



Educates children, strengthens families and builds community

## Welcome to the Kingsley House Board

### Board of Directors

Richard Roth III  
*President*

Chimene Grant Saloy  
*President Elect*

Claudia Carrere Powell  
*Treasurer*

Christine Mitchell  
*Vice President*

Ralph Mahana  
*Secretary*

Miles Channing Thomas  
*Immediate Past President*

Steven Corbett  
Taniya de Silva  
Brendan Greene  
Yvette Jones  
Shannon Joseph  
Zwila Martinez  
Alan Philipson  
Stephen Parker Pate  
Kea Sherman  
Cleveland Spears III  
Adam Swensek  
Sue Williamson  
Dominique Wilson

Keith H. Liederman, Ph.D.  
*Chief Executive Officer*

Kingsley House has been in existence since 1896 and, in its long history, dedicated Board members have built a tradition of excellence in programming for individuals and families in our community.

Board members are most effective when they are well informed about their role and responsibilities and the agency's structure and activities. We hope that the information enclosed in this manual will be helpful. As a steward of this very special institution, you assume the responsibility of determining policy, recommending administrative changes and interpreting Kingsley House programs to the public.

It is expected that all members will attend board and committee meetings and actively participate in resolving the challenges that face us. Some critical questions a good board should ask itself are:

- What do we want to accomplish to help Kingsley House fulfill its mission?
- What is the road map to follow?
- How will we pay for it?
- Did we succeed or fail?

Thank you for joining with us. There is nothing more rewarding than working on behalf of an organization dedicated to increasing the capacity of others. We hope you will find your participation stimulating and fulfilling.

Sincerely,

Richard Roth III  
President

Keith H. Liederman, Ph.D.  
Chief Executive Officer

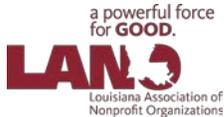




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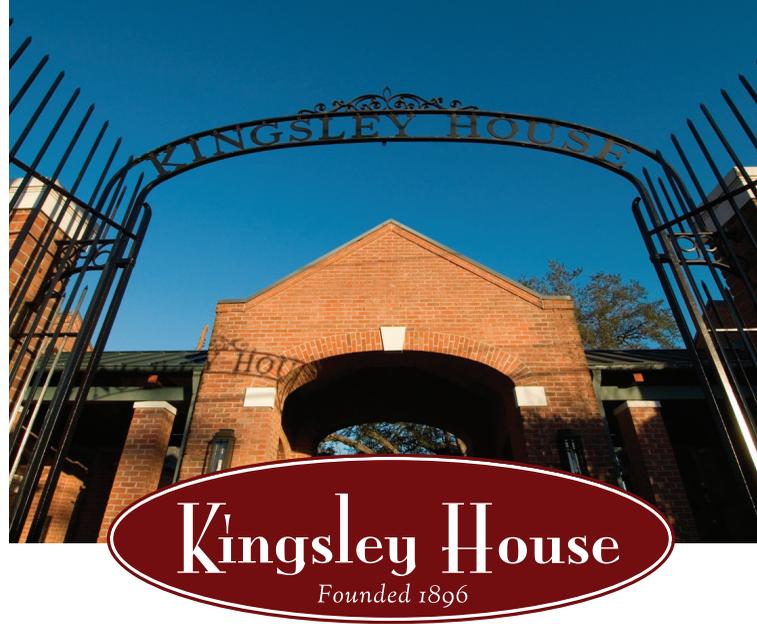
<b>Board of Directors</b> Richard Roth III <i>President</i>  Chimene Grant Saloy <i>President Elect</i>  Claudia Carrere Powell <i>Treasurer</i>  Christine Mitchell <i>Vice President</i>  Ralph Mahana <i>Secretary</i>  Miles Channing Thomas <i>Immediate Past President</i>   Steven Corbett Taniya de Silva Brendan Greene Yvette Jones Shannon Joseph Zwila Martinez Alan Philipson Stephen Parker Pate Kea Sherman Cleveland Spears III Adam Swensek Sue Williamson Dominique Wilson  Keith H. Liederman, Ph.D. <i>Chief Executive Officer</i>	<b>Section 1:</b>	<b>Introduction</b> Welcome	pg. 1
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Kingsley House educates children, strengthens families and builds community in Greater New Orleans. Using a Whole Family Approach, Kingsley House serves entire families, meeting the needs of children and parents together through interconnected services and programs.

Kingsley's comprehensive family support solutions are in the areas of education, health and well-being, social capital, employment and family economic security. Linking these services and resources helps disrupt cyclical poverty by creating a roadmap to upward economic mobility.

**To accomplish our goals, we join forces with dedicated community partners. Collectively, we work with families to fuel economic growth and social change in our city, state and region.**



At Kingsley House, we envision a city and region where all young children are ready to succeed and all citizens are healthy and economically stable. Recognizing that vulnerable families are at risk of being caught in an intractable cycle of poverty, we are committed to ensuring that individuals and families have the supports necessary to be successful at all stages of life.

**Become a Kingsley House supporter today at [KingsleyHouse.org](http://KingsleyHouse.org)**



1600 CONSTANCE STREET  
NEW ORLEANS, LA 70130

504.523.6221



Kingsley House is an equal opportunity  
employer and service provider

# Kingsley House

**We're About Families**



**KINGSLEYHOUSE.ORG**

**Early childhood education is a critical component in preparing our children to succeed in school and life.**

For over 100 years, Kingsley House has been at the forefront of early education and quality child care in Louisiana.

## Early Learning Services

Early Learning Services provides a dynamic, comprehensive array of year-round, full-day academic and social enrichment activities, along with essential health and supportive services for hundreds of infants, toddlers, preschoolers and their families.



Kingsley House offers the most diverse delivery model of early childhood education in the state including:

- Center-based Early Head Start & Head Start programs
- Parents as Educators home-based services
- Educare New Orleans School
- Partnerships with ten independent child care sites throughout Orleans and Jefferson Parishes



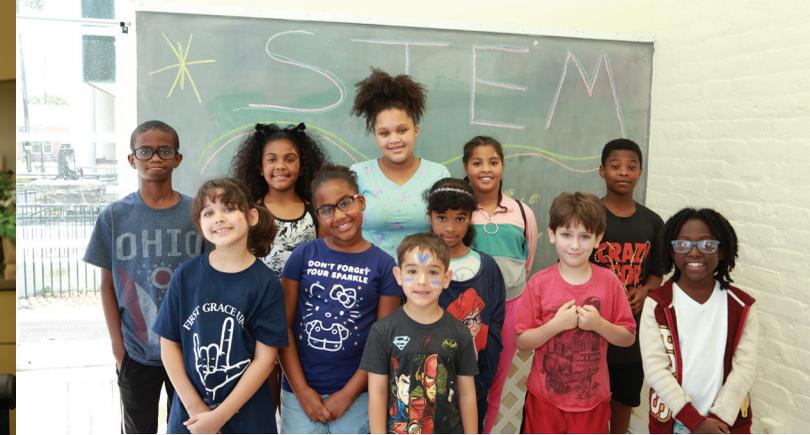
## Kingsley Adult Day Care

Kingsley Adult Day Care provides year-round compassionate care for at-risk seniors, veterans and medically-fragile adults. This state-of-the-art facility is the largest adult day care in New Orleans, and is licensed by the Louisiana Department of Health.

Kingsley Adult Day Care provides respite for and support to caregivers, reduces isolation for our participants, and assists families in caring for their loved ones. This support allows vulnerable adults, veterans and seniors to age in place and reduces unnecessary nursing home placements or hospitalization.

**Over 90% of seniors want to age in place in their communities.**

Participants receive daily nursing services, health monitoring, individualized care, case management, and personalized nutrition and healthy meals. Recreational and educational activities include games, arts and crafts, music therapy, intergenerational programming with our Early Learning students, activities for veterans, and field trips to community and cultural locations.



## Summer Camp

Kingsley's Summer Camp operates each year for over 200 children ages 5 to 12 years old. As a partner with the New Orleans Recreation Development (NORD) Commission, our 7-week, full-day camp activities include indoor and outdoor sports and recreation, academic enrichment, STEM, drama, arts and crafts, swimming, and weekly field trips.

**Kingsley House provides nationally-accredited and state-certified programs to nearly 7,000 individuals annually.**

## Community & Supportive Services

Kingsley's Community and Supportive Services (CSS) offers comprehensive, community-based services that repair the social fabric of the community and build family capital.

CSS assists families at Columbia Parc at the Bayou District and Heritage Senior Residences, as well as participants across other Kingsley service areas.

**Kingsley Connections offers participants three entry points depending on need:**

### **CAREER DEVELOPMENT**

- Focuses on job readiness skills
- Increases participants' understanding of workplace expectations
- Assists participants in acquiring minimum educational/training requirements
- Provides support to overcome barriers to employment

### **CAREER READY**

- Supports participants in earning certifications and/or degrees to start on a career path
- Provides job placement assistance
- Provides support to overcome barriers to employment

### **CAREER ADVANCEMENT**

- Assists participants in advancing in their career path
- Focuses on wage gains and promotions in the participant's career path
- Provides support to overcome barriers to progression

**Ready to Connect?  
Reach out today for  
more information.**

**AZEB NEGASI**

Kingsley Connections Program Manager

**PHONE:** (504) 523-6221, EXT 256

**EMAIL:** kc@kingsleyhouse.org

1600 Constance Street  
New Orleans, LA 70130

### **ABOUT KINGSLEY HOUSE**

Kingsley House educates children, strengthens families and builds community in Greater New Orleans.

At Kingsley House, we envision a city and region where all young children are ready to succeed and all citizens are healthy and economically stable. Using a Whole Family Approach, Kingsley House serves entire families, meeting the needs of children and parents together through interconnected services and programs. We are committed to ensuring that individuals and families have the supports necessary to be successful at all stages of life.



Kingsley Connections is a workforce development program of Kingsley House.

# **CREATING CONNECTIONS TO SUCCESS**

**KINGSLEY  
Connections**

**LINKING TO CAREERS. BUILDING SUCCESS.**



**Kingsley Connections is a workforce development program that assists individuals in preparing for careers in today's top industries.**

Our team of professionals uses an individualized approach to assist adults in navigating career pathways and overcoming barriers to employment. The Kingsley Connections team of Career Coaches, Family Advocates, and Community Health Navigators work together to help families thrive.



## CAREER PATHWAYS

Kingsley Connections places adults in high-growth industries, such as:



**Advanced  
Manufacturing**



**Building &  
Construction**



**Healthcare**



**Information  
Technology (IT)**



**Hospitality**



## KINGSLEY CONNECTIONS COMPONENTS

- Career Exploration
- Career Placement
- Financial Literacy Education - budgeting, savings, credit scores
- Job Readiness Skills - interview techniques, resume writing
- High School Equivalency Preparation
- Referrals and Resources

**Linking to Careers. Building Success.**

**AMENDED AND RESTATED  
ARTICLES OF INCORPORATION OF  
KINGSLEY HOUSE, INC.**

State of Louisiana

Parish of Orleans

On this 18<sup>th</sup> day of September 2006, before me, the undersigned Notary Public, duly commissioned and qualified in and for the aforesaid Jurisdiction, and in the presence of the witnesses hereinafter named and undersigned, personally came and appeared:

Sheldon F. "Skip" Brechtel, the duly elected and acting President of Kingsley House, Inc. (the "Corporation"), a Louisiana Non-Profit Corporation, formed by Charter of Kingsley House Association, dated November 18, 1902, amended by Amendment to the Charter of The Kingsley House Association, date July 27, 1942 and the Amendment to Charter of The Kingsley House and New Orleans Day Nursery Association dated March 13, 1968 and the Amendment to Charter of Kingsley House, Inc. dated November 15, 2004, appearing pursuant to a duly adopted resolution of the voting members and Board of Directors of this Corporation adopted on September 18, 2006, a certified copy of which is annexed hereto. The President, being first duly sworn, declared that pursuant to the authority granted in the annexed resolutions, the Articles of Incorporation of the Corporation are hereby amended and restated in their entirety to provide as follows:

**ARTICLE I**

The name of this Corporation shall be:

"Kingsley House, Inc."

**ARTICLE II**

This Corporation is organized and shall at all times be operated exclusively for charitable and educational purposes and, subject to other provisions in these Articles of Incorporation, to engage in any lawful activity for which a corporation may be formed under the Louisiana Nonprofit Corporation Law. The Corporation shall be a voluntary, nonprofit, incorporated, non-stock membership organization.

**ARTICLE III**

The period of duration of this Corporation shall be perpetual, unless otherwise liquidated, dissolved, or merged as permitted by law.

#### ARTICLE IV

This Corporation shall be a nonprofit corporation and shall have no capital stock. It shall be operated and maintained by such membership dues and assessments and endowments as the Board of Directors shall determine to be necessary or acceptable for the proper functioning of the Corporation. Under no circumstances shall any part of the net earnings or assets of the Corporation inure or be distributed to the benefit of its members, directors, officers, or other private persons, except that the Corporation shall be authorized and empowered to pay reasonable compensation for services rendered and to make payments and distributions in furtherance of the purposes set forth in Article 11 hereof. No substantial part of the activities of the Corporation shall be devoted to influencing legislation, and the Corporation shall not participate in, or intervene in (including the publishing or distribution of statements) any political campaign on behalf of (or in opposition to) any candidate for public office. Notwithstanding any other provision of these articles, the Corporation shall not carry on any other activities not permitted to be carried on (a) by a corporation exempt from Federal income tax under section 501(c)(3) of the Internal Revenue Code of 1986, as amended (or the corresponding provision of any future United States Internal Revenue Law) (hereinafter, the "Code") or (b) by a corporation, contributions to which are deductible under section 170(c)(2) of the Code.

#### ARTICLE V

Upon the dissolution of this Corporation, the Board of Directors shall, after paying or making provision for the payment of all of the liabilities of the corporation, dispose of all of the assets of the Corporation exclusively for the purposes of the Corporation in such manner, or to such organization or organizations under section 501(c)(3) of the Code as the Board of Directors shall determine.

#### ARTICLE VI

Section 1. The location and street address of the registered office of the Corporation is:

1600 Constance Street  
New Orleans, Louisiana 70130

Section 2. The full name and mailing address of the registered agent of the Corporation is:

Keith Howard Liederman  
1600 Constance Street  
New Orleans, Louisiana 70130

## ARTICLE VII

This Corporation is organized on a non-stock basis with one class of membership. The Board of Directors of the Corporation shall constitute the entire membership of the Corporation. A meeting of the Board of Directors shall constitute a meeting of the members of the Corporation, and at any such meeting of the Board of Directors, the business of the members of the Corporation may be conducted.

## ARTICLE VIII

Section 1. The Board of Directors shall have the full authority and power to manage the business and affairs of this corporation. The Board of Directors shall be composed of not less than fifteen nor more than fifty persons. The exact number of Directors shall be determined from time to time by the Board of Directors, provided, however, that the directors shall not have the authority to reduce the number of directors constituting the Board of Directors so as to shorten the terms of any incumbent director. Either the President or the Secretary of the Corporation may call special meetings of the Board of Directors at any time and from time to time upon reasonable notice to all members of the Board of Directors.

Section 2. The term of office for each of the directors shall be determined by the by-laws of the Corporation.

## ARTICLE IX

The private property of the members shall not be subject to the payment of Corporate debt, and no member, director or officer shall be personally liable for any of the obligations of the Corporation by virtue of service in that capacity.

## ARTICLE X

Section 1. A member, director, officer, or volunteer worker of this Corporation shall be afforded the full protection allowed under Louisiana Revised Statutes, Title 9, Sections 2792, 2792.1 and 2792.3. In addition to, and not in lieu of the foregoing, except for damage or injury caused by their willful or wanton misconduct, members, trustees, directors, officers, or volunteer workers of this corporation, whether or not they are compensated for their services on a salary basis, shall not be personally liable to this Corporation or its members for any act or omission resulting in damage or injury (a) arising out of the exercise of their judgment in the formation and implementation of policy, or (b) arising out of the management of the affairs of this corporation provided they were acting in good faith or within the scope of their official corporation prove functions and duties.

Section 2. If the laws applicable to the Corporation or its directors, members, officers, employees and volunteers, including without limitation, the Louisiana Nonprofit Corporation Law, should hereafter be amended to authorize the further elimination or limitation of the liability of members, trustees, directors, officers, or volunteer workers, then the liability of a member, director, officer, or volunteer worker of this Corporation shall be limited to the fullest extent permitted by the amended law.

Section 3. This Corporation may indemnify any officer, director, employee or agent of the Corporation to the full extent permitted by Louisiana Revised Statutes, Title 9, Section 227.

Section 4. Any repeal or modification of this Article X by the members of the Corporation shall be prospective only, and shall not adversely affect any limitation on the personal liability of a member, trustee, director, officer, or volunteer worker of this corporation existing at the time of such repeal or modification.

#### ARTICLE XI

Meetings of the membership of this Corporation may be held within or without the State of Louisiana at such times and places as may be determined by the by-laws. A member may vote personally or by proxy appointed in writing. The books of the corporation may be kept, subject to applicable law, within or without the State of Louisiana at such place or places as may be designated from time to time by the Board of Directors.

#### ARTICLE XII

The Articles of Incorporation may be amended by a two-thirds vote of the members present at a regular meeting of the Corporation or any special meeting called for that purpose; provided that notice of the meeting, setting forth a summary of the proposed changes, shall be given by mail thirty (30) days in advance to all members of the corporation at their respective last known addresses, unless such notice be waived. The Articles of Incorporation may not be amended in any way that would permit this corporation to be operated other than exclusively for non-profit charitable and educational purposes.

1  
THUS DONE AND PASSED in multiple originals at New Orleans, Louisiana, on the day first above written, in the presence of the undersigned witnesses and Notary Public.

Sheldon F. "Skip" Brechtel, President  
Kingsley House, Inc.

*Marianne P. E.*  
*Marianne Brechtel*

WITNESSES:

*[Faint handwritten signature]*  
*[Faint handwritten signature]*

*RA*  
*Sheldon F. Brechtel*

*[Handwritten signature of Margaret L. Sunkel]*  
Notary Public  
*[Faint handwritten text]*

**MARGARET L. SUNKEL**  
**NOTARY PUBLIC**  
**STATE OF LOUISIANA**  
**LOUISIANA STATE BAR # 25688**  
**MY COMMISSION IS ISSUED FOR LIFE.**

# KINGSLEY HOUSE, INC.

## BY-LAWS

### ARTICLE I

#### NAME AND PURPOSE

**Section 1. Name.** The name of this organization is Kingsley House, Inc. a Louisiana Non-Profit Corporation (hereinafter, “Kingsley House”).

**Section 2. Purpose and Mission.** Kingsley House educates children, strengthens families and builds community.

**Section 3. Charitable Purpose.** It is inherent in the organization and operation of Kingsley House that Kingsley House shall be organized and operated exclusively for charitable and educational purposes and that at all times Kingsley House shall act as a nonprofit corporation as that term is defined in Section 501(c)(3) of the Internal Revenue Code of 1986, as amended, or the corresponding provision of any future United States Internal Revenue code (hereinafter, the “Code”).

**Section 4. Limitation on Activities.** No substantial part of the activities of Kingsley House shall be for the purpose of attempting to influence legislation. None of the activities of Kingsley House shall consist of participating in, or intervening in (including the publishing or distribution of statements), any political campaign on behalf of any candidate for public office, or any other activities not permitted to be carried on (a) by a corporation exempt from Federal income tax under Section 501(c)(3) of the Code or (b) by a corporation, contributions to which are deductible, as defined in section 170(c)(2) of the Code.

### ARTICLE II

#### MEMBERSHIP AND BOARD OF DIRECTORS

**Section 1. Composition.** The Board of Directors shall be comprised of not less than fifteen nor more than fifty elected Board Members, as fixed from time to time by the Board of Directors. The Board of Directors shall constitute the entire voting membership of Kingsley House. The Board of Directors is responsible for the overall policy and direction of Kingsley House and is empowered to do all such acts and things as are not precluded by law. The business of Kingsley House may be conducted at any meeting of the Board of Directors. There shall be an annual meeting of the Board of Directors (the “Annual Meeting”), and such meeting shall be held on a date designated annually by the President.

**Section 2. Nomination and Election.** Board Members shall be elected by the Board of Directors at its Annual Meeting. At least one month prior to the election, a slate of proposed Board Members shall be presented to the Board of Directors by the Executive Committee, or a Nominating Committee appointed by the Executive Committee for that purpose. At the Annual Meeting, the slate of proposed Board Members shall be placed into nomination for vote of the Board of Directors. Additional candidates for the Board of Directors may be placed in nomination only by written petition of five or more members of the Board of Directors, submitted to the President more than forty calendar days prior to the Annual Meeting, at which time the President shall include such candidates in the slate of proposed Board Members presented to the Board of Directors and placed into nomination for vote.

**Section 3. Compensation and Expenses of Board Members.** Board Members shall not receive compensation or remuneration in any form, either from Kingsley House or any other source, for their services rendered to Kingsley House as Board Members. Kingsley House may reimburse Board Members for reasonable expenses actually incurred in the performance of their duties to Kingsley House upon approval by the Treasurer.

**Section 4. Fiduciary Relationship of Board Members.** Board Members and officers of Kingsley House shall be deemed to stand in a fiduciary relationship to Kingsley House and its participants and shall discharge the duties of their respective positions in good faith and with the diligence, care, judgment and skill which ordinarily prudent men/women would exercise under similar circumstances in like positions.

**Section 5. Transactions with Interested Parties.** The Board of Directors has adopted a Conflict of Interest Policy governing all Board Members. The current effective Conflict of Interest Policy is attached as Exhibit "A" to these By-Laws.

**Section 6. Indemnification and Insurance.** Kingsley House shall indemnify any Board Member or employee of Kingsley House against any expenses, including reasonable attorneys' fees, judgments and amounts paid in settlement, actually and reasonably incurred by him/her in connection with a claim, action, suit or proceeding arising out of services rendered to Kingsley House or brought as a result of his/her status as a Board Member or employee of Kingsley House. Such indemnification shall occur when the Board Member or Kingsley House employee has acted in good faith and in a manner in which he/she reasonably believed to be in, or not opposed to, the best interest of Kingsley House. Such indemnification shall occur with respect to any criminal action or proceeding, but only when the person had no reasonable cause to believe his/her conduct to be unlawful.

In actions by or in the right of Kingsley House, the indemnification shall be limited to expense actually and reasonably incurred in connection with the defense or settlement of such

action including attorneys' fees and amounts paid in settlement. However, no indemnification shall be made in respect to any claim, issue or matter when such person has been adjudged to be liable for gross negligence or intentional misconduct in the performance of his/her duty to Kingsley House unless, and only to the extent, a court of competent jurisdiction determines upon application that despite the adjudication of liability, he/she is fairly and reasonably entitled to indemnity for such expenses which the court deems proper.

Indemnification shall be made by Kingsley House only as authorized in a specific case upon determination that the applicable standard of conduct has been met. Such determination shall be made by a majority vote of a quorum of the Board of Directors consisting of Board Members who are not parties to such claim, action, suit or proceeding or, if a quorum of the Board of Directors cannot be obtained, by independent legal counsel. Expenses incurred in defending such a claim, action, suit or proceeding may be paid by Kingsley House in advance of the final disposition thereof if authorized by the Board of Directors in the manner provided above upon receipt of an undertaking by or on behalf of the Board Member or employee to repay such amount unless it shall ultimately be determined that he/she is entitled to be indemnified by Kingsley House as authorized by these By-Laws.

Kingsley House may procure insurance on behalf of any person who is or was a Board Member or employee of Kingsley House against any liability asserted against or incurred by him/her in any such capacity or arising out of his/her status as such whether or not Kingsley House would have the power to indemnify him/her against such liability. The Chief Executive Officer shall report annually on the existence of such coverage and, upon request of a Board Member, shall provide a copy of the policy of insurance.

**Section 7. Vacancies.** Vacancies occurring on the Board of Directors shall be filled by election by the remaining Board Members from candidates presented by the Executive Committee, or a Nominating Committee appointed by the Executive Committee for that purpose. Additional candidates to fill vacancies on the Board of Directors may be nominated only by written petition of at least five members of the Board of Directors submitted to the President more than ten days prior to the meeting at which successor Board Members are elected. The person so elected shall hold office until the end of the term of the person whose vacancy such elected successor was elected to fill.

**Section 8. Terms of Office.** Board Members shall be elected for a term of three years. Board Members shall take office upon election and shall serve until their successors are elected. No Board Member shall serve more than three consecutive terms except in the following cases:

- a) If a person is elected by the Board of Directors to be an officer for a term that would expire after that person's maximum term on the Board of Directors, then that election shall extend

that person's term on the Board of Directors to the expiration of his or her initial term as an officer, and any term for which such person may be re-elected as an officer, and any term for which such person may be elected to any other office.

- b) If a person who is not then on the Board of Directors is elected to replace a Board Member whose term had not yet expired, the new Board Member may be elected to three consecutive terms in addition to the balance of the unexpired term of the replaced Board Member.
- c) The immediate past President may serve on the Board of Directors and the Executive Committee for two years after the beginning of the term of the President who succeeds such immediate past president.

**Section 9. Resignation and Removal of Board Members.** A Board Member may resign from the Board of Directors at any time by giving notice in writing. Such resignation shall take effect at the time specified therein and no acceptance of such resignation shall be necessary to make it effective. A Board Member may be removed by a two thirds vote of a quorum of the Board of Directors at any regularly scheduled or special meeting whenever in the Board of Directors' judgment the best interests of Kingsley House would be served thereby. The Board of Directors may also, at any meeting, remove any Board Member who misses three consecutive meetings of the Board of Directors without excuse.

**Section 10. Duties and Responsibilities.** The direction and management of Kingsley House shall be vested entirely in the Board of Directors, which shall formulate, adopt, and cause the implementation of all policies of Kingsley House. The Board of Directors shall maintain oversight and at all times retain responsibility for the finances, management and operation of Kingsley House in accordance with its mission and purpose. The financial supervision of Kingsley House shall at all times be maintained by the Board of Directors.

The Board of Directors shall appoint the Chief Executive Officer as the chief professional officer of Kingsley House and delegate to the Chief Executive Officer the duty of guiding the work of the agency in accordance with the programs and policies set forth by the Board of Directors. The Chief Executive Officer shall be responsible to the Board of Directors for the implementation of the directives of the Board of Directors, but the Board of Directors shall not delegate its ultimate responsibility, as set forth herein, to the Chief Executive Officer or any other staff member. The Board of Directors shall evaluate the performance of the Chief Executive Officer at least once each year, and shall have the right to dismiss the Chief Executive Officer at any time upon finding by the Board of Directors of ineffective performance.

**Section 11. Meetings.** The Board of Directors shall meet at least six times each year. Special meetings of the Board of Directors may be called by the President or the Secretary and shall be called if requested in writing by a majority of the Board Members. The agenda of each board meeting shall include reports by the President, the Treasurer and the Chief Executive Officer on the activities of Kingsley House and may include such other matters as the President may determine. Meetings may be held by means of conference telephone or similar communications equipment, provided that all Board Members participating in the meeting can hear and communicate with each other. Participation in such manner shall constitute presence in person at such meeting. Notice, stating the time and place of a regular meeting shall be given to each Board Member entitled to vote by mail, personal delivery, email or telephone at least ten days before the regular meeting. Notice of a special meeting, stating the time, place and general nature of the business to be considered, shall be given to each Board Member by means of mail, personal delivery, email or telephone at least forty-eight hours before the time of the special meeting. Whenever any notice is required by law or these By-Laws, waiver thereof may be had by majority vote of the Board Members participating in the noticed meeting.

**Section 12. Quorum.** At all meetings, a quorum shall consist of 40% of the membership of the Board of Directors and, unless otherwise specifically required herein, the action of a majority of those present is the action of the Board of Directors.

**Section 13. Proxy.** Every Board Member shall have one vote and no more. A Board Member may, by means of written proxy, appoint a proxy holder, who must be a Board Member, to act at a specific meeting in the manner and to the extent authorized by the proxy. The written proxy shall be delivered personally or sent via email or fax to the appointed proxy holder and to the Secretary prior to the subject vote. All decisions will be passed by a simple majority of all Board Members present in person or represented by proxy and voting, unless these By-Laws indicate otherwise.

### ARTICLE III OFFICERS

**Section 1. Composition.** The officers of Kingsley House shall be a President, a President-Elect, a Secretary, a Treasurer, and a Vice President.

**Section 2. Powers and Duties of Officers.** Subject to the authority and control of the Board of Directors, all officers as between themselves and Kingsley House shall have such authority and shall perform such duties in the management of the property and affairs of Kingsley House as may be provided by these By-Laws or by resolution of the Board of Directors not inconsistent with these By-Laws and, to the extent not so provided, as generally pertain to their respective offices.

**President.** The President shall preside at all meetings of the Board of Directors and the Board Members. The President shall see that all orders and resolutions of the Board of Directors are carried into effect and direct other officers in the performance of their duties, shall have the power to execute all authorized instruments and shall generally perform all acts incident of the office of President or which are incumbent upon the President under the provisions of the Articles of Incorporation and these By-Laws. The President shall also be an ex-officio member of all committees. The President shall cause to be prepared at least annually a report of the condition of Kingsley House. The President shall perform other duties as may be delegated to him/her by the Board of Directors.

**President-Elect.** In the event of absence or disability of the President, the President-Elect shall preside at meetings of the Board of Directors and shall perform other duties as may be delegated to him/her by the Board of Directors.

**Secretary.** The Secretary, when such is required, shall give or cause to be given, notice of all meetings of Board Members, officers and committees and all other notices required by law or by these By-Laws. In the case of the Secretary's absence or refusal or neglect to do so, any such notice may be given by the Board Members upon whose request the meeting is called as provided in these By-Laws. The Secretary shall record or cause to be recorded all the proceedings of the meetings of the Board Members and of the committees. The Secretary shall perform such other duties as may be assigned to him/her by the Board of Directors or by the President.

**Treasurer.** The Treasurer shall supervise and oversee all funds, securities, evidences of indebtedness and other valuable documents of Kingsley House. The Treasurer shall enter or cause to be entered, in the books of Kingsley House to be kept for that purpose, a full and accurate account of all monies received and paid out on account of Kingsley House and whenever required by the President or the Board of Directors, the Treasurer shall render a statement of accounts. The Treasurer shall keep or cause to be kept such books as will show a true record of the expenses, gains, losses, assets and liabilities of Kingsley House and shall perform all other duties incident to the office of the Treasurer. The Treasurer shall perform such other duties as may be assigned to him/her by the Board of Directors or by the President.

**Vice President.** In the event of absence or disability of the President and President-Elect, the Vice President shall preside at meetings of the Board of Directors and shall perform other duties as may be delegated to the Vice President from time to time by the Board of Directors or by the President.

**Section 3. Nomination and Election.** Officers shall be elected by the Board of Directors at its Annual Meeting. At least one month prior to the election, a slate of proposed officers shall be presented to the Board of Directors by the Executive Committee, or a Nominating Committee

appointed by the Executive Committee for that purpose. At the Annual Meeting, the slate of proposed officers shall be placed into nomination for vote of the Board of Directors. Additional candidates for officer positions may be placed in nomination only by written petition of five or more members of the Board of Directors, submitted to the President more than forty calendar days prior to the Annual Meeting, at which time the President shall include such candidates in the slate of proposed officers presented to the Board of Directors and placed into nomination for vote.

**Section 4. Terms of Office.** Officers shall serve for one year or until their successors are elected. Officers shall serve no more than two complete consecutive terms in the same office.

**Section 5. Vacancy.** Any vacancy in an office shall be filled by the Board of Directors. The person so elected shall serve until the next Annual Meeting of the Board of Directors.

#### ARTICLE IV COMMITTEES

**Section 1. Executive Committee.** There shall be an Executive Committee consisting of the officers and the person who is the immediate past President. The Executive Committee shall have the authority to appoint other Board Members as members of the Executive Committee on an ad hoc basis. The Executive Committee shall have all the powers of the Board of Directors, subject to such limitations as the laws of the State of Louisiana and the Board of Directors may impose, to conduct necessary business of Kingsley House between meetings of the Board of Directors. The Executive Committee shall be responsible for the governance of the Board of Directors. The Executive Committee shall keep regular minutes of its proceedings and shall report to the Board of Directors at each Board meeting. The President shall serve as the Chairman of the Executive Committee. A majority of the Executive Committee shall constitute a quorum. The Executive Committee may conduct its business by telephone or by other electronic means.

**Section 2. Finance Committee.** There shall be a Finance Committee composed of the Treasurer as chairman and other members appointed by the President. The Finance Committee shall consider the details of the budget, shall determine investments, shall review the management of the assets of Kingsley House, and shall report to the Board of Directors at each Board meeting on the finances of Kingsley House. The Finance Committee may conduct its business by telephone or by other electronic means.

**Section 3. Audit Committee.** There shall be an Audit Committee composed of Board Members who do not also serve on the Finance Committee. The President shall appoint the Committee Chair and all committee members. The Audit Committee shall recommend an independent auditing firm to the Board of Directors, review and approve the annual audited financial statements and IRS Form 990 and assess the appropriateness of Kingsley House's critical

accounting policies. The Audit Committee may conduct its business by telephone or by other electronic means.

**Section 4. Development Committee.** There shall be a Development Committee composed of Board Members appointed by the President, who shall also appoint a Committee Chair. The Committee Chair is authorized to invite non-Board Members to serve on the Development Committee on an ad hoc basis. The Development Committee shall assist the Chief Executive Officer and Management of Kingsley House with the development of Kingsley House and fund raising. The Development Committee shall report to the Board of Directors as needed, and may conduct its business by telephone or by other electronic means.

**Section 5. Other Committees.** Other committees may be appointed as deemed advisable by the Executive Committee on either a standing or ad hoc basis. All other committees may conduct their business by telephone or by other electronic means.

**ARTICLE V**  
**AMENDMENT OF THE BY-LAWS**

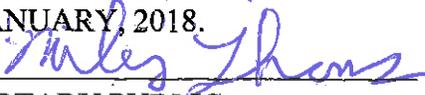
**Section I.** These By-Laws may be amended by a two-thirds vote of the Board Members present at a regular meeting of the Board of Directors or any special meeting called for that purpose, provided that notice of the meeting, setting forth a summary of the proposed changes, shall be given by mail, email or fax 30 days in advance to all Board Members, unless such notice be waived. The By-Laws may not be amended in any way that would permit Kingsley House to be operated other than exclusively for non-profit charitable and educational purposes.

**Section 2.** If any term or provision of these By-Laws or any application thereof shall be invalid or unenforceable, the remainder of these By-Laws or any other application thereof shall not be affected thereby.

The foregoing By-Laws were adopted by the Board of Directors of Kingsley House at a meeting held on the 22<sup>nd</sup> day of January, 2018.

  
\_\_\_\_\_  
Chimene Grant Saloy, Secretary of Kingsley House, Inc.

SWORN TO AND SUBSCRIBED  
BEFORE ME THIS 23<sup>rd</sup> DAY OF  
JANUARY, 2018.

