9102) employees working 20 or more hours per week.

Section 5. Benefit Termination

When an employee leaves employment, all benefits terminate on the last day of the month of separation. Employees are responsible for their portion of the full premium for the month of separation, regardless of the date of separation. Some benefits qualify for COBRA coverage. A third-party administrator manages COBRA coverage on behalf of CHA and will contact the employee directly to offer COBRA coverage on applicable benefits.

Section 6. Workers' Compensation

CHA abides by all federal, state, and local Workers' Compensation regulations. Workers' Compensation goes into effect immediately from the first day of employment.

Section 7. Supplemental Retirement Income Plan of North Carolina 401(K)

Supplemental Retirement Income Plan of North Carolina is optional for all regular employees participating in the North Carolina Local Governmental Employee's Retirement System. Effective August of 2018, CHA will match employee 401(k) contributions up to 2%.

Section 8. Retiree

CHA will provide paid health and life insurance coverage to eligible employees as outlined in Appendix D. – Retirement Benefit Administration.

Adopted: 07-01-1997

Revised: 07-01-2001; 06-13-2006; 08-26-2013; 02-11-2014; 05-12-2015; 01-12-2016; 11-14-2017; 02-09-2021; 05-18-2022

Reviewed: 02-13-2018; 10-01-2019; 08-21-2023; 08-30-2024

ARTICLE X. PERSONNEL RECORDS AND REPORTS

Section 1. Personnel Records Maintenance

Such personnel records as are necessary for the proper administration of the personnel system will be maintained by CHA. CHA shall maintain in personnel records only information that is relevant to accomplishing personnel administration purposes.

The following information on each Alliance employee shall be maintained.

- (a) name;
- (b) age;
- (c) date of original employment or appointment to Alliance service;
- (d) terms of any contract by which the employee is employed whether written or oral, past and current
- (e) current position;
- (f) title;
- (g) current salary;
- (h) date and amount of most recent change in salary;
- (i) date of most recent promotion, demotion, transfer, suspension, separation, or other change in position classification;
- (j) date and general description of the reasons for each promotion;
- (k) date and type of each dismissal, suspension, or demotion for disciplinary reasons, and if the disciplinary action was a dismissal, a copy of the written notice of the final decision of the county setting forth the specific acts or omissions that are the basis of the dismissal;
- (l) office to which the employee is currently assigned

Section 2. Access to Personnel Records

As required by G.S. 153A-98, any person may have access to the information listed in Section 1 of this Article for the purpose of inspection, examination, and copying during the regular business hours, subject only to such rules and regulations for the safekeeping of public records as the Authority may adopt. Access to such information shall be governed by the following provisions:

- (a) Upon request, records of disclosure shall be made available to the employee to whom it pertains.
- (b) An individual examining a personnel record may copy the information, and available photocopying facilities may be provided, and the cost may be assessed to the individual. In cases where it is deemed appropriate, copies may be made by the HR department and mailed to the requesting individual.
- (c) Any person denied access to any record shall have a right to compel compliance with these provisions by application to a court for a writ of mandamus or appropriate relief.

Section 3. Confidential Information

All information contained in an Alliance employee's personnel file, other than the information listed in Section 1 of this Article, will be maintained as confidential in accordance with the requirement of G.S. 153A-98 and shall be open to public inspection only in the following instances:

- (a) The employee or their duly authorized agent may examine all portions of their personnel file except (1) letters of reference solicited prior to employment and (2) information concerning a medical disability, mental or physical, that a prudent physician would not divulge to a patient.
- (b) A licensed physician designated in writing by the employee may examine the employee's medical record.
- (c) CHA Human Resources and Attorney may examine all portions of an employee's personnel file.
- (d) By order of a court of competent jurisdiction, any person may examine all material in the employee's personnel file.
- (d) An official of an agency of the State or Federal government or any political subdivision of the State may inspect any portion of a personnel file when such information is deemed by the Chief Executive Officer to be necessary and essential to the pursuance of a proper function of the inspecting agency, but no information shall be divulged for the purpose of assisting in a criminal prosecution of the employee or for the purpose of assisting in an investigation of the employee's tax liability.
- (e) An employee may sign a written release, to be placed with their personnel file, which permits the person with custody of the file to provide, either in person, by telephone or by mail, information specified in the release to prospective employers, educational institutions, or other persons specified in the release.
- (f) Information regarding the employment or non-employment, promotion, demotion, suspension or other disciplinary action, reinstatement, transfer, or termination of an Alliance employee and the reasons for that personnel action may be released by the Public Health Director or Board of Public Health if the release of such information is essential to maintaining public confidence in the administration of CHA's services.
- (g) Each individual requesting access to confidential information will be required to submit satisfactory proof of identity.