  
\_\_\_\_\_  
NOTARY PUBLIC  
MY COMMISSION IS FOR LIFE

**MILES C. THOMAS**  
**NOTARY PUBLIC**  
**LA BAR No. 31342**  
**NOTARY I.D. No. 87582**  
**Parish of Orleans, State of Louisiana**  
**My Commission is Issued for Life**

**KINGSLEY HOUSE  
FINANCIAL POLICIES AND PROCEDURES**

1. The Financial objectives of Kingsley House should be:
  - a. to develop and adopt an annual budget based on an assessment of current and future financial needs, and the appropriate distribution of funds to meet those needs;
  - b. to advocate for and apply for all feasible public and private grants at the local, state and federal levels to support agency programs;
  - c. to establish a cash reserve fund for emergency situations;
  - d. to manage the Endowment Fund and all other funds in accordance with *Kingsley House Investment Guidelines*; and
  - e. to incorporate a resource development function within the agency to broaden the financial base of support, determine fund raising techniques and select the most appropriate fund raising strategies.
2. The Financial and Asset Management Committee shall advise the Board on all matters relating to the finances of Kingsley House, recommend changes in fiscal policy to the Board and oversee the budget.
3. The Financial and Asset Management Committee is authorized to invest and reinvest agency funds in accordance with guidelines set by the Board and upon the advice and recommendations of an investment manager selected by the Board.
4. The financial policies of Kingsley House shall be in accordance with United Way guidelines whenever appropriate.
5. The management of the approved budget shall be delegated to the Executive Director. The Executive Director shall consult monthly with the Treasurer or the Financial and Asset Management Committee on any line items exceeding the budgeted figure.
6. The Board shall be kept informed of the financial status of the agency through monthly reports presented by the Treasurer or Executive Director and written copies of the current statement of operations.
7. The business office shall operate in accordance with the *Standards of the American Institute of Certified Public Accountants*.
8. All Board and staff members of Kingsley House with access to cash and securities shall be bonded and insured.
9. A Certified Public Accountant, selected by the Board, shall conduct an annual, independent audit of agency funds and report to the Financial and Asset Management Committee.
10. Agency funds are not to be used in support of political candidates.

Revised: August 8, 2018

## KINGSLEY HOUSE INVESTMENT GUIDELINES

### I. INVESTMENT GUIDELINES

- A. The overall character of the portfolio should be one of conservative quality, possessing at most, an average degree of investment risk.
- B. The investment objective shall be to seek a reasonable balance between current income, growth of income, and longer term capital appreciation.
- C. For comparative purposes, the stock portion of the portfolio will be reviewed relative to the results achieved by the Dow Jones Industrial Average and the Standard & Poor's "500" Index.
- D. The bond portion of the portfolio will be measured against the Salomon Brothers Bond Index.

### II. GENERAL INVESTMENT GUIDELINES

- A. The Investment Manager will give frequent and active attention to the funds in both developing strategy and making decisions to implement same.
- B. The Financial and Asset Management Committee is authorized to invest and reinvest agency funds in accordance with guidelines set by the Board and upon the advice of an investment manager selected by the Board.**
- C. The Financial and Asset Management Committee, President, Vice President, Investment Manager and the Executive Director will meet Quarterly to review investment guidelines and strategies.**

### III. SPECIFIC-INVESTMENT GUIDELINES

- A. The equity portion is expected to range between 25 - 75% of the total portfolio and have the following characteristics:
  - (1)High overall quality;
  - (2)Reasonable diversification;
  - (3)Companies with a history of consistent or growing earnings and dividends.  
(However, some stocks that pay no dividends may have excellent total return.)
  - (4)Prospects of future (3 year) earnings may have excellent total return;
  - (5)Strong financial position to foster future growth; and
  - (6)Foreign common stocks that fulfill the above criteria are eligible investments so long as they are listed or have ADR'S.
- B. The fixed income (bond) portion of the portfolio is expected to range between 25 - 50% of the total portfolio and have the following characteristics:
  - (1)**Quality to be above average on issues rated at least "All by Moody's or Standard & Poor's;**
  - (2)Well diversified as to issue or maturity;
  - (3)Maturities should generally be of intermediate length (5 - 15 years) but may emphasize shorter maturities depending on yield differentials;
  - (4)Current coupon securities, as opposed to discount securities, should be emphasized;
  - (5)Foreign bonds, except Canadian bonds, are not eligible investments.
- C. Reserves for contingencies and stock and bond purchases are expected to comprise the balance of the fund.
  - (1)Investment reserves should be maintained as determined by the Investment Manager depending upon stock and bond market conditions.

(2) Investment reserves should be invested at all times in practical amounts.

(3) Reserves can be invested in commercial paper, U.S. Treasury Bills, Bank Certificates of Deposit, including pooled funds of the same, and other comparable securities that have been determined to be of acceptable quality by the Investment Manager.

D. Barring unusual circumstances, donated securities will be sold in a timely fashion if they are not compatible with these investment guidelines, and the proceeds will then be reinvested to conform with said guidelines.

E. The above Guidelines will be followed unless otherwise specified by the donor in order to meet specific needs unique to a particular account.

Revised August 8, 2018

## **Kingsley House Endowment**

**Whereas**, Kingsley House wishes to provide funds in perpetuity for its needs; and

**Whereas**, Kingsley House has the financial resources and plans in place to launch an Endowment Campaign, therefore,

**Resolved**, that the Endowment Campaign be launched to establish the Kingsley House Endowment Fund; and

**Resolved**, that the goal for this campaign will be \$1,000,000; and

**Resolved**, that the contributions received from this campaign shall become the principal of the KH Endowment Fund; and

**Resolved**, that donors, bequeathers and Kingsley House may add additional resources to this fund and that additional gifts to the Endowment Fund shall be solicited in future years; and

**Resolved**, that all principal as defined by the first \$1,000,000 and any additional gifts or contributions shall be held inviolate; and

**Resolved**, that this principal shall be invested as described in the Kingsley House investment policy and the income earned be accrued in the fund until the principal reaches \$1,000,000; and

**Resolved**, that after the principal of the Endowment Fund reaches \$1,000,000, a portion of the income earned from investments may be withdrawn annually and used for operating expenses of Kingsley House or expenses as decided by the Board of Directors.

In witness whereof, Kingsley House has caused this agreement to be signed in its name by one of its officers duly authorized to do so as of the date \_\_\_\_\_.

For the Board of Directors of Kingsley House

\_\_\_\_\_  
President of the Board

## **KINGSLEY HOUSE ENDOWMENT POLICIES AND PROCEDURES**

### **Definition:**

An endowment is used to accumulate assets that have been given on the condition that the principal of the gift is to be kept intact and that only the income it produces can be used to meet needs.

The Endowment at Kingsley House is a permanent fund or funds that has long-term investment objectives and strategies. It is invested to ensure a return necessary to preserve and enhance the principal amount in real dollar terms. Endowment returns provide financial stability, make long-range planning possible, and protect Kingsley House in future years.

### **Gift Acceptance:**

Kingsley House will accept gifts in the form of cash, stocks, bonds, IRA, retirement plans, life insurance policy proceeds, personal property, real estate, estate gifts and deferred gifts.

Kingsley House reserves the right to refuse any gift, bequest, or devise of any property.

### **Other Income:**

If in any given year the revenue of Kingsley House exceeds the total expenditures and is not otherwise restricted, the Board will consider placing some of these funds in the Endowment.

### **Endowment Management:**

The overarching goal will be to preserve the value of the Endowment and to maximize total return. The total return concept recognizes the entire amount gained from an investment and, therefore, includes interest and dividends, as well as realized and unrealized capital gains and losses. In accordance with Kingsley House's Financial Policies and Procedures, the Asset and Financial Management Committee is charged with the responsibility for the management and investment of the funds according to the Kingsley House Investment Guidelines. Also, in accordance with those policies, the committee will hire a well regarded outside investment manager. His/Her performance will be monitored, and changes will be made as necessary according to the earlier mentioned policies and procedures.

Kingsley House desires to invest in companies whose business conduct is consistent with Kingsley House's mission and values. Therefore, the Asset and Financial Management Committee and/or investment manager will use its best efforts to avoid investing in the securities of any company known to participate directly in businesses the Board deems to be inconsistent with the values and mission of Kingsley House.

The Endowment is to be governed in all respects by the laws of the State of Louisiana.

Each month Kingsley House will transfer all gifts designated for the Endowment from its treasury to the endowment investment funds.

At such time as the portfolio value of the Endowment exceeds five million (\$5,000,000) dollars, the Asset and Financial Management Committee and the Board of Directors shall meet to evaluate the possibility of allocating the excess of the Endowment over five million (\$5,000,000) dollars to an additional investment manager.

**Distribution:**

All principal as defined as the first one million (\$1,000,000) dollars and any additional gifts or contributions will be held irrevocable forever. They may only be distributed by the dissolution of Kingsley House.

No funds shall be distributed until the Endowment reaches one million (\$1,000,000) dollars.

Before the budget meetings each year, the Asset and Financial Management Committee will review the investment performance of the Endowment portfolio for the preceding year focusing on yearly growth as well as growth from inception of the Endowment. It is anticipated that the distributable amount will be between 4.25% and 10% based on the total return performance of the fund during the preceding fiscal year (July-June) or based on restrictions placed by the donor. However, it is further recognized that these percentages are guidelines only and circumstances may dictate other amounts that are appropriate, as long as the restrictions imposed both by the donor and this document are observed. After approval from the Board upon adoption of the annual budget, the distribution will then be transferred from the Endowment into Kingsley House's operating bank account on the following October 1 or as soon thereafter as is reasonably possible. Interest earned above the distributable amount will be reinvested in the Endowment.

The distribution shall include funds to reimburse Kingsley House for costs, including indirect costs, for administering the endowments. Distributions will be made on a total return basis taking into account capital appreciation as well as income.

**Use of the Distributions:**

Endowment distributions will be used in the manner designated by the Board at the annual budget meetings, except for those funds designated by the donor. Typical uses will include administration support, program support, new program creation, and facility renovation, construction and maintenance.

No part of the principal or income of the Endowment shall be payable to or for the benefit of an individual Board Member or other individual or any non-exempt organization. No part of the activities of the Endowment shall consist of carrying on propaganda or otherwise attempting to influence legislation. No part of the activities of the Endowment shall be in the participation in,

or intervention in, any political campaign on behalf of any candidate for public office.

**Dissolution of the Endowment:**

The Endowment shall continue forever unless the Board terminates it and distributes all of the principal and income due to the dissolution of Kingsley House. The appropriate administration action the Board shall take to terminate the Endowment would be the unanimous agreement of the Executive Committee and  $\frac{3}{4}$  agreement of the full Board of Directors. The Kingsley House Endowment shall only be distributed to a similar non-profit 501 (c) (3) operating in the New Orleans area and/or be converted to a Kingsley House foundation 509 (a).

**Review:**

This policy will be reviewed annually by the Asset and Financial Management Committee and approved by the Kingsley House Board of Directors.

August 29, 2014



# Employee Handbook

**January 2019**  
[www.kingsleyhouse.org](http://www.kingsleyhouse.org)

## **Acknowledgment of Receipt of Kingsley House Employee Handbook**

I acknowledge that I have received a copy of the employee handbook. I understand that I am to read and become familiar with the contents. If I have questions, I understand that I should talk to my supervisor or the Human Resources Department.

I understand that this handbook is intended to, provide me with a general overview of the agency's employee policies and procedures and is not intended to be all inclusive. I acknowledge that this handbook is not to be interpreted as a contract or an inducement for employment, nor does it create promises or representations of continued employment.

Every employee has an at-will relationship with Kingsley House. This means that I am free to resign my employment at any time, just as Kingsley House is free to terminate my employment, for any or no reason, with or without cause subject to applicable laws.

This employee handbook supersedes all previous employee handbooks. Kingsley House may revise, suspend, revoke, terminate, or change its policies or procedures whether outlined in this handbook or elsewhere, at any time without prior notice

Further, I understand that this document will become a part of my personnel file.

---

Employee's Signature

---

Employee's Name (Print)

---

Date

## MEMORANDUM

**TO:** All Agency Personnel

**FROM:** Keith Liederman, Chief Executive Officer

**DATE:** January 2019

**SUBJECT:** Employee Handbook

Enclosed is your copy of the Kingsley House Employee Handbook. It is intended to explain general policies relating to your employment with Kingsley House. I hope you will find it helpful. Questions or comments about the handbook are welcome and may be directed to Human Resources Department.

**It is very important that you sign and return all signature pages upon completion of Orientation.**

I hope you find the handbook a useful resource during your employment with Kingsley House.



## **WELCOME TO STAFF**

Congratulations. We are happy to welcome you to Kingsley House, and we hope you will find working here rewarding and enjoyable. You have earned a spot on a very dynamic team of highly qualified professionals and dedicated volunteers. Kingsley House builds the capacity of individuals and families to care for one another. There are many opportunities in which your hard work and determination will make a positive difference in the lives of our program participants.

We believe that you, our employees, know best how to maximize capacities and resolve problems. We encourage all of our staff to continuously consider how to improve Kingsley House and to help us make that happen.

Your employee handbook sets forth general guidelines for all of us. Our foremost goal is to create a fair and supportive work environment for all staff. We want Kingsley House to be the best place to work. We certainly think it is. With your help we can keep it that way.

Sincerely,

Richard Roth III, President  
Keith Liederman, Chief Executive Officer



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## **I. INTRODUCTION**

### **1.1 Agency Philosophy, History and Programs**

Kingsley House is about people-what they can do, not what they cannot do. It is about building on the strengths of families and individuals rather than “treating” their weaknesses. It is about overcoming problems and exploring possibilities, setting goals, and finding practical ways to achieve those goals.

Kingsley House alumni are architects and engineers, oil company executives and off-shore workers, teachers, homemakers, computer operators and receptionists, day-care workers, pre-med students, social workers, champion swimmers...the list goes on and on.

#### **Kingsley House History**

Kingsley House, nationally respected as the oldest Settlement House in the South, has served the people of New Orleans through times of dramatic change since 1896. It has seen our city’s most crucial problems, move from language and cultural barriers at the turn of the century, to the challenges of integration in the Sixties, to the effects of drugs and violence, poverty and racism today.

Kingsley House has always supported change that we take for granted today: the passage of child labor laws, improved working conditions for all, women’s suffrage, tuberculosis control. Its work with the sight-impaired resulted in the founding of the Light House for the Blind. The Tulane School of Social Work was founded here. In the 1960s, the Kingsley House Summer Day Camp sponsored the first integrated swimming program in the city, at a time when other public programs in the city were closing rather than integrate.

#### **THE PRESCHOOL – HEAD START**

This is a licensed Head Start program which provides full day/year-round comprehensive services to children ages 3-5 years. Experienced staff and volunteers work to prepare children for successful academic careers.

#### **EARLY HEAD START**

This encouraging and supportive program offers center- and home-based child care for children ages 6 weeks to 3 years. Those who benefit from the services, other than the children, are parents who learn additional parenting skills needed for a healthy family.

#### **EDUCARE NEW ORLEANS**

Located in Columbia Parc, Educare New Orleans opened September 2013. It is an early childhood development center educating 150 children, between the ages of 6 weeks to 5 years old. By partnering with the Educare Learning Network, the Bayou District Foundation and TCA, Kingsley House will operate the center, which is the first of its kind in Louisiana.

#### **SUMMER CAMP**

Kingsley House operates summer camp for more than 200 children ages 5-12. The 8 week, full day camp activities include indoor and outdoor recreation, drama, arts and crafts, academic enrichment, drug and violence prevention education and weekly field trips.

#### LEARNING AND TECHNOLOGY CENTER

The center provides the use of 24 computers, free of charge, for individuals and groups in the community. The center, located at Kingsley House's main campus, also has 3 large televisions available for skyping and training for educational purposes.

#### COMMUNITY AND SUPPORTIVE SERVICES

Case management is provided to assist residents with reintegration into the newly developed Columbia Parc at the Bayou District (formerly the St. Bernard Housing Development). A holistic approach is employed to assist families with an array of services, including employment assistance, household management, budgeting, life skills seminars, GED preparation, and referral services to support the family's goal of self-sufficiency.

#### ADULT SERVICES

Handicapped or frail adults can delay or prevent institutionalization because of the comprehensive health care and nurturing interaction provided by this program. Daily transportation is available. High functioning senior citizens are motivated to stay active and independent by participating in a variety of daily center-based activities, as well as regular field trips to interesting and exciting community based endeavors and events.

## 1.2 Agency Mission, Values, Vision

### **Vision:**

Kingsley House envisions a city and region where all young children are ready to learn and all citizens are healthy and economically stable.

### **Mission:**

Kingsley House educates children, strengthens families and builds community.

### **Values**

#### *Shared Power and Voice:*

- We help people transform their lives. People most affected by inequity should lead the efforts to create solutions for the problem they face.

#### *Integrity:*

- We behave ethically, honestly, and fairly.

#### *Diversity and Inclusion:*

- We appreciate, respect and embrace the diversity of our staff, participants and community.

#### *Collaboration:*

- We believe in the power of the collective and we work to define and achieve common goals.

*Innovation:*

- We respond to the convergence of demographic, political and social shifts by learning best practices or generating new solutions that are impactful.

## **Operating Principles**

We provide:

- Nationally accredited and recognized programs that provide positive results in a nurturing environment
- Education and advocacy on issues affecting children, families, seniors, and community
- Fiscally responsible programs and agency operations
- A focus on measuring results and documenting success

### **1.3 The Kingsley House Approach**

Our philosophy is to provide a working environment that enables our employees to meet their potential, based upon their efforts, talents and skills, without regard to age (40 and over), color, physical disability or impairment, marital status, national origin, race, religion, sex or veteran status.

We undertake this task by:

- offering pay and benefits that are fair and competitive with local markets;
- making sure that concerns, issues and ideas are considered in a responsive manner; and
- creating an atmosphere that encourages excellence and innovation and rewarding such efforts.

### **1.4 Agency Code of Ethics**

**Preamble:** The primary mission of Kingsley House is to increase the capacity of persons of all ages, their families and communities to reach their potential and enhance the quality of their lives. The mission is rooted in a set of core values which are the foundation of Kingsley House's unique purpose and perspective:

- quality, innovative services with an emphasis on prevention and early intervention
- outcome measures of our impact
- an organization without bias regarding age, disability, gender, race, religion or sexual orientation
- involving people in the decisions affecting them
- accountability to our community
- collaborative, cooperative efforts
- advocacy on issues affecting our program participants and community
- fiscal responsibility
- a safe environment.

## Code of Ethics

Kingsley House expects its employees to adhere to the codes of ethics of their respective professions.

The following ethical standards or responsibilities are particularly relevant to all Kingsley House employees:

### 1. Ethical Responsibilities to program participants

- **Commitment.** The primary responsibility is to promote the well-being of program participants. However, Kingsley House's responsibility to the larger society or specific legal obligations may on limited occasions supersede the loyalty owed to program participants, and program participants should be so advised. (mandated reporting, for example)
- **Self-Determination.** Kingsley House respects and promotes the right of program participants to self-determination. Program participants must give their informed consent for service and are encouraged to participate in decisions about service, care, and/or treatment. Employees should use clear and understandable language to inform program participants of the purpose of the services, any risks related to the services, relevant costs, their right to refuse or withdraw consent, and the time frame covered by the consent. Program participants have the right to refuse to participate in clinical studies or other research.
- **Privacy and Confidentiality.** Kingsley House respects the program participant's right to privacy. Employees should not solicit private information unless it is essential or required to providing services or conducting evaluation or research. Once private information is obtained, standards of confidentiality apply. Employees may disclose confidential information only when appropriate and valid consent from a program participant or a person legally authorized to consent on behalf of a program participant.
- **Treatment Decisions.** Decisions made about service or care are based solely on the diagnostic and treatment needs of the individual.
- **Resolving Differences.** Program participants who are unable to resolve differences with their immediate staff have the right to file grievances in accordance with prescribed procedures.

### 2. Ethical Responsibilities to Kingsley House:

- **Policies and Procedures.** Employees and volunteers must adhere to the established policies and procedures of the agency. Employees and volunteers have a responsibility to improve agency policies and procedures and the efficiency and effectiveness of Kingsley House services.
- **Discrimination.** Employees and volunteers should actively prevent and eliminate discrimination in work assignments and employment policies and procedures.
- **Agency Resources.** Employees and volunteers should be diligent stewards of the resources of Kingsley House, wisely conserving funds where

appropriate and never misappropriating funds or other resources or using them for unintended purposes.

### **3. Ethical Responsibilities to the Broader Society:**

- **Social Welfare.** Employees and volunteers should promote the general welfare of society, from local to global levels, and the development of peoples, their families and communities. They should advocate for living conditions conducive to the fulfillment of basic human needs and should promote social economic, political, and cultural values and institutions that are compatible with the realization of social justice.
- **Advocacy.** Employees and volunteers should advocate as individuals on issues affecting our program participants and community. Employees and volunteers must have the approval of the Chief Executive Officer before making public policy statements for Kingsley House (see Social Advocacy Policy).
- **Referrals.** Kingsley House and its employees will not accept payment or other consideration from another provider of services for referring applicants or persons served to that provider of services. Kingsley House and its employees will not make payment or other consideration for referral to Kingsley House. They will not steer or direct referrals to a private practice in which personnel, consultants, or the immediate families of personnel or consultants may be engaged. Cases may not be transferred to persons leaving the agency for private practice.

## **1.5 Agency Recreational and Social Activities**

In our continual attempts to foster positive relations throughout our diverse workforce, Kingsley House conducts agency recreational and social activity. The agency typically convenes, at least one day long agency event, celebrating the anniversary of our agency charter. All agency staff and management personnel are required to participate and the agency is officially suspends programming and closes for the day. This event is entirely coordinated by management for the benefit and enjoyment of our staff.

The primary purpose of this event is to permit and encourage staff to participate in an informal setting in fun and relaxing activities.

## **1.6 Annual Meeting and Service Awards**

Kingsley House holds an annual meeting that is, open to the community, program participants, staff and volunteers. The purpose of the annual meeting is to publicly review the accomplishments of the agency and provide a forum for discussion of the agency's overall direction. New board members and officers are elected and outgoing board members are recognized. A variety of awards are also presented at the annual meeting and award nominations are accepted from board members, staff, volunteers and program participants. Awards are specifically designated for program participants who have made great strides and progress, outstanding volunteers, staff members, programs, community groups and individual members of the general community who have made

significant contributions to the agency. Award recipients are publicly acknowledged and receive formal recognition.

## **II. At- Will Employment**

### **2.1. At-Will Statement**

This employee handbook does not include all the agency's policies and procedures. It contains only general information and guidelines. It is not intended to be comprehensive or to address all the possible applications of, or exceptions to, the general policies and procedures described. For that reason, if you have any questions concerning eligibility for a particular benefit or the applicability of a policy or practice to you, you should address your specific questions to the Human Resource department.

The statements contained in this handbook does not confer any contractual right, either express or implied, to remain in Kingsley House employment. Nor does it guarantee any fixed terms and conditions of your employment. Your employment is not for any specific time and may be terminated at will with or without cause and without prior notice by Kingsley House, or you may resign for any reason at any time.

Kingsley House specifically reserves the right to depart from and/or modify the procedures, practices, policies and benefits described in this handbook from time to time.

## **III. DIVERSITY**

### **3.1. Non-Discrimination Policy**

In accordance with Federal law it is the policy of Kingsley House to provide services and/or benefits to all recipients without regard to race, color, religion, gender, sexual orientation, gender identity, national origin, a disability, genetic information, marital status, amnesty or status as a covered veteran. The same eligibility requirements are applied to all applicants for services on a non-discriminatory basis. Discrimination by child care providers based on the child being breastfed is prohibited. There is no distinction in the treatment of program participants, and rules of courtesy are applied uniformly to all. All persons or organizations having occasion to either refer applicants for services or recommend this agency must do so without regard to the applicant's race, color, religion, gender, sexual orientation, gender identity, national origin, age, national origin, disability, genetic information, marital status, amnesty or veteran status.

### **3.2. Equal Employment Opportunity Statement**

Kingsley House provides equal employment opportunities (EEO) to all employees and applicants for employment without regard to race, color, religion, gender, sexual orientation, gender identity, national origin, age, disability, genetic information, marital status, amnesty or status as a covered veteran in accordance with applicable federal, state and local laws. Kingsley House complies with applicable state and local laws governing nondiscrimination in employment in every location in

which the agency has facilities. This policy applies to all terms and conditions of employment including advertising or soliciting for employment, recruiting, hiring, rates of pay or other forms of compensation, discipline, selection for training, promotion, transfer, layoff, reduction in workforce, and dismissal.

Employment shall be based on the personal qualifications of the individual applying and positive action shall be taken to ensure the fulfillment of this policy. Kingsley House expressly prohibits any form of unlawful employee harassment based on race, color, religion, gender, sexual orientation, national origin, age, genetic information, disability or veteran status. Improper interference with the ability of Kingsley House employees to perform their expected job duties is absolutely not tolerated.

The responsibility for ensuring compliance and ongoing implementation of policies related to equal employment opportunity is assigned to the Human Resources Director, who serves as the Equal Opportunity Officer for the agency.

### **3.3. Americans with Disabilities Act (ADA) and the ADA Amendments Act (ADAAA)**

The Americans with Disabilities Act (ADA) and the Americans with Disabilities Amendments Act, known as the ADAAA, are federal laws that prohibit employers with 15 or more employees from discriminating against applicants and individuals with disabilities and that when needed provide reasonable accommodations to applicants and employees who are qualified for a job, with or without reasonable accommodations, so that they may perform the essential job duties of the position.

It is the policy of Kingsley House to comply with all federal, state and local laws concerning the employment of persons with disabilities and to act in accordance with regulations and guidance issued by the Equal Employment Opportunity Commission (EEOC). In addition, it is policy of Kingsley House not to discriminate against qualified individuals with disabilities regarding application procedures, hiring, advancement, discharge, compensation, training or other terms, conditions and privileges of employment. Kingsley House will not discriminate against a qualified individual because of the known disability of another individual with whom the qualified individual is known to have a relationship or association. The agency is committed to achieving and maintaining a diverse workforce.

Kingsley House will reasonably accommodate qualified individuals with a disability so that they can perform the essential functions of a job unless doing so causes a direct threat to these individuals or others in the workplace and the threat cannot be eliminated by reasonable accommodation and/or if the accommodation creates an undue hardship to Kingsley House.

All employees are required to comply with safety standards. Applicants who pose a direct threat to the health or safety of other individuals in the workplace, which threat cannot be eliminated by reasonable accommodation, will not be hired. Current employees who pose a direct threat to

the health or safety of other individuals in the workplace will be placed on appropriate leave until an organizational decision has been made regarding the employee's immediate employment situation.

Contact the Human Resource department with any questions or requests for accommodation. Kingsley House senior leadership is responsible for implementing this policy, including resolution of reasonable accommodation, safety, and undue hardship issues.

Any person alleging discrimination has a right to file a complaint of the alleged discriminatory action. All civil rights complaints, written or verbal, should be forwarded to:

For complaints regarding discrimination in the Child and Adult Care Food Program:

**USDA**

New Office of the Assistant Secretary for Civil Rights  
United States Department of Agriculture  
1400 Independence Avenue, SW  
Suite 4010 - South Building  
Washington, DC 20250 – 9403

Phone :( 202) 205-9302  
Facsimile: (202) 690-5583

For complaints regarding personnel:

**EEOC**

New Orleans District Office  
Hale Boggs Federal Building  
500 Poydras Street, Suite 809  
New Orleans, LA 70130

Phone: 1-800-669-4000  
Fax: 504-595-2884  
TTY: 504-595-2958  
ASL Video Phone: 844-234-5122

**3.4 Section 504 Grievance Procedure and Due Process Policy**

It is the policy of Kingsley House not to discriminate based on a disability. Kingsley House has adopted an internal grievance procedure providing for prompt and equitable resolution of complaints alleging any action prohibited by Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794) of the U.S. Department of Health and Human Services regulations implementing the Act. Section 504 prohibits discrimination because of a disability in any program or activity receiving Federal financial assistance. The Law and Regulations may be examined in the office of

the Human Resources Director, 504.523.6221, Section 504/ADA Coordinator who has been designated to coordinate the efforts of Kingsley House relative to compliance with disability Laws.

Any person who believes she or he has been subjected to discrimination on the basis of disability may file a grievance under this procedure. It is against the law for Kingsley House to retaliate against anyone who files a grievance or cooperates in the investigation of a grievance.

Procedure:

- Grievances must be submitted to the Section 504 Coordinator within 15 days of the date the person filing the grievance becomes aware of the alleged discriminatory action.
- A complaint must be in writing, containing the name and address of the person filing it. The complaint must state the problem or action alleged to be discriminatory and the remedy or relief sought.
- The Section 504 Coordinator (or her/his designee) shall conduct an investigation of the complaint. This investigation may be informal, but it must be thorough, affording all interested persons an opportunity to submit evidence relevant to the complaint. The Section 504 Coordinator will maintain the files and records of Kingsley House relating to such grievances.
- The Section 504 Coordinator will issue a written decision on the grievance no later than 30 days after its filing.
- The person filing the grievance may appeal the decision of the Section 504 Coordinator by writing to the Chief Operating Officer within 15 days of receiving the Section 504 Coordinator's decision. The Chief Operating Officer shall issue a written decision in response to the appeal no later than 30 days after its filing.
- The availability and use of this grievance procedure does not prevent a person from filing a complaint of discrimination based on disability with the Office for Civil Rights in the U. S. Departments of Justice, Agriculture, Health and Human Services or Housing and Urban Development. The Section 504 Coordinator can provide the contact information.

Kingsley House will make appropriate arrangements to ensure that disabled persons are provided other accommodations, if needed, to participate in this grievance process. Such arrangements may include, but are not limited to, providing interpreters for the deaf, providing audio/video recordings, language interpreter, or assuring a barrier-free location for the proceedings. The Section 504 Coordinator will be responsible for such arrangements.

### **3.5 Policy and Procedure for Auxiliary Aids and Services Policy**

Kingsley House will take appropriate steps to ensure that persons with disabilities, including persons who are deaf, hard of hearing, or blind, or who have other sensory or manual impairments, have an equal opportunity to participate in our services, activities, programs and other

benefits. The procedures outlined below are intended to ensure effective communication with patients/clients involving their medical conditions, treatment, services and benefits. The procedures also apply to, among other types of communication, communication of information contained in important documents, including program participation applications, employment applications, parental consent forms and waivers, insurance benefits forms, etc.

All staff will be provided written notice of this policy and procedure, and staff that may have direct contact with individuals with disabilities will be trained in effective communication techniques, including the effective use of interpreters.

## **PROCEDURES:**

### 1. Identification and assessment of need:

Kingsley House provides notice of the availability of and procedure for requesting auxiliary aids and services through notices in in our lobby/reception areas. When an individual self-identifies as a person with a disability that affects the ability to communicate or to access or manipulate written materials or requests an auxiliary aid or service, staff will consult with the individual to determine what aids or services are necessary to provide effective communication in particular situations.

### 2. Provision of Auxiliary Aids and Services:

Kingsley House shall provide the following services or aids to achieve effective communication with persons with disabilities:

#### A. For Persons Who Are Deaf or Hard of Hearing

(i) For persons who are deaf/hard of hearing and who use sign language as their primary means of communication, the Section 504/ADA Coordinator at 504.523.6221 is responsible for arranging for a qualified interpreter when needed.

Kingsley House will use the services of the *Deaf Action Center* of Catholic Charities Archdiocese of New Orleans to provide professional sign language interpretation by certified interpreters. Deaf Action Center phone number is 504.615.7122.

#### (ii) Communicating by Telephone with Persons Who Are Deaf or Hard of Hearing

Kingsley House utilizes **711** for Telecommunications Relay Service (TRS). This service permit persons with a hearing or speech disability to use the telephone system via a text telephone (TTY) or other device to call person with or without such disabilities. To make using TRS as simple as possible, you can simply dial **711** to be automatically connected to a TRS operator (Spanish speakers can dial 800-737-1813 for Spanish to Spanish or English to Spanish assistance). It's fast, functional and free. The telephone number for TRS is **711**. The TRS Consumer Guide instructions are located in the Human Resources Department, Reception Desk and the lobby in our facilities;

(iii) For the following auxiliary aids and services, staff will contact the Section 504/ADA Coordinator at 504.523.6221 to provide the aids and services in a timely manner:

Note-takers; computer-aided transcription services; telephone handset amplifiers; written copies of oral announcements; assistive listening devices; assistive listening systems; telephones compatible with hearing aids; closed caption decoders; open and closed captioning; telecommunications devices for deaf persons (TDDs); videotext displays; or other effective methods that help make aurally delivered materials available to individuals who are deaf or hard of hearing.

(iv) Some persons who are deaf or hard of hearing may prefer or request to use a family member or friend as an interpreter. However, family members or friends of the person will not be used as interpreters unless specifically requested by that individual and *after* an offer of an interpreter at no charge to the person has been made by the facility. Such an offer and the response will be documented in the person's file. If the person chooses to use a family member or friend as an interpreter, issues of competency of interpretation, confidentiality, privacy and conflict of interest will be considered. If the family member or friend is not competent or appropriate for any of these reasons, competent interpreter services will be provided.

**NOTE:** Children and other residents will *not* be used to interpret, in order to ensure confidentiality of information and accurate communication.

#### B. For Persons Who Are Blind or Visually Impaired

(i) Staff will communicate information contained in written materials concerning treatment, benefits, services, and consent and waivers forms by reading out loud and explaining these forms to persons who are blind or who have low vision. The following types of large print, taped, Braille, and electronically formatted materials are available: (*description of the materials available*). These materials may be obtained by calling (*name or position and telephone number*).

(ii) For the following auxiliary aids and services, staff will contact the person who is responsible to provide the aids and services:

Qualified readers; reformatting into large print; taping or recording of print materials not available in alternate format; or other effective methods that help make visually delivered materials available to individuals who are blind or who have low vision. In addition, Human Resources and program staff are available to assist persons who are blind or who have low vision in filling out forms and in otherwise providing information in a written format.

#### C. For Persons with Speech Impairments

To ensure effective communication with persons with speech impairments, staff will contact Section 504/ADA Coordinator who is responsible for providing the aids and services in a timely manner:

Writing materials; typewriters; computers; flashcards and other communication aids will be available.

#### D. For Persons with Manual Impairments

Staff will assist those who have difficulty in manipulating print materials by holding the materials and turning pages as needed, or by providing one or more of the following:

Note-takers; computer-aided transcription services; speaker phones; or other effective methods that help to ensure effective communication by individuals with manual impairments will be available. For these and other auxiliary aids and services, staff will contact Section 504/ADA Coordinator at 504.523.6221 to provide the aids and services in a timely manner.

### **3.6 Disability Accommodation Policy**

Kingsley House is committed to complying fully with the Americans with Disabilities Act (ADA) and Section 504 of the Rehabilitation Act of 1973 and ensuring equal opportunity in employment for qualified persons with disabilities. It is agency policy not to discriminate against qualified individuals with disabilities with regard to programs and services, application procedures, hiring, advancement, discharge, compensation, training, or other terms, conditions, and privileges of employment. An individual, who can be reasonably accommodated, without undue hardship, will be given the same consideration as any other program participant, applicant or employee. Kingsley House will need a 5-day advance notice when requesting auxiliary aids or other services that will assist with more effective communication.

Hiring procedures have been reviewed and provide persons with disabilities meaningful employment opportunities. Pre-employment inquiries are made only regarding an applicant's ability to perform the essential duties of the position.

Post-offer medical examinations are required for all potential new employees in licensed programs. They are conducted for all persons entering the position only after conditional job offers. Medical records are kept separate and confidential. All potential employees/continuing employees who drive agency buses must pass a drug/alcohol test prior to employment and as required by the applicable contract/funding source.

Reasonable accommodation, without undue hardship, is available to all disabled employees when their disability affects the performance of job functions. All employment decisions are based on the merits of the situation in accordance with defined criteria, not the disability of the individual.

Qualified individuals with disabilities are entitled to equal pay and other forms of compensation (or changes in compensation) as well as in job assignments, classifications, organizational structures, position descriptions, and seniority lists. Leave of all types will be available to all employees on an equal basis.

Kingsley House is also committed to not discriminating against any qualified employees or applicants because they are related to or associated with a person with a disability. The agency will follow any state or local law that provides individuals with disabilities greater protection than the ADA.