Section 4. Records of Former Employees

The provisions for access to records apply to former employees as they apply to present employees.

Section 5. Remedies of Employees Objecting to Material in File

An employee who objects to material in their file may place in their file a statement relating to the material they consider to be inaccurate or misleading. The employee may seek the removal of such material in accordance with established grievance procedures.

Section 6. Penalty for Permitting Access to Confidential File by Unauthorized Person

G.S. 153A-98 provides that any public official or employee who knowingly and willfully permits any person to have access to any confidential information contained in an employee personnel file, except as expressly authorized by the designated custodian, is guilty of a misdemeanor and upon conviction shall be fined in an amount not to exceed five hundred dollars (\$500.00).

Section 7. Penalty for Examining and/or Copying Confidential Material without Authorization

G.S. 153A-98 provides that any person not specifically authorized to have access to a personnel file designated as confidential, who shall knowingly and willfully examine in its official filing place, and remove or copy any portion of a confidential personnel file shall be guilty of a misdemeanor and upon conviction, shall be fined in the discretion of the court but not in excess of five hundred dollars (\$500.00).

Section 8. Destruction of Records Regulated

No public official may destroy, sell, loan, or otherwise dispose of any public record, except in accordance with G.S. 121-5, without the consent of the State Department of Cultural Resources. Whoever unlawfully removes a public record from the office where it is usually kept, or whoever alters, defaces, mutilates, or destroys it will be guilty of a misdemeanor and, upon conviction will be fined not less than ten dollars (\$10.00) nor more than five hundred dollars (\$500.00) as provided in G.S. 132-3.

Adopted: 07-01-1997

Revised: 05-18-2022

Reviewed: 07-01-2001; 02-11-2014; 11-14-2017; 02-13-2018; 10-01-2019; 02-09-2021; 08-21-2023; 08-30-2024

Article XI. IMPLEMENTATION OF POLICY

Section 1. Conflicting Policies

All policies, ordinances, or resolutions that conflict with the provisions of this policy are hereby repealed.

Section 2. Separability

If any provision of this policy or any rule, regulation or order there under of the application of such provision to any person or circumstances is held invalid, the remainder of this policy and the application of such remaining provisions of this policy of such rules, regulations, or orders to persons or circumstances other than those held invalid will not be affected thereby.

Section 3. Violations of Policy Provisions

An employee violating any of the provisions of this policy shall be subject to suspension and/or dismissal, in addition to any civil or criminal penalty, which may be imposed for the violation of the same.

Section 4. Effective Date

This Policy shall become effective as of July 1, 1997. This policy was revised and adopted by the Authority Board on November 13, 2012. This Policy was again revised and adopted by the Authority Board on February 9, 2021.

Adopted: 07-01-1997

Reviewed: 07-01-2001; 02-11-2014; 02-13-2018; 10-01-2019; 02-09-2021; 05-18-2022; 08-21-2023, 08-30-2024

ARTICLE XII. APPENDICES

APPENDIX A

JOB CLASSIFICATION SCHEDULE

See CHA Intranet for latest version of the Job Classification Schedule.

APPENDIX B

WAGE AND HOUR POLICY

The following Wage and Hour Policy has been developed in an effort to comply with the provisions of the Federal Fair Labor Standards Act (FLSA). The FLSA contains requirements for minimum wages, overtime pay and record keeping in addition to restrictions on child labor. The provisions of the Act apply to all Cabarrus Health Alliance employees, except those employees excluded from the FLSA definition of the term “employee,” and those employees who qualify for exemptions based on the FLSA requirements. Even though the majority of the policy has been developed to insure compliance with the FLSA, other major wage and hour issues over which the Act has no jurisdiction are also addressed.