This policy is neither exhaustive nor exclusive. The agency is committed to taking all other actions necessary to ensure equal employment opportunity for persons with disabilities in accordance with the ADA and all other applicable federal, state, and local laws.

The Executive Staff Team is responsible for implementing this policy, including resolution of reasonable accommodation, safety, and undue hardship issues.

All employees are required to comply with safety standards. Applicants who pose a direct threat to the health or safety of other individuals in the workplace, which threat cannot be eliminated by reasonable accommodation, will not be hired. Current employees who pose a direct threat to the health or safety of other individuals in the workplace will be placed on appropriate leave until an organizational decision has been made in regard to the employee's immediate employment situation.

### **Procedures for Requesting:**

Time limits: Kingsley House will need a 5-day advance notice when requesting auxiliary aids or other services that will assist with more effective communication. Absent extenuating circumstances, requests for reasonable accommodations, excluding communication auxiliary aids should be processed within fifteen (15) work days of receipt by the supervisor or Human Resources Department. If there is a delay in processing the request, the individual with the disability should be notified in writing and informed of the date on which the supervisor/Human Resources expects the process to be completed.

### Employee

Step 1. Initiating a Request: The employee is responsible for requesting a workplace accommodation for a disability. The request should be made to either the employee's supervisor or Human Resources. The request should be in writing and should include the following:

- the condition and its duration;
- the limitations caused by the condition and how those limitations impact the employee's performance of the essential functions of the job; and
- the employee's doctor/medical certification will enable the employee to perform the essential functions of the job. The employee should provide his/her doctor/medical with the definition of a disability as defined by the American's with Disabilities Act Amendment Act of 2008, and a job description identifying the essential functions of the job. This information may be obtained from the employee's supervisor or Human Resources.

Step 2. Engage in an interactive dialogue: The employee should engage in an interactive dialogue with the supervisor and/or Human Resources Department about the specific impact of the condition on job performance and to determine a reasonable accommodation. The dialogue may not be necessary where the existence of the disability and the need for the accommodation is

obvious, and the supervisor and employee agree upon the most effective reasonable accommodation.

### Supervisor/HR

#### Step 1. Responding to a request for an accommodation

Responding to an obvious disability: If both the disability and the need for the accommodation are obvious and the requested reasonable accommodation does not present an undue hardship, in order to eliminate unnecessary review and delay in providing the reasonable accommodation, the supervisor may provide the reasonable accommodation after discussing the request with the employee. The supervisor should document in writing the request and the reasonable accommodation provided. The documentation should be forwarded to Human Resources.

Responding when the disability is not obvious: When the disability or the need for an accommodation is not obvious, the supervisor should consult with Human Resources. The Human Resources will determine if it is necessary to request (additional) medical documentation. All medical documentation should be kept confidential, separate from general personnel files, and shared only with those who are involved in the decision making process. The medical documentation should include the following:

- the condition and its duration;
- the limitations caused by the condition and how it impacts the performance of the essential functions of the individual's job; and
- the accommodation per the employee's doctor/medical provider will enable the employee to perform the essential functions of the job.

**Additional Information:** Supervisors should contact Human Resources (also the agency's ADA/504 Coordinator if additional information is needed to document the disability, to clarify limitations, or if subsequent steps are required to process the accommodation request. If additional medical information is needed from the employee's physician, the supervisor or Human Resources will contact the physician to obtain a medical certification. See attached **Medical Certification Form**.

Step 2. Agreeing on a reasonable accommodation: The supervisor and/or Human Resources should begin an interactive dialogue with the employee when (1) the specific limitation, problem or barrier is unclear; (2) an effective reasonable accommodation is not obvious; or (3) the parties are choosing between different reasonable accommodations. The dialogue may not be necessary where the existence of the disability and the need for the accommodation are obvious, and the supervisor and employee agree upon the most effective reasonable accommodation. Neither a supervisor nor the department should make a determination that a specific accommodation is unreasonable or creates an undue hardship without consulting with Human Resources. Unsure whether the condition qualifies as a disability: If Human Resources is unsure whether a condition qualifies as a disability as defined by the ADA or whether an accommodation is reasonable he/she should consult with the Human Resources.

**Condition does not qualify as a disability:** If, after consulting with Human Resources and/or the ADA Coordinator the supervisor determines that the employee's condition does not qualify as a disability, that determination should be communicated to the employee in writing by the supervisor or Human Resources. A determination that the condition does not qualify as a disability covered by the ADA does not preclude the supervisor, at her/his discretion, from granting the employee's request as a means of assisting the employee. If the supervisor decides to grant an employee's request when the employee does not have a disability as defined by the ADA, the supervisor should advise the employee that:

- the condition is not a disability covered by the Act nor does the supervisor regard the employee as disabled under the Act, and
- the request is being granted at management's discretion and is not an entitlement; and
- the requested change may be withdrawn or modified at any time at the discretion of the department.

The supervisor should document this conversation in writing and provide a copy to the employee.

## **Definitions**

In implementing this policy, Kingsley House will be guided by the then-applicable definitions stated in the ADA or in case law construing the ADA, and applicable state and local law. In the event of any conflict between the definitions in the ADA and the definitions in this policy, the legal definitions will control. The following discussion is provided as general guidance for employees and applicants in understanding the agency's policy.

- ADA/504 Coordinator refers to the Human Resources Director.
- "Disability" refers to a physical or mental impairment that substantially limits one or more of the major life activities of an individual. An individual who has such impairment, has a record of such impairment, or is regarded as having such impairment is deemed a "disabled individual". However, in the "regarded as" instance, the situation is more complicated. Under amendments to the ADA in 2008, if the condition is transitory and minor, defined as having an actual or expected duration of 6 months or less, then the condition does not qualify as a disability.
- Generally, ameliorative measures such as medications and medical devices will not be considered in making a disability determination, although ordinary eyeglasses may be taken into consideration. So, for example, the mere fact that a person wears ordinary eyeglasses will not qualify that person as "disabled." On the other hand, the fact that a person has a hearing aid or takes medications to address the impairment will not disqualify that person as being "disabled" if the person otherwise meets the definition of "disabled."

- "Major life activity" may include things such as caring for oneself, performing manual tasks, seeing, hearing, eating, sleeping, walking, standing, lifting, bending, speaking, breathing, learning, reading, concentrating, thinking, communicating or working. A "major life activity" may also include bodily functions such as functions of the immune system, normal cell growth, digestive, bowel, bladder, neurological, brain, respiratory, circulatory, endocrine, and reproductive systems.
- "Direct threat to safety" refers to a significant risk to the health or safety of others that cannot be eliminated by reasonable accommodation.
- A "qualified individual with a disability" refers to an individual with a disability who, with or without reasonable accommodation, can perform the essential functions of the employment position that the individual holds or has applied for.
- "Reasonable accommodation" refers to making existing facilities readily accessible to and usable by individuals with disabilities, including but not limited to: job restructuring, part-time or modified work schedules, reassignment to a vacant position, acquisition or modification of equipment or devices, adjustment or modification of examinations, adjustment or modification of training materials, adjustment or modification of policies, and similar activities.
- "Undue hardship" refers to an action requiring significant difficulty or expense by the employer. The factors to be considered in determining an undue hardship include:
  - (1) the nature and cost of the accommodation;
  - (2) the overall financial resources of the facility at which the reasonable accommodation is to be made;
  - (3) the number of persons employed at that facility;
  - (4) the effect on expenses and resources or other impact upon that facility;
  - (5) the overall financial resources of the Company;
  - (6) the overall number of employees and facilities;
  - (7) the operations of the particular facility as well as the entire Company; and
  - (8) the relationship of the particular facility to the Company. These are not all of the factors but merely examples.
- "Essential job functions" refers to those activities of a job that are core to performing the job in question.

### **3.7 Anti-Harassment Policy and Complaint Procedure**

Kingsley House is committed to a work environment in which all individuals are treated with respect and dignity. Everyone has the right to work in a professional atmosphere that promotes equal employment opportunities and prohibits unlawful discriminatory practices, including harassment. Therefore, Kingsley House expects that all relationships among persons in the office will be business-like and free of bias, prejudice and harassment.

It is the policy of Kingsley House to ensure equal employment opportunity without discrimination or harassment on the basis of race, color, religion, gender, sexual orientation, gender identity, national origin, age, disability, genetic information, marital status, amnesty or status as a covered veteran. Kingsley House prohibits any such discrimination or harassment.

Kingsley House encourages reporting of all perceived incidents of discrimination or harassment. It is the policy of Kingsley House to promptly and thoroughly investigate such reports. Kingsley House prohibits retaliation against any individual who reports discrimination or harassment or who participates in an investigation of such reports.

#### **Definitions of Harassment**

Sexual harassment constitutes discrimination and is illegal under federal, state and local laws. For the purposes of this policy, sexual harassment is defined, as in the Equal Employment Opportunity Commission Guidelines, as unwelcome sexual advances, requests for sexual favors and other verbal or physical conduct of a sexual nature when, for example

- (a) submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment;
- (b) submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual; or
- (c) such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile or offensive working environment.

Sexual harassment may include a range of subtle and not-so-subtle behaviors and may involve individuals of the same or different gender. Depending on the circumstances, these behaviors may include unwanted sexual advances or requests for sexual favors; sexual jokes and innuendo; verbal abuse of a sexual nature; commentary about an individual's body, sexual prowess or sexual deficiencies; leering, whistling or touching; insulting or obscene comments or gestures; display in the workplace of sexually suggestive objects or pictures; and other physical, verbal or visual conduct of a sexual nature.

Harassment on the basis of any other protected characteristic is also strictly prohibited. Under this policy, harassment is verbal, written or physical conduct that denigrates or shows hostility or aversion toward an individual because of his/her race, color, religion, gender, sexual orientation, national origin, age, disability, marital status, citizenship, genetic information or any other characteristic protected by law or that of his/her relatives, friends or associates, and that

- (a) has the purpose or effect of creating an intimidating, hostile or offensive work environment;
- (b) has the purpose or effect of unreasonably interfering with an individual's work performance; or
- (c) otherwise adversely affects an individual's employment opportunities.

Harassing conduct includes epithets, slurs or negative stereotyping; threatening, intimidating or hostile acts; denigrating jokes; and written or graphic material that denigrates or shows hostility or aversion toward an individual or group and that is placed on walls or elsewhere on the employer's premises or circulated in the workplace, on company time or using company equipment via e-mail, phone (including voice messages), text messages, tweets, blogs, social networking sites or other means.

### **Individuals and Conduct Covered**

These policies apply to all applicants and employees, whether related to conduct engaged in by fellow employees or someone not directly connected to Kingsley House (e.g. volunteers, an outside vendor, consultant or customer).

Conduct prohibited by these policies is unacceptable in the workplace and in any work-related setting outside the workplace, such as during business trips, business meetings and business-related social events.

### **Complaint Process**

Individuals who believe they have been the victims of conduct prohibited by this policy statement or who believe they have witnessed such conduct should discuss their concerns with their immediate Program /Department Director or the Human Resources Director

When possible, Kingsley House encourages individuals who believe they are being subjected to such conduct to promptly advise the offender that his or her behavior is unwelcome and request that it be discontinued. Kingsley House recognizes, however, that an individual may prefer to pursue the matter through complaint procedures.

Kingsley House encourages the prompt reporting of complaints or concerns so that rapid and constructive action can be taken before relationships become irreparably strained. Therefore, although no fixed reporting period has been established, early reporting and intervention have proven to be the most effective method of resolving actual or perceived incidents of harassment.

Any reported allegations of harassment, discrimination or retaliation will be investigated promptly. The investigation may include individual interviews with the parties involved and, where necessary, with individuals who may have observed the alleged conduct or may have other relevant knowledge.

Confidentiality will be maintained throughout the investigatory process to the extent consistent with adequate investigation and appropriate corrective action.

Retaliation against an individual for reporting harassment or discrimination or for participating in an investigation of a claim of harassment or discrimination is a serious violation of this policy and, like harassment or discrimination itself, will be subject to disciplinary action. Acts of retaliation should be reported immediately and will be promptly investigated and addressed.

Misconduct constituting harassment, discrimination or retaliation will be dealt with appropriately.

If a party to a complaint does not agree with its resolution, that party may appeal to the Human Resources Director.

False and malicious complaints of harassment, discrimination or retaliation may be the subject of appropriate disciplinary action.

All Kingsley House Supervisors, Directors, and Executive Staff are expected to be alert to the possible presence of sexual harassment in the work place, to take appropriate steps to prevent incidents from occurring, and to institute measures for remedial action in the event incidents take place. Appropriate action may range from the issuance of an oral warning to more stringent measures up to and including dismissal for more serious offenses. The seriousness with which each individual incident is perceived should take into account the relative organizational power relationship between persons involved and the possible presence of an element of coercion.

#### **IV. EMPLOYEE CLASSIFICATION**

##### **4.1. Employee Classification**

All employees are designated as either nonexempt or exempt under state and federal wage and hour laws. The following is intended to help employees understand employment classifications and employees' employment status and benefit eligibility. These classifications do not guarantee employment for any specified period. The right to terminate the employment-at-will relationship at any time is retained by both the employee and Kingsley House.

**Non-exempt employees** are employees whose work is covered by the Fair Labor Standards Act (FLSA). They are NOT exempt from the law's requirements concerning minimum wage and overtime.

**Exempt employees** are generally managers or professional, administrative or technical staff who are exempt from the minimum wage and overtime provisions of the FLSA. Exempt employees hold jobs that meet the standards and criteria established under the FLSA by the U.S. Department of Labor.

Kingsley House has established the following categories for both nonexempt and exempt employees:

- **Regular, full time:** Employees who are not in a temporary status and who are regularly scheduled to work the agency's full-time schedule of 30 hours per week. Generally, these employees are eligible for the full benefits package, subject to the terms, conditions and limitations of each benefits program.
- **Regular, part time:** Employees who are not in a temporary status and who are regularly scheduled to work less than the full-time schedule but at least 20 hours each week. Regular, part-time employees are eligible for some of the benefits offered by the agency subject to the terms, conditions and limitations of each benefits program.
- **Temporary, part time:** Employees who are hired as interim replacements to temporarily supplement the workforce or to assist in the completion of a specific project and who are temporarily scheduled to work less than the company's full-time schedule for a limited duration. Employment beyond any initially stated period does not in any way imply a change in employment status.

Temporary workers are not eligible for company benefits unless specifically stated otherwise in company policy or are deemed eligible according to plan documents.

## **V. GENERAL MANAGEMENT**

### **5.1 Social Advocacy Policy**

Each employee has a right and responsibility to express personal views on social policy. However, when doing so an employee must be careful to make it clear that he/she is not necessarily representing the views of Kingsley House unless given the authority to do so. To avoid even the appearance of impropriety, an employee should not take part in social policy activities during regular working hours unless that employee has the authority to speak for Kingsley House or has been assigned by Kingsley House to represent the agency at a particular meeting or event. If an employee wishes to express an opinion on a social issue as a representative of Kingsley House, the employee should first seek permission from the Chief Executive Officer. If the employee does not have the authority to speak for Kingsley House on an issue and want to do so as an individual, the employee should take annual leave or leave without pay if the activity is during regular working hours.

## **5.2. Outside Employment**

Employees are permitted to engage in outside work or to hold other jobs, subject to certain restrictions as outlined below.

Activities and conduct away from the job must not compete with, conflict with or compromise the agency's interests or adversely affect job performance and the ability to fulfill all job responsibilities. Employees are prohibited from performing any services for customers on nonworking time that are normally performed by Kingsley House. When an employee has outside employment, the employee will not use Kingsley House resources for the second job. Some of the resources include, but are not limited to, copy machine, office supplies, secretarial support, computer hard/software, vehicles, office, etc. Any exception to this policy must be approved in advance, in writing, by the Chief Operating Officer. In addition, employees are not to solicit or conduct any outside business during paid working time.

Employees are cautioned to carefully consider the demands that additional work activity will create before accepting outside employment. Outside employment will not be considered an excuse for poor job performance, absenteeism, tardiness, leaving early, refusal to travel or refusal to work overtime or different hours.

If Kingsley House determines that an employee's outside work interferes with performance at Kingsley House, the approval may be rescinded at any time and the employee may be asked to terminate the outside employment.

Employees who have accepted outside employment may not use paid sick leave to work on the outside job. Fraudulent use of sick leave will result in disciplinary action up to and including termination.

### **Procedure**

All employees must discuss with their Program/Department Director their outside employment and complete the "Request for Outside Employment Form" prior to accepting or maintaining a second job after becoming or while employed at Kingsley House. If the Program/Department Director decides that one of the restrictions noted above exist, outside employment will not be permitted.

The Program/Department Director will render and file a decision, in writing, with the Human Resources Director. The written decision will become a part of the personnel file.

When an employee disagrees with the decision of the Program/Department Director, the employee may utilize the appeal process outlined in the Complaint Resolution /Problem Solving Policy Process.

### **Request for Approval of Outside Employment**

Employees are permitted by Kingsley House to engage in outside work or to hold other jobs, subject to the restrictions outlined below.

- Activities and conduct away from the job must not compete with, conflict with or compromise the agency's interests or adversely affect job performance and the ability to fulfill all job responsibilities.
- Employees are prohibited from performing any services for customers on nonworking time that are normally performed by Kingsley House.

*The Request for Outside Employment Form is available from the HR Department.*

### **5.3. Nepotism**

Kingsley House wants to ensure that the agency practices do not create situations such as conflict of interest or favoritism. This extends to practices that involve employee hiring, promotion and transfer. Immediate family, partners, those in a dating relationship or members of the same household are not permitted to be in positions that have:

- (a) A reporting responsibility to each other;
- (b) Have the potential for creating an adverse impact on work performance; or
- (c) Create either an actual conflict of interest or the appearance of a conflict of interest.

Immediate Family is defined as husband, wife, domestic partner, father, mother, father-in-law, mother-in law, grandfather, grandmother, son, son-in-law, daughter, daughter-in law, uncle, aunt, nephew, niece, brother, sister, brother-in-law, sister-in-law, step relatives, cousins and domestic partner relatives and members of household.

Employees who become immediate family members or establish a romantic relationship may continue employment as long as it does not involve any of the above restrictions.

Any employee who becomes involved in a relationship covered by this policy must immediately report such relationship to the Human Resources Director or the Chief Operating Officer so that appropriate action can be taken. Failure to do so may result in disciplinary action up to and including termination as warranted.

If one of the conditions outlined should occur, attempts will be made to find a suitable position within Kingsley House to which one of the employees will transfer. If accommodations of this nature are not feasible, the employees will be permitted to determine which of them will resign. If the employees cannot make a decision, the Agency will decide in its sole discretion which employee will remain employed.

Kingsley House reserves the right to apply this policy to situations where there is a conflict or the potential for conflict because of the relationship between employees, even if there is no direct-reporting relationship or authority involved.

#### **5.4. Dress Code**

##### **Business Attire Policy**

Employees contribute to the culture and reputation of Kingsley House in the way they present themselves. A professional appearance is essential to a favorable impression with participants, visitors, donors, customers, regulators/accreditation, and others who come into contact with the agency. Good grooming and appropriate dress reflect employee pride and inspire confidence.

To the extent, it does not conflict with the agency's dress code policy, Program/Department Directors exercise discretion to determine appropriateness in appearance for their programs/departments and may determine appropriate workplace attire and grooming for their programs and departments. Directors should communicate their department's workplace attire and grooming guidelines to the employee during the department orientation period. Employees who do not meet a professional standard may be sent home to change into appropriate attire and non-exempt employees will not be paid for that time off.

Some essentials of appropriate dress include the need for clothing to be neat and clean, and appropriate for the work being performed and the setting in which the work is performed. A reasonable standard of appropriate attire rules out tight or short pants, tank tops, halter-tops or any extreme in dress, accessory, fragrance or hair. It is impossible and undesirable to define an absolute code for dress and fragrances. Natural and artificial scents may also become a distraction from a well-functioning workplace, and are also subject to this policy. Kingsley House will apply a rule of reason on a case-by-case basis.

## **Tattoos and Jewelry**

All employees should exercise sound business judgment with regard to personal appearance, dress and grooming to enable them to be most effective in the performance of their duties. The agency recognizes, however, that personal appearance is an important element of self-expression. Thus, Kingsley House does not seek to control or dictate employee appearance, specifically with regard to jewelry or tattoos, unless they conflict with an employee's ability to perform effectively in the position they hold or the specific work environment they are in.

Factors used to determine whether jewelry and tattoos pose a conflict with the job or work environment will include, but are not limited to:

- Safety of self or others
- Productivity or performance of tasks
- Perceived offense on the basis of race, sex, religion, etc.
- Community norms
- Customer complaints

If a potential conflict is identified the employee will be encouraged to identify appropriate solutions such as removal of excess jewelry, covering of tattoos, transfer to alternative positions, etc.

Supervisors and Program/Department Directors will be responsible for answering questions and resolving issues related to this policy on a case-by-case basis to ensure that unique circumstances are appropriately considered. An environment of mutual cooperation is the agency's goal.

Regardless of dress and grooming, all employees must wear or display the Kingsley House identification badge or other clothing that clearly indicates the employee is staff at all times while at work.

## **Reasonable Accommodation of Religious Beliefs**

Kingsley House recognizes the importance of individually-held religious beliefs to persons within its workforce. The agency will reasonably accommodate an employee's religious beliefs in terms of workplace attire unless the accommodation creates an undue hardship. Accommodation of religious beliefs in terms of attire may be difficult in light of issues of safety for the particular employee as well as co-workers and participants. Employees requesting a workplace attire accommodation based on religious beliefs should be referred to Human Resource department.

<b>General Guidelines</b>	
<b>Appropriate</b>	<b>Inappropriate</b>
<b>Slacks</b>	
Khakis or corduroys; Scrubs	Sweatpants, leggings, exercise wear
Jeans (must be clean, free of rips, tears, holes, fraying and may not be excessively tight or revealing)	Shorts, Low Rise or Hip Hugger pants or jeans, jeans with rips or tears
Skorts, Capris, walking shorts [to the knee] (field staff or groundskeepers only)	
<b>Shirts</b>	
Polo collar knit or golf shirts; Scrubs	Muscle shirts, T-shirts with inappropriate slogans, tank tops
Oxford shirts, t shirts with sleeves	T-shirts w/o sleeves unless under a jacket or sweatshirts
Company Logo Wear	Beachwear
Short-sleeve blouses or shirts	See through tops, plunging necklines, halter tops, tight fitting tops, Crop Tops, Midriffs, spaghetti straps
Turtlenecks	
Blazers or sport coats	
Jackets or sweaters	
<b>Shoes</b>	
Non-skid rubber sole shoes or boating/deck shoes; Casual, low heel shoes, sling backs or closed heel; Depending on the department, athletic shoes may be worn	Split toe sandals, thongs, flip flops. Mules, slip on and any sandals/shoes that are not secured by strap or closed-in heel.

## 5.5. Attendance

Agency hours may vary depending on work location and job responsibilities. Supervisors will provide employees with their work schedule. Should an employee have any questions regarding his/her work schedule, the employee should contact the supervisor.

**Note:** The agency does not tolerate excessive absenteeism. Employees who will be absent from work should notify a supervisor in advance, or as soon as practicable in the event of an emergency. Employees who need to leave early, for illness or otherwise, should inform a supervisor before departure. Unauthorized early departures may result in disciplinary action. Chronic absenteeism may result in disciplinary action.

### Tardiness

Employees are expected to arrive on time and ready for work. An employee who arrives late after their scheduled arrival time is considered tardy. The agency recognizes that situations arise which hinder punctuality; regardless, excessive tardiness is prohibited, and may be subject to disciplinary action.

### No Call/No Show

A **no call, no show** is an absence from the workforce **without** notifying the employer. This form of absence is generally deemed inconsiderate and unprofessional.

A **no call, no show** as defined by Kingsley House is when an employee does not notify the employer or supervisor four (4) hours into their schedule shift for that day. Three (3) no call, no shows within a 12 month period can lead to further disciplinary action including separation.

Job Abandonment is considered after three (3) consecutive no call, no shows. This is considered a voluntary resignation.

## 5.6 Internal Job Postings

Kingsley House job positions are posted on the Kingsley House Website for all internal eligible employees. If any employee wishes to apply they must meet the requirements for the position and apply on the Kingsley House website. **See Section 10.2 Under Promotions and Transfers.** If the employee meets the minimum requirements stated in **section 10.2** then additional steps must be taken:

- Notify Supervisor of interest in the position via email and copy the Human Resources department
- Submit application/resume online via the Kingsley House Website

## 5.7 Personnel Files

The Kingsley House, Inc. Agency maintains three employee files for each employee.

A **Personnel File** is maintained for each employee of Kingsley House, Inc. These personnel files contain confidential documents and are managed and maintained by Human Resources staff.

Access to this file is limited to HR staff and assumes that each employee's manager maintains his or her own file with documents relevant to the employee's work performance.

Typical documents in a personnel file include the employment application, a family emergency contact form, documented disciplinary action history, a resume, employee handbook and at-will employer sign off sheets, current personal information, and job references.

**Payroll files** are also maintained; payroll files contain a history of the employee's jobs, departments, compensation changes, and so on. Access to the payroll file is limited to the appropriate accounting and HR staff.

An **Employee Medical File** is also maintained in a separated file. The contents of the medical file are not available to anyone except Human Resources designated staff and the employee whose records are retained in the file. Kingsley House, medical files receive the highest degree of safe storage and confidentiality.

An employee may view his or her personnel file by contacting a human resources person during normal business hours. No employee may alter or remove any document from his or her personnel file which must be viewed in the presence of an HR staff person.

Human Resources will audit the Agency's Employee Personnel files every 6 months to make sure the agency meets the federal, state and local compliance laws for personnel records retention. Also, the Agency will file any licensing requirements that are require to be keep in the employee personnel files.

## **VI. WORKPLACE SAFETY**

### **6.1. Agency Safety**

It is the sincere desire of Kingsley House to maintain the agency in a safe and wholesome manner. Each employee can assist in this process by being safety conscious. Listed below are a few safety tips to remember.

- Lock all doors on vehicles when parked outside of the agency;
- Do not leave any valuables (briefcase, checkbook, purse, clothing, etc.) in plain view inside of your car;
- Report all suspicious individuals and activities seen in the parking areas, sidewalks, and surrounding streets to the receptionist or the security officer;

- If you feel it is unsafe to get out of your car, drive to the front door and "blow your horn" until someone comes outside;
- When exiting the building, look in all directions to be aware of other people and activity around you before walking to your car, have your keys in your hand, look inside your car, and immediately lock your doors upon entering the vehicle;
- If you work late, have the security officer or another staff person escort you to your car or stand where they can observe you until you get into your car and drive away;
- All exterior doors and gates, except for the main entrances at 1600 Constance, should **be** locked unless the security officer or a staff person is supervising the entrance;
- All staff, visitors, participants, and vendors will sign in and out of the agency at the appropriate reception desk. Except for Early Head Start and Head Start parents and caregivers, the main receptionist will contact the staff member to escort each guest to and from their location.
- Please ask anyone who is unescorted and unfamiliar to you who is walking the halls or in your program area if they need your assistance in finding a particular person or program; bring them to reception to be escorted to their destination;
- Do not bring large sums of money or valuable items with you to the agency;
- Lock all purses and other similar items in a desk or cabinet;
- If you are the last person to leave the building, bring your car to the front gate before others depart so you will be near the main entrance in a well-lit area in view of security cameras when you leave;
- Do not give cash to strangers at any time;
- Do not have money or other valuable items inside the agency; and
- Lock valuables in the trunk of car before arriving at Kingsley House.

### **Visitor Sign-In**

Visitors to the agency are required to sign-in at the main reception desk. Employees will be called by the receptionist to escort their visitor in and out of the building, signing out as they depart. Preschool parents/guardians dropping off and picking up children for preschool must sign children in and out at the classroom. All other preschool guests are required to sign-in and out at the preschool reception desk.

Please see the Kingsley House Risk Prevention and Management Manual for detailed policies and procedures regarding safety, emergencies and reporting.

Employees are encouraged not to wear expensive jewelry or bring other expensive personal items to the workplace, or leave such items in their cars.

## **6.2. Policy for Reporting Misconduct and Protecting Whistleblowers**

Kingsley House requires directors, officers and employees to observe high standards of professional and personal ethics in the conduct of their duties and responsibilities. Employees and representatives of the agency, must practice honesty and integrity in fulfilling their responsibilities and comply with all applicable laws and regulations.

## **Reporting Responsibility**

It is the responsibility of all directors, officers and employees to adhere to a code of conduct that is congruent with the policies, standards, values and structure of Kingsley House and to report any and all known or suspected violations or breach of agency policy in accordance with this policy. Employees, officers, and directors have a responsibility to report incidents including but not limited to breach of agency policy, misuse of agency funds or resources, harassment, abuse of program participants, or any other form of conduct that compromises the professional or ethical standards of the agency. Employees, officers, and directors are accountable for enforcement of policies, standards and code of conduct within the organization.

The following are examples of types of activities which may be considered to be misconduct to be reported:

- Vandalism
- Theft or misuse of agency property or resources
- Falsification of agency records
- Harassment (sexual, racial, religious or other forms of illegal harassment)
- Breach of professional ethics
- Program participant abuse
- Embezzlement
- Serious neglect of duty
- Use of illegal drugs on agency property
- Use of alcohol and abuse/misuse of legal drugs on agency property
- Abuse of sick leave

## **No Retaliation**

No director, officer or employee who in good faith reports a violation of this policy shall suffer harassment, retaliation or adverse employment consequence. An employee who retaliates against someone who has reported a violation in good faith is subject to discipline up to and including termination of employment. This policy is intended to encourage and enable employees, officers, directors and others to raise serious concerns within the agency prior to seeking resolution outside the organization. No punitive action shall be taken against the reporting individual unless it is determined that the employee is involved in misconduct as well or that the report was deliberately falsified.

## **Reporting Violations**

Employees, officers, or directors who witness any breach of policy or ethics should immediately report the activity to the Human Resources Director who will investigate all reported violations. The Human Resources Director will acknowledge receipt of the reported violation within five business days.

If the misconduct is the Human Resources Director or the employee is not satisfied with the Human Resources Director's response, the report shall be made to the Chief Operating Officer and then to the Chief Executive Officer. For suspected fraud, the allegation shall be reported to the Chief Executive Officer. Misconduct alleged on the part of the Chief Executive Officer shall be reported to the President of the Board of Directors.

All reports will be promptly and thoroughly investigated and appropriate corrective action will be taken if warranted by the findings of the investigation.

Any employee, officer, or director having knowledge of a violation but who fails to report it will be subject to disciplinary action, up to and including termination.

### **Acting in Good Faith**

Anyone filing a complaint concerning a violation or suspected violation must be acting in good faith and have reasonable grounds for believing the information disclosed indicates a violation of this policy. Any allegations that prove not to be substantiated and which prove to have been made maliciously or knowingly to be false will be viewed as a serious disciplinary offense, and will result in disciplinary action up to and including termination.

### **Confidentiality**

Violations or suspected violations may be submitted on a confidential basis by the complainant or may be submitted anonymously. Such reports will be kept confidential to the extent possible, consistent with the need to conduct a thorough investigation.

## **6.3. Procedures in Case of Employee Injury**

### **Employee Injuries**

#### **a. Life threatening Emergency:**

1. An employee will stay with the injured employee. The employee should not move a seriously injured employee.
2. The Program/Department Director (or designee) will:
  - a. Call 911 to dispatch an ambulance.
  - b. Inform the receptionist of the location of the injured employee.
  - c. The employee should be taken to the closest emergency room (or emergency room selected by the employee).
  - d. The Program/Department Director should immediately request the assistance of a licensed medical professional, if available.
  - e. Employees with current first aid and/or CPR certification will assist the injured employee if available.
  - f. If there is reason for concern about the potential influence of drugs on the part of the injured employee, the Program/Department Director will immediately

notify the Human Resources Director, or Chief Operating Officer who will authorize the ER to conduct a drug test to be paid by LWCC.

3. The Program/Department Director notifies the Human Resources Director and the Human Resources Generalist as soon as possible.
4. The Program/Department Director (or designee) will follow the employee to the hospital and remain there at least until the employee's emergency contact arrives.
5. For persons being transported to an emergency room for a life threatening injury, **be certain the hospital knows it is a work related emergency and should be billed to LWCC.**
6. The Program/Department Director (or designee) obtains the emergency contact information from Human Resources and immediately attempts to contact the emergency contact indicated in the injured staff member's personnel file. Continue calling the individual(s) on this list until notification is completed. Document attempts to call for notification including the date, time, person, phone number, and whether a message was left or what information was conveyed. When contact is made, inform the employee's emergency contact of the incident and where the employee has been taken, and provide emotional support and crisis intervention as appropriate. Inform the emergency contact of the name of the employee who has gone to the hospital, and call the cell phone of the employee at the hospital to provide the name of the emergency contact and that they are in route.

**b. Non-life threatening emergency:**

1. The Program/Department Director (or designee) calls the closest occupational medicine provider (see current list provided by the Human Resources Director), to seek service or schedule an appointment.
2. In all cases of a head injury or in which consciousness is lost, medical treatment will be obtained.
3. Complete the *Concentra (or other provider's) Authorization for Medical Treatment Form* (located in the Human Resources department).
4. Provide your name, the agency name and state that you are covered by LWCC.
5. Proceed with your request for service or an appointment.
6. If you are out of the area, call **OMNET** (800 856-6638) and ask for Occupational Medicine to locate the nearest provider(s).
7. The injured employee takes the completed form to the occupational medicine provider and leaves a copy with the Program Manager or Human Resources Generalist.
8. The Program/Department Director notifies one of the Human Resources Director and the Human Resources Generalist as soon as possible.

## **Reporting Employee Injuries**

**a. Employer's Report of Occupational Injury or Disease**

1. Upon completing prior procedures, the Program/Department Director must complete all items on the Employer's Report of Occupational Injury or Illness Form (including the injured person's social security number) **in less than 24 hours**. Forms are located

- in the Human Resources Department and any area designated by each Program/Department Director.
2. The original form is given to the Human Resources Generalist **within 24 hours**, who makes a copy for Human Resource department, and a copy is retained by the Program/Department Director.
  3. The Human Resources Generalist files the report and a copy is placed in the employee's personnel file.

**b. Occupational Safety and Health Administration (OSHA)  
Documentation**

1. The Human Resources Generalist uses the information in the Employer's Report of Occupational Injury or Disease to complete the OSHA Form for Recording Work-related Injuries and Illnesses.
2. The Human Resources Generalist, in consultation with the Human Resources Director, compiles this information annually for reporting to the Louisiana Labor Department and posting the information, once approved by the Human Resources Director, as required.

**c. Louisiana Worker's Compensation Corporation (LWCC)**

1. The **LWCC Injury Reporting Service is accessible seven (7) days a week, 24 hours a day.**
2. The Program/Department Director must submit the report to the Human Resources Generalist in less than 24 hours so the agency can report to LWCC **within 24 hours of the incident:**
  - a. The Human Resources Generalist will review the Employers' Report Form in consultation with the ADA, and will either file the report on-line, phone in the report to the **LWCC toll-free Reporting Service** (800-395-0303), or fax the report to LWCC (fax: 225-231-0951 or **225-231-2336**) **within 24 hours** of the occurrence of the incident.
  - b. With the agreement of the appropriate Human Resources Director or Chief Operating Officer, the report can be submitted without claim marked "For Reporting Purposes Only". If the cost of treatment is minor, the Human Resources Director or Chief Operating Officer may opt to file no medical claim to LWCC and the costs would be covered by the agency. The report can be changed later to a claim status upon the Chief Operating Officer or Human Resources Director's determination once further information is obtained.
  - c. The Human Resources Generalist will submit a copy of the report to the Human Resources department for the employee's medical file.
3. A claims service representative may contact the Program/Department Director and/or employee by telephone for additional information.
4. The LWCC claims representative will contact the treating physician within 48 hours to discuss treatment, diagnosis, and an estimated return to work date.
5. The Human Resources Director (or designee) will manage claims and follow-up with LWCC.