Section 1. Exemptions

Any bona fide executive, administrative, professional, or elected official, as these terms are defined in the regulations by the Secretary of Labor, is exempt from both the minimum wage and overtime pay requirements of the FLSA under section 13 (a)(1). To qualify for the exemption, an employee must meet all of the pertinent tests relating to duties, responsibilities and salary as given in sections 541.1 – 541.3 of the FLSA.

Section 2. Hours Worked

Hours worked include any time an employee is required to be on duty, on an employer’s premises, at a designated work place for the employer and all times where the employee is suffered or permitted to work for the employer. Hours worked also include any work done on or away from the working premise, if the employer has reason to believe or knows that work is being done. Furthermore, no employer may unjustly benefit from work performed without their knowledge.

HOLIDAYS, ANNUAL LEAVE AND SICK LEAVE

Holidays, annual leave and sick leave are not counted as hours worked for the purpose of computing overtime, even though they are paid hours.

TRAINING TIME

Required attendance at training sessions, workshops, and other meetings, whether before, during or after the employee’s regular work period, is work time. Voluntary attendance at training sessions, workshops, and other meetings is not work time.

Training time is voluntary if the following conditions are met:

- (a) attendance is outside the employee’s regular working hours,
- (b) attendance is in fact voluntary,
- (c) the course, lecture or event is not directly related to the employee’s job, and



GRIEVANCE TIME

The time an employee spends during their regular work period addressing a grievance under CHA's Grievance Procedure, Discriminatory and Adverse Action Appeal Policy is work time. Time spent outside the employee's regular work period is work time if the employee's attendance is required by the agency or local unit.

ON CALL

The time an employee spends "waiting to be engaged," where an employee is free to their own pursuits with the understanding that word will be left where they can be reached, is not considered to be hours worked. When an employee is called out on a job assignment, only the time actually spent on the assignment is counted as hours worked.

In cases where calls are so frequent or the waiting conditions so restrictive that the employee is not really free to use the intervening periods effectively for their own purposes, then the employee is considered to be "engaged to wait" and the hours spent as such are counted as hours worked.

An employee who is on call and required to remain at home and who is also uninterrupted for long periods of time will determine with their employer a reasonable number of hours worked. The number determined should reflect both the time spent in answering calls and the restriction on the employee's freedom to engage in personal activities resulting from the calls.

MEALS AND REST PERIODS

A bona fide meal period is not counted as hours worked or as time paid. Such a period consists of at least 30 consecutive minutes during which the employee is completely relieved of their duties. When meal periods are frequently interrupted, the employee is not considered to be relieved of all duties, and the meal periods are counted as hours worked.

Rest periods or breaks of short duration, up to 20 minutes, must be counted as hours worked.

DUTY OF 24 HOURS OR MORE

An employee on duty for 24 hours or longer may agree with their employer to subtract bona fide meal and sleep time from the hours worked. If the sleep or mealtime is interrupted, the length of the interruption is counted as hours worked. The employee must get at least five (5) hours sleep. The sleep does not have to be continuous, but must be reasonable periods in length. A minimum of five (5) and maximum of eight (8) hours sleep time, plus meal time, may be subtracted from hours worked in any 24-hour period. This is true if the employee chooses to take time off during the 24-hour tour of duty.

Section 3. Travel Time

Whether travel time is considered as hours worked depends on the circumstances:

- (a) HOME-TO-WORK - An employee who travels from home before the regular workday and returns home at the end of the workday is engaged in ordinary home to work travel which is a normal incident of employment. This is true whether they work at a fixed location or at different job sites. Normal travel from home-to-work is not work time.
- (b) HOME-TO-WORK ON SPECIAL ONE-DAY ASSIGNMENTS IN ANOTHER CITY - When an employee who regularly works at a fixed location in one city is given a special one-day assignment in another city, such travel cannot be regarded as home-to-work travel. It is performed for CHA's benefit and at CHA's request to meet the needs of a particular assignment. All time involved, however, does not have to be counted as work time. Except for the special assignment, the employee would have to have had to report to their regular job. As such, the usual time required to travel to and from work may be deducted, as well as the usual meal time, when computing the number of hours worked in that work day. Further, when the employee's special one-day assignment extends above and beyond the normal working hours; those hours are counted as hours worked. This is true whether the employee drives themselves or is a passenger in the travel.
- (c) TRAVEL THAT IS ALL IN THE DAY'S WORK - Time spent by an employee in travel as part of their principal activity such as travel from job site to job site during the workday must be counted as hours worked. When an employee is required to report at the employer's premises or at a meeting place to receive instructions or to perform other work there, the travel time from this designated place to the work place is part of the day's work and must be counted as hours worked. For example, if an employee normally finished work at a particular job site at 5:00 p.m., but is required to go to another job which is finished at 8:00 p.m., and then is required to return to the employer's premises arriving at 9:00 p.m., all of the time is working time. However, if the employee goes home instead of returning to the employer's premises, the travel after 8:00 p.m. is home-to-work and is not counted as hours worked.
- (d) OVERNIGHT TRAVEL - Travel that keeps an employee away from home overnight is travel away from home. All time spent in transit, e.g., on an airplane, in an airport, in a car, on a train, etc. while traveling away from home is counted as hours worked. Regular meal period time is not counted.

Section 4. Minimum Wage

All non-exempt employees of a local governmental unit may not be paid less than the current minimum wage.

Section 5. Overtime

WORKWEEK. The official work period for all Alliance employees is 40 hours over a 7-day, 168-hour consecutive work period. The official work period for all Alliance employees begins on Friday and ends on Thursday. The workweek, once established, may not be changed unless the change is intended to be permanent.

REGULAR RATE. The regular rate is the equivalent hourly rate at which an employee is actually paid for normal, non-overtime hours. The regular rate includes base pay, merit pay, career incentives pay, longevity pay and all other pay actually received. The regular rate does not include gifts, pay for annual leave or sick leave, certain discretionary bonuses, employer contributions to fringe benefits or, as stipulated in the employment contract, extra compensation for working overtime, for working

Saturdays and Sundays and holidays, and for working hours outside the normal workweek or workday if at least one and one-half times the normal rate is paid.

EMPLOYEE OVERTIME – GENERAL POLICY

All non-exempt employees must be paid at least one and one-half times their regular rate of pay for all hours worked over 40 in a workweek. Any overtime incurred by an employee must be approved in advance by the supervisor in the department in which the overtime takes place.

FLSA requires that the minimum wage for any overtime due an employee be determined on the basis of the hours worked in each workweek and that the compensation earned by an employee in a particular workweek be paid on a regular payday for the pay period in which the workweek ends. An employer cannot average the hours of work by an employee over two or more workweeks, even if the employee is paid every two (2) or more weeks.

Section 6. Compensatory Time

Exempt

In the event of a public health emergency, the Authority Board has authorized the Chief Executive Officer to utilize existing exempt staff and to compensate employees in lieu of compensatory time. Payment will be at a regular rate of pay.

Adopted: 07-01-1997

Revised: 07-01-2001; 09-13-2005; 02-08-2009; 01-12-2016

Reviewed: 02-11-2014; 02-13-2018; 10-01-2019; 02-09-2021; 05-18-2022; 08-21-2023; 08-30-2024

APPENDIX C
DRUG-FREE WORKPLACE POLICY

I. General Statement of Policy

- A. It is the policy of Cabarrus Health Alliance that the workplace shall be free of the presence of alcoholic beverages and unlawful controlled substances and that employees shall perform their job assignments safely, efficiently, and without the adverse influence of alcohol or controlled substances. This policy shall govern each employee (1) during work hours, (2) while on any property owned or leased by Cabarrus Health Alliance, (3) at any time during which the employee is acting in the course and scope of their employment with Cabarrus Health Alliance, and/or (4) at any time that the employee's violation of this policy has a direct and adverse effect on job performance.
- B. All employees shall be aware of the harmful effects and dangers of the use and abuse of alcohol and controlled substances in the workplace. Employees working under the influence of alcohol or controlled substances:
 - 1. May create unsafe conditions for themselves and others;
 - 2. May perform unsatisfactorily and adversely affect the performance of others; and
 - 3. May discredit Cabarrus Health Alliance and cause disrespect for the employee, Cabarrus Health Alliance, and other citizens whom we serve.