**d. Kingsley House Accident/Incident Report Form**

1. The Program/Department Director will ensure that all items are completed on the agency **Accident/Incident Form** before the close of business, submit it to the Human Resources, and retain a copy for program files. The ADA may follow-up for additional information.
2. Human Resources will maintain a copy, submit a copy for the employee's medical file within 24 hours of the incident.
3. The Human Resources Director or designee will fax a copy of the report to the agency's insurance agent.

**e. Reporting Minor Accidents**

1. When an employee reports a "minor" accident where he/she feels there was no injury, follow steps 2a. through 2c. above. This is necessary in the event that a more serious injury is later claimed to be the result of the "minor" injury.
2. If there is reason for concern about the potential influence of drugs on the part of the injured employee, the Program/Department Director and the Human Resources Director and Chief Operating Officer will authorize the occupational medicine provider to conduct a drug test (paid by LWCC).

**f. Worker's Compensation Fraud Notification**

1. The Program/Department Director will ensure that the injured employee reads and signs the **Worker's Compensation Fraud Notification** (see the Human Resources Generalist or managers shared drive for copies of this form).
2. The employee and Program/Department Director retain a copy of the signed form and forward the original to the Human Resources Generalist.
3. The Human Resources Generalist maintains a copy of the form and the original is placed in the employee's medical file.

**Required Training for Staff**

All new staff members receive training on procedures in the event of an employee injury or medical emergency at the required New Staff Orientation. The agency also provides an overview of these procedures and additional training as appropriate at the mandatory Annual Staff Re-Orientation.

**6.4. Policy on Drugs, Alcohol and Firearms**

It is Kingsley House's intent to provide a safe working environment for all employees, and in so doing, to create an atmosphere wherein maximum work performance can be achieved. In order to accomplish this, it is necessary that we set forth a policy restricting certain items and substances from being brought on or being present on agency premises. This policy must be understood and adhered to by all employees, contractors, and visitors. This policy applies to both employees and contractors, and restricts such individuals from reporting to work under the influence of certain substances, or having detectable levels of those substances in their system.

**Agency Premises**

The term Agency Premises, as used in this policy, includes work location operated or leased by the Agency or any of its related units. Additionally, it includes offices, desks, locker, living areas, and any property or vehicle engaged in Agency operations.

### **Prohibited Items and Substances**

- Firearms, explosives or weapons (except when in the possession of designated personnel authorized by the Agency).
- Illicit drugs (as designated by the Drug Enforcement Administration and the respective state law), look-alike drugs, and designer drugs (drugs not actually controlled by federal or state law, but which have similar pharmacological effects).
- Drug paraphernalia.
- Intoxicating beverages (except when authorized by the Agency when in the interest of accepted business practices).

### **Prescription Drugs**

Prescription drugs and equipment related thereto are acceptable; however, the drug must have been prescribed by a doctor for the individual, must be in its original container, and must not be in the possession of anyone for whom not prescribed. Any individual who is taking a prescription drug should, upon arriving at work, and before actually engaging in work, make sure his or her physician has authorized them to continue working and there are no adverse side effects of the medication which would interfere with the individual's ability to safely and efficiently perform his or her job duties. Any employee who is found to have engaged in work when taking medications which may impair their ability to safely and efficiently perform their duties is subject to disciplinary action up to and including termination. If there is some question about this, see the Human Resources Director.

### **Enforcement of this Policy**

As part of this policy, an employee's presence at any Agency work location, parking area, conveyance or office is conditioned upon the Agency's right to enforce this policy by use of blood, breathalyzer and urine test or other such methods that may be deemed appropriate by the Agency.

Such test may be performed periodically when we have reason to suspect a violation of the policy or compliance with safe work practices, or when there has been an accident, injury, extended or unusual absence or other incident. Testing under this policy will be in keeping with the Louisiana Drug Testing Act; Louisiana's Worker's' Compensation Act and/or Louisiana's Unemployment Compensation Act. A violation of this policy can result in ineligibility for workers' compensation and/or unemployment compensation.

### **Employees Found in Violation of the Policy**

Any person found in violation of this policy, or refusing to submit to a search or to cooperate with detection methods, will be subject to disciplinary action up to and including dismissal. Where

appropriate, such items or information discovered through these methods may be reported to the proper law enforcement authorities.

### **Drug Free Workplace Policy**

Kingsley House prohibits all employees from manufacturing, distributing, dispensing, possessing or using illegal drug in or on agency premises or while conducting agency business.

Employees are required to notify the Human Resources Director in writing of any criminal drug statute conviction for a violation occurring in the workplace no later than five calendar days after such conviction.

Within 30 calendar days of receiving notice, the agency is required to and will take one of the following actions:

- Appropriate personnel action against the employee, up to and including termination; or
- Require the employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by Federal, State, or local health, law enforcement, or other appropriate agency.

If the employee who is convicted works in a program receiving federal funds, the agency will notify the federal funding source in writing within ten calendar days after receiving notice from the employee.

Violation of this policy will be considered a major infraction and violators may be discharged immediately.

### **6.5. Smoke Free Workplace**

A tobacco-free environment helps create a safe and healthy workplace. Smoking and secondhand smoke are known to cause serious lung diseases, heart disease and cancer. Kingsley House recognizes the hazards caused by tobacco use and exposure to secondhand tobacco smoke. Our policy is to provide a tobacco-free environment for all employees, participants and visitors was established to keep a safe and healthy workplace environment. This policy covers the smoking of any tobacco product and the use of oral tobacco products, “spit” tobacco and e-cigarettes, and it applies to both employees, participants and non-employee visitors of Kingsley House.

#### **Policy**

No use of tobacco products including cigarettes and “spit tobacco” or e-cigarettes is permitted within the facilities or on the property of Kingsley House at any time.

It is the organization’s policy to provide a tobacco-free workplace and environment, prohibiting use of all tobacco products and smoking devices on premises owned by the organization, on organizational grounds (leased or owned), business entities, vehicles parked on the grounds, in parking lots and ramps, sidewalks, and in all organization owned vehicles. Employees, clients,

visitors, students, vendors, contractors and volunteers are prohibited from using tobacco and smoking devices on all business premises. Employees are prohibited from trespassing and/or occupying adjacent properties for reasons such as to utilize tobacco products and smoking devices. The use of tobacco products and smoking devices is prohibited in personal or private vehicles if the vehicle is on the organization's property. Violations of this policy by employees could lead to disciplinary action, up to and including termination from employment.

Kingsley House offers assistance to employees who want to quit smoking. (Visit [www.lung.org/stop-smoking](http://www.lung.org/stop-smoking), [Quitwithusla.org](http://Quitwithusla.org), or 1-800-QUIT-NOW for more information.)

## **6.6. Agency Vehicle Policy**

### **Eligible Drivers**

To drive agency vehicles, the minimum age required for an employee is 25 years old and he/she must possess a current driver's license with no record of a conviction for a moving violation within the past two years and no DUI conviction within the past five years. The employees are then placed on the drivers' list maintained by the Human Resources department at the request of a Program/Department Director and must be approved by the Chief Operating Officer. Employees will complete an authorization form and Driver's Record checks will be conducted annually by the agency on all agency vehicle drivers. Thereafter, any employee authorized to drive agency vehicles will immediately notify his / her Program/Department Director of receiving a moving violation conviction. Drivers' will satisfactorily complete training required by the agency and must demonstrate to the Facilities Manager that they can handle a particular agency vehicle. Driver's manager or supervisor and/or administrators will periodically observe the driving habits of personnel driving agency vehicles. The observer's feedback will be provided to the driver in a timely fashion to improve their performance on the job, or if circumstances warrant it, to revoke the employee's driving privileges.

### **Transporting Participants**

Program participants will be transported only in agency vehicles. Employees are not authorized to transport program participants in their personal vehicles except as authorized below. (See exception below). Failure to follow these procedures will result in disciplinary action and possible termination from employment.

### **Personal Vehicle Policy**

To drive a personal vehicle on agency business, the minimum age required of employees is 21 years old and possession of a current driver's license with no record of a conviction for a moving violation within the past two years and no DUI conviction within the last five years. Driver's record checks will be conducted by the agency initially and periodically thereafter on all drivers using a personal vehicle for agency business on a regular basis.

It is imperative that an employee obeys the law at all times when they are representing the agency. Parking of personal vehicles should be done with proper planning and within legal limits.

Program/Department Directors must ensure that all drivers using a personal vehicle to which they have access for Kingsley House business submit copies of the following to be kept in the employee's personnel file:

1. Valid Louisiana Driver's License
2. Proof of liability insurance as required by state law
3. Proof of current vehicle registration
4. Proof of current vehicle inspection (LA brake tag)

Upon renewal, each employee that drives a personal vehicle for agency business will submit a copy of their driver's license, registration, and insurance to the Human Resources department for

their personnel file. All vehicles driven by an employee on agency business also must have a current registration, insurance, and vehicle inspection decal as required by state law. Employees who drive a personal vehicle on agency business are required to notify their auto insurance carrier that their vehicle is used in this manner. Failure to do so will result in disciplinary action and possible termination from employment.

Drivers are prohibited from using electronic devices including but not limited to cell phones, GPS devices, two-way radios, and DVD players while driving on agency business. Drivers must pull to the side of the road prior to using electronic devices while driving. Drivers and passengers will use seatbelts at all times.

It is the employee's responsibility to keep and record accurate information on the Kingsley House mileage sheet, which is submitted monthly to and approved by the Program/Department Director.

Employees are responsible for tickets they receive, unless the Program/Department Director believes consideration should be given under special circumstances. The Program/Department Director would then submit written documentation and a copy of the ticket to the Chief Operating Officer for approval. Any employee authorized to drive personal vehicles on agency business will immediately notify their Program/Department Director of any moving violation ticket and conviction. Copies of the ticket and any accident or police report will be submitted to the Program/Department Director and Human Resources Director as soon as available. If an employee who drives regularly on business receives a conviction for a moving violation, the Human Resources Director may review and modify or terminate the employee's driving privileges as appropriate to the violation. If an employee receives a second moving violation conviction within a rolling 24-month period, his/her driving privileges will be removed. The employee also may be subject to disciplinary action, up to and including termination, depending on the violation and the employee's prior work record. If driving is an integral part of the employee's job, this could result in termination of his/her employment with the agency. Following an accident or a moving violation conviction involving a personal vehicle while on agency business, or a moving violation conviction that affects the level of risk associated with the employee's driving on business, agency administration may conduct an additional driving record check on that employee. Drivers involved in an accident may also be required to submit to drug or alcohol testing if there is cause to suspect that drugs or alcohol may have been involved.

Every six months, employees who drive personal vehicles on agency business will be required to certify that they have not had an accident or received a conviction for a moving violation. Failure to report such matters will be subject to disciplinary action.

### **Transporting Participants, including Children Age 5 and Under**

Program participants will be transported only in agency vehicles under no circumstances are employees to transport program participants in a personal vehicle. All transportation by Kingsley House employees of children age 6 and under in an agency vehicle requires the use of car seats appropriate to the age, height, and weight of the child. Under no circumstances whatsoever are children age 5 and under to be transported by employees without the use of such proper restraints. Any violation of this provision will be deemed a major infraction and may result in immediate

termination from the agency, as well as the pursuit of possible legal charges against the violating employee.

## **6.7. Emergency and Safety Procedures**

**Purposes:** The purposes of these procedures are to establish and implement a plan to:

- a) Quickly move program participants and employees to a safe place in the threat or event of a disaster. In keeping with the Kingsley House code of ethics, program participant safety will be paramount and employees will recognize their obligation to give precedence to their professional responsibility over personal interests and to provide appropriate professional service in public emergencies;
- b) avoid/minimize physical damage to the agency's property to the greatest extent possible; and
- c) Avoid/minimize interruption of operations to the greatest extent possible so that effective service delivery can resume as quickly as possible.

Tenants are expected to follow the lead of Kingsley House and to adhere to timelines established by the agency. Tenants are responsible for protecting their program participants, staff, and property/contents.

Successful emergency planning and response occurs when all employees are familiar with policies, fulfill their assigned roles, and act collectively in the best interests of program participants, employees and their families, and Kingsley House. All employees will receive training regarding agency and department plans and responsibilities.

### **Communication Planning:**

Kingsley House employees are expected to follow the emergency evacuation plan that is routinely discussed throughout the course of the year.

Designated employees will post updates on the agency website ([www.kingsleyhouse.org](http://www.kingsleyhouse.org)) which will be available to notify employees, board members, volunteers and program participants of your status, location change, and contact information. During an evacuation, updates will be posted at least weekly. During an emergency, each employee is responsible for updating his/her location, status, and contact information, through the website, phone, etc.

### **Emergency Services Listing**

A master list of emergency telephone numbers and websites including but not limited to the Red Cross, shelters, fire department, law enforcement, national guard, medical facilities, National Weather Service/National Hurricane Center, poison control, ambulances, and local news outlets, will be created by the Management Team and posted on a central bulletin board in each program. Employees are encouraged to keep a copy of these essential numbers at home and with them if an evacuation is called.

## **Emergency Action**

### **A. Declaration of Emergency/Evacuation/Closure:**

1. Decisions regarding emergency evacuations or closure of programs will be made by the Chief Executive Officer or, in his/her absence.,. Ordinarily, Kingsley House follows city directives for closure or recommended evacuation. The agency will close when a mandatory evacuation is called.

2. If evacuations or program closures are deemed appropriate, Program/Department Directors will release employees to leave the agency at no greater rate than would guarantee the presence on-site of the required employee-employee-participant ratio for each affected program. Considerations for determining which employees will be released include the nature of the emergency, the distance from the agency to a safe place for the employee the obligation of the employee to his/her own dependents, etc. The needs of the program participants always take precedence. As the number of program participants on-site diminishes, the Chief Operating Officer or his/her designee will coordinate movement of program participants from programs to a centrally located safe place within the facility.

3. To the extent feasible, prior to evacuation, all keys in the possession of non-essential employees (see Kingsley House Policy and Procedures Manual) will be turned into Program/Department Directors. Directors will place keys in individual envelopes and label with the employee's name and building/room numbers for each key, then turn in all employees' keys to the Facilities Manager prior to departing.

All employees are instructed to take their identification badges with them if evacuation is necessary. Upon return to the agency following an emergency, identification may be necessary to regain entrance to the agency or move through security checkpoints, and must be worn at all times.

### **Facility/Systems Status Assessment and Restoration**

The Chief Executive Officer, Chief Operating Officer, and Facilities Manager will make an initial determination of the condition of the facility. Kingsley House executive leadership will make a decision on which employees are needed and allowed to access the facility at that time. All returning employees are reminded to be observant of possible dangers, including gas leaks, downed electrical wires, etc. and report safety hazards immediately to the Facilities Manager. Working in conjunction with the Chief Operating Officer and Facilities Manager will engage vendors for temporary repairs as soon as feasible, followed by arrangements for permanent repairs as warranted and in accordance with insurance requirements. The Chief Operating Officer will manage all property and worker's compensation insurance matters. The Chief Financial Officer will manage business interruption insurance matters. Employees should make themselves available, if so requested, to assess and inventory damage in their area and to assist with restoring program and common areas to full use. The restoration of security, fire, and information systems as well as cleanup of the grounds for safe movement will be priority.

## **Incident Reports**

All employees will maintain a clear focus on prevention, safety, and security as stabilization tasks are undertaken. The Director in each program/department will submit incident reports to the Chief Operating Officer documenting any injuries or extraordinary occurrences during an emergency. When incidents involve employees, copies must be submitted simultaneously to the Human Resources Director. The Program/Department Director also will inventory damaged and destroyed furniture, equipment, records, etc. as directed by the Facilities Manager and Chief Operating Officer and will submit a report to them upon completion. The Facilities Manager will coordinate the work of the facilities and support services employees in inventorying damage to structures and will submit a report to the Chief Operating Officer. A plan for repairs will be drafted by the Chief Operating Officer coordinating with insurance and FEMA as applicable, and Facilities Manager, for approval by the Chief Executive Officer. Top priority for repairs will be given to those items and systems that protect infrastructure (such as roofing, network, utilities) would enable programs to reopen.

Directors/supervisors will schedule one-on-one meetings and team meetings with employees to review specific post-emergency assignments, which may vary from prior duties. Directors should be alert to signs of extreme stress on the part of employees and program participants. To the extent possible, program participants will receive direct services from the agency as indicated and referrals will be made to other service providers to respond to gaps in available services. The agency will make every effort to plan with employees to enable them to attend to personal needs without negative impact on service planning or delivery, including use of leave and/or leave without pay. Employee Assistance Program information and information about referrals to counseling and other appropriate supports will be provided to all employees.

## **Monitoring of Emergency Alerts**

The Facilities Manager and Human Resources Director will monitor weather alerts. When a Hurricane, Flood, Tornado Watch or Warning is posted, or other emergency is announced, directors will be notified and Facilities Manager and/or Human Resources Director. The Chief Operating Officer will determine whether programs remain open. Directors will account for all participants and ensure that they are picked up in a timely manner. Whenever feasible, the Facilities Manager and Human Resources Director will call a meeting of all administrators and directors, as well as building tenants, to review the situation and announce implementation of the emergency plan. Directors will immediately notify all employees and participants of the situation and plan for action. Each program will contact caregivers to notify that the agency is closing and to arrange for participant pickup as noted above. If the agency closes, the Facilities Manager and Human Resources Director will change the voice greeting on the telephone as soon as possible. Employees, volunteers and program participants should call and check the message or check the agency website for updates on re-opening of the agency.

If an evacuation is called outside of regularly scheduled hours of operation, Executive team members will immediately notify all directors and key employees by telephone. Directors (and/or their designees) will make every effort to contact their supervisor for instructions, and immediately

contact all employees to inform them of the situation and to activate the emergency plan, with key employees returning to the agency to accomplish their assigned duties to protect the agency, equipment, and program participant information.

The Chief Operating Officer will determine when programs will reopen and will notify appropriate staff for communication to all employees.

## **VII. COMPLAINT RESOLUTION/PROBLEM SOLVING PROCESS**

### **7.1. Problem Solving Process**

If an employee has a problem or dispute with the Agency, he/she should follow these steps:

#### **Step One: Consult with Immediate Supervisor**

1. An employee should discuss the problem or complaint with their immediate supervisor within three work days after the problem or complaint arises.
2. The immediate supervisor should respond within five work days of the initial meeting held to discuss the problem or complaint.
3. If the employee does not receive a satisfactory response from his/her supervisor, the employee may utilize step two of the problem-solving process.

#### **Step Two: Appeal to Program/Department Director or Immediate Supervisor's Supervisor**

1. The employee should place the complaint or problem in writing and present it to the Program/Department Director or immediate Supervisor's Supervisor for resolution, and a copy should be forwarded to the Human Resources Director, and the appropriate Executive Staff. This document should include:
  - The problem and date of incident(s)
  - Suggestions to resolve the problem
  - A copy of the immediate supervisor's written response or summary of his/her verbal response and the date of the initial meeting with the immediate supervisor. Alternately, indicate if the supervisor provided no response.
2. The Program/Department Director should discuss the complaint with the employee within five working days, and issue a decision in writing to the employee within five additional working days.
3. If the employee does not receive a satisfactory response from the Program/Department Director the employee may utilize step three of the problem-solving process.

### **Step Three: Appeal to Human Resources**

1. The employee may appeal the previous decision in writing to the Human Resources Department. This appeal should include all prior documentation from the previous steps.
2. The Human Resources Director will meet with the appropriate parties to facilitate a resolution, including the employee with the complaint, within five work days of receipt of notification.
3. The Human Resources Director may at his/her sole discretion bring the complaint to the attention of the Chief Operating Officer by utilizing step four of the problem-solving process.

### **Step Four: Appeal to Chief Operating Officer**

1. The Human Resources Director will forward all prior documentation from the previous steps to the Chief Operating Officer. The Chief Operating Officer will render a final decision or meet with the employee and the Human Resources Director within five work days of receipt of the documents.
2. If the complaint is being made against the Human Resources Director, the employee may request an interview with the Chief Operating Officer and the Human Resources Director. The Chief Operating Officer will meet with the employee and the Human Resources Director within five work days of the request. The Chief Operating officer will render a final decision within five work days of this meeting.

### **Step Five: Procedural Appeal to the Chief Executive Officer**

If, after this meeting, the employee has questions regarding whether these procedures were followed, he/she may petition the Chief Executive Officer in writing for review. This review is available for procedural questions or concerns, and does not override the content of the final decision by the Chief Operating Officer. The Chief Operating Officer will respond within two weeks of receipt of written notification.

Exemption: Any complaints which are legal in nature, e.g., a claim of alleged harassment or an alleged failure to follow federal wage and hour laws, are exempt from the grievance procedure. However, in the event such a complaint is submitted, Human Resources will investigate the complaint and, if necessary, take remedial action.

### **Extension of Time to Respond**

In the event that the necessary involved parties are out of town or ill, time frames may be extended to allow for additional work days to deal with the complaint.

## VIII. DISCIPLINARY ACTION

### 8.1. Disciplinary Action

**Disciplinary Action:** All employees are expected to follow the agency's Complaint Resolution/Problem Solving Process in case of disagreements with personnel disciplinary actions. Any personnel decisions by the supervisor will remain in force unless, during the problem-solving process, the supervisor's decision is reversed.

#### Disciplinary Categories

Disciplinary action against employees can result from major, serious and minor infractions.

- **Major infractions** result from incidents which a person should not do because such incidents could cause serious harm or are illegal deeds. Examples include, but are not limited to, stealing, striking a program participant or employee or otherwise causing physical or emotional injury or harm to a program participant or employee, or misrepresenting himself in such a way as to cause the Agency harm.
- **Serious infractions** result from incidents which cause serious question about the competence of the employee to perform his/her job and/or adequately represent the Agency. Examples include, but are not limited to, refusal to perform job duties, mishandling money or other resources, not documenting critical incidents, lying, behaving in such a way as to put a program participant at risk of injury, or violating confidentiality.
- **Minor infractions** result from job behaviors which affect the employee's ability to perform his/her job, or the employees or program participant's ability to depend on or trust that employee. Examples include, but are not limited to, repeated tardiness, unexplained or unplanned (non-emergency) absence from work, not meeting deadlines, inability to work with peers or supervisor, inappropriate comments or actions with or in front of program participants or persons outside the Agency (not rising to the level of harassment), not being in the work area where the employee is assigned, failure to speak with supervisor when calling in sick, abuse of leave or other benefits, or not performing job tasks as planned or assigned. The above is only a partial listing of conduct which may result in disciplinary action.

#### Disciplinary Actions:

- Any employee committing a **major** infraction may be discharged immediately.
- Any employee committing a **serious** infraction may be (a) dismissed with two weeks' notice, including any accrued leave, or (b) given a written notice that if any other major or serious infraction is committed, the employee will be immediately dismissed with no further notice.

- Any employee committing a **minor** infraction will be given an oral and/or written warning by his/her supervisor identifying the problem behaviors. If any employee commits three minor infractions within a 12-month period timeframe, this will constitute the basis for dismissal immediately upon notification of the third incident.

**Note:** All written disciplinary actions must be reviewed by human resources before presented to the employee, and must be signed by both the supervisor and the employee. If the employee refuses to sign or write a statement to attach, the supervisor must note this fact.

## **Exceptions**

In some cases, a disciplinary action may be based on the employee's overall record. The Human Resources Director and the Chief Operating Officer must be consulted prior to any exceptions being made.

## **IX. STAFF DEVELOPMENT**

### **9.1. Membership, Licensure, Certification, and Continuing Education**

Employees are encouraged to join and participate in their respective professional organizations. Kingsley House may incur costs necessary in securing and retaining certification required to practice their profession in Louisiana, again upon review and approval of the Chief Operating Officer.

Kingsley House encourages professional employees to pursue licensure and/or certification. Kingsley House will pay the respective fees for positions requiring licensing and/or certification.

### **9.2. Employee Engagement Surveys**

Employee Engagement Surveys are frequently conducted. The survey is distributed to all full and regular part-time employees. The purpose of the survey is to provide a better understanding of work satisfaction at the agency and to gather honest and valuable information from employees to improve working conditions agency-wide. The survey asks employees to rate a variety of agency-wide, program specific and personal satisfaction factors, including: working conditions, the fairness of agency personnel policies and procedures, agency benefits, understanding of respective job descriptions and responsibilities, understanding of respective job functions in the accomplishment of overall agency goals, and the quality and quantity of direct and indirect supervision. The results of the survey are tabulated by an outside independent entity to ensure complete anonymity and are disseminated to each Program/Department Director and discussed at their Staff meeting. The Program/Department Directors then review the results with their respective employee teams. Responses are addressed formally by the Chief Executive Officer and ideas are often incorporated into the agency's long-range planning process. All responses are kept confidential.

### **9.3. Employee Training**

Education of all employees and direct service volunteers is provided at the New Employee Orientation as well as during department and program specific trainings. Departments are required to ensure that their staff meets all training requirements of licensing and regulatory agencies.

#### **Health Regulations That Apply to Staff**

All staff of licensed programs requires the following:

1. Physical Examination upon employment.
2. Annual Tuberculosis screening.
3. Annual training of Cardio Pulmonary Resuscitation.
4. First Aid certification must be current--cards issued for two or three years.

## **X. JOB PERFORMANCE**

### **10.1. Probationary Period**

Every new employee will serve a probationary period for the first 6 months of employment. This time will give the employee the opportunity to decide whether he/she is satisfied with working for Kingsley House. It also gives the Program/Department Director time to decide if he/she is satisfied with the employee's overall performance. If significant performance deficiencies exist at the end of the probationary period, the probationary period may be extended or employment may be terminated.

### **10.2. Performance Appraisal and Development**

Kingsley House strives to communicate to employees, volunteers and student interns a clear understanding of departmental/agency goals, responsibilities, and desired performance levels and to assist them in improving their job performance and increasing their skills. Performance Reviews are intended to be an opportunity for open and frank discussion by both the director/supervisor and the employee.

#### **Performance Review Frequency**

**Initial probationary performance reviews are conducted** 180 days after hire. However, the agency reserves the ability to exercise its discretion to evaluate and/or separate a new hire prior to 180 days if warranted based on the employee's performance or behavior. Results of these reviews are reported to the appropriate Executive Staff and the Human Resources Director. All part-time employees are evaluated semi-annually, using the same performance evaluation standards as full-time employees. Contact the Human Resources Director for more information.

## **Promotions and Transfers**

Employees are encouraged to further develop their skills and abilities and to apply for any job openings for which they qualify. All qualified internal applicants should be interviewed. Interviewing for the position is no guarantee of the position. Interviewing supervisors should check with the employee's current supervisor and with the Human Resources department to get sufficient information on the employee's skills, abilities, and past work performance.

Employees generally may not be transferred or promoted unless they have worked for the agency for 12 months from (date of hire) with satisfactory performance in the current position. The supervisor of the employee that is transferring may require the employee to work up to four (4) weeks prior to leaving the program/department. A lateral transfer is non-compensable from the same position.

The agency may initiate transfers of employees between departments and facilities to meet specified work requirements and reassignment of work requirements.

### **10.3. Accountability for Contract Providers and Contract Organizations**

All contract providers and contract organizations must comply with measurable outcomes established for their contracts. The ability of each contract provider/organization to meet established objectives is reviewed at least annually by the Program/Department Director to whom each contract employee/organization is accountable. Upon the managerial review, any deficiencies will require a corrective action plan with the contract provider/organization and the appropriate manager will monitor the successful accomplishment of plan goals. Kingsley House must also submit an annual report to some of the funders of various contract positions/organizations in regards to the performance in meeting established outcomes.

In solicitation of organizations with whom to contract, Kingsley House will give preference to organizations that meet national accreditation standards. Kingsley House will encourage non-accredited contracted agencies to pursue accreditation. Organizations/providers with whom Kingsley House contracts for services must meet applicable licensing standards or are otherwise legally authorized to provide the contracted services. The Chief Operating Officer and Chief Financial Officer must sign and approve all contracts. The appropriate program manager will ensure that the contracted organizations/providers have sufficient financial and human resources to carry out the contract. The Program/Department Director, or his/her designee, will ensure that the contracting cooperating agency receive all necessary supportive documentation (assessments, service plan summaries, schedule of services, etc.) with the referral/request for service. Only authorized employees should sign contracts with third party providers/vendors.

## **XI. COMPENSATION AND BENEFITS**

### **11.1. Hours of Work and Overtime**

Because it is necessary to staff all programs in the best interest of the needs of program participants, scheduling of work hours will not be assumed to be static. Every employee may be asked to work hours other than those for which he or she is usually scheduled, including the possibility of weekend or holiday work. Scheduling shall be decided upon in consultation with the employees, but the Chief Operating Officer shall make final decisions about whether or not programs are adequately staffed at any given period according to program standards, grant and contract requirements, and statutes.

Work schedules will be kept in the office of the Program/Department Director for each program or in locations as indicated in the Operating Procedures Manual for each program. Changes in schedules will be made as far in advance as possible to ensure maximum program benefit and a minimum of employee inconvenience.

Vacation schedules will be incorporated into work schedules. Employees should be careful to follow vacation policies when requesting time off.

#### **Overtime**

Only non-exempt employees are eligible to receive overtime pay. Any such non-exempt employee needing to work more than the standard amount of time must get prior written approval from his/her Program/Department director and the Chief Operating Officer (or designee). In a position where the work week's standard is less than 40 hours a week, if an employee works more than the standard but less than 40 hours in a workweek, he/she will be paid straight time, except by prior agreement with the Chief Operating Officer. Time worked over 40 hours in a workweek is paid at one and a half times the eligible employee's regular rate of pay.

Overtime Pay - This policy applies to non-exempt employees only.

- Kingsley House's work week is 12:01 a.m. Sunday through midnight Saturday as shown on the time sheets.
- Any hours **actually worked** over 40 in a workweek constitute overtime hours and will be paid at time and a half for non-exempt employees. This standard applies to all hours **actually** worked. Paid leave, such as holiday, jury duty, sick or vacation pay, does not apply toward work time.
- **Exception:** If a non-exempt employee is asked and agrees to work on an agency holiday, he/she will be paid at the rate of time and a half his/her regular pay for the number of hours actually worked.

## **For Exempt Positions**

Kingsley House does not maintain a formal system of comp time for exempt positions.

### **11.2. Payroll Deductions**

Payroll deductions are made on the semi-monthly cycle. All payroll deductions are authorized, either by the employee, through the judicial system, or the law.

Deductions are all voluntary except for garnishments, levies, and statutory deductions. Employees may contact the Human Resource department to obtain the necessary authorization forms for requesting additional deductions from their paychecks.

### **11.3. Job Expenses**

Employees shall be reimbursed for *authorized* expenses incurred in performance of their work.

This does not include travel to and from work. Every effort should be made to avoid having employees spend their personal money for program expenses. Only directors can authorize expenditures. Therefore, in order to get reimbursed for any job-related expenditure, employees must obtain prior written approval from his/her manager. See Agency's Travel Policies Kingsley House Business and Financial Policies and Procedures Manual regarding travel expenses.

Nonexempt employees will be paid for travel time in accordance with federal and state wage payment laws.

### **11.4. Agency Benefits**

Kingsley House offers a broad-based benefit package. Depending on length of service, and full-time or part-time status and schedule, Kingsley House employees may be eligible for the following:

#### **Benefits**

- Agency Holidays
- Vacation/Personal Days
- Sick Day
- Bereavement Leave
- Retirement Savings Plan\*
- Medical, Vision and Dental Insurance
- Life, Short-term Disability and Long-term Disability Insurance
- Employee Assistance Program (EAP)

### **11.5. Benefits Eligibility**

Regular full-time employees, scheduled to work at least 30 hours per week, qualify for most of the above benefits on the first day of the month following the first 30 days of service. \*The Retirement

Savings Plan, also available to full-time employees scheduled to work at least 30 hours per week does not become available to employees until January 1<sup>st</sup> or July 1<sup>st</sup> immediately following their one-year of service anniversary. See the Retirement Savings Plan section below for more details.

Part-time staff working 20-29 hours per week do not qualify for most benefits, but do qualify for agency holidays and vacation/personal and sick days proportionate to their scheduled hours worked per week. Part-time staff working less than 20 hours per week qualify only for agency holidays when the Agency is closed, or disaster days if they were scheduled to work on those days.

### **Policy: Insurance Notification**

Kingsley House Inc. assesses insurance needs and obtains coverage that is commensurate with the scope and complexity of services. The organization advises all employees and the governing board of the amount and type of insurance carried by the organization. Notification is provided as part of the orientation process and annually if changes are made.

### **11.6. Agency Holidays**

On the following holidays, the Agency is closed:

- New Year's Day
- Dr. Martin Luther King Jr. Day
- Lundi Gras and Mardi Gras Day
- Good Friday
- Memorial Day
- Independence Day
- Labor Day
- Thanksgiving Day and Friday
- Christmas Eve Day
- Christmas Day

### **11.7. Time Off/Leaves of Absence**

Days off, other than those stipulated, shall be taken as part of employee's leave time, unless the Chief Executive Officer chooses to allow additional holidays, or announces the closing of the Agency because of disaster. All regular full time and part time employees working 20 hours or more are paid for agency holidays. Employees are paid for only those days and hours they would have been scheduled to work had it not been a holiday. If an employee is asked and agrees to work on an Agency holiday, the employee will be paid at the rate of time and a half his/her regular pay.

### **Vacation/Personal Days**

Regular full-time and part-time employees begin to accumulate vacation/personal day's credit on the first day of employment. With their supervisor's approval, employees are permitted to use vacation/personal days after three months.

Part-time employees hired to work 20 hours or more per week, earn vacation/personal days at a pro-rated basis.

Vacation/personal days can be carried over year-to-year, but an employee cannot accrue more than 20 days at any given time.

Vacation/Personal days for regular full-time employees are earned, on a monthly basis as follows:

<b>Years Employed</b>	<b>Employees who are not Directors and Executives</b>	<b>Directors and Executives</b>
1 year	10 days/year	20 days/year
2 years	15 days	20 days
3-4 years	20 days	20 days
5-10 years	21 days	21 days
11-15 years	22 days	22 days
16-20 years	23 days	23 days
21-25 years	24 days	24 days
26 – 30+	25 days	25 days

The taking of leave of any duration requires the approval of the supervisor and is subject to the approval of the Chief Operating Officer.

Upon termination of employment from Kingsley House voluntarily or involuntarily, accrued unused vacation/personal days are paid to the employee.

### **Sick Leave**

Sick leave is provided to enable employees to care for themselves or immediate family who are ill and to help ensure that other staff and program participants are not exposed to possible contagious illnesses. Sick leave can be used for medical appoints, illness or injury of the employee or immediate family members of the employee and for whom the employee is responsible. The earning of sick days begins on the first day of employment. All full-time employees will accrue sick leave each month at a rate of 10 days per year. Part-time staff working 20 hours or more per week accumulate sick leave in proportion to the hours they are scheduled to work. Employees may accumulate up to 20 days of sick leave.

In cases where sick leave has been exhausted, the balance of time can be taken from vacation/personal days. In cases where the employee uses all accrued days of leave, and is eligible for Family Medical Leave Act (FMLA) leave, the employee may be eligible for leave without pay, Short-term Disability or Long-term Disability. Employees should consult Human Resource department to determine eligibility and options.

\*It is permissible for employees to give sick days to their colleagues who may need them for extenuating circumstances. Extenuating circumstances are defined by those sicknesses that qualify for FMLA. The donor can only donate 2 days a year and must give the time in 1 day increments to no more than 2 recipients in a rolling 12-month period. The recipient of sick day(s) can receive days up to a limit that does not exceed 30 days of total sick days, including the employee's own sick time, in any rolling 12-month period. The gifting of sick days from one employee to another should be handled with Human Resource department.

Employees must speak with their appropriate supervisor when calling in sick before their scheduled start time. A request for sick days will be prepared and submitted to the supervisor the day of return to the workplace and attached to the appropriate timesheet. An employee who has a sick leave absence in excess of three consecutive working days will be requested to present medical documentation for the absence. A doctor's certificate will be required stating the diagnosis and anticipated length of absence before the employee will be medically able to return to work.

Supervisors and Program/Department directors also may require an employee to provide a doctor's note stating the diagnosis and anticipated length of absence when there is concern about possible contagion affecting program participants and/or agency employees, if there is a need to determine eligibility under the Family and Medical Leave Act, or if there is a need to explore excessive use or possible abuse of sick leave. Required documentation from a health care provider must be provided to the employee's immediate supervisor prior to or on the day returning to work.

Employees are not paid for unused sick leave upon termination of employment.

### **Bereavement Leave**

The death of an immediate family member may warrant bereavement leave. Only regular, full-time employees may be granted bereavement leave. The leave may not exceed three paid days.

Immediate family includes spouse, parents, step-parents, child, siblings, step-siblings, grandparents, step-grandparents, step-children, grandchildren, mother-in-law, father-in-law, sister-in-law, brother-in-law, grandparents-in-law or other persons with whom the employee lives.

An employee who wishes to take time off due to the death of an immediate family member should notify his or her supervisor immediately.

### **Jury Duty**

Any regularly scheduled employee called for jury duty or subpoenaed as a witness shall not be penalized by discharge (without cause), or loss of earnings, vacation or sick time, or any other benefit for the period required for jury duty.

The employee must provide proof of time spent from the jury clerk/commissioner on a daily basis. The employee will contact their supervisor immediately upon release for instruction on returning to work.

### **Military Leave**

Regular full-time and part time employees absent on military leave shall be protected in accordance with applicable federal and state laws. To receive time off, employees must provide notice and a copy of their report orders to their program director and HR Director.

### **Accrual and Paid Leave While on leave**

All employees who are actively at work or on paid leave (for example: vacation, sick, bereavement, jury duty), will continue to accrue paid leave benefits provided by the agency.

Employees who are on unpaid leave will not be entitled to continue accruing paid leave benefits, including employees who are receiving income replacement benefits such as short-term disability, long-term disability or workers' compensation.

### **11.8. Family and Medical Leave Act**

Employees who have been employed for at least twelve (12) months (continuous or non-continuous), and have worked 1,250 hours of service during the twelve (12) month period preceding the start of the leave, shall be eligible for up to twelve (12) weeks of unpaid leave of absence during any rolling twelve (12)-month period for one or more of the reasons listed below.

#### **A. Definitions:**

##### **i. Spouse**

- Legal spouse.
- Excluded are unmarried domestic partners of either sex.

##### **ii. Child**

- Biological, adopted, or foster child under 18 years of age.
- Biological, adopted or foster child over 18 years of age and incapable of self-care because of mental or physical disability.
- An individual under 18 years of age for whom the employee acts as a parent by caring for and financially supporting the individual.

**iii. Parent**

Biological parent or an individual who filled the parental role for the employee when the employee was under 18 years of age.

**iv. Serious Health Condition**

Serious health condition is an illness, injury, impairment, or physical or mental condition that requires:

- In-patient care in a hospital, hospice, or residential medical care facility;
- Any period of incapacity due to a serious health condition or the treatment or recovery of that condition, resulting in the inability to work, attend school or perform other regular daily activities; or
- Continuing treatment or supervision by a health care provider for a chronic or long term health condition that is incurable or so serious that it results in a period of incapacity of more than three (3) consecutive calendar days and any later treatment by a health care provider or under his orders or supervision or any period of incapacity related to the same condition that also involves:
  - (a) Treatment two (2) or more times by a health care provider; or
  - (b) Treatment by a health care provider on at least one (1) occasion which results in a regimen of continuing treatment under the health care provider's supervision.
  - (c) Any period of incapacity due to pregnancy, or for prenatal care.
  - (d) Any period of incapacity or treatment for such incapacity due to a chronic serious health condition.

**v. Parental Leave:**

Time off to spend with a newborn or newly adopted child.

**vi. Accrued Benefit Time:**

- Vacation
- Holiday leave
- Sick leave

- Worker's Compensation (to the extent that the illness or injury is also a "serious health condition")

**B. Types of FMLA Leave:**

- i. FMLA/Maternity
- ii. FMLA/Employee's Serious Health Condition
- iii. FMLA/Serious Health Condition of Spouse, Child or Parent
- iv. FMLA/Parental Leave, Adoption or Placement of a Foster Child

**C. Notice Requirements:**

- i. All requests for FMLA leave must be presented to the Human Resource Director.
- ii. When the need for FMLA leave is foreseeable, the employee must provide at least thirty (30)-days' notice. If the employee requires the FMLA leave to begin in less than thirty (30) days, the employee must provide notice as soon as reasonably possible (no more than two (2) working days after learning of the need for leave). If the employee fails to give thirty (30) - days' notice for FMLA leave that was reasonably foreseeable, with no reasonable excuse for the delay, the agency may delay the start of the leave until at least thirty (30) days after the employee provides proper notice.
- iii. Each request for FMLA leave will be considered based upon its own merits.
- iv. Employees may not work or accept other employment during an FMLA leave unless that work is consistent with the restrictions placed upon the employee by her/his physician.

**D. Concurrent Use of Accrued Benefit Time:**

- i. If the employee taking FMLA leave has accrued benefit time, the leave will be paid and the employee may be required to use all accrued paid benefit time until it is exhausted or the employee returns to work. If the employee's paid benefit time is exhausted and the employee is unable to return to work, the remainder of the FMLA leave will be unpaid. (Worker's Compensation–covered injuries or illnesses run concurrently with FMLA leave provided that the illness or injury is also a "serious health condition" as defined herein.)
- ii. If the employee has no accrued paid benefit time, the entire FMLA leave will be unpaid.

**E. Benefits During Leave:**

- i.** An employee who is on FMLA leave and wishes to maintain group health plan coverage during the leave must continue to pay her /his portion of the premium for coverage, on the same basis as if the employee had been continuously working during the leave. Payment of the employee's portion of the premium must be received by the agency by the date such payment would have been made through payroll deduction.
  
- iii.** If an employee fails to return to work upon completion of an approved FMLA leave of absence for a reason other than the continuation, recurrence, or onset of a serious health condition or other circumstances beyond the employee's control, the employee must reimburse Kingsley House for the entire cost of any premium payments made by the agency to maintain the employee's group coverage during the leave.

**1. FMLA MATERNITY LEAVE**

**a. Eligibility:**

Employees who are disabled due to pregnancy, child birth or related medical conditions. Pursuant to Louisiana state law, there is no minimum number of hours of work or months of service which must be accrued prior to an employee being eligible for maternity leave.

**b. Duration:**

Maternity leave is governed by the agency's FMLA policy. In Louisiana, the law provides that pregnant employees will be granted up to six (6) weeks of maternity leave (if requested) and up to four (4)-months' leave if medically necessary. Employees returning from maternity leave will be reinstated to their former position or, if unavailable, to an equivalent position.

**2. FMLA LEAVE FOR EMPLOYEE'S SERIOUS HEALTH CONDITION**

An employee who is eligible for FMLA/ Employee's Serious Health Condition leave may be granted up to twelve (12) weeks of job protected leave **during any rolling twelve (12)-month period.**

**3. FMLA LEAVE FOR SERIOUS HEALTH CONDITION OF SPOUSE, CHILD OR PARENT**

An employee who is eligible for FMLA/Serious Health Condition of Spouse, Child or Parent leave may be granted up to twelve (12) weeks of job protected leave **during any rolling twelve (12)-month period.**

#### **4. FMLA/PARENTAL, ADOPTION OR PLACEMENT OF A FOSTER CHILD LEAVE**

- a.** An employee who is eligible for FMLA/Parental, Adoption or Placement of a Foster Child leave may be granted up to twelve (12) weeks of job protected leave **during any rolling twelve (12)-month period.**
- b.** An employee's entitlement to parental FMLA leave expires twelve (12) months from the date of birth, adoption, or placement; any such FMLA leave must be concluded during this one (1)-year period.
- c.** An employee may take FMLA for adoption or the placement of a foster child prior to the actual date of adoption or placement provided the employee meets the eligibility requirements. The employee's entitlement to FMLA for adoption or placement of a foster child will begin with the first day the employee requests to be off.

#### **5. MEDICAL CERTIFICATION**

- a.** The employee will be required to provide medical certification to the agency before FMLA begins (when it is foreseeable) and when such leave is needed to care for the employee's own serious health condition, and any period of related incapacity or treatment, including maternity, or the serious health condition of a spouse, child or parent. When this is not possible, the employee must provide the certification within fifteen (15) calendar days after it is requested by the agency.
- b.** If medical certification is not provided within the amount of time requested by the agency, the employee may be denied FMLA leave and the employee's absence will be treated as unauthorized.
- c.** When an employee takes FMLA leave for his or her own serious health condition, including maternity, the agency will require that the certification be completed by the health care provider and include the date the condition began, the expected duration of the condition and a statement that the employee is unable to perform the essential functions of the job. If needed, the company will provide a copy of the employee's job description to enable the health care provider to review the essential functions.
- d.** When an employee takes FMLA leave to care for a family member Kingsley House will require that the certification be completed by the health care provider and include a statement that the employee is needed to care for the family member. It also will include a statement describing the care the employee will provide and an estimate of the time period required for such care.

- e. The agency, at its own expense, may request that the employee obtain a second opinion from a health care provider selected by the agency. If the second opinion differs from the first opinion, Kingsley House, at its own expense, may request a third opinion. The third opinion will be provided by a health care provider mutually agreed upon by the agency and the employee. The third opinion will be final and binding.
- f. The agency may require the employee on leave to submit recertification, at the employee's expense, on a reasonable basis (usually not more often than every thirty (30) days).
- g. Certification forms are available from the Human Resources Department.

## 6. RETURN FROM LEAVE

- a. Employees on leave of absence must periodically report on their status and intent to return to work as determined at the time of FML designation.
- b. The company requires any employee returning from medical leave of absence to obtain and present a fitness for duty certification that the employee is able to resume work. Such certification must be provided prior to return to work.
- c. Employees who fail to report to work when released to do so by a health care provider, or who fail to accept an available position upon release from a health care provider, will be subject to termination.
- d. Employees returning from FMLA leave will be allowed to return to their same or equivalent position upon completion of the authorized leave.

## 7. Release to Return to Work without Restrictions

An employee on medical leave of absence must be released to return to work without restrictions, the employee will be allowed to return to his or her former position if it is still available, and if the employee can perform the essential functions of the job. In the event the former position is no longer available, the employee may be assigned to another regular available position for which the employee meets the minimum qualifications and can perform the essential functions of the job.

## 8. INTERMITTENT FMLA

- a. The employee may take up to twelve (12) weeks of FMLA leave, **during any rolling twelve (12)-month period**, on an intermittent or reduced work week basis.

Intermittent leave may be granted for the employee's own serious health condition or the serious health condition of an employee's child, spouse or parent.

- b.** The same requirements for medical certification apply for intermittent or reduced work week leave. The certification from the health care provider must state the reasons why intermittent or reduced work week leave can best accommodate the medical need.
- c.** The agency may temporarily transfer the employee to an alternate position with equivalent pay and benefits which better accommodates recurring periods of intermittent leave than the employee's regular position.
- d.** The employee on intermittent leave must attempt to work out a schedule which meets the employee's needs without unduly disrupting the company's operations.

## **9. SERVICE MEMBER FAMILY LEAVE**

- a.** In the case of an eligible employee who is the spouse, son, daughter, parent, or next of kin of a covered service member who is recovering from a serious illness or injury sustained in the line of active duty is entitled to up to twenty-six (26) weeks of leave in a single twelve (12) month period to care for the service member. This leave is available during a single twelve (12) month period during which an eligible employee is entitled to a combined total of twenty-six (26) weeks of all types of FMLA leave.
- b.** For any qualifying exigency related to an employee's spouse, child or parent being called to active duty with the US Armed Forces, the employee is entitled to up to 12 weeks of leave in a twelve (12) month period.
  - i.** Qualifying exigency:
    - Notice of a deployment (limited to seven calendar days beginning on the date a covered military member is notified of deployment)
    - Military events and related activities
    - Childcare and school activities
    - Making or updating financial and legal arrangements
    - Attending counseling related to military call-up
    - Rest and recuperation to spend with a military member on short-term leave (limited to five days per leave), and
    - Post-deployment activities (within 90 days following termination of active duty status)

## **10. NON-FMLA MEDICAL LEAVE**

- a. In addition to FMLA leave, employees may request medical leave of absence due to employee illness or injury where (a) the employee is not eligible for FMLA leave, (b) the employee's illness or injury does not constitute a serious medical condition, or (c) the employee has used up her/his twelve (12) weeks of FMLA leave. The agency will comply with all state and federal laws when evaluating such requests.
- b. Leave under this section shall be referred to as non-FMLA medical leave. See also policies on use of Sick Leave and Leave without Pay.
- c. If an employee seeks non-FMLA Leave, the agency requires medical certification before the leave begins on a form provided by the agency. When this is not possible, the employee must provide certification within five (5) calendar days after it is requested by Kingsley House. Subsequent medical recertification may be required.
- d. Benefits during Leave
  - i. An employee who wishes to maintain group health plan coverage during the leave must continue to pay his or her portion of the premium for coverage, if any, on the same basis as if the employee had been continuously working during the leave. Payment of the employee's portion of the premium must be received by the Accounting Department by the date such payment would have been made through payroll deduction.
  - ii. If an employee fails to return to work upon completion of an approved leave of absence for a reason other than the continuation, recurrence, or onset of a serious health condition or other circumstances beyond the employee's control, the employee must reimburse the agency for the entire cost of any premium payments made by the agency to maintain the employee's group coverage during the leave.
- e. Concurrent Use of Vacation or Sick Leave

An employee taking non-FMLA leave of absence will be required to use accrued vacation leave, or sick leave (if applicable). After accrued vacation and/or sick leave (if applicable) have been exhausted, the remainder of the leave will be unpaid.
- f. Release to Return to Work with No Restrictions

An employee on medical leave of absence must be released to return to work without restrictions, the employee will be allowed to return to his or her former position if it is still available, and if the employee can perform the essential functions of the job. In the event the former position is no longer available, the employee may be assigned to another regular available position for which the employee meets the minimum qualifications and can perform the essential functions of the job.

## **11. EXTENSION OF LEAVE/TERMINATION OF EMPLOYMENT**

- a. If the employee is absent from work for 6 consecutive months for any reason, the employee will be considered voluntarily resigned and his/her employment will be terminated. In administering this policy, the agency will consider extending leave if such an extension would be deemed, in the agency's judgment, a reasonable accommodation under the Americans with Disabilities Act, or appropriate under controlling state law.
- b. It is the employee's responsibility to promptly report any change in circumstances regarding leave. Any request, and the reasons supporting the request, for extension of leave must be submitted to the Associate Director for Administration at least fourteen (14) days before the expiration of leave. If a request is not submitted in accordance with this policy, the employee will be terminated at the expiration of the maximum leave period.

### **IV. Approval Procedure:**

The Program Manager will immediately inform the Human Resource Department of the possible need for FMLA. The Human Resources will discuss the nature of the medical need with the employee, and explain the process, paperwork, and deadlines. Upon receipt of the required health care provider certification, the Human Resources Department will approve or deny the request.

The Human Resources Department also will review the release to return to work to ensure that the necessary information is provided.

Employees who fail to follow the outlined procedures may be terminated from employment.

### **11.9. Lactation/Breastfeeding**

For up to one year after a child's birth, any employee who is breastfeeding her child will be provided reasonable break times as needed to express breast milk for her baby.

Employees with a private office who are comfortable doing so, may express milk in their office, locking the door, placing a 'do not disturb' sign on the door, and also placing their phones on 'do not disturb.' For employees who do not have a private office or do not wish to express milk in their office, on the main campus, Kingsley House has designated Room for this purpose, see Human Resources for room location. Each office or operational location will designate appropriate private space that meets the necessary requirements for a nursing mother to express milk, and inform Human Resources Department and the employees of that location.

A typical lactation break is 15-20 minutes, however actual times will vary (including the time it takes to walk to and from the private location, time for the mother to retrieve her pump and any supplies, time to unpack, set-up, and clean the pump, whether there is a sink nearby, and the time it takes to store the milk).

### **11.10. Retirement/403(B) Plan**

Regular full-time and regular part-time employees become eligible for the Retirement Plan on either January 1 or July 1 after their one-year employment anniversary and provided they are 20-1/2 years of age or older.

For purposes of participation in the Plan, any former participant who is re-employed by Kingsley House within one year of the date of separation shall be considered to have unbroken service, and participation in the Plan shall resume on the first day of the month following the day of re-employment.

### **11.11. Medical, Vision and Dental Insurance**

Regular full-time staff members are eligible to join the group Medical, Vision and Dental insurance plans. Medical, Vision and Dental insurance is available on the first of the month after 30 days of employment. If an employee fails to join at that time, they will not be able to enroll or make changes to their benefits until the next open enrollment period or if the employee has a qualifying life event.

### **11.12. Life Insurance and Disability Plans**

Regular full-time employees, are eligible for the Agency's group life insurance and disability plans on the first of the month after 30 days of employment.

### 11.13. Employee Assistance Program

All employees have access to an Employee Assistance Program, which offers a no-cost, confidential consultative service for any issues that may be bothering you or your family members.

## XII. EMPLOYMENT SEPARATION

### 12.1. Separation of Staff

Neither Kingsley House nor any of its representatives may state or imply a guarantee of continued employment for any of its employees. Employment is “at -will” — either the Agency or the employees may terminate employment at any time. Separation of employment can occur for several different reasons:

Exempt employees resigning- give to Program/Department Director and Human Resources Director. Non-exempt employees should give to the Program /Director

- (a) **Resignation:** When an employee resigns, it is assumed that he/she will give as much notice as possible. Exempt employees resigning from positions should advise their Program/Department Directors, in writing, of their intentions at least one month in advance of the effective date.  
Non- exempt employees should give at least two weeks written advance notice. Both groups of employees should exclude vacation time from the advance notice deadline. Exceptions may be made by the Chief Executive Officer.
- (b) **Dismissal:** Employees of Kingsley House are employed on an at-will basis, and the agency retains the right to terminate an employee at any time for any reason with or without cause.
- (c) **Reduction in the Workforce:** Employment is terminated because of reduction in a particular program/department’s workforce or elimination of a position(s).

### 12.2. Procedures to be followed in Cases of Separation from the Agency

#### **Resignation:**

Employees who resign will complete a statement of resignation. The employee’s Program/Department director should complete the Employee Termination Checklist, a payroll Change of Status Form and a Final Evaluation and collect all agency assets from the employee prior to the end of the last workday. All forms should be forwarded to the Human Resource department.

**Exit Interview:** All employees separating employment are encouraged to participate in an exit interview with the Human Resources Department. Upon receiving notification of resignation from the employee, the Program/Department director will immediately notify the Human Resources Department.

### **Reduction in the Workforce**

Reductions in the work force and reinstatements ordinarily will be administered according to the procedures outlined below:

1. If a reduction in the workforce is necessary, the following will be considered in reducing the workforce: skills of the employee, attendance record, work/performance record, overall capabilities of the employee, and the job being performed by the employee. If all qualifications are equal, length of service will be given consideration. The Program/Department Director's plan for a reduction in force will be approved by the Human Resources Director, Chief Operating Officer and Chief Executive Officer prior to moving forward.
2. Affected employees will not be given the assurance or even the expectation that they will eventually be reinstated at some future date. They may check from time to time and reapply for work. Their prior experience and history with Kingsley House will be considered.

If a particular termination for lack of work will be temporary and of short duration (less than one month) and Kingsley House wants the affected employee back, Kingsley House will notify him/her when to report back to work. However, such a situation will be exceptional and Program/Department Directors must obtain instructions regarding this procedure from the Human Resources Department or Chief Operating Officer.

3. Whenever there is insufficient work on a temporary basis, the policy is to first check all employees in the affected section to see if anyone would like to use their accrued time off. If not, then Section 3.1 of the Kingsley House Operations, Policies and Procedures Manual will apply and employees will be terminated accordingly.

### **12.3. Return of Company Property**

The separating employee must return all company property at the time of separation, including uniforms, cell phones, keys, PCs and identification cards if applicable. Failure to return some items may result in deductions from the final paycheck. An employee will be required to sign the Wage Deduction Authorization Agreement to deduct the costs of such items from the final paycheck.

#### **12.4. Termination of Benefits**

All rights and privileges of employment with the agency terminates upon the date of separation/Health insurance terminates the last day of the month of employment, unless an employee requests immediate termination of benefits.

#### **12.5. COBRA Continuation of Health Benefits**

Under the federal Consolidated Omnibus Budget Reconciliation Act (COBRA), a qualified employee who terminates employment (for reasons other than gross misconduct on the employee's part) or who loses health and dental coverage due to a reduction in work hours may temporarily continue group health and dental coverage for him/herself, his/her spouse, and any covered dependent children at the full premium rate plus administrative fees. That eligibility normally extends for a period of eighteen (18) months from the qualifying date. For more information regarding COBRA health insurance benefits, see the Human Resources Director.

#### **12.6. Reinstatement**

Employees who have been terminated for lack of work and apply and are rehired within six (6) months from their termination may be reinstated without a new waiting period for fringe benefits.

**Job Placement:** Although it is desirable to place rehired employees back on the job for which they were previously employed, this is not always possible. Therefore, any employee who is terminated for lack of work and is subsequently rehired will be placed in his/her former job at the discretion of Kingsley House.

Whenever an employee's continuous service is terminated for lack of work, and the employee is later re-employed (this applies to an employee who is re-employed more than six (6) months after he/she has been terminated for lack of work) by Kingsley House, the employee is treated as a new employee and cannot be credited with any previous length of service accumulated with the Agency for determining vacation or holiday benefits.

Prior to rehiring an ex-employee, the Program/Department Director must check with the Human Resources Director to ensure that the ex-employee has no adverse comments/evaluations in the personnel file that would prevent rehiring.

Former employees who are rehired within six months of leaving the agency may not need to repeat pre-employment selection tests (i.e. background check). If more than six months have passed since the employee left the agency, he/she will be treated as any new hire and will be subject to all applicable pre-employment selection requirements.

### **XIII. COMPUTER-RELATED POLICIES**

#### **13.1 Acceptable Use - Computers and Internet**

- Access to the Internet is specifically limited to activities in direct support of official Agency business.
- In addition to access in support of specific work related duties, the Agency Internet connection may be used for educational and research purposes.
- If any user has a question of what constitutes acceptable use he/she should check with their supervisor for additional guidance. Management or supervisory personnel shall consult with the Information Technology Manager for clarification of these guidelines.

#### **13.2 Inappropriate Use - Computers and Internet**

- Internet access shall not be for any illegal or unlawful purpose. Examples of this are the transmission of violent, threatening, defrauding, pornographic, obscene, or otherwise illegal or unlawful materials
- Use of Agency e-mail or other messaging services shall be used for the conduct of Agency business only. These services shall not be used to harass, intimidate or otherwise annoy another person.
- The Internet shall not be accessed for private, recreational, or any non-agency-related activity during business hours.
- The Agency's intranet or Internet connections shall not be used for commercial or political purposes.
- Employees shall not use Agency network for personal gain such as selling access of an Agency user login ID. Internet access through the Agency network shall not be for or by performing unauthorized work for profit.
- Users shall not attempt to circumvent or subvert security measures on either the Agency's network resources or any other system connected to or accessible through the Internet.
- Agency employees shall not use Internet access for interception of network traffic for any purpose other than engaging in authorized network administration.
- Agency users shall not make or use illegal copies of copyrighted material, store such material on Agency equipment, or transmit such material over the Agency network.

#### **13.3 Internet and E-Mail Etiquette**

- Agency employees shall ensure all communication through Agency e-mail or messaging services is conducted in a professional manner. The use of suggestive, vulgar, or obscene language is prohibited.
- Agency users shall not reveal private or personal information through e-mail or messaging services without clear and specific written approval from management.

- Users should ensure that e-mail messages are sent to only those users with a specific need to know. The transmission of e-mail to large groups, use of e-mail distribution lists, or sending messages with large file attachments (attachments larger than 5 Mb) should be avoided.
- E-mail privacy cannot be guaranteed. For security reasons, messages transmitted through the Agency e-mail system or network infrastructure are the property of the Agency and are, therefore, subject to inspection.

#### **13.4 Computer and Internet Usage - Security**

- Agency users who identify or perceive an actual or suspected security problem shall immediately contact the IT Manager, in accordance with procedure ITSD108 – IT INCIDENT HANDLING.
- Network users shall not reveal their account passwords to others or allow any other person, employee or not, to use their accounts. Similarly, users shall not use other employees' accounts.
- Any and all use of IT assets is subject to monitoring by the IT Department.
- Access to Agency network resources shall be revoked for any user identified as a security risk or who has a demonstrated history of security problems.

#### **13.5 Computer and Internet Usage - Penalties**

Any user violating these policies or applicable local, state, or federal laws while using the agency network shall be subject to loss of network privileges and any other disciplinary actions deemed appropriate, possibly including termination and criminal and/or civil prosecution.

#### **13.6 Computer and Internet Usage - Conclusion**

All terms and conditions as stated in this document are applicable to all users of the Agency network and the Internet. These reflect an agreement of all parties and should be governed and interpreted in accordance with the laws of Louisiana.

#### **13.7 User Compliance**

I understand and will abide by the Kingsley House computer, network, and Internet use policies. I further understand that any violation of this policy is considered unethical and may constitute a criminal offense. Should I commit any violation, my access privileges may be revoked and disciplinary action and/or appropriate legal actions may be taken.

## **13.8 Social Media Policy**

Kingsley House employees, interns, contractors, and volunteers are prohibited from posting personally identifiable information of Kingsley House participants on the internet without prior written authorization from the Chief Operating Officer in accordance with Kingsley House's Protections for the Privacy of Participant Policy and Procedure. Any social media use by Kingsley House employees, interns, contractors, and volunteers that adversely affects Kingsley House participants may result in disciplinary action up to and including termination.

### **Purpose**

In its continuing effort to fulfill its organizational mission, Kingsley House is committed to high standards of integrity and to compliance with all applicable laws and regulations. All Kingsley House employees, interns, contractors, and volunteers are expected to meet high standards of professional behavior when using social media forums. To assist Kingsley House employees, interns, contractors, and volunteers with making responsible decisions about the use of social media, Kingsley House has established this policy to outline guidelines for the appropriate business use of social media. This Policy and Procedure applies to all Kingsley House Board members, Policy Council members, employees, interns, contractors, and volunteers.

### **Definitions**

For purposes of this Policy and Procedure the terms below shall have the following definitions:

***Social media*** includes all means of communicating or posting information or content of any sort on the Internet, including to your own or someone else's web log or blog, journal or diary, personal web site, social networking or affinity web site, web bulletin board or a chat room, whether or not associated or affiliated with Kingsley House, as well as any other form of electronic communication. Forms of social media include, but are not limited to, written text, audio recording, photography, and video recording.

***Personally identifiable information (PII)*** means any information that could identify a specific individual, including but not limited to a participant's name, name of a participant's family member, street address of the participant, social security number, or other information that is linked or linkable to the participant.

### **Procedure**

#### **Social Media Use Training**

**Training Development.** Kingsley House will implement training regarding the use of social media, including Kingsley House policies for the use of social media information during the pre-hiring process, the prohibition on posting personally identifiable information of Kingsley House children

or families on the internet without prior written authorization during the term of an individual's employment or service to Kingsley House, and an individual's obligation to protect the confidentiality of personally identifiable information after the term of their employment or service to Kingsley House has expired or terminated.

Annual Training. All Kingsley House employees, interns, contractors, and volunteers will be annually trained on the requirements relevant to the appropriate use of social media in accordance with this Policy and Procedure and Kingsley House applicable related policies and procedures.

Recertification. Kingsley House will require all Kingsley House employees, interns, contractors, and volunteers to retrain and recertify their commitment to the appropriate use of social media not less than annually.

#### Training Records.

Kingsley House employees, interns, contractors, and volunteers are required to comply with this Social Media Policy and Procedure.

Kingsley House will maintain records indicating the completion of such training in each employee's, interns, and contractor's personnel file.

### **Use of Social Media Information for Pre-Hiring Decisions**

Screening Applicants. Kingsley House may observe content and information made available by candidates through social media. Kingsley House may judge candidates on the basis of all available social media information in accordance with Kingsley House [Cross Reference Kingsley House Pre-Employment Policy].

Compliance with Laws. In making its hiring decisions, Kingsley House will assure compliance with Title VII of the Civil Rights Act of 1964 and all applicable and current federal and state laws relevant to the scope of information Kingsley House may use to make its hiring decisions.

### **Guidelines for Social Media Use During Employment**

Kingsley House employees, interns, contractors, and volunteers are prohibited from posting anything on the internet in the name of Kingsley House or in a manner that could reasonably be attributed to Kingsley House without prior written authorization from Chief Operating Officer]. When using social media, Kingsley House employees, interns, contractors, and volunteers should abide by the following guidelines:

- a. Work Provided Equipment. Understand that all data and information that is entered, received, stored, or transmitted via Kingsley House electronic resources, including hardware provided by Kingsley House, may be monitored and is the

property of Kingsley House and employers, interns, contractors, and volunteers should not have an expectation of privacy with respect to such data and information.

- b. Personal Equipment during Work Time. Access social media only on personal devices and/or cell phones and only during lunch/break times.
- c. Postings.
  - a. Kingsley House employees, interns, contractors, and volunteers are strictly prohibited from posting PII of Kingsley participants and families unless authorized to do so in accordance with Kingsley House Protections for the Privacy of Participant Policy and Procedure.
  - b. Exercise good judgment. Kingsley House does not wish to interfere with the personal lives of its employees, interns, contractors, or volunteers, but Kingsley House employees, interns, contractors, and volunteers should be aware that their personal on-line life may be perceived as linked to their professional life.
  - c. When making posts on the internet, always make sure that information being posted is not posted with knowledge of falsity or with reckless disregard for the truth.
  - d. When posting on the internet, only express your personal opinions. Never represent yourself as a spokesperson for Kingsley House. If Kingsley House is a subject of the content being created, be clear and open about the fact that your views do not represent those of Kingsley House. If you do publish a blog or post online related to the work you do or subjects associated with Kingsley House, make it clear that you are not speaking on behalf of Kingsley House. It is best to include a disclaimer such as “The postings on this site are my own and do not necessarily represent the views of Kingsley House.” If you become aware of a post that may require an official response from Kingsley House or could otherwise become an issue for Kingsley House, contact and inform Chief Operating **Officer** and the appropriate departments such as *Human Resources and Marketing Departments*] for proper handling.
  - e. Carefully read Kingsley House Policies and Procedures regarding code of conduct, harassment, etc. to ensure social media postings are consistent with the guidelines included therein.
  - f. Inappropriate postings that may include discriminatory remarks, harassment, threats of violence or similar inappropriate or unlawful conduct will not be tolerated and may lead to disciplinary action up to and including termination. It is a violation of this policy to electronically communicate in

a manner which is obscene, harassing, abusive, or threatens an individual's safety, in accordance with Kingsley House policies on harassment.

- g. If posting complaints or criticism, avoid using statements, photographs, video or audio that reasonably could be viewed as malicious, obscene, threatening, or intimidating to employees, contractors, interns, or volunteers, or that might constitute harassment or bullying. Examples of such conduct might include offensive posts meant to maliciously harm someone's reputation or posts that could contribute to a hostile work environment on the basis of race, sex, disability, religion, or any other status protected by law or Kingsley House policy.
- d. Connections. Kingsley House employees, interns, contractors, and volunteers should use caution when "friend requesting" or contacting in any manner via social media, with a Kingsley House child, family/parent of a child, childcare providers, or others who they serve through their work at Kingsley House to assure no harm will be done to a family, the child or others who they serve through their work at Kingsley House.
- e. Media. Kingsley House employees, interns, contractors, and volunteers should not speak to the media on Kingsley House behalf. All media inquiries should be directed to Chief Operating Officer.

### **Social Media Use Post-Employment**

Confidentiality Form. Kingsley House employees, interns, contractors, and volunteers are required to sign a confidentiality form prior to the start of their service with Kingsley House. The confidentiality form includes the prohibition on posting PII on the internet without prior written authorization. Such prohibition shall survive the termination or expiration of Kingsley House employees', interns', contractors', and volunteers' employment, internship, contract, or service agreement, as applicable.

Confidentiality Records. Kingsley House employees, interns, contractors, and volunteers are required to comply with Kingsley House confidentiality requirements.

### **Reporting Requirements**

Known or Suspected Violations. Kingsley House employees, interns, contractors, and volunteers are encouraged to report known or suspected deviations of this policy. Kingsley House prohibits taking actions against any Kingsley House employee, intern, contractor, or volunteer for reporting possible deviations from this policy or for cooperating in an investigation.

Retaliation. Any employee, intern, contractor, or volunteer who retaliates against another employee, intern, contractor, or volunteer for reporting a possible deviation from this



*Kingsley House, Inc.*  
*Operations Manual*  
*Section 3.2*

**GRIEVANCE PROCEDURES FOR PROGRAM PARTICIPANTS**

**POLICY:** Program participants will be informed of their right to file a grievance at the initiation of program services. If a complaint is made, a written copy of the procedure will be provided to the program participant immediately upon receipt of the complaint.

**PURPOSE:** To provide applicants and persons receiving services the means to lodge complaints or appeals.

**PROCEDURE:**

- All program participants are informed of their rights to file a grievance if they are unhappy with a service or with the manner in which they were treated by the organization. Each participant acknowledges his knowledge of the right by signing the *participant rights, responsibility and authorizations* form.
- At the time a complaint occurs, the program participant or parent/guardian, as appropriate, is provided with a copy of the agency's grievance procedure and the grievance form.
- The agency will maintain documentation of its response on the *Program Participant Grievance Form*.
- The program participant will be provided with a copy of the *Program Participant Grievance Form* upon resolution of the complaint and the agency will retain documentation of the form.
- The Chief Operating Officer will be notified in writing of all complaints lodged against any agency program and/or personnel and all steps made to successfully resolve grievances of program participants annually.
- The CQI oversight committee and CQI committee of the board reviews complaints and assess for patterns.
- Government funded and licensed programs of the agency are required to notify program participants of their right to file a grievance with the funding source or licensing agency. This notification is maintained in the participant's file and a general notice is posted. The address of the agency where grievances are reviewed is provided to participants at intake by each licensed program and those receiving government funding.
- Grievance procedures should be posted in the program common areas including both reception areas and parent and participant bulletin boards.