II. Prohibited Acts

- A. Cabarrus Health Alliance prohibits the unlawful manufacture, distribution, dispensing, possession, or use of any alcoholic beverage or any narcotic drug, hallucinogenic drug, amphetamine, barbiturate, marijuana, or any other controlled substance as defined in schedules I through V or Section 202 of the United States Controlled Substances Act, at 21 U.S.C. § 812, and as further defined in federal regulations at 21 C.F.R. §§ 1308.11 through 1308.15 and in North Carolina Controlled Substances Act, N.C. Gen. Stat. §90-86 et seq.
- B. Cabarrus Health Alliance prohibits the use of alcoholic beverages by any employee (1) during work hours including lunch time and breaks, (2) while on any property owned or leased by Cabarrus County or Cabarrus Health Alliance, (3) at any time during which the employee is acting in the course and scope of their employment with Cabarrus Health Alliance, except while attending business/social and other functions held off Cabarrus Health Alliance property and/or (4) at any other time that the employee's use of alcoholic beverages has a direct and adverse effect on job performance. The business/social situations would most often occur after normal work hours and the employee would not be expecting to return to work. This also would not preclude an employee's return to work on an emergency need basis as long as the testing standards stated within this policy are met.
- C. Cabarrus Health Alliance prohibits the use of prescription or lawful non-prescription medications to the extent that such has a direct and adverse effect upon the operation of a vehicle or the performance of the employee's job duties. Employees may only take prescription medications which are prescribed by a physician who understands the employees' job duties.

III. Employee Responsibilities

- A. As a condition of initial and continuing employment, all employees shall:
 - 1. Comply with the terms of this Policy and any rules or procedures and
 - 2. Notify their supervisor in writing of any conviction pursuant to any criminal drug or alcohol statute no later than five (5) days after such conviction.
- B. Within ten (10) days of receiving actual notice of an employee's conviction of any criminal drug statute for a violation occurring in the workplace or within the course and scope of employment, Cabarrus Health Alliance shall notify such conviction to any federal granting agency from which the Cabarrus Health Alliance receives a grant (as required by law) and report to professional licensing boards.
- C. Any employee who has cause to suspect that the Policy has been or is being violated by another employee shall report such information to their supervisor or an administrator. In the event the person suspected of violating the Policy is the Chief Executive Officer, the employee shall report such information to the Chairperson of the Cabarrus Health Alliance Board. Any employee who makes a report pursuant to this Policy, cooperates with the Board of Cabarrus Health Alliance in any ensuing inquiry or investigation, testifies in any Cabarrus Health Alliance Board proceeding resulting from the report, or otherwise participates in the enforcement of this Policy is immune from any disciplinary action that might otherwise be incurred or imposed for such action provided that the employee was acting in good faith.
- D. A supervisor shall report to Human Resources, and Human Resources shall report to law enforcement officials any circumstance or event that gives them reason to believe that an employee has violated a criminal drug or alcohol statute. Further, the Cabarrus Health Alliance shall cooperate in any investigations or prosecutions of its employees conducted by State, Federal, or local law enforcement officials pursuant to a criminal drug or alcohol statute.

IV. Authority to Test Employees

- A. The Chief Executive Officer shall establish, by administrative regulations, rules and procedures for the implementation of this Policy. Included in such rules and procedures shall be specific procedures for requiring and conducting any tests for the presence of alcohol and/or controlled substances authorized by this Policy. These procedures shall be designated so as to protect the privacy of the employee being required to undergo testing and shall require that all tests for the presence of alcohol and/or controlled substances be conducted pursuant to and in full compliance with the Controlled Substance Examinations found in Chapter 95, Article 20 of the North Carolina General Statutes.
- B. No sample obtained for the purpose of conducting tests for the presence of alcohol and/or controlled substances pursuant to this Policy shall be used to perform any diagnostic examination that would detect any hidden or latent physical or mental infirmity, disease, condition, or genetic information. Rather, the analysis of such sample shall be confined to such procedures as are devised to detect the presence of alcohol and/or controlled substances.
- C. All information obtained in the course of testing, examining, counseling, rehabilitating, and treating employees pursuant to this Policy and any rules or procedures promulgated there under shall be protected as confidential medical information. Documents or data concerning this information shall

not be open to inspection by persons other than the affected employee and shall be disseminated only on a need-to-know basis and at the express direction of the Chief Executive Officer.