## Grievance procedures for program participants

(Revised August 2009)

1. If you have a complaint or are not satisfied with the service being received, first discuss it with your assigned staff person and/or their immediate supervisor.
2. If the problem is not resolved to your satisfaction, you should complete the *Program Participant Grievance Form* and submit it to the Department Director.
3. The Department Director will arrange a meeting within five (5) working days to include: the program participant and his/her representative (if requested); the staff person; and any other agency personnel or program participants involved.
4. The results of this meeting will be briefly reported on the *Program Participant Grievance Form* and all appropriate signatures shall be secured.
5. If the program participant is dissatisfied with the results, s/he may appeal by forwarding a written request, along with the completed grievance form, to the Chief Program Officer for Programs.
6. The Chief Program Officer for Programs or his/her designee will schedule a meeting with the involved parties within three (3) working days of receiving the written request, unless s/he is out of the office and unavailable. In those cases, an appointment will be scheduled upon the Chief Program Officer's return. If the nature of the participant's grievance is such that it requires immediate attention, then the Chief Program Officer for Administration or Deputy Program Officer may substitute for the Chief Program Officer for Programs.
7. The results of this meeting will be put in writing on the *Program Participant Grievance Form* and all appropriate signatures shall be secured.  
If satisfaction still is not achieved, the participant may request an appointment in writing to meet with the Chief Operating Officer.
8. If he/she is still not satisfied, a meeting with the Chair of the Continuous Quality Improvement Committee of the Kingsley House Board of Directors can be requested.
9. If desired, the participant may include a representative of their choice at any time in the grievance process.
10. No program participant utilizing the grievance procedure will be retaliated against in any ways.

***If you are unhappy with the results of your grievance, Participants in federally funded programs (Head Start/Early Head Start, Adult Day Health Care) may also file a complaint with the organizations that have oversight responsibility for Kingsley House programs.***

Head Start/Early Head Start

Contact: James Evans, Deputy Director (504) 309-3504

Total Community Action

Adult Day Health Care

Contact: State of Louisiana Department of Health & Hospitals 1-800-660-0488

**PROGRAM PARTICIPANT GRIEVANCE FORM**

PROGRAM PARTICIPANT NAME:

\_\_\_\_\_

STAFF PERSON NAME:

\_\_\_\_\_

PROGRAM:

\_\_\_\_\_

Reason for Complaint (feel free to attach additional sheets as necessary)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**STEPS TAKEN TOWARDS RESOLUTION**

1. Grievance Discussed with Staff Person and their immediate supervisor?

Date \_\_\_\_\_

Staff Signature \_\_\_\_\_

Date \_\_\_\_\_

Supervisor Signature \_\_\_\_\_

Resolution:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

2. Discussed with Department Director?

Date \_\_\_\_\_

Department Director Signature \_\_\_\_\_

Participant Signature \_\_\_\_\_

Staff Signature \_\_\_\_\_

Resolution:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

3. Discussed with Chief Program Officer for Programs or designee?

Date \_\_\_\_\_

Chief Program Officer  
Signature \_\_\_\_\_

Participant Signature \_\_\_\_\_

Staff Signature \_\_\_\_\_

Resolution:

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4. Discussed with the Chief Operating Officer?

Date \_\_\_\_\_

Chief Operating Officer Signature  
\_\_\_\_\_

Resolution:

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5. Discussed with CQI committee?

Date: \_\_\_\_\_

Committee chair signature: \_\_\_\_\_

Resolution:

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*Attach any relevant materials or communications that may help to understand  
the course and circumstances of the complaint*

**KINGSLEY HOUSE, INC.  
AND AFFILIATES  
COMBINED FINANCIAL STATEMENTS**

**June 30, 2019 and 2018 (Restated)**



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JON S. FOLSE  
LISA D. ENGLADE  
KERNEY F. CRAFT, JR.



JONATHAN P. KOENIG  
JOHN D. WHITE  
VALERIE L. LOWRY

**WEGMANN DAZET & COMPANY**

INDEPENDENT AUDITORS' REPORT

To the Board of Directors  
Kingsley House, Inc. and  
Affiliates  
New Orleans, Louisiana

**Report on the Combined Financial Statements**

We have audited the accompanying combined financial statements of Kingsley House, Inc. and Affiliates (a nonprofit organization), which comprise the combined statements of financial position as of June 30, 2019 and 2018, and the related combined statements of activities, functional expenses, and cash flows for the years then ended, and the related notes to the combined financial statements.

**Management's Responsibility for the Combined Financial Statements**

Management is responsible for the preparation and fair presentation of these combined financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

**Auditors' Responsibility**

Our responsibility is to express an opinion on these combined financial statements based on our audits. We conducted our audits in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the combined financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the combined financial statements. The procedures selected depend on the auditors' judgment, including the assessment of the risks of material misstatement of the combined financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the combined financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the combined financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

## **Opinion**

In our opinion, the combined financial statements referred to above present fairly, in all material respects, the financial position of Kingsley House, Inc. and Affiliates as of June 30, 2019 and 2018, and the changes in its net assets and its cash flows for the years then ended in accordance with accounting principles generally accepted in the United States of America.

## **Other Matters**

Our audits were conducted for the purpose of forming an opinion on the combined financial statements as a whole. The accompanying schedule of expenditures of federal awards, as required by Title 2 U.S. *Code of Federal Regulations* (CFR) Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*, and the accompanying Summary of Compensation, Benefits and Other Payments to Agency Heads are presented for purposes of additional analysis and are not a required part of the combined financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audit of the combined financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the information is fairly stated, in all material respects, in relation to the combined financial statements as a whole.

## **Other Reporting Required by *Government Auditing Standards***

In accordance with *Government Auditing Standards*, we have also issued our report dated December 19, 2019, on our consideration of Kingsley House, Inc. and Affiliate's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering Kingsley House, Inc. and Affiliate's internal control over financial reporting and compliance.

## **Correction of Error**

As discussed in Note 25 to the combined financial statements, certain errors resulting in understatement of amounts previously reported for accounts receivable and an understatement of amounts previously reported for net assets as of June 30, 2018, were discovered by management of the Organization during the current year. Accordingly, amounts reported for accounts receivable and net assets have been restated in the 2018 combined financial statements now presented and an adjustment has been made to net assets as of June 30, 2018, to correct the error. Our opinion is not modified with respect to this matter.

December 19, 2019

Wegmann Dazet + Company

**KINGSLEY HOUSE, INC. AND AFFILIATES**  
**COMBINED STATEMENTS OF FINANCIAL POSITION**

June 30, 2019 and 2018 (Restated)

	Without Donor Restrictions	With Donor Restrictions	2019	2018
<b>ASSETS</b>				
<b>Current assets</b>				
Cash and cash equivalents	\$ 1,194,485	\$ -	\$ 1,194,485	\$ 782,053
Investments	1,180,034	-	1,180,034	1,219,631
Promises to give, net	183,574	939,306	1,122,880	432,114
Accounts receivable				
Government contracts	424,563	-	424,563	412,476
Other	397,937	-	397,937	490,666
Prepaid expenses	285,831	-	285,831	25,096
Total current assets	3,666,424	939,306	4,605,730	3,362,036
Cash held for acquisition of property and donor restricted purposes	131,230	-	131,230	176,876
Long-term investments	-	343,438	343,438	332,318
Notes receivable	5,348,000	-	5,348,000	5,348,000
Property and equipment, net	13,666,976	-	13,666,976	14,314,343
Total assets	\$ 22,812,630	\$ 1,282,744	\$ 24,095,374	\$ 23,533,573
<b>LIABILITIES</b>				
<b>Current liabilities</b>				
Line of credit	\$ 345,262	\$ -	\$ 345,262	\$ 363,562
Accounts payable and accrued liabilities	994,999	-	994,999	872,375
Accrued payroll and related liabilities	356,423	-	356,423	361,731
Deferred revenue	157,036	-	157,036	36,781
Current portion of long-term debt	147,613	-	147,613	146,087
Total current liabilities	2,001,333	-	2,001,333	1,780,536
Long-term debt, less current portion	9,330,392	-	9,330,392	9,477,861
Total liabilities	11,331,725	-	11,331,725	11,258,397
<b>NET ASSETS</b>				
<b>Without donor restrictions</b>				
Undesignated	9,677,415	-	9,677,415	9,988,463
Designated by the Board	1,803,490	-	1,803,490	1,817,989
<b>With donor restrictions</b>				
Perpetual in nature	-	343,438	343,438	332,318
Purpose restrictions	-	939,306	939,306	136,406
Total net assets	11,480,905	1,282,744	12,763,649	12,275,176
Total liabilities and net assets	\$ 22,812,630	\$ 1,282,744	\$ 24,095,374	\$ 23,533,573

See accompanying Notes to Combined Financial Statements.

KINGSLEY HOUSE, INC. AND AFFILIATES  
COMBINED STATEMENT OF ACTIVITIES

For the Year Ended June 30, 2019

	Without Donor Restrictions	With Donor Restrictions	Total
<b>Revenues</b>			
Governmental contracts	\$ 12,069,386	\$ -	\$ 12,069,386
Foundation and corporate contracts	790,575	-	790,575
United Way funding for next year	-	102,532	102,532
Contributions	554,993	896,774	1,451,767
Donated services	1,630,185	-	1,630,185
Investment income	83,463	15,051	98,514
Program fees	102,391	-	102,391
Other income	464,220	-	464,220
<b>Net assets released from restrictions</b>			
United Way	136,406	(136,406)	-
Restrictions satisfied by payments	63,931	(63,931)	-
Total revenues	15,895,550	814,020	16,709,570
<b>Expenses</b>			
<b>Program services</b>			
Head Start	4,841,641	-	4,841,641
Youth Program	165,674	-	165,674
Adult Day Health Care	806,527	-	806,527
Community Counseling Center	14,507	-	14,507
Early Head Start	7,266,767	-	7,266,767
Community and Supportive Services	197,137	-	197,137
Participant Meal Program	542,646	-	542,646
<b>Supporting services</b>			
General and administrative	2,035,629	-	2,035,629
Fundraising	350,569	-	350,569
Total expenses	16,221,097	-	16,221,097
Change in net assets	(325,547)	814,020	488,473
<b>Net assets</b>			
Beginning of year	11,806,452	468,724	12,275,176
End of year	\$ 11,480,905	\$ 1,282,744	\$ 12,763,649

See accompanying Notes to Combined Financial Statements.

KINGSLEY HOUSE, INC. AND AFFILIATES  
 COMBINED STATEMENT OF ACTIVITIES  
 For the Year Ended June 30, 2018 (Restated)

	Without Donor Restrictions	With Donor Restrictions	Total
<b>Revenues</b>			
Governmental contracts	\$ 11,131,933	\$ -	\$ 11,131,933
Foundation and corporate contracts	868,576	170,568	1,039,144
United Way funding for next year	-	136,406	136,406
Contributions	587,270	-	587,270
Donated services	1,439,283	-	1,439,283
Investment income	109,461	31,128	140,589
Program fees	99,819	-	99,819
Other income	335,007	-	335,007
<b>Net assets released from restrictions</b>			
United Way	139,687	(139,687)	-
Release from restrictions - fixed assets	2,588,680	(2,588,680)	-
Release from restrictions - pledges	519,522	(519,522)	-
Restrictions satisfied by payments	754,088	(754,088)	-
	<b>Total revenues</b>	<b>(3,663,875)</b>	<b>14,909,451</b>
<b>Expenses</b>			
<b>Program services</b>			
Head Start	5,055,787	-	5,055,787
Youth Program	226,612	-	226,612
Adult Day Health Care	865,288	-	865,288
Community Counseling Center	113,381	-	113,381
Early Head Start	6,671,571	-	6,671,571
Community and Supportive Services	281,710	-	281,710
Participant Meal Program	564,665	-	564,665
<b>Supporting services</b>			
General and administrative	2,133,994	-	2,133,994
Fundraising	315,413	-	315,413
	<b>Total expenses</b>	<b>-</b>	<b>16,228,421</b>
Change in net assets	2,344,905	(3,663,875)	(1,318,970)
<b>Net assets</b>			
Beginning of year	9,461,547	4,132,599	13,594,146
End of year	\$ 11,806,452	\$ 468,724	\$ 12,275,176

See accompanying Notes to Combined Financial Statements.

KINGSLEY HOUSE, INC. AND AFFILIATES  
 COMBINED STATEMENT OF FUNCTIONAL EXPENSES  
 For the Year Ended June 30, 2019

	Program Services						Supporting Services		Total		
	Head Start	Youth Program	Adult Day Health Care	Community Counseling Center	Early Head Start	Community & Supportive Services	Participant Meal Program	Program Services		General and Administrative	Fundraising
Personnel	\$ 2,303,276	\$ 52,523	\$ 434,593	\$ 12,258	\$ 3,259,119	\$ 92,731	\$ 75,400	\$ 6,229,900	\$ 574,398	\$ 160,260	\$ 6,964,558
Employee benefits	145,430	(2,634)	33,840	903	187,070	5,909	5,541	376,059	13,404	3,534	392,997
Health insurance	58,321	(125)	13,023	-	92,829	2,877	662	167,587	13,442	4,660	185,689
Retirement	57,231	(35)	11,845	355	87,149	2,521	1,182	160,248	13,079	4,309	177,636
Other	170,308	4,586	32,407	991	242,206	7,079	5,944	463,521	42,433	11,638	517,592
Payroll taxes	2,734,566	54,315	525,708	14,507	3,868,373	111,117	88,729	7,397,315	656,756	184,401	8,238,472
Total personnel and related expenses	39,710	70	1,698	-	88,520	4,545	375	134,918	14,787	2,504	152,209
Conferences, conventions, and meetings	62,089	827	2,944	-	60,759	6,597	421,708	554,924	14,997	4,018	573,939
Food	1,919	2,612	255	-	4,136	163	-	9,085	-	-	9,085
General insurance	1,839	16	33	-	4,218	10	14	6,130	20,560	1,161	27,851
Membership dues	102,213	19,275	21,880	-	87,706	3,243	727	235,044	82,912	3,709	321,665
Occupancy	-	-	-	-	37,729	-	-	37,729	-	-	37,729
Utilities	132,057	25,447	29,792	-	122,274	5,262	6,814	321,646	132,207	4,582	458,435
Repairs and maintenance	777	217	476	-	722	120	-	2,312	597	27	2,936
Janitorial and housekeeping	94,581	5,616	12,136	-	89,291	2,983	5,212	209,819	17,829	3,614	231,262
Building insurance	598,312	10,323	41,471	-	286,814	5,451	6,416	948,787	128,123	22,088	1,098,998
Professional services	882,959	16,464	102,513	-	2,482,047	32,029	12,537	3,528,549	239,156	42,917	3,810,622
Program and office expense	34,491	379	33,535	-	85,749	3,091	114	157,359	13,655	2,989	174,003
Travel and transportation	1,675	-	-	-	1,588	17,123	-	20,386	-	2,312	22,698
Specific assistance to individuals	4,986	3,100	-	-	2,098	-	-	10,184	-	-	10,184
Field trips	-	-	18,361	-	-	1,627	-	19,988	163,268	-	183,256
Bad debt expense	4,692,174	138,661	790,802	14,507	7,222,024	193,361	542,646	13,594,175	1,484,847	274,322	15,353,344
Total expense before depreciation	149,467	27,013	15,725	-	44,743	3,776	-	240,724	550,782	76,247	867,753
Depreciation	4,841,641	165,674	806,527	14,507	7,266,767	197,137	542,646	13,834,899	2,035,629	350,569	16,221,097
Total expenses	5,141,108	192,687	822,252	29,014	7,311,511	193,913	542,646	14,075,074	2,586,411	426,816	17,084,907

See accompanying Notes to Combined Financial Statements.

**KINGSLEY HOUSE, INC. AND AFFILIATES**  
**COMBINED STATEMENT OF FUNCTIONAL EXPENSES**  
For the Year Ended June 30, 2018 (Restated)

	Program Services							Supporting Services		Total	
	Head Start	Youth Program	Adult Day Health Care	Community Counseling Center	Early Head Start	Community & Supportive Services	Participant Meal Program	Program Services	General and Administrative		Fundraising
Personnel	\$ 2,248,428	\$ 98,494	\$ 472,468	\$ 45,485	\$ 3,216,992	\$ 131,406	\$ 60,015	\$ 6,273,198	\$ 640,911	\$ 143,751	\$ 7,057,860
Employee benefits											
Health insurance	281,757	7,219	63,986	3,350	382,429	18,094	9,749	766,584	56,174	8,809	831,567
Retirement	61,664	1,420	14,929	1,565	88,048	4,761	1,618	174,005	17,264	4,748	196,017
Other	54,378	629	12,784	1,429	83,219	3,532	834	156,805	13,244	3,726	173,775
Payroll taxes	164,268	7,725	34,466	3,323	237,090	9,611	4,554	461,037	56,642	10,700	528,379
Total personnel and related expenses	2,810,495	115,487	598,633	55,152	4,007,688	167,404	76,770	7,831,629	784,235	171,734	8,787,598
Conferences, conventions, and meetings	31,293	622	905	219	58,543	3,762	315	95,659	15,825	3,449	114,933
Food	71,483	2,874	6,547	166	64,777	6,558	433,035	585,440	13,652	7,351	606,443
General insurance	4,388	2,873	283	-	4,388	283	-	12,215	-	-	12,215
Membership dues	1,741	-	40	-	2,422	-	-	4,203	14,117	1,891	20,211
Occupancy											
Utilities	144,613	15,333	47,657	761	50,350	2,546	1,483	262,743	64,820	3,115	330,678
Rent	(332)	-	-	14,896	-	7,860	-	22,424	7,448	-	29,872
Repairs and maintenance	62,776	9,697	27,503	1,407	34,881	1,447	14,837	152,548	87,154	2,383	242,085
Janitorial and housekeeping	89	41	132	-	320	30	-	612	80	759	1,451
Building insurance	58,676	26,772	62,245	1,441	69,156	13,977	-	232,267	70,825	3,200	306,292
Professional services	626,433	4,371	21,692	22,028	249,140	(321)	17,293	940,636	252,140	15,906	1,208,682
Program and office expense	1,113,231	14,338	34,982	14,207	2,006,414	27,939	20,849	3,231,960	260,355	26,882	3,519,197
Travel and transportation	20,300	352	43,090	1,178	46,745	10,232	83	121,980	13,833	2,751	138,564
Specific assistance to individuals	250	-	-	-	484	26,219	-	26,953	-	-	26,953
Field trips	2,513	6,811	-	-	1,656	1,036	-	12,016	-	-	12,016
Bad debt expense	2,335	337	7,253	998	3,066	10,530	-	24,519	1,537	147	26,203
Total expense before depreciation	4,950,284	199,908	850,962	112,453	6,600,030	279,502	564,665	13,557,804	1,586,021	239,568	15,383,393
Depreciation	105,503	26,704	14,326	928	71,541	2,208	-	221,210	547,973	75,845	845,028
Total expenses	\$ 5,055,787	\$ 226,612	\$ 865,288	\$ 113,381	\$ 6,671,571	\$ 281,710	\$ 564,665	\$ 13,779,014	\$ 2,133,994	\$ 315,413	\$ 16,228,421

See accompanying Notes to Combined Financial Statements.

KINGSLEY HOUSE, INC. AND AFFILIATES  
 COMBINED STATEMENTS OF CASH FLOWS  
 For the Years Ended June 30, 2019 and 2018 (Restated)

	2019	2018
Cash flows from operating activities:		
Change in net assets	\$ 488,473	\$ (1,318,970)
Adjustments to reconcile change in net assets to net cash provided (used) by operating activities:		
Depreciation	867,753	845,028
Interest and dividends received, net of fees	(25,510)	(26,073)
Unrealized loss/(gain) on investment, net	4,060	(12,586)
Realized loss/(gain) on investment, net	(77,064)	(26,524)
Bad debt expense	100,985	19,478
(Increase) decrease in operating assets:		
Accounts receivable	80,642	103,414
Promises to give	(791,751)	207,617
Prepaid expenses	(260,735)	87,979
Increase (decrease) in operating liabilities:		
Accounts payable and accrued expenses	122,624	764,134
Accrued payroll and related liabilities	(5,308)	-
Deferred revenue	120,255	-
Net cash provided by operating activities	<u>624,424</u>	<u>643,497</u>
Cash flows from investing activities:		
Purchase of land, buildings and equipment	(220,386)	(81,618)
Net change in cash held for acquisition of property	45,646	46,074
Sale (purchase) of investments, net	87,393	(214,090)
Proceeds from sale of investments, net	39,598	141,193
Net cash used by investing activities	<u>(47,749)</u>	<u>(108,441)</u>
Cash flows from financing activities:		
Borrowings under line of credit	902,592	176,380
Repayments of line of credit	(920,892)	(207,325)
Repayments of long-term debt	(145,943)	(145,033)
Net cash used by financing activities	<u>(164,243)</u>	<u>(175,978)</u>
Net increase in cash	412,432	359,078
Cash and cash equivalents at beginning of year	<u>782,053</u>	<u>422,975</u>
Cash and cash equivalents at end of year	<u>\$ 1,194,485</u>	<u>\$ 782,053</u>

See accompanying Notes to Combined Financial Statements.

KINGSLEY HOUSE, INC. AND AFFILIATES  
NOTES TO COMBINED FINANCIAL STATEMENTS  
For the Years Ended June 30, 2019 and 2018 (Restated)

1) Nature of activities

Kingsley House, Inc. and Affiliates (the “Organization”) is a not-for-profit corporation and is a United Way agency serving Southeast Louisiana. The Organization obtains funds from state and federal governmental grants and private donor contributions. The affiliates of the Organization include Kingsley House Foundation, Inc. and 1542 Constance Street, Inc.

Kingsley House Foundation, Inc. (the “Foundation”) is a Louisiana not-for-profit entity which was organized on May 28, 2013 for the purpose of serving as the fundraising arm to Kingsley House, Inc. The Foundation is considered a supporting organization under Internal Revenue Code 509(a)(3). The Foundation is governed by a board of directors with at least 60% of the board being comprised of Kingsley House, Inc. board members.

1542 Constance Street, LLC was formed on August 6, 2013 for the purpose of building the Patrick F. Taylor campus (the “Project”) located at municipal address 901 Richard Street, directly across from the Organization’s main campus. The Organization serves as the sole member of the entity and is responsible for its management. During the fiscal year ended June 30, 2014, the Organization acquired 4.2 acres of land adjacent to the Organization’s main campus upon which it has constructed a 24,000 square foot facility at an estimated project cost, inclusive of the land acquisition, of approximately \$12.5 million to serve more than 300 infants, toddlers, seniors and medically fragile adults. The facility was opened in August 2016.

On January 23, 2015, 1542 Constance Street, LLC was changed to a corporation, 1542 Constance Street, Inc., for the purpose of securing New Markets Tax Credits (“NMTCs”) (Note 12) related to construction of a new facility to serve the community.

In anticipation of the Project, the Organization formed the Foundation discussed above. The Foundation began a 2013 Capital Campaign to fund, in part, the Project and also to provide for ongoing operational and maintenance costs of the Project and the Organization’s main campus. This Capital Campaign continued through 2017. The financing for the Project is a mixture of New Markets Tax Credits, a state Office Community Development Project-Based Recovery Opportunity Program Loan, and a grant from Kingsley House. Construction began in 2015 and was completed in August of 2016.

Programs provided by the Organization are as follows:

**Head Start** - A state licensed Head Start center is provided for 339 children.

**Early Head Start** – A state licensed Early Head Start center for 220 children. The Organization is an Early Head Start/Child Care Partnership Start grantee. Through a competitive grant process, in December of 2014 the Organization was selected as one of four grantees in the state of Louisiana. This established the Organization as a grantee for an additional 150 infants and toddler slots amongst 9 child care partners. In addition, in July of 2015, the Organization was selected as one of three Head Start/Early Head Start grantees in the New Orleans Area. The combined grant allows the Organization to operate the most diverse model in the State of Louisiana.

**Adult Day Health Care** – The Organization operates an adult day health care program licensed for 158 elderly or disabled adults and a senior center for persons over 60 years old.

**Participant Meals Program** – The Organization operates two full kitchens to prepare and serve breakfast, lunch, and snacks to participants in the Head Start, Early Head Start, Youth Program and Adult Day Health Care programs.

KINGSLEY HOUSE, INC. AND AFFILIATES  
NOTES TO COMBINED FINANCIAL STATEMENTS  
For the Years Ended June 30, 2019 and 2018 (Restated)

1) Nature of activities (continued)

Community and Supportive Services – The Organization provides intensive case management services for former St. Bernard Housing Development residents as they resettle in a redeveloped mixed income community. On June 1, 2015, the Organization entered into a grant with the Safe Exchange Program and the City of New Orleans to provide services for domestic violence, child abuse, and sexual harassment.

Youth Program – The Organization operates a full day summer camp program.

Community Counseling Center – Following Hurricane Katrina, the Organization developed a program to help families recover from the effects of Hurricane Katrina by providing intense in-home counseling and conducting outreach activities designed to respond to medical and nutritional needs of individuals and families.

2) Summary of significant accounting policies

The significant accounting policies followed by the Organization are summarized as follows:

(a) Financial statement presentation

The Organization's policy is to prepare its financial statements on the accrual basis of accounting, which recognizes all revenues and the related assets when earned and all expenses and the related obligations when incurred.

The accompanying combined financial statements present the combined statements of financial position, changes in net assets, functional expenses, and cash flows of Kingsley House, Inc., Kingsley House Foundation, Inc. and 1542 Constance Street, Inc. (together referred to as the "Organization"). All significant inter-company accounts and transactions have been eliminated.

(b) Basis of presentation

Financial Accounting Standards Board ("FASB"), Accounting Standards Codification ("ASC") 958, *Financial Statements for Not-for-Profit Entities*, requires the net assets and changes in net assets be reported for two classifications – net assets with donor restrictions and net assets without donor restrictions based on the existence or absence of donor imposed restrictions.

The Organization reports gifts of cash and other assets as restricted support if they are received with donor imposed restrictions or requirements that limit the use of the donation. A donor restriction ends when a time restriction is met or a purpose restriction is accomplished. As restrictions are met, assets are reclassified to net assets without donor restrictions.

(c) Designation of net assets without donor restrictions

It is the policy of the Board of Directors of the Organization to review its plan for future property improvements and acquisitions from time to time and to designate certain amounts to ensure adequate financing of such improvements and acquisitions.

(d) Revenue recognition

Contributions are recognized when the donor makes a promise to give to the Organization that is, in substance, unconditional. Contributions that are restricted by the donor are reported as increases in net assets with donor restrictions.

KINGSLEY HOUSE, INC. AND AFFILIATES  
 NOTES TO COMBINED FINANCIAL STATEMENTS  
 For the Years Ended June 30, 2019 and 2018 (Restated)

2) Summary of significant accounting policies (continued)

(d) Revenue recognition (continued)

When a restriction expires, net assets with donor restrictions are reclassified to net assets without donor restrictions.

The Organization uses the allowance method to determine uncollectible unconditional promises to give receivable. The allowance is based on prior years' experience and management's analysis of specific promises made.

(e) Donated services

The Organization recognizes the fair value of donated services received if such services a) create or enhance nonfinancial assets or b) require specialized skills that are provided by individuals possessing those skills and would typically need to be purchased if not donated. The programs for which the donated services were used are reflected in the schedules below.

The Organization has recorded \$1,630,185 and \$1,439,283 in the Head Start and Early Head Start programs for donated services for the years ended June 30, 2019 and 2018, respectively. These services include:

	<u>2019</u>	<u>2018</u>
Volunteers	\$ 1,592,136	\$ 1,364,250
Professional services	-	1,277
Supplies	38,049	35,660
Other	-	38,096
Total donated services	\$ 1,630,185	\$ 1,439,283

The Organization receives services from a large number of volunteers who give significant amounts of their time to the Organization's programs, but which do not meet the criteria for financial statement recognition. The Organization received 66,655 and 79,541 volunteer hours for the years ended June 30, 2019 and 2018, respectively.

(f) Donated assets

Donated marketable securities and other noncash donations are recorded as contributions at their estimated fair market values at the date of donation. Such donations are reported as net assets without donor restrictions unless the donor has restricted the donated asset to a specific purpose. Assets donated with explicit restrictions regarding their use and contributions of cash that must be used to acquire property and equipment are reported as net assets with donor restrictions. Absent donor stipulations regarding how long those donated assets must be maintained, the Organization reports expirations of donor restrictions over the useful life of the donated asset. The Organization reclassifies net assets with donor restrictions to net assets without donor restrictions over such useful life.

(g) Functional expenses

Expenses are charged to each program directly when the charge is identified to the program. Program expenditures which cannot be directly identified to a program are allocated based on square footage, usage statistics, employees, and ratio of program expenses to total expenses as appropriate. Supporting services include those expenses that are not directly identifiable with any other specific function but provide for the overall support and direction of the Organization.

KINGSLEY HOUSE, INC. AND AFFILIATES  
NOTES TO COMBINED FINANCIAL STATEMENTS  
For the Years Ended June 30, 2019 and 2018 (Restated)

2) Summary of significant accounting policies (continued)

(g) Functional expenses (continued)

Expenses are allocated among the various program services and general and administrative categories based on actual use or management's best estimate in the combined statements of functional expenses.

(h) Cash and cash equivalents

All cash-related items having a maturity of three months or less from the original maturity date are classified as cash and cash equivalents.

(i) Investments

Investments in equity securities with readily determinable fair values are reported at their fair values in the combined statements of financial position. Unrealized gains and losses are included in the change in net assets. Investments with a maturity of one year or less are classified as current.

(j) Accounts receivable

Accounts are considered overdue if uncollected within ninety days of original invoice. The Organization considers grant receivables to be fully collectible and when a balance becomes uncollectible, they are written off. No allowance for uncollectible account has been provided, as management has evaluated the accounts and believes they are all collectible.

(k) Promises to give

Unconditional promises to give that are expected to be collected within one year are recorded at net realizable value. Unconditional promises to give that are expected to be collected in future years are recorded at the present value of their estimated future cash flows. Conditional promises are recorded when all conditions have been met. All other donor-restricted contributions are reported as increases in net assets with donor restrictions. When a restriction expires, net assets with donor restrictions are reclassified to net assets without donor restrictions and reported in the Statements of Activities as net assets released from restrictions.

(l) Pledges receivable

Pledges receivable consists of unconditional promises to give that are expected to be collected in future years and are recorded at the present value of their estimated future cash flows.

An allowance for uncollectible accounts has been maintained for estimated losses resulting from the inability of its donors to make required payments and the present value discount recorded. The Organization's estimate for the allowance for doubtful accounts is based on a review of the current pledge receivable.

As of June 30, 2019 and 2018, promises to give consisted of:

	<u>2019</u>	<u>2018</u>
United Way	\$ 102,532	\$ 136,406
Donors	1,209,256	383,631
Less allowance for doubtful pledges	<u>(188,908)</u>	<u>(87,923)</u>
Net pledges receivable	<u>\$ 1,122,880</u>	<u>\$ 432,114</u>

KINGSLEY HOUSE, INC. AND AFFILIATES  
NOTES TO COMBINED FINANCIAL STATEMENTS  
For the Years Ended June 30, 2019 and 2018 (Restated)

2) Summary of significant accounting policies (continued)

(m) Property and equipment

Property and equipment are carried at cost. Depreciation of property is provided over the estimated useful lives of the assets using the straight-line method. Repairs and maintenance are expensed as incurred. Expenditures that increase the value or productive capacity of assets are capitalized. When property and equipment are retired, sold, or otherwise disposed of, the assets carrying amount and related accumulated depreciation are removed from the accounts and any gain or loss is included in operations. The estimated useful lives of depreciable assets are:

	<u>Useful Lives</u>
Building	5 to 25 years
Improvements	10 to 25 years
Transportation equipment	5 years
Furniture, fixtures and equipment	5 to 25 years

(n) Fundraising

All expenses associated with fundraising events are expensed as incurred.

(o) Use of estimates

The preparation of financial statements in conformity with U.S. generally accepted accounting principles ("GAAP") requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenses during the reporting period. Actual results could differ from those estimates.

(p) Concentrations of credit risk

Financial instruments that potentially subject the Organization to concentrations of credit risk consist principally of cash deposits. Accounts at each institution are insured by the Federal Deposit Insurance Corporation ("FDIC") up to certain limits. The Organization has not experienced any losses in such accounts. The Organization has no policy requiring collateral or other security to support its deposits.

3) Income taxes

Kingsley House, Inc. is exempt from income taxes under Section 501(c)(3) of the U.S. Internal Revenue Code. Kingsley House Foundation, Inc. is exempt from income taxes under Section 509(a)(3) of the U.S. Internal Revenue Code. 1542 Constance Street, Inc. is exempt from income taxes under Section 501(c)(3) of the U.S. Internal Revenue Code.

The Organization adopted the provisions of ASC 740, Income Taxes. Management of the Organization believes it has no material uncertain tax positions and, accordingly it will not recognize any liability for unrecognized tax benefits. With few exceptions, the Organization is not subject to U.S. federal and state income tax examinations by tax authorities beyond three years from the filing of those returns.

4) Noncurrent assets

As of June 30, 2019 and 2018, \$131,230 and \$176,876, respectively, of cash was held for acquisition of property and donor restricted purposes for the construction of the Patrick F. Taylor campus and related interest and fees.

KINGSLEY HOUSE, INC. AND AFFILIATES  
NOTES TO COMBINED FINANCIAL STATEMENTS  
For the Years Ended June 30, 2019 and 2018 (Restated)

5) Property and equipment, net

Property and equipment is summarized as follows:

	<u>2019</u>	<u>2018</u>
Land	\$ 1,095,967	\$ 1,095,967
Building	20,494,594	20,494,593
Improvements	174,889	174,888
Furniture, fixtures and equipment	1,427,101	1,258,004
Transportation equipment	387,008	335,719
Total costs	<u>23,579,559</u>	<u>23,359,171</u>
Less: accumulated depreciation	<u>9,912,583</u>	<u>9,044,828</u>
Property and equipment	<u><u>\$ 13,666,976</u></u>	<u><u>\$ 14,314,343</u></u>

6) Notes receivable

A leveraged loan agreement was executed on March 10, 2015 between an affiliate of the Federal NMTCs Investor and Kingsley House, Inc. in the amount of \$5,348,000 maturing June 30, 2039 with interest of 1.00%. Principal and interest is receivable quarterly beginning March 15, 2022. The Federal NMTCs Investor has pledged and granted a security interest to Kingsley House, Inc. for substantially all assets of its entities involved in the financing transactions on the closing date. The leveraged loan collaterally assigns all present and future payments, distributions (cash or otherwise), proceeds, profits, income, compensation, property, assets and rights due or to become due and payable to Kingsley House, Inc. in connection with all of the Federal NMTCs Investor’s membership interest.

7) Endowment

The Organization’s endowment consists of donor restricted funds. The Organization has granted the Greater New Orleans Foundation (the “GNO Foundation”) the authority to administer and manage the endowment funds in accordance with the Greater New Orleans Foundation’s investment policy and guidelines as noted below. As required by GAAP, net assets associated with endowment funds are classified and reported based on the existence or absence of donor-imposed restrictions.

The Board of Directors has interpreted the State Prudent Management of Institutional Funds Act (SPMIFA) as requiring the preservation of the fair value of the original gift as of the gift date of the donor-restricted endowment funds absent explicit donor stipulations to the contrary. As a result of this interpretation, the Organization classifies as net assets with donor restrictions – perpetual in nature: (a) the original value of gifts donated to the permanent endowment, (b) the original value of subsequent gifts to the permanent endowment, and (c) accumulations to the permanent endowment made in accordance with the direction of the applicable donor gift instrument at the time the accumulation is added to the fund. In accordance with SPMIFA, the Organization considers

KINGSLEY HOUSE, INC. AND AFFILIATES  
NOTES TO COMBINED FINANCIAL STATEMENTS  
For the Years Ended June 30, 2019 and 2018 (Restated)

7) Endowment (continued)

the following factors in making a determination to appropriate or accumulate donor-restricted endowment funds: (1) the duration and preservation of the various funds, (2) the purposes of the donor-restricted endowment funds, (3) general economic conditions, (4) the possible effect of inflation and deflation, (5) the expected total return from income and the appreciation of investments, (6) other resources of the Organization, and (7) the Organization's investment policies.