D. Pursuant to this Policy and any rules or procedures the Chief Executive Officer or their designee(s) may require the following persons to submit to testing for the presence of alcohol and/or controlled substances:

1. Any employee operating a vehicle owned/leased by Cabarrus Health Alliance or a personal vehicle which is used as a major part of their work who has a traffic accident or moving violation while performing their duties as an employee.
2. All employees involved in an incident/occurrence where there are life threatening injuries or death while performing their duties as an employee.
3. Any employee when there is reasonable suspicion to believe that they violated the Policy by observed actions or physical evidence while performing their duties as an employee.

Examples: Staggering, glassy eyes, disoriented.

V. Testing Standards - The Cabarrus Health Alliance will consider an employee with a blood alcohol level of .06% or higher to be intoxicated and in violation of this Policy. Employees testing at .04% to 0.05% are deemed unfit to perform their duties and will be sent home for the rest of the day without pay subject to disciplinary action. A positive test result for controlled substances would be unacceptable and subject to disciplinary action.

VI. Penalties for Non-Compliance - Any employee who violates this Policy shall be subject to penalties described in the Cabarrus Health Alliance Personnel Ordinance (Effective July 1, 1997), Article VII, Separation, Disciplinary Actions, Suspensions and Reinstatement; Section 2 (c) Disciplinary Actions, Category Three.

VII. Drug-Free Awareness Program - The Chief Executive Officer or their designee shall establish a Drug-Free Awareness Program to inform all employees of the following:

1. The dangers of drug abuse in the workplace;
2. The Cabarrus Health Alliance Policy of maintaining a drug-free workplace;
3. Any available alcohol or drug counseling, rehabilitation, and employee assistance programs;
4. The penalties that may be imposed upon employees for violations of this Policy.
5. Employee Assistance Program (for substance abuse):

McLaughlin Young Group: 704-529-1428 or 800-633-3353

See the intranet for benefits information or contact Human Resources.

VIII. Any employee who voluntarily discloses a problem regarding alcohol or drug abuse shall be required to participate in an alcohol or substance abuse treatment or EAP referral.

Adopted: 09-20-1999

Revised: 06-08-2004; 08-05-2013; 12-09-2013; 08-30-2024

Reviewed: 02-11-2014; 02-13-2018; 10-01-2019; 02-09-2021; 05-18-2022; 08-21-2023



APPENDIX D

RETIREMENT BENEFIT ADMINISTRATION

The Cabarrus Health Alliance provides paid health and life insurance coverage to eligible employees qualifying for retirement as a member of the North Carolina Local Governmental Employer Retirement System and meeting the criteria set forth below.

1. Full-time employees of Cabarrus Health Alliance on July 1, 1997, that voluntarily did not elect the new vacation accrual schedule are not eligible for paid health and life insurance coverage at retirement.
2. Full-time employees hired or rehired on or before July 1, 1997, and that voluntarily chose to change to Schedule A vacation accrual effective July 1, 1997, are eligible as follows:
 - Paid health and life insurance coverage will be provided to employees qualifying for retirement as a member of the North Carolina Local Governmental Employee's Retirement Systems with at least ten (10) of their creditable years being in the service of Cabarrus County/Cabarrus Health Alliance. These benefits will be paid at the same level as for active employees and will be provided to retired employees until they become eligible for Medicare.
 - Employees qualifying for retirement in the North Carolina Local Governmental Employees' Retirement System but with less than ten (10) years of service with Cabarrus County/Cabarrus Health Alliance shall receive one-half the benefit provided to retiring employees with at least ten (10) years of service.
 - Employees must be actively enrolled in the health insurance plan to qualify for the benefit at time of retirement.
 - Employees who reach their 65th birthday or become Medicare eligible before retiring will change to vacation accrual schedule B at the payroll following their birthdate.
3. Full-time employees hired between July 1, 2001 and June 30, 2004 with ten (10) years of service with CHA and who qualify for retirement as a member of the North Carolina Local Governmental Employees' Retirement System are eligible as follows:
 - Paid health and life insurance coverage, paid at the same level as for active employees, will be provided to retired employees until they become eligible for Medicare.
4. Retiree health and life insurance benefits are not available for employees hired effective July 1, 2004.
5. Eligibility for dependent health and life insurance cease upon retirement.
6. To comply with the Affordable Care Act, CHA classifies employees working 30 or more hours per week as full-time, and therefore offers health insurance to employees. A small number of employees qualify for retiree health insurance under this new provision, whereas before they were not eligible because they were not 40 hour-per-week employees. On June 12, 2018, the Cabarrus County Public Health Authority Board unanimously approved adding a statement to read: Employees who were hired prior to July 2004 but not enrolled in CHA health insurance as of April 1, 2019 are not eligible for retiree health insurance benefits.

Adopted: 07-01-1997

Revised: 07-01-2001, 05-11-2004, 01-12-2016, 11-14-2017, 06-12-2018

Reviewed: 02-11-2014, 02-13-2018, 10-01-2019, 02-09-2021, 05-18-2022; 08-21-2023; 08-30-2024

APPENDIX E

FAMILY MEDICAL LEAVE ACT EMPLOYEE RIGHTS AND RESPONSIBILITIES

CHA follows Family Medical Leave Act Requirements as mandated by the U. S. Department of Labor. The most up to date version of the employee rights and responsibilities poster for FMLA can be found on the Human Resources SharePoint, and posted in employee areas at CHA's physical locations.

See Article VI, Section 18 for CHA's policy related to FMLA.

For additional information: **1-866-4US-WAGE (1-866-487-9243) TTY: 1-877-889-5627**

WWW.WAGEHOUR.DOL.GOV

U.S. Department of Labor | Employment Standards Administration | Wage and Hour Division WHD Publication 1420 Revised January 2009



APPENDIX F

CODE OF CONDUCT

The CHA Code of Conduct is one of the ways we put CHA's values into practice. It's built around the recognition that everything we do in connection with our work at CHA will be, and should be, measured against the highest possible standards of ethical conduct. Respect for our patients/clients, for the opportunity, and for each other are foundational to our practice, and are something we need to support every day.

Please read the Code of Conduct, Conflict of Interest Policy, and CHA's Values, and follow them all both in spirit and letter. Always bearing in mind that each of us has a personal responsibility to incorporate, and to encourage each other to incorporate, the principles of the Code and values into our work. And if you have a question or ever think that one of your coworkers or the company as a whole may be falling short of our commitment, don't be silent. We want – and need – to hear from you.

Who Must Follow Our Code? We expect all of our employees and board members. Failure to do so can result in disciplinary action, including termination of employment or other relationship. Moreover, while the Code is specifically written for CHA employees and Board members, we expect members of our extended workforce (temps, vendors, interns, PHAPS, residents, and independent contractors), and others who may be temporarily assigned to perform work or services, to follow the Code in connection with their work for us. Failure of a member of our extended workforce or other covered service provider to follow the Code can result in termination of their relationship with CHA.

- I. **Interpersonal Skills:** Be respectful of yourself and others, offer and accept constructive feedback in a positive manner, share information, embrace teamwork, handle problems and disagreements privately. Avoid allowing personal problems to impact your work.
- II. **Customer Relations:** Anticipate customer needs and be proactive in resolving customer problems/complaints. Maintain a courteous and helpful demeanor with customers. Document customer complaints and follow up accordingly. Don't be afraid to express concern and regret. Confidentiality must be maintained at all times.
- III. **Professional Image:** Wear a CHA name badge when representing the Cabarrus Health Alliance. Project a positive and professional image at all times. Adhere to appropriate attire. Maintain a positive attitude and eliminate personal conversations in the presence of customers. Avoid addressing co-workers or customers in terms of endearment (honey, baby, etc.).

Maintain confidentiality and a sense of self-pride, adhere to an ethical code, and avoid joking to eliminate offending someone who perceives your "fun" as offensive or poor taste. Assist customers and co-workers willingly, practice punctuality and be aware of "body language." Take responsibility for your personal actions, behavior and performance.