**Investment Return Objectives, Risk Parameters and Strategies.** The primary financial objective for the GNO Foundation is to increase the real (inflation-adjusted) purchasing power of endowment assets and income after accounting for endowment spending, inflation, and costs of investment management. Endowment assets are invested in a well-diversified asset mix, which includes equity securities, fixed income securities and alternative investments that is intended to meet this objective. The GNO Foundation has established a 5% real rate of return objective for the GNO Foundation's portfolio. Actual returns in any given year may vary from this amount. Investment assets and allocation between asset classes and strategies are managed to not expose the endowment assets to unacceptable levels of risk.

**Spending Policy.** The GNO Foundation follows a Total Return Spending Policy for its endowment funds. Endowment funds are invested for maximum total return (within acceptable risk parameters), without distinction between income and capital gains. The market value of the fund is measured over the past 12 quarters, and a percentage of the average of those values is made available for grants. This method appropriately puts the focus on the long-term growth of the fund. This, in turn, encourages the appropriate use of equities in the fund, helping the fund to grow at a rate greater than inflation. The annual percentage for 2019 and 2018 distributions were 4%. This percentage is evaluated each year and adjusted as necessary.

The composition of endowments by net asset class at June 30, 2019 and 2018 was:

	Net Assets with Donor Restrictions - Perpetual in Nature 2019	Net Assets with Donor Restrictions - Perpetual in Nature 2018
Endowment net assets, beginning of year	\$ 84,155	\$ 81,095
Investment income	633	581
Realized / unrealized gain	3,471	6,293
Contributions	-	-
Subtotal	<u>88,259</u>	<u>87,968</u>
Grants	3,266	3,227
Administrative expenses	<u>665</u>	<u>586</u>
Endowment net assets, end of year	<u>\$ 84,328</u>	<u>\$ 84,155</u>

KINGSLEY HOUSE, INC. AND AFFILIATES  
NOTES TO COMBINED FINANCIAL STATEMENTS  
For the Years Ended June 30, 2019 and 2018 (Restated)

8) Board designated endowment

As of June 30, 2019 and 2018, the Board of the Organization had designated \$259,110 and \$248,163, respectively, of net assets with donor restrictions – perpetual in nature as a general endowment fund to support the mission of the Organization. Since the amount resulted from restricted donations and is donor-restricted, it is classified and reported as net assets with donor restrictions – perpetual in nature.

The Organization has a spending policy of maintaining realized gains and losses, and investment earnings within the endowment. This is consistent with the Organization’s objective to maintain the purchasing power of the endowment assets as well as to provide additional real growth through investment return.

To achieve that objective, the Organization has adopted an investment policy that attempts to maximize total return consistent with an acceptable level of risk. Endowment assets are invested in a well-diversified asset mix, which includes equity funds and corporate bonds. Accordingly, the Organization expects its endowment assets, over time, to produce a positive average rate of return annually. Investment risk is measured in terms of the total endowment fund; investment assets and allocation between asset classes and strategies are managed to not expose the fund to unacceptable levels of risk.

Composition of and changes in endowment net assets for the years ended June 30, 2019 and 2018 were as follows:

	Net Assets with Donor Restrictions - Perpetual in Nature 2019	Net Assets with Donor Restrictions - Perpetual in Nature 2018
Endowment net assets, beginning of year	\$ 248,163	\$ 223,908
Investment income	6,557	4,763
Realized / unrealized gain	4,390	19,492
Contributions	-	-
Subtotal	<u>259,110</u>	<u>248,163</u>
Grants	-	-
Administrative expenses	<u>-</u>	<u>-</u>
Endowment net assets, end of year	<u>\$ 259,110</u>	<u>\$ 248,163</u>

KINGSLEY HOUSE, INC. AND AFFILIATES  
 NOTES TO COMBINED FINANCIAL STATEMENTS  
 For the Years Ended June 30, 2019 and 2018 (Restated)

9) Investments

Investments are carried at fair value and consist of the following at June 30, 2019 and 2018:

	<u>Costs</u>	<u>2019 Fair Value</u>	<u>2018 Fair Value</u>
Endowment Fund Investments	\$ 59,035	\$ 84,328	\$ 84,155
Board Designated Endowment	129,412	259,110	248,163
Other investments		1,180,034	1,219,631

A summary of return on investments consists of the following for the years ended June 30, 2019 and 2018:

	<u>2019</u>	<u>2018</u>
Endowment Fund Investments		
Investment income	\$ 633	\$ 581
Realized / unrealized gain	3,471	6,293
Board Designated Endowment		
Investment income	6,557	4,763
Realized / unrealized gain	4,390	19,492
Other Investments		
Investment income	33,745	29,915
Realized / unrealized gain	65,143	79,547

10) Lines of credit

The Organization has a \$400,000 line of credit with a financial institution at an annual variable interest rate and is unsecured. The line of credit matures August 3, 2020. The amount outstanding under the line of credit was \$345,262 and \$363,562 at June 30, 2019 and 2018, respectively.

A second line of credit was secured from a financial institution for the Foundation in the amount of \$500,000 at an annual variable interest rate. The line of credit matured January 30, 2019 and was not renewed. The Foundation had no outstanding balance on the line of credit at June 30, 2018. The line of credit was secured by pledges receivable (promises to give) of the Foundation.

11) Related party transactions

The Organization had a balance of \$76,469 due from a related party include in accounts receivable at June 30, 2019 and a \$39,371 balance due to a related party included in accounts payable at June 30, 2019.

KINGSLEY HOUSE, INC. AND AFFILIATES  
NOTES TO COMBINED FINANCIAL STATEMENTS  
For the Years Ended June 30, 2019 and 2018 (Restated)

12) New markets tax credit

The Facility A and B notes are intended to qualify as a “qualified low-income community investment” (QLICI) for the purposes of generating certain tax credits called New Markets Tax Credits (NMTCs) under section 45D of the Internal Revenue Code of 1986, as amended. To qualify, the Organization must comply with certain representations, warranties, and covenants. These include, but are not limited to, a covenant that the “portion of the business” (as defined) will operate to qualify as a qualified low-income community business (a “QALICB”). If, as a result of the breach of the agreement or loan documents by the Organization, JPMorgan Chase Bank, N.A. (“JPMC”), sole member of Chase Community Equity, LLC (Fund Member), sole member of Chase NMTC Kingsley Investment Fund, LLC (the “Fund”), is required to recapture all or any part of the NMTCs previously claimed. 1542 Constance Street, Inc. (“Project Borrower”) and Kingsley House, Inc. (“Sponsor”) agree to indemnify JPMC the NMTCs Recapture Amount. Additionally, the Lenders have a security interest in the assets of the Organization other than real property.

On March 10, 2015, the Project Borrower issued two Facility A promissory notes payable and two Facility B promissory notes payable to the lenders. The notes are subject to credit and loan agreements executed by the Project Borrower, as the QALICB under the NMTCs Program, and the lender.

LIIF CDE Loan A1 (A1 Note) was issued for \$4,345,250 and is secured under the aforementioned credit and loan agreements. The A1 Note matures on December 31, 2044. The note bears interest at a rate per annum equal to 1.1%. The Project Borrower will pay interest only on this note quarterly in arrears on March 5, June 5, September 5, and December 5 of each year, commencing June 5, 2015, and continuing until March 5, 2022. The Project Borrower shall pay amortized principal and interest payments starting June 5, 2022. The Project Borrower may not prepay the A1 Note in full or in part any time prior to the expiration of the NMTCs compliance period.

CNMC CDE Loan A2 (A2 Note) was issued for \$1,002,750 and is secured under the aforementioned credit and loan agreements. The A2 Note matures on December 31, 2044. The note bears interest at a rate per annum equal to 1.1%. The Project Borrower will pay interest only on this note quarterly in arrears on March 5, June 5, September 5, and December 5 of each year, commencing June 5, 2015, and continuing until March 5, 2022. The Project Borrower shall pay amortized principal and interest payments starting June 5, 2022. The Project Borrower may not prepay the A2 Note in full or in part any time prior to the expiration of the NMTCs compliance period.

LIIF CDE Loan B1 (B1 Note) was issued for \$1,959,750 and is secured under the aforementioned credit and loan agreements. The B1 Note matures on December 31, 2044. The note bears interest at a rate per annum equal to 1.1%. The Project Borrower will pay interest only on this note quarterly in arrears on March 5, June 5, September 5, and December 5 of each year, commencing June 5, 2015, and continuing until March 5, 2022. The Project Borrower shall pay amortized principal and interest payments starting June 5, 2022. The Project Borrower may not prepay the B1 Note in full or in part any time prior to the expiration of the NMTCs compliance period.

KINGSLEY HOUSE, INC. AND AFFILIATES  
NOTES TO COMBINED FINANCIAL STATEMENTS  
For the Years Ended June 30, 2019 and 2018 (Restated)

12) New markets tax credit (continued)

CNMC CDE Loan B2 (B2 Note) was issued for \$497,250 and is secured under the aforementioned credit and loan agreements. The B2 Note matures on December 31, 2044. The note bears interest at a rate per annum equal to 1.1%. The Project Borrower will pay interest only on this note quarterly in arrears on March 5, June 5, September 5, and December 5 of each year, commencing June 5, 2015, and continuing until March 5, 2022. The Project Borrower shall pay amortized principal and interest payments starting June 5, 2022. The Project Borrower may not prepay the B2 Note in full or in part any time prior to the expiration of the NMTCs compliance period.

At the end of the seven year Tax Credit Investment Period, March 10, 2022 and ending 90 days thereafter (Put Option Period), the Fund Member may exercise a put option whereby the Investment Fund will sell its interest in the NMTCs Facilities to the Organization for the put price of \$1,000. In the event the Fund Member does not exercise the put and the Organization remains in compliance with the loan terms and the NMTCs rules and regulations, the Organization may exercise a call option during the 90 days following the end of the Put Option Period to purchase the Membership Interest of the Fund Member for an amount equal to the fair market value of the Membership Interest determined by mutual agreement of the parties or qualified independent appraiser.

13) Long-term debt

During fiscal year 2016, 1542 Constance Street, Inc. began drawing down on its long-term debt for construction of the new campus. A loan agreement was executed on March 10, 2015 between the State of Louisiana, Division of Administration, Office of Community Development and the Organization in the amount of \$2,000,000 bearing interest at 1.00%, and maturing March 10, 2030. Principal and interest payments are due monthly in arrears commencing March 10, 2017, and continuing until March 10, 2030. As of June 30, 2017, the loan was drawn in full.

KINGSLEY HOUSE, INC. AND AFFILIATES  
NOTES TO COMBINED FINANCIAL STATEMENTS  
For the Years Ended June 30, 2019 and 2018 (Restated)

13) Long-term debt (continued)

Long-term debt of the Organization at June 30, 2019 and 2018 consists of the following:

	<u>2019</u>	<u>2018</u>
New Markets Tax Credit- LIIF Sub-CDE XXXI, L.L.C. QLICI A loan. Interest is payable quarterly at a rate of 1.1%. Principal amortization begins April 1, 2022 with the first amortization payment due on June 5, 2022. The note matures in December 31, 2044.	\$ 4,345,250	\$ 4,345,250
New Markets Tax Credit- CNMC Sub-CDE 77, L.L.C. QLICI A loan. Interest is payable quarterly at a rate of 1.1%. Principal amortization begins April 1, 2022 with the first amortization payment due on June 5, 2022. The note matures in December 31, 2044.	1,002,750	1,002,750
New Markets Tax Credit- LIIF Sub-CDE XXXI, L.L.C. QLICI B loan. Interest is payable quarterly at a rate of 1.1%. Principal amortization begins April 1, 2022 with the first amortization payment due on June 5, 2022. The note matures in December 31, 2044.	1,959,750	1,959,750
New Markets Tax Credit- CNMC Sub-CDE 77, L.L.C. QLICI B loan. Interest is payable quarterly at a rate of 1.1%. Principal amortization begins April 1, 2022 with the first amortization payment due on June 5, 2022. The note matures in December 31, 2044.	497,250	497,250
Note Payable - Interest is payable monthly at a rate of 1.0% beginning on September 10, 2016. Principal payments began on March 10, 2017. The note matures in March 10, 2030.	<u>1,673,005</u>	<u>1,818,948</u>
Total long-term debt	9,478,005	9,623,948
Less current portion	<u>147,613</u>	<u>146,087</u>
Long-term debt, less current portion	<u>\$ 9,330,392</u>	<u>\$ 9,477,861</u>

KINGSLEY HOUSE, INC. AND AFFILIATES  
 NOTES TO COMBINED FINANCIAL STATEMENTS  
 For the Years Ended June 30, 2019 and 2018 (Restated)

13) Long-term debt (continued)

The maturities of long-term debt are as follows:

2020	\$	147,613
2021		149,155
2022		150,713
2023		152,287
2024		153,740
Thereafter		8,724,497

14) Board designations

It is the policy of the Board of Directors of the Organization to review its plans for future property improvements, acquisitions, and program services from time to time and to designate appropriate sums of unrestricted net assets to ensure adequate financing. At June 30, 2019 and 2018, the Organization had board-designated funds totaling \$1,803,490 and \$1,817,989, respectively, in unrestricted cash and investments on the combined statements of financial position.

15) Net assets with donor restrictions – purpose restrictions

The restrictions on net assets as of June 30, 2019 relate to the following:

	<u>2019</u>
United Way funding for next year	\$ 102,532
Kingsley House Gymnasium	<u>836,774</u>
Total net assets with donor restrictions	<u>\$ 939,306</u>

The \$136,406 of net assets with donor restrictions – purpose restrictions as of June 30, 2018 relate to United Way funding for next year restricted to program functions for 2019.

16) Net assets with donor restrictions – perpetual in nature

The Organization began receiving donations with the intentions of creating a permanent endowment in 2001. The Organization established the endowment funds with the intent to preserve the fair value of the original gift absent explicit donor stipulations to the contrary. As a result, the Organization classifies as net assets with donor restrictions – perpetual in nature the original value of gifts donated to the permanent endowment, and the original value of subsequent gifts to the permanent endowment. The Organization maintains realized and unrealized gains and losses within the endowment. As of June 30, 2019 and 2018, net assets with donor restrictions – perpetual in nature were \$343,438 and \$332,318, respectively.

KINGSLEY HOUSE, INC. AND AFFILIATES  
NOTES TO COMBINED FINANCIAL STATEMENTS  
For the Years Ended June 30, 2019 and 2018 (Restated)

17) Operating leases

Kingsley House, Inc. leases space from 1542 Constance Street, Inc. for its program needs. The lease runs through March 2046. Total rent expense under the lease was \$66,000 for the years ended June 30, 2019 and 2018. The rent expense associated with this lease agreement has been eliminated on the combined statement of activities.

Future minimum rental payments under the lease are as follows:

2020	\$ 66,000
2021	66,000
2022	201,712
2023	505,000
2024	505,000
Thereafter	10,995,968

Portions of the main campus are leased to various organizations. Payments due under the leases are as follows:

2020	\$ 29,000
2021	21,600

The Organization also leases a service facility under a lease agreement accounted as an operating lease. The leases run through January 2021. Total rent expense under the lease was \$31,499 and \$30,288 for the years ended June 30, 2019 and 2018, respectively.

Future minimum rental payments under the lease are as follows:

2020	\$ 32,759
2021	19,546

18) Fair value measurement

Financial Accounting Standards Board Accounting Standards Codification 820, *Fair Value Measurements*, establishes a framework for measuring fair value. That framework provides a fair value hierarchy that prioritizes the inputs to valuation techniques used to measure fair value. The hierarchy gives the highest priority to unadjusted quoted prices in active markets for identical assets or liabilities (level 1 measurements) and the lowest priority to unobservable inputs (level 3 measurements). The three levels of the fair value hierarchy under FASB ASC 820 are described below:

- Level 1    Inputs to the valuation methodology are unadjusted quoted prices for identical assets or liabilities in active markets.
  
- Level 2    Inputs to the valuation methodology include:
  - Quoted prices for similar assets or liabilities in active markets;
  - Quoted prices for identical or similar assets or liabilities in inactive markets;
  - Inputs other than quoted prices that are observable for the asset or liability;

KINGSLEY HOUSE, INC. AND AFFILIATES  
NOTES TO COMBINED FINANCIAL STATEMENTS  
For the Years Ended June 30, 2019 and 2018 (Restated)

18) Fair value measurement (continued)

- Inputs that are derived principally from or corroborated by observable market data by correlation or other means.

If the asset or liability has a specified (contractual) term, the Level 2 input must be observable for substantially the full term of the asset or liability.

Level 3 Inputs to the valuation methodology are unobservable and significant to the fair value measurement.

The asset's or liability's fair value measurement level within the fair value hierarchy is based on the lowest level of any input that is significant to the fair value measurement. Valuation techniques used need to maximize the use of observable inputs and minimize the use of unobservable inputs.

The following is a description of the valuation methodologies used for assets measured at fair value. There have been no changes in the methodologies used at June 30, 2019 and 2018.

*Equities, certain Fixed Income Funds and certain Money Market Funds:* Valued at the closing price reported on the active market on which the individual securities are traded. If quoted market prices are not available for the specific security, then fair values are estimated by using pricing models or quoted prices of securities with similar characteristics.

*Corporate Bonds, Fixed Income Bond Funds, and Mortgage backed Securities:* Valued at the present value of the expected future cash flows utilizing the minimum risk free rate of return. The valuations may be adjusted to reflect illiquidity and/or non-transferability, which are generally based on available market information.

*Money Market Funds and Mutual Funds:* Valued at the net asset value of the shares held at year end.

*Other Investments:* Included in other investments are Private Equity Funds, Limited Liability Entities, Hedge Funds, and Pooled Investment Funds. These investments are valued based upon the units held at year-end multiplied by the respective unit value. The unit value is based upon significant observable inputs, although it is not based upon quoted marked prices in an active market. The underlying investments consist primarily of equity securities, debt obligations, short-term investments and other marketable securities. In accordance with ASC 820-10, these investments are not classified in the fair value hierarchy.

Furthermore, while the Organization believes its valuation methods are appropriate and consistent with other market participants, the use of different methodologies or assumptions to determine the fair value of certain financial instruments could result in a different fair value measurement at the reporting date.

KINGSLEY HOUSE, INC. AND AFFILIATES  
NOTES TO COMBINED FINANCIAL STATEMENTS  
For the Years Ended June 30, 2019 and 2018 (Restated)

18) Fair value measurement (continued)

The following table sets forth by level, within the fair value hierarchy, the Organization's assets at fair value as of June 30, 2019:

	Assets at Fair Value as of June 30, 2019			
	Level 1	Level 2	Level 3	Total
Equity Funds	\$ 996,006	\$ -	\$ -	\$ 996,006
Corporate Bonds	-	61,066	-	61,066
Fixed Income Bond Funds	-	345,104	-	345,104
Money Market Funds	68,002	-	-	68,002
	<u>\$ 1,064,008</u>	<u>\$ 406,170</u>	<u>\$ -</u>	<u>\$ 1,470,178</u>
Investments recorded at NAV as practical expedient				53,294
				<u>\$ 1,523,472</u>

The following table sets forth by level, within the fair value hierarchy, the Organization's assets at fair value as of June 30, 2018:

	Assets at Fair Value as of June 30, 2018			
	Level 1	Level 2	Level 3	Total
Equity Funds	\$ 1,048,540	\$ -	\$ -	\$ 1,048,540
Mutual Funds	-	-	-	-
Corporate Bond Funds	-	338,729	-	338,729
Money Market Funds	101,580	-	-	101,580
Fixed Income Bond Funds	-	\$ 8,386	-	8,386
	<u>\$ 1,150,120</u>	<u>\$ 347,115</u>	<u>\$ -</u>	<u>1,497,235</u>
Investments recorded at NAV as practical expedient				54,714
				<u>\$ 1,551,949</u>

19) Economic dependence

For the year ended June 30, 2019, approximately 72% of the Organization's revenues came from governmental contracts, 5% from foundations and corporate contracts, and 9% came from contributions.

For the year ended June 30, 2018, approximately 74% of the Organization's revenues came from governmental contracts, 7% from foundations and corporate contracts, and 4% came from contributions.

KINGSLEY HOUSE, INC. AND AFFILIATES  
NOTES TO COMBINED FINANCIAL STATEMENTS  
For the Years Ended June 30, 2019 and 2018 (Restated)

19) Economic dependence (continued)

Historically, the Organization has received Early Head Start and Head Start funding as a delegate agency through Total Community Action, the U.S. Department of Health and Human Services grantee for Orleans Parish. In response to an open, competitive application process, the Organization submitted an application to become one of up to five grantees in Orleans Parish. The federal grant was effective July 2015, and the Organization became a direct grantee.

20) Employee benefit plan

The Organization maintains a 403(b) retirement plan for the benefit of all eligible employees, whereby the employees may elect to defer compensation pursuant to a salary reduction agreement. The Organization contributes a match as described in the plan documents. Contributions for the period July 1, 2017 through June 30, 2019 were based on 3.5% of plan participants' salaries. Total retirement plan expense was \$185,689 and \$196,016 for the years ended June 30, 2019 and 2018, respectively.

21) Commitments and contingencies

Kingsley House, Inc. is the guarantor in a New Markets Tax Credit Indemnity Agreement between 1542 Constance Street, Inc. and a lender. Should a recapture event occur, Kingsley House, Inc. could be obligated to pay the recapture amount according to the agreement. Management believes there are no breaches of the agreement as of June 30, 2019.

Kingsley House Foundation, Inc. is a guarantor in a credit agreement between Kingsley House, Inc. and a lender. The note payable balance at June 30, 2019 and 2018 were \$1,673,005 and \$1,818,948, respectively.

Any breach of the loan agreement between 1542 Constance Street, Inc. and CNMC Sub-CDE 77 and LIIF Sub-CDE XXXI, LLC, LLC may require the Organization to pay a recapture amount according to the agreement. Management believes there are no breaches of the agreement as of June 30, 2019.

The Organization is contractually committed to spend \$1,435,000 associated with the purchase of land located at 1542 Constance Street for environmental remediation costs. If remediation costs were less than the committed amount or the amount was not expended by August 2018, the Organization was required to remit to the seller any shortfall. As of December 31, 2016, the Organization fulfilled its commitment.

The Organization received a portion of its revenue from government grants, which are subject to audit by the respective funding source. The ultimate determination of amounts received under these programs generally is based upon allowable costs reported to and audited by such governmental units. Until such audits have been completed and final settlement is reached, there exists a contingency to refund any amount received in excess of allowance costs. Management is of the opinion that no material liability will result from any such audits.

During fiscal year 2014, the Organization partnered with Bayou District Foundation (a local nonprofit organization) and Educare New Orleans (a national nonprofit organization) to operate an early childhood program. The Organization has an agreement to manage and operate the program from July 2019 through June 2024. The Organization receives fees on a reimbursement basis plus a management fee to operate the program.

KINGSLEY HOUSE, INC. AND AFFILIATES  
NOTES TO COMBINED FINANCIAL STATEMENTS  
For the Years Ended June 30, 2019 and 2018 (Restated)

22) Council on Aging

Contracts with the New Orleans Council on Aging from the Governor's Office of Elderly Affairs are as follows:

	<u>2019</u>	<u>2018</u>
Revenues	\$ 51,752	\$ 47,749
Expenses:		
Compensation and related expenses	-	47,200
Operating services	-	549
	\$ 51,752	\$ -

23) Supplemental disclosures of cash flows information

	<u>2019</u>	<u>2018</u>
Interest	\$ 119,857	\$ 85,631
Non-cash financing of insurance premiums	\$ 182,824	\$ -

24) New accounting pronouncements

FASB has issued ASU No. 2014-09, "Revenue from Contracts with Customers," to update its revenue recognition standard to clarify the principles of recognizing revenue and eliminate industry-specific guidance as well as help financial statement users better understand the nature, amount, timing, and uncertainty of revenue that is recognized. This standard will be effective for periods beginning after December 15, 2018.

In February 2016, the FASB issued ASU No. 2016-02, "Leases." This accounting standard requires lessees to recognize assets and liabilities related to lease arrangements longer than 12 months on the balance sheet as well as additional disclosures. The updated guidance is effective for annual periods beginning after December 15, 2020.

The Organization is currently assessing the impact of these pronouncements on its combined financial statements and has elected to not early adopt any of these standards.

25) Restatement of previously issued financials

The Organization has restated its previously issued financial statements as of June 30, 2018 to reflect the correction of errors related to accounts receivable and net assets. During the current year, management of the Organization discovered the accounts receivable was understated in the June 30, 2018 combined financial statements. The effect of the restatement was to increase the change in net assets for 2018 by \$369,762, increase accounts receivable by \$369,762 and net assets at the beginning of 2019 was increased by \$369,762.

KINGSLEY HOUSE, INC. AND AFFILIATES  
NOTES TO COMBINED FINANCIAL STATEMENTS  
For the Years Ended June 30, 2019 and 2018 (Restated)

25) Restatement of previously issued financials (continued)

The effect of the restatement on the statement of activities and financial position as of and for the year ended June 30, 2018 are as follows:

	<u>As previously reported</u>	<u>Restated</u>
Total revenue	\$ 14,909,451	\$ 14,909,451
Total expenses	16,228,421	16,228,421
Change in net assets	(1,318,970)	(1,318,970)
Total net assets	11,905,414	12,275,176
Accounts receivable	42,714	412,476
Total assets	23,163,811	23,533,573
Net assets	11,905,414	12,275,176

26) Liquidity and availability

Financial assets available for general expenditure, that is, without donor or other restrictions limiting their use, within one year of the statement of financial position date, comprise the following:

Cash and cash equivalents	\$ 1,194,485
Accounts receivable	822,500
Investments	1,180,034
Promises to give	<u>1,122,880</u>
Total financial assets	4,319,899
Less net assets with donor restrictions	<u>1,282,744</u>
Financial assets available to meet general expenditures over the next twelve months	<u>\$ 3,037,155</u>

27) Subsequent events

Management has evaluated subsequent events through the date of the auditors' report, the date which the combined financial statements were available to be issued. There were no material subsequent events that required recognition or additional disclosures in these combined financial statements.

**UNIFORM GUIDANCE COMPLIANCE AND  
GOVERNMENT AUDITING STANDARD REPORTS**



**WEGMANN DAZET & COMPANY**

INDEPENDENT AUDITORS' REPORT ON INTERNAL CONTROL OVER  
FINANCIAL REPORTING AND ON COMPLIANCE AND OTHER  
MATTERS BASED ON AN AUDIT OF FINANCIAL  
STATEMENTS PERFORMED IN ACCORDANCE WITH  
*GOVERNMENT AUDITING STANDARDS*

To the Board of Directors  
Kingsley House, Inc. and  
Affiliates  
New Orleans, Louisiana

We have audited, in accordance with the auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States, the combined financial statements of Kingsley House, Inc. and Affiliates (the Organization), which comprise the combined statement of financial position as of June 30, 2019, and the related combined statements of activities, functional expenses, and cash flows for the year then ended, and the related notes to the combined financial statements, and have issued our report thereon dated December 19, 2019.

**Internal Control Over Financial Reporting**

In planning and performing our audit of the combined financial statements, we considered Organization's internal control over financial reporting (internal control) to determine the audit procedures that are appropriate in the circumstances for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the Organization's internal control. Accordingly, we do not express an opinion on the effectiveness of the Organization's internal control.

A *deficiency in internal control* exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis. A *material weakness* is a deficiency, or a combination of deficiencies, in internal control such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected on a timely basis. A *significant deficiency* is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Our consideration of the internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies and therefore, material weaknesses or significant deficiencies may exist that were not identified. Given these limitations, during our audit we did not identify any deficiencies in internal control that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

**Compliance and Other Matters**

As part of obtaining reasonable assurance about whether Organization's combined financial statements are free from material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the

determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

**Purpose of this Report**

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the entity's internal control or on compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the entity's internal control and compliance. Accordingly, this communication is not suitable for any other purpose. Under Louisiana Revised Statute 24:513, this report is distributed by the Legislative Auditor as a public document.

Metairie, Louisiana  
December 19, 2019

Wegmann Dazet + Company

JON S. FOLSE  
LISA D. ENGLADE  
KERNEY F. CRAFT, JR.



JONATHAN P. KOENIG  
JOHN D. WHITE  
VALERIE L. LOWRY

**WEGMANN DAZET & COMPANY**

**INDEPENDENT AUDITORS' REPORT ON COMPLIANCE FOR  
EACH MAJOR PROGRAM AND  
ON INTERNAL CONTROL OVER  
COMPLIANCE REQUIRED BY UNIFORM GUIDANCE**

To the Board of Directors  
Kingsley House, Inc. and  
Affiliates  
New Orleans, Louisiana

**Report on Compliance for Each Major Federal Program**

We have audited Kingsley House, Inc. and Affiliates' (the Organization) compliance with the types of compliance requirements described in the *OMB Compliance Supplement* that could have a direct and material effect on each of the Organization's major federal programs for the year ended June 30, 2019. The Organization's major federal programs are identified in the summary of auditors' results section of the accompanying schedule of findings and questioned costs.

**Management's Responsibility**

Management is responsible for compliance with the requirements of laws, regulations, contracts, and grants applicable to its federal programs.

**Auditors' Responsibility**

Our responsibility is to express an opinion on compliance for each of Organization's major federal programs based on our audit of the types of compliance requirements referred to above. We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and the audit requirements of Title 2 U.S. *Code of Federal Regulations* Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance). Those standards and the Uniform Guidance require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the types of compliance requirements referred to above that could have a direct and material effect on a major federal program occurred. An audit includes examining, on a test basis, evidence Organization's compliance with those requirements and performing such other procedures as we considered necessary in the circumstances.

We believe that our audit provides a reasonable basis for our opinion on compliance for each major federal program. However, our audit does not provide a legal determination of Organization's compliance.

**Opinion on Each Major Federal Program**

In our opinion, Kingsley House, Inc. and Affiliates complied, in all material respects, with the types of compliance requirements referred to above that could have a direct and material effect on each of its major federal programs for the year ended June 30, 2019.

## Report on Internal Control over Compliance

Management of the Organization is responsible for establishing and maintaining effective internal control over compliance with the types of compliance requirements referred to above. In planning and performing our audit of compliance, we considered the Organization's internal control over compliance with the types of requirements that could have a direct and material effect on each major federal program to determine the auditing procedures that are appropriate in the circumstances for the purpose of expressing an opinion on compliance for each major federal program and to test and report on internal control over compliance in accordance with the Uniform Guidance, but not for the purpose of expressing an opinion on the effectiveness of internal control over compliance. Accordingly, we do not express an opinion on the effectiveness of the Organization's internal control over compliance.

*A deficiency in internal control over compliance* exists when the design or operation of a control over compliance does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, noncompliance with a type of compliance requirement of a federal program on a timely basis. *A material weakness in internal control over compliance* is a deficiency, or combination of deficiencies, in internal control over compliance, such that there is a reasonable possibility that material noncompliance with a type of compliance requirement of a federal program will not be prevented, or detected and corrected, on a timely basis. A *significant deficiency in internal control over compliance* is a deficiency, or a combination of deficiencies, in internal control over compliance with a type of compliance requirement of a federal program that is less severe than a material weakness in internal control over compliance, yet important enough to merit attention by those charged with governance.

Our consideration of internal control over compliance was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control over compliance that might be material weaknesses or significant deficiencies. We did not identify any deficiencies in internal control over compliance that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

The purpose of this report on internal control over compliance is solely to describe the scope of our testing of internal control over compliance and the results of that testing based on the requirements of the Uniform Guidance. Accordingly, this report is not suitable for any other purpose. Under Louisiana Revised Statute 24:513, this report is distributed by the Legislative Auditor as a public document.

Metairie, Louisiana  
December 19, 2019

Wegmann Dazet \* Company

KINGSLEY HOUSE, INC. AND AFFILIATES  
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS  
For the Year Ended June 30, 2019

<b>Federal Grantor/Pass-through Grantor/Program</b>	<b>Federal CFDA Number</b>	<b>Agency or Pass-Through Number</b>	<b>Federal Expenditures</b>
<b>U.S. Department of Health and Human Services</b>			
Head Start/Early Head Start	93.600	06CH01015204	\$ 2,741,209
Head Start/Early Head Start	93.600	06CH01015205	5,394,402
Early Head Start Child Care Partnership	93.600	06HP0027/03	634,608
Early Head Start Child Care Partnership	93.600	06HP0027/04	1,911,654
<b>Total U.S. Department of Health and Human Services</b>			<b>10,681,873</b>
<b>U.S. Department of Agriculture</b>			
Louisiana Department of Education			
Child and Adult Care Food Program			
Preschool/ Early Head Start/School Age/Adult	10.558	CC93-432	505,659
<b>Total Expenditures of Federal Awards</b>			<b>\$ 11,187,532</b>

See accompanying Notes to Schedule of Expenditures of Federal Awards.

KINGSLEY HOUSE, INC. AND AFFILIATES  
NOTES TO THE SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS  
For the Year Ended June 30, 2019

Note 1 General

The accompanying Schedule of Expenditures of Federal Awards presents the activity of all federal award programs of Kingsley House, Inc. and Affiliates. The reporting entity is defined in Note 1 to Kingsley House, Inc. and Affiliates combined financial statements. All federal award programs received directly from federal agencies, as well as federal awards passed through other government agencies, are included on the schedule.

Note 2 Basis of accounting

The accompanying Schedule of Expenditures of Federal Awards is presented on the accrual basis of accounting. The information in this schedule is presented in accordance with the requirements of *Title 2 U.S. Code of Federal Regulations Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance.)* Therefore, some amounts presented in this schedule may differ from amounts presented in, or used in the preparation of the basic financial statements. Kingsley House, Inc. and Affiliates has elected not to use the 10 percent de minimus indirect cost rate as allowed under Uniform Guidance.

Note 3 Risk-based audit approach

The dollar threshold used to distinguish between Type A and Type B programs is \$750,000. The Organization does qualify as a low-risk auditee.

Note 4 Possible ineligible, disallowed and questioned costs

Kingsley House, Inc. and Affiliates is subject to audit(s) and investigation(s) by state and federal agencies or their designees for compliance with contractual and programmatic requirements with regard to funding provided to Kingsley House, Inc. and Affiliates. The determination of whether any instances of noncompliance that will ultimately result in remittance by Kingsley House, Inc. and Affiliates of any ineligible or disallowed costs cannot be presently determined.

KINGSLEY HOUSE, INC. AND AFFILIATES  
SCHEDULE OF FINDINGS AND QUESTIONED COSTS  
For the Year Ended June 30, 2019

We have audited the basic combined financial statements of Kingsley House, Inc. and Affiliates as of and for the year ended June 30, 2019, and have issued our report thereon dated December 19, 2019. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in Government Auditing Standards, issued by the Comptroller General of the United States. Our audit of the combined financial statements as of June 30, 2019 resulted in an unmodified opinion.