- IV. **Communication:** Be aware of non-verbal communication such as posture and facial expression. Use assertive communication techniques to request and resolve problems. Seek clarification when you must and resolve problems through appropriate channels. Communicate in a manner your audience can understand. Avoid gossip, praise others when it is deserved, and take the time to prepare your response before speaking.

Always be positive in any and all forms of communication regarding the Cabarrus Health Alliance, employees, board members, and partners. All communication, whether in the scope of doing your work or personal conversations, must remain professional and non-derogatory towards the organization, other employees, and those we serve.

- V. **Performance:** Take ownership of the job and act accordingly; be self-motivated; seek to improve yourself and your performance. Strive to do more than simply meet the minimum job requirements and participate in training opportunities. Seek clarification and guidance from your supervisor if you have problems.
- VI. **Relationships – Employee to Employee:** Maintain a professional and cordial relationship with co-workers. Address co-workers by first or last name, avoid use of nicknames. Romantic relationships between employees are discouraged.
- VII. **Relationship – Employee to Supervisor:** Maintain a professional relationship. Use the chain of command; keep the supervisor informed and involved. Use the supervisor as a resource for guidance, clarification and problem solving. Maintain professional integrity and a mutual level of respect.
- VIII. **Relationship – Supervisor to Employee:** Consider yourself a role model for the employee to emulate. Respect the privacy of your communications and be consistent. Provide guidance and direction; give honest feedback respectfully, be responsive and listen to your employees. Maintain open and honest communications and maintain impartiality of treatment.
- IX. **Manners:** Use appropriate social conventions which include but not limited to appropriate eye contact, common courtesy, helpfulness, common respect in the form of “thanks,” “excuse me,” and “you’re welcome.” Be respectful and tactful in your contact with other employees as well as customers.
- X. **Commitment:** Develop, nurture, encourage, and applaud a sense of ownership. Publicly demonstrate support of the agency and seek volunteer opportunities. Promote an environment of “teamwork” by ignoring self-interests and actively participating in those functions that resolve a problem and/or impact your role within CHA.
- XI. **Safety and Compliance with Rules:** Know and follow the accepted standards of safety. Attend safety education classes. Recognize and report risks and violations as a proactive measure of prevention and document accordingly. Take personal responsibility for the safety of yourself, co-workers, and customers.

CORE VALUES

- I. **Collaboration:** We build strong, trusting relationships with our colleagues, partners, and those we serve.
- II. **Compassion:** We treat everyone with empathy, care, and respect.
- III. **Integrity:** We demonstrate ownership and accountability through consistent, honest, and ethical behavior.
- IV. **Adaptability:** We are proactive in finding solutions for our fellow staff members and our community in response to evolving circumstances.

Adopted: 07-01-1997

Revised: 07-01-2010; 11-14-2017; 02-09-2021; 08-30-2024

Reviewed: 07-01-2001; 02-11-2014; 02-13-2018; 05-18-2022; 08-21-2023



APPENDIX G

EMPLOYMENT BACKGROUND SCREENS

Cabarrus Health Alliance is committed to providing a safe and secure working environment for its employees, vendors and customers. To ensure a safe and secure working environment for employees and clients, the Cabarrus Health Alliance will implement a comprehensive background check on all potential employees.

All employees hired on or after July 1, 2011 are subject to a comprehensive background check prior to employment. All applicable state, federal and local laws governing employment and background screening will be followed.

Screens will include:

- Social security number validation
- Address history
- North Carolina statewide criminal
- Comprehensive criminal
- National sex offenders
- Health Care Provider Search (all licensed, certified personnel)
- Education verification (highest degree)
- Employment references
- Motor vehicle report (if position requires a valid driver's license)

Additionally, all employees are subject to ongoing monitoring of arrest and conviction records and DMV records.

It is required that employees self-disclose if they have been charged with any misdemeanor or felony offenses, including speeding where the offense is over 15 or more miles per hour and the employee drives during the course of their work.

Adopted: 06-14-2011

Reviewed: 02-11-2014; 02-13-2018; 10-01-2019; 02-09-2021; 05-18-2022; 08-21-2023, 08-30-2024