SUMMARY OF THE AUDITORS' RESULTS

1. Type of report issued on the combined financial statements: **Unmodified Opinion.**
2. Significant deficiencies in internal control were disclosed by the audit of the financial statements: **No.** Material weaknesses: **No.**
3. Noncompliance which is material to the combined financial statements: **No.**
4. Significant deficiencies in internal control over major programs: **No.** Material weaknesses: **No.**
5. Type of report issued on compliance for major programs: **Unmodified Opinion.**
6. Any audit findings which are required to be reported under Section 501(a) of Circular A-133 or in accordance with 2CFR 200.516(a): **No.**
7. Major programs for the fiscal year ended June 30, 2019 were:  
  

U.S. Department of Health and Human Services	
Head Start / Early Head Start	(CFDA #93.600)
Early Head Start Child Care Partnership	(CFDA #93.600)
8. Dollar threshold used to distinguish between Type A and Type B programs: **\$750,000.**
9. Auditee qualified as a low-risk auditee under Uniform Guidance: **Yes.**
10. A management letter was issued: **No.**

SCHEDULE OF FINDINGS RELATED TO THE COMBINED FINANCIAL STATEMENTS

*There were no findings related to the combined financial statements for the year ended June 30, 2019.*

SCHEDULE OF FINDINGS AND QUESTIONED COSTS RELATED TO FEDERAL AWARDS

*There were no items identified in the course of our testing during the current year required to be reported.*

KINGSLEY HOUSE, INC. AND AFFILIATES  
SUMMARY OF COMPENSATION, BENEFITS, AND OTHER  
PAYMENTS TO AGENCY HEADS  
For the Year Ended June 30, 2019

SUMMARY OF COMPENSATION

Keith Liederman  
CEO

\*No agency head expenses were derived from state and/or local assistance.

# Board of Directors 2020-2021

## *EXECUTIVE COMMITTEE MEMBERS*

Richard Roth, *President*  
Chimene Grant Saloy, *President Elect*  
Claudia Carrere Powell, *Treasurer*  
Christine Mitchell, *Vice President*  
Ralph Mahana, *Secretary*  
Miles Channing Thomas, *Immediate Past President*

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## *The Board Member's Bill of Rights*

Board members have rights, beyond those of being volunteers, that must be upheld by the board as well as observed by staff.

- ☒ **The right to understand the role of a board member.** A board member's role is to represent the community in the work of the organization, and to ensure conformity to mission and the availability of resources necessary to continue doing that work and fulfilling that mission.
- ☒ **The right to be informed about the work of the group.** Board members begin as outsiders but should quickly become insiders; the best way to do that is for staff to share inside information. Ask for regular reports on activities, emphasizing how the organization is serving its constituents.
- ☒ **The right to be heard.** A silent board is an unhappy board. Board members must welcome each other's opinions and feel that their opinions are welcomed by the staff.
- ☒ **The right to participate in the work of the group.** Board members who are given nothing to do are more likely to quit than those who have too much to do. Create standing committees, or *ad hoc* task forces.
- ☒ **The right to staff support.** The staff should spell out specific expectations, write schedules for project completion, recruit other volunteers, and follow-up.
- ☒ **The right to try something different.** Some individuals serve on boards to explore other interests and learn new skills. Don't automatically put the broker on the finance committee. Offer bankers the chance to talk about education or marketing people the chance to think about real estate.
- ☒ **The right to equal treatment.** All board members should be held to the same standard. Everyone can afford to contribute. Time is not money; every board member should give both.
- ☒ **The right to relief.** Board terms are the only nonlethal way to get rid of deadwood. After years of service, a board member may have exhausted his or her capacity to give. Term limits allow for a natural way to bring new blood onto the board.
- ☒ **The right to be protected from liability.** Directors' and officers' liability insurance is a must. Special care and skill are required to ensure proper handling of finances and taxes.
- ☒ **The right to know where we've been, where we're going what we're trying to do, and for whom.** Create a culture and maintain esprit de corps by frequently reiterating mission. Conduct planning sessions every few years. Re-evaluate. Change is not a tragedy; it's what keeps groups alive.

Kelly Kleiman, principal, NFP Consulting, works with nonprofit organizations, specializing in marketing, strategic planning, and fund-raising. She can be reached at 773-871-7669.

**KINGSLEY HOUSE  
JOB DESCRIPTION**

<b>Job Title:</b>	Chief Executive Officer	Revised: July 1, 2020
<b>Division:</b>	Administration	
<b>Reports to:</b>	Board of Directors	Exempt SAP Level I
<b>Supervision:</b>	Chief Operating Officer Chief Development Officer Executive Secretary	

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**SUMMARY:**

The Chief Executive Officer (CEO) is the chief professional officer of Kingsley House and guides the work of the agency in accordance with the programs and policies set forth by the Board of Directors. The CEO has the overall responsibility for the organizational health and strategic direction of the organization and is tasked with ensuring that Kingsley House is properly positioned and resourced to carry out its mission and remain a leader in the field of human services. He/she serves as the chief professional liaison to the Board and its chief officer. In partnership with the Board President, the CEO represents the organization in contacts with the general public and community.

**DUTIES AND RESPONSIBILITIES:****Planning and Organizational Development**

- Provide leadership and management of the organization's long-range strategic management (business) planning process by assisting the board and staff in identifying the effects of internal and external forces on the organization and establishing long- and short-range goals for organizational growth and continuity.
- Ensure that the strategic management plan is transparent, sets appropriate priorities, and effectively leverages human and financial resources to address key strategic issues.
- Work with the Board and staff to ensure the successful execution of the strategic management plan.
- Report to the board on the progress toward organizational goals and objectives.
- Attend or is represented by a designee at all meetings of the governing body and/or its committees.
- With the board, monitor the changes in the organization's environment and make necessary adjustments in the long range plan and organizational structure.
- Work with the COO and senior management team to initiate and direct the development of policies for board approval.
- Work closely with the COO and senior management team to develop and sustain a positive, productive organizational culture and climate with effective and efficient support systems needed to manage the work of the organization and accomplish the agency's mission and strategic objectives.

### **Fund Development**

- Drive revenue through all possible channels, creatively diversifying sources of income and revenue for the organization.
- Work intensively with Board members and the Development Department to sustain existing relationships with current supporters and build new relationships with corporations, foundations, agency alumni, prominent individuals, and other board member affiliations to raise funds and enhanced support, especially securing unrestricted funds for administrative expenses and agency operations.
- Work closely with the board to cultivate and develop cooperative relationships necessary to fund and implement effective services and administrative supports.
- Ensure that current financial resources are optimized and that new funding and revenue streams are developed.

### **Fiscal Management**

- Recommend annual budget for Board approval.
- Manage the organization's resources within Board approved budget guidelines and in accordance with all current laws and regulations.

### **Capital Projects**

- Oversee the renovation and expansion of buildings and land.
- Direct the purchase of properties.

### **Staff Administration and Support**

- Ensure effective and efficient management of the organization within the guidelines set forth by the Kingsley House Board of Directors.
- Ensure that there is top talent in all senior leadership roles and identify successors for all senior level positions across the agency.
- Work closely with the COO and senior management team to promote and assure a performance-based agency culture by providing the supports that staff at all levels need to maximize their professional capacities and contribute to the achievement of the agency's mission and organizational objectives.
- Work closely with the COO, senior management team, and Board to strengthen and sustain the organization's core infrastructural support systems and other necessary administrative and programmatic supports.

### **Board Administration and Support**

- Assist the President of the board in preparing the agenda for regular and special board meetings, ensuring that general board and committee meetings are properly arranged, organized, and conducted productively.
- Work with Board leadership to develop the skills and knowledge required to build agreement on issues of importance to the agency and community.
- Staff the Board Nominating Committee to ensure a strong, well balanced and diverse Board.
- In conjunction with the board, assure continuity of direction for the organization through a program of cultivation, recruitment and training of board members.
- Work closely with the Board President to ensure that individual board members understand and fulfill their volunteer leadership responsibilities and expectations.

- Keep the board informed about the agency's operations, financial position, organizational challenges/opportunities, programmatic work and ongoing activities in the community.

### **Community and Public Relations**

- As the primary spokesperson for Kingsley House, assure that the agency's story, mission, program successes and services are consistently presented in strong, positive fashion to all relevant stakeholders, the media, and the community at large in a way that builds good will for the organization.
- Provide leadership for the cultivation of productive relationships with elected leaders, government agencies, media, corporate leaders, funders and other nonprofit organizations, seeking to collaborate and/or form relationships where common goals exist.
- Advocate for the agency's program participants and the communities served by Kingsley House.
- Recommend policy positions concerning legislation, government administrative policies and other matters of public policy of concern to the agency, its participants and the community.

### **SKILLS:**

- Demonstrated expertise in strategic planning, fund development, communications, and organizational development.
- Strong leadership and management skills, including the ability to articulate an organizational vision with a philosophy and style that encourages creativity, growth, collaboration, problem solving, open communication and accountability.
- Experience in leading a large and complex human services institution.
- Enthusiasm, energy, and an entrepreneurial spirit and, recognizing that change is a constant, identifying and welcoming new growth opportunities for the agency.
- Well-developed experience working with and supporting Boards, while also guiding them through board development and growth.
- Must possess a demonstrated understanding of the dynamics of poverty, oppression, sexism, racism and ageism and other forms of societal and individual prejudice that confront our staff, volunteers, program participants and community at-large. Must have a proven ability to work effectively and respectfully with a broad range of people from diverse cultural, ethnic and socio-economic backgrounds.
- Must have skill in engaging and motivating program participants to increase their self-sufficiency and work towards resolution of the challenges they face.
- Must have the ability to advocate on behalf of program participants and must believe that program participants have the capacity to grow and change.
- Must demonstrate a philosophy and value base consistent with the purpose and goals of Kingsley House, utilizing a strengths and empowerment perspective and working towards increasing the capacities of program participants and their families.
- Must possess the ability to work holistically, as part of a team, with professionals, para-professionals, program participants and their families, volunteers and the community at-large towards successful outcomes for program participants.
- Must respect the integrity of each program participant, their right to privacy and confidentiality and their right to participate to their maximum capacity in determining their participation in our programs, including the formation of a case or treatment service plan.

**EDUCATIONAL REQUIREMENTS:**

Master's Degree from an accredited school of social work and certification by the Louisiana State Board of Certified Social Workers.

**EXPERIENCE:**

A minimum of ten years experience in senior level social service leadership is required.

**STANDARD STATEMENT:**

The above statements are intended to describe the general nature and level of work being performed by the person assigned to this job. This is not intended to be an exhaustive list of responsibilities, duties and skills required of the Chief Executive Officer.

APPROVED BY: \_\_\_\_\_ DATE: \_\_\_\_\_

EMPLOYEE SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_

## **Procedures for Annual Performance Evaluation of the CEO**

These procedures have been formulated and approved by the Kingsley House Board of Directors (KHBOD) for the annual performance evaluation of the Chief Executive Officer (CEO). It is the responsibility of the KHBOD to annually perform this important function to assess the effectiveness of the CEO in accomplishing the key roles of that position and the specific organizational and personal objectives that are established each year. The following process for CEO evaluation will be followed by the KHBOD:

**Step 1: Define the CEO's objectives.**

Before the start of the fiscal year, during the month of June, the CEO will work with the President and Immediate Past President of the Board to establish key short- and long-term objectives, which are consistent with the Kingsley House strategic management plan. These objectives will usually include, but not be limited to, management and oversight of finances, personnel, programs, facilities, long-range planning and community and public relations, as well as Board relations. Using the Kingsley House strategic management plan as a starting point, the CEO will formulate an initial set of personal performance objectives for the coming year.

The CEO will then share these targets with the President and Immediate Past President. After reviewing and amending them as needed, the final set of performance objectives will be presented to the full board for discussion.

**Step 2: Evaluation of the CEO's performance.**

The CEO and President of the KHBOD meet on a regular basis throughout the year to assess interim progress against the established short- and long-term objectives. These meetings serve to ensure ongoing alignment with organizational goals and to identify any areas that require closer attention or may need to be amended in light of new circumstances. The Board President will report back, on an at least quarterly basis, to the Executive Committee of the KHBOD (in Executive Session) on continued plan progress achieved by the CEO and to also determine if interim formal feedback to the CEO is needed.

In July of each year, the CEO's performance will be formally measured against the previously established objectives for the previous fiscal year. This process will begin with the CEO supplying the Board President and Immediate Past President with a self-evaluation, including key accomplishments and (if necessary) an explanation for why particular targets were not met.

Simultaneously, the Board President and Immediate Past President will also solicit feedback from the CEO's direct executive staff reports, to be used solely for developmental purposes. This feedback will have no impact on performance decisions or KHBOD decisions related to salary increases for the CEO. The purpose of this feedback is strictly on growth and development of the CEO, under the assumption that respondents will be more candid in their confidential assessments, and the CEO will be more receptive to their feedback.

Before providing formal feedback to the CEO, the recommendations and results of the performance evaluation process should be discussed with the KHBOD Executive Committee and then presented to the full KHBOD. This will occur in closed session at September Board meeting, without the CEO or other staff present, to receive feedback and input from the KHBOD on the evaluation.

Finally, the Board President and Immediate Past President will present their performance evaluation findings to the CEO in a face to face meeting, to be followed by a formal summary letter. They will also inform the CEO of any performance related salary increase that is to be awarded. Any such increase in salary will be retroactive to July 1.

To conclude the process, the CEO's evaluation summary letter will be distributed to the full Board at either the January or February Board meeting and included in the Board meeting minutes.

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## MEMORANDUM

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**TO: KH Board Executive Committee**  
**FROM: Keith Liederman, Chief Executive Officer**  
**RE: Succession Plan for Chief Executive Officer Position**

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A succession plan for the Chief Executive Officer is essential to ensuring ongoing organizational health. To that end, this memo proposes to the Executive Committee a succession plan to meet that requirement.

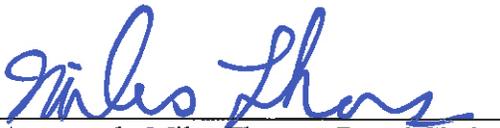
### Chief Executive Officer

If the position is open for **less than six months**, the Chief Operating Officer would serve in the interim capacity. As there is an accumulation of knowledge and “big picture” issues and the Chief Operating Officer is most intimately involved at a senior level in programs, operations, finances and development as well as having a key relationship to the Board of Directors, it would be organizationally prudent for her/him to assume these responsibilities. All current senior positions would report directly to the Chief Operating Officer during this interim time period.

This interim role would be operating in concert with the Chair of the Kingsley House’s Board of Directors and Executive Committee. To that end, the Chair of the Board would have regular meetings with the Chief Operating Officer acting in this interim capacity. Communications of this interim role would be to the staff, Board and key constituents. As it is limited to a short period of time, careful thought would be given to the number of individuals we would inform of this interim change in leadership.

If the position is **permanently vacated**, the Kingsley House’s Board of Directors would secure the services of a recruiting firm with knowledge of the nonprofit community. The recruiting firm would screen the candidates and recommend the top five for consideration by the Executive Committee of the Kingsley House’s Board of Directors, acting in the capacity of a search committee.

Based on those recommendations, the final three candidates would be presented to the Kingsley House Board of Directors for consideration. The recruiting firm would conduct background checks and obtain references from at least three sources. The Kingsley House Board would have final approval of the proposed candidate to fulfill this role. Once that approval is obtained, an offer letter would be given to the candidate.

  
Approved: Miles Thomas, Board Chair

  
Date



Educates children, strengthens families and builds community

## **Board Meeting Schedule 2020 - 2021**

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Monday, September 21, 2020	Board Meeting
Monday, October 19, 2020	Board Meeting
Monday, November 16, 2020	Board Meeting
Monday, January 11, 2021	Board Meeting
Monday, February 22, 2021	Board Meeting
Monday, March 15, 2021	Board Meeting
Monday, April 19, 2021	Board Meeting
Monday, May 17, 2021	Board Meeting
June, 2021	Annual Meeting*

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Board meetings are held at 4:00 p.m. on the third Monday of each month.  
There is no meeting in July, August or December.

\*Tentative date

## ***BOARD COMMITTEES***

### **EXECUTIVE/GOVERNANCE**

- Ensures integrity and perpetuation of a high quality Board of Directors
- Analyzes Board composition, criteria of candidates for consideration, and facilitates recruitment, selection and orientation of newly elected members to their responsibilities
- Establishes Board Code of Conduct and ensures all members of the board and committees are active in meaningful work that furthers the agency's mission and vision
- Involves the Board in continuing education to enhance knowledge and improve skills as Board members
- Updates the Board on programmatic and policy-related issues of import to the agency
- Leads the Board in self-assessment and evaluation of Board performance and develops recommendations for improvement
- Recognizes participation and contributions of individuals

### **DEVELOPMENT**

- Works to increase and expand self-support for the agency (e.g., annual investment campaign, special events, other ongoing methods of fund development)  
Develops and implements the agency's public relations/marketing plan

### **FINANCIAL & ASSET MANAGEMENT**

- Reviews and approves the agency's annual operating budget
- Determines investment policy and reviews performance
- Reports to the Board on the status of the agency's finances

### **AUDIT**

- Recommends an independent auditing firm to the Board of Directors
- Reviews and approves the annual audited financial statements and IRS Form 990
- Assesses the appropriateness of the Agency's accounting policies
- Identifies risks and oversees risk management

***Board Committee Assignments***  
***FY 2020-2021***

**EXECUTIVE COMMITTEE**

Chair: Richard Roth  
Chimene Grant Saloy  
Claudia Powell  
Christine Mitchell  
Ralph Mahana  
Miles Thomas  
Staff Support: Keith Liederman

**DEVELOPMENT**

Chairs: Yvette Jones  
Ralph Mahana  
Zwila Martinez  
Alan Philipson  
Kea Sherman  
Cleveland Spears  
Dominique Wilson  
Richard Roth (Ex Officio)  
Staff Support: Donna Betzer

**FINANCIAL & ASSET MANAGEMENT**

Chair: Claudia Powell  
Steven Corbett  
Brendan Greene  
Shannon Joseph  
Christine Mitchell  
Stephen Parker Pate  
Sue Williamson  
Richard Roth (Ex Officio)  
Staff Support: Glenn Gruber

**AUDIT**

Chair: Adam Swensek  
Taniya DeSilva  
Richard Roth (Ex Officio)  
Staff Support: Glenn Gruber



## **Board of Directors Meeting Minutes**

### **September 16, 2019**

**PRESENT:** Arnel Cosey, Katherine Gelderman, Bill Hammack (via phone), Yvette Jones, Shannon Joseph, Ralph Mahana, Zwila Martinez, Richard Roth, Chimene Grant Saloy, Miles Thomas, Dominique Wilson

**OTHERS:** Donna Betzer, Bridgette Burns, Erica Durousseau, Glenn Gruber, Valerie Wheatley

#### **Meeting Objectives**

At the end of this meeting, the board will have:

- Reviewed final FY 18/19 budget results & ratified FY 19/20 agency operating budget.
- Reviewed and discussed the agency's monthly financials.
- Reviewed, discussed & committed to the Annual Development Plan.
- Reviewed, discussed & approved the Annual Board Plan
- Taken vote on the consent agenda.

#### **Welcome and Agenda Review**

Miles Thomas called the meeting to order at 4:14 p.m.

#### **Approval of Consent Agenda**

Motion to approve the consent agenda was made by Arnel Cosey, seconded by Yvette Jones, and approved as presented.

#### **Finance Update**

Glenn Gruber reported that the first two months of the fiscal year reflect an operating deficit of \$146,919, which is ahead of the \$209,000 budgeted deficit for the same period. Glenn explained the current deficit is typical and a result of decreased revenue during the summer months. Glenn also highlighted notable revenue & expense items included in the accompanying budget narrative.

There was discussion about United Way funding and co-branding guidelines. Miles Thomas stated that this has been an area of concern given significant decrease in United Way support, but the agency will continue to comply with the guidelines using its discretion.

The motion to Ratify the Action of the Executive and Finance Committees approving the FY 19/20 Operating Budget was approved by the full board.

#### **Development Plan**

Development Committee Chair, Yvette Jones, began discussion of the FY 19-20 Annual Development Plan. The plan includes a revenue goal of \$635,000, which is an increase of 20%. Primary methods to reach this goal will be to intensify donor cultivation, especially major gifts; increase donor retention; more emphasis on Monthly Giving Society; target Young Professionals and Alums; increase KH awareness; and Development Committee members serving on subcommittees.

Donna Betzer added that the plan depends upon 100% personal giving from Board members, and increasing major donors who contribute \$5,000+. Donna will also concentrate on increasing corporate/foundation donors who provide general operating support, not related to special events. The Friendraiser event will be revamped to include extensive training of Table Captains and conducting KH tours prior to the luncheon as a qualifier for Table Captains and guests. "A Benefit Under the Stars" fundraising dinner will be held on November 14th. Four sponsors have already committed – Oscar Tolmas Charitable Trust, NFP|Meltzer Group, Roth Law Firm, and Bill Hammack.

Additionally, Erica Durosseau was introduced as the new Annual Giving Director. Erica will focus on immediate fundraising for KH, concentrating on annual giving donors contributing up to \$5,000 in a fiscal year. Her plan includes acquiring new donors through awareness building, building the pipeline of young professionals through an event similar to the "Get Fired Up" concert and developing a stronger alumni base by hosting events (first Alumni Mixer will be held on 10/17) and social media. Board members Cleveland Spears and Ralph Mahana have agreed to join the Young Professional subcommittee to provide support.

A motion to approve and promote the FY 19-20 Development Plan was made by Dominique Wilson, seconded by Arnel Cosey, and approved as presented.

**Annual Board Plan**

Miles Thomas stated that the Annual Board Plan was developed from the Board Critical Planning Session held on March 30, 2019. Discussion ensued on some of the plan objectives and Miles noted that significant progress had been made on a number of the goals over the summer.

A motion to approve the Annual Board Plan was made by Yvette Jones, seconded by Dominique Wilson, and approved as presented.

**Adjourn**

There being no further issues or items, the meeting was adjourned at 5:02 p.m.



Board Secretary



Date



## **Board of Directors Meeting Minutes**

### **October 28, 2019**

**PRESENT:** Gil Brechtel, Ben Butler, Arnel Cosey, Taniya de Silva, Bill Hammack, Shannon Joseph, Kit McLean, Christine Mitchell, Richard Roth, Chimene Grant Saloy, Adam Swensek, Miles Thomas, Dominique Wilson

**OTHERS:** Alex Antrum, Donna Betzer, Bridgette Burns, Nathalie Fenno, Glenn Gruber, Keith Liederman, Yolanda Motley, Valerie Wheatley

#### **Meeting Objectives**

At the end of this meeting, the board should have:

- Elect Head Start Parent Representative to the Board.
- Received and discussed SMP update.
- Received update on KADC program.
- Participated in ELS Program Governance training.
- Received and discussed Development report.
- Reviewed and discussed the agency's monthly financials.
- Received report on CAP Tulsa career development visit.
- Taken vote on the consent agenda.

#### **Welcome and Agenda Review**

Miles Thomas called the meeting to order at 4:13 p.m.

#### **Approval of Consent Agenda**

Motion to approve the consent agenda was made by Bill Hammack, seconded by Arnel Cosey, and approved as presented.

#### **Head Start Parent Board Representative**

A motion to waive by-laws to permit electing Head Start Parent board representative was made by Taniya de Silva, seconded by Dominique Wilson, and approved as presented.

A motion to elect Ashleigh Branch as the Head Start Parent board representative was made by Gil Brechtel, seconded by Dominique Wilson, and approved as presented.

#### **KADC Update**

Kingsley Adult Day Care (KADC) Ad Hoc Committee Chair, Gil Brechtel, reported that the program continues to make progress toward sustainability and remains on track with this year's projections.

KADC Director, Nathalie Fenno, was introduced and gave a comprehensive presentation on the program. Nathalie noted this year's increase in participants to a new innovative and creative person-centered approach. The person-centered approach tailors activities and programming to the participants' and caregivers' individual dreams, desires and needs. Nathalie also highlighted Veteran-centric approaches that have directly led to increased veteran enrollment. Nathalie also noted that the program has expanded to include participants with higher levels of needs. While this will increase enrollment, it could also increase expenses. Nathalie addressed this concern by stating that the program will maintain a careful balance of participants at all levels of need.

#### **Strategic Management Plan (SMP) Review**

Alex Antrum, the agency's manager of assessment, data and research, presented on SMP progress to-date. He noted that increased emphasis has been placed on helping participants give voice to their individual

needs. For example, Change Machine was implemented as an effective method to coach participants with asset and debt management by providing coaching from family advocates. A platform has also been created to track the progress of each participant.

Alex also advised that the planning and implementation of Career Pathways is progressing nicely.

**ELS Training – Program Governance**

Due to time, Miles deferred this discussion to the November board meeting.

**Development Plan**

Donna Betzer reminded board members of the upcoming “Benefit Under the Stars” Fall Dinner. To date, 12 of 21 tables have been sold.

**Other Business**

The board was advised that the January board meeting will be held at Katherine Gelderman’s home and will include a table captain training for the Friendraising Luncheon.

**Adjourn**

There being no further issues or items, the meeting was adjourned at 5:20 p.m.

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**Board Secretary**

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**Date**



## **Board of Directors Meeting Minutes November 18, 2019**

**PRESENT:** Gil Brechtel, Ben Butler, Taniya de Silva, Katherine Gelderman, Brendan Greene, Bill Hammack, Zwila Martinez, Christine Mitchell, Richard Roth, Chimene Grant Saloy, Cleveland Spears, Adam Swensek, Miles Thomas

**OTHERS:** Donna Betzer, Bridgette Burns, Glenn Gruber, Keith Liederman, Yolanda Motley, Valerie Wheatley

### **Meeting Objectives**

At the end of this meeting, the board should have:

- Participated in ELS Program Governance training.
- Received and discussed Development report.
- Reviewed and discussed the agency's monthly financials.
- Received information on the Board nominating process.
- Taken vote on the consent agenda.

### **Welcome and Agenda Review**

Miles Thomas called the meeting to order at 4:06 p.m.

### **Approval of Consent Agenda**

Motion to approve the consent agenda was made by Katherine Gelderman, seconded by Gil Brechtel, and approved as presented.

### **ELS Training – Program Governance**

Yolanda Motley, Program Officer for Early Learning Services, presented the annual Head Start program governance training. The training included the benchmarks of the ELS grantee program, various locations and partner sites. The duties and shared governance responsibilities of board members and the Head Start Policy Council were also discussed.

### **Development Report**

Donna Betzer shared an update on the status of fundraising efforts and upcoming events, including Giving Tuesday on 12/3 and the Friendraising Luncheon on 4/21. Friendraising Luncheon Table Captain training will be conducted after January's board meeting at Katherine Gelderman's home. Donna noted that revenue received from the Benefit Under the Stars event totaled \$95,500.

### **Finance Report**

Glenn Gruber shared an update on the agency's financial status through 10/30/19. Glenn noted that the agency is showing a \$322,967 surplus through October, \$220K over budget for the same period. A net surplus of \$165,225 is projected for the Fiscal Year Ending June 30, 2020 compared to \$52,470 budgeted.

### **Board Nominating Process**

Bill Hammack informed the board that the nominating committee will begin meeting in December. The list of assigned Nominating Committee members was shared. Bill reminded everyone that the primary role of the committee is to recommend new board members, propose a slate of officers, and select annual meeting awards and speakers. The proposed slate of new members and officers will be presented by the committee to the board at the March meeting, and will then be voted on by the full board at the April meeting.

**CEO/COO Report**

Keith Liederman and Valerie Wheatley gave a report of their recent visit to Cap Tulsa. The purpose of the visit was to learn about their workforce advancement approach to inform the KH career pathways model.

Valerie also informed the board that, building off the successful planning grant, KH is preparing to submit a multi-year grant to Kellogg to support career pathways.

**Other Business**

Adam Swensek advised the board that the City of New Orleans is making a push to assess annual fees on non-profit property owners. Adam encouraged board members to attend upcoming city meetings and consider how this may impact Kingsley House.

**Adjourn**

There being no further issues or items, the meeting was adjourned at 4:57 p.m.

\_\_\_\_\_  
**Board Secretary**

\_\_\_\_\_  
**Date**



## **Board of Directors Meeting Minutes**

### **January 27, 2020**

**PRESENT:** Ashleigh Branch, Ben Butler, Arnel Cosey, Taniya de Silva, Katherine Gelderman, Brendan Greene, Bill Hammack, Yvette Jones, Shannon Joseph, Zwila Martinez, Kit McLean, Christine Mitchell, Claudia Powell, Richard Roth, Chimene Grant Saloy, Kea Sherman, Adam Swensek, Dominique Wilson

**OTHERS:** Donna Betzer, Micah Blunt, Bridgette Burns, Anthony Enterante, Glenn Gruber, Keith Liederman, Valerie Wheatley

#### **Meeting Objectives**

At the end of this meeting, the board should have:

- Met the new Head Start Parent Representative to the Board.
- Discussed staff climate survey results & next steps.
- Received and discussed Development report.
- Reviewed and discussed the agency's monthly financials.
- Taken vote on the consent agenda.
- Participated in the Friendraising Luncheon Table Captain orientation.

#### **Welcome and Agenda Review**

Richard Roth called the meeting to order at 4:05 p.m.

#### **Approval of Consent Agenda**

Motion to approve the consent agenda was made by Bill Hammack, seconded by Arnel Cosey, and approved as presented.

#### **Introduction of HS Parent Rep**

Ashleigh Branch, new HS Parent Rep, was introduced to board members and gave a brief introduction of her experience as a HS parent.

#### **Staff Climate Survey Results**

Micah Blunt, Director of Human Resources, reviewed the results of the 2019 Climate Survey Results. Micah noted a slight increase in overall positive responses and a slight decrease in inconsistent/unclear responses. Negative responses remained unchanged from the previous year. Discussion was had on addressing safety concerns of staff by providing more communication of safety measures in place. Keith will conduct quarterly town hall meetings with staff to learn more details on specific safety concerns. HR is looking into additional incentives to improve staff participation to 90% as in prior years. Staff's suggestions for improvement remain consistent as communication and compensation.

#### **Development Report**

Donna Betzer shared an update on the status of fundraising efforts and upcoming events, including the Jambalaya Cook-Off in March. Friendraising Table Captains are encouraged to invite guest prospects for a Campus Tour prior to the luncheon. Donna noted that Campus tours provide stewardship that increases the number of individual donors. Donna is also planning a Monthly Giving Strategy and Valentines/Annual Report mailing to increase fundraising.

Valerie Wheatley announced that KH was awarded a \$400,000 one-year grant from Humana Foundation to implement the Career Pathways program. KH is hoping to leverage funding by applying for a \$600,000 grant from Kellogg.

Additionally, Anthony "Tony" Enterante was introduced as the new Annual Giving Director. Tony will

focus on immediate fundraising for KH, concentrating on annual giving donors contributing up to \$5,000 in a fiscal year. His plan includes acquiring new donors through awareness building, building the pipeline of young professionals and developing a stronger alumni base by hosting events and social media.

### **Finance Report**

Glenn Gruber shared an update on the agency's financial status through 12/31/19. Glenn noted that the agency is showing a \$264,971 surplus through December, \$241K over budget for the same period. A net surplus of \$165,225 is projected for the Fiscal Year Ending June 30, 2020 compared to \$52,470 budgeted.

It was noted that the increased momentum around fundraising is due to the positive culture of philanthropy beginning to change after many years of work.

### **Board Retreat**

Richard announced that after further consideration, the retreat will be moved to mid-July or early August to provide a bridge for our work as a board between fiscal years. A facilitator and location are being planned and dates will be vetted with board members.

### **Other Business**

Bill Hammack announced that Phyllis Taylor has agreed to co-chair the 125<sup>th</sup> Anniversary. Having Phyllis as co-chair will allow KH more opportunities to raise money in the business community. Additionally, the committee is considering a fundraising Gala during or near July 2021, which is the month KH was founded.

Donna stated that the Development staff is creating a 125<sup>th</sup> Anniversary calendar of events, to include Alumni, Young Professionals and KH partner events planned. Donna reminded board members that KH has been awarded the Freeman Challenge Endowment matching grant of \$75,000, which is contingent on KH raising \$150,000.

### **Adjourn**

There being no further issues or items, the meeting was adjourned at 4:48 p.m.

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**Board Secretary**

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**Date**



## **Board of Directors Meeting Minutes**

### **February 17, 2020**

**PRESENT:** Ashleigh Branch, Gil Brechtel, Katherine Gelderman, Brendan Greene, Yvette Jones, Ralph Mahana, Stephen Pate, Chimene Grant Saloy, Miles Thomas

**OTHERS:** Donna Betzer, Bridgette Burns, Glenn Gruber, Keith Liederman, Valerie Wheatley

#### **Meeting Objectives**

At the end of this meeting, the board should have:

- Received and discussed Development report.
- Reviewed and discussed the agency's monthly financials.
- Voted on Line of Credit Resolution.
- Received Nominating Committee update.
- Taken vote on the consent agenda.

#### **Welcome and Agenda Review**

Miles Thomas called the meeting to order at 4:08 p.m. Miles confirmed that all members received the notification from him regarding Arnel Cosey's resignation from the board.

#### **Approval of Consent Agenda**

Motion to approve the consent agenda was made by Stephen Pate, seconded by Ralph Mahana, and approved as presented.

#### **Development Report**

Yvette Jones began the report by stating that development has reached 50% of its fundraising goal of \$635,000 to date. Yvette reminded members that the FY 19-20 fundraising goal was increased with a good plan and this is good progress. Donna Betzer reported that Tony Enterante is working to finalize the Young Professionals plan and the next committee meeting will be planned after Mardi Gras.

Donna reminded Table Captains to follow timeline and have 4-5 guests secured by 2/14 and invite prospects for a tour of KH on 3/12 in advance of the luncheon. Friendraiser sponsorships have decreased and Donna asked board members to contact vendors and others within their personal/professional networks to participate as sponsors. Friendraiser expected revenue is \$135,000+.

Give NOLA day is 5/5. KH will develop a multi-channel campaign to include digital ads on social media, website, print materials and phone calls. Fiscal Year End fundraising efforts expected revenue is \$30,000.

Additionally, there is another \$30,000 in income anticipated from long-term partner foundations and corporations

#### **Finance Report**

Glenn Gruber shared an update on the agency's financial status through 1/31/2020. Glenn noted that the agency is showing a \$155,490 surplus through January. Glenn added that a net surplus of \$165,225 is projected for the Fiscal Year Ending June 30, 2020, as compared to \$52,470 budgeted.

#### **Gulf Coast Bank Line of Credit Resolution**

Glenn explained that KH is moving its operating banking business to Gulf Coast Bank and Trust to include more local banking and take advantage of additional support opportunities. Glenn is recommending that KH open a new line of credit with Gulf Coast Bank and Trust.

Motion to open a \$500,000 line of credit at Gulf Coast Bank and Trust was made by Miles Thomas, seconded by Chimene Grant Saloy, and approved as presented.

**Nominating Committee Update**

Miles updated the board that the committee's next meeting is Wednesday, 2/19/2020 and asked board members to send any new member recommendations before the meeting. At the March board meeting, the committee will offer recommendations for new members and officers, to then be voted on when the board meets in April.

**Adjourn**

There being no further issues or items, the meeting was adjourned at 4:30 p.m.

**Executive Session**

The Board entered into executive session.

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**Board Secretary**

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**Date**



## **Board of Directors Meeting Minutes**

### **April 27, 2020**

**PRESENT:** Ashleigh Branch, Katherine Gelderman, Brendan Greene, Bill Hammack, Yvette Jones, Shannon Joseph, Kit McLean, Christina Mitchell, Stephen Pate, Claudia Powell, Richard Roth, Chimene Grant Saloy, Kea Sherman, Miles Thomas

**OTHERS:** Donna Betzer, Micah Blunt, Bridgette Burns, Arnel Cosey, Glenn Gruber, Keith Liederman, Yolanda Motley, Valerie Wheatley

#### **Meeting Objectives**

At the end of this meeting, the board should have:

- Received and update on agency Programs and Operations during COVID-19.
- Voted on ELS & HS Renewal Application Resolutions.
- Voted on New Board Member and Officer Slate.
- Discussed Board's role Now and During COVID-19 Recovery.

#### **Welcome and Agenda Review**

The meeting was held via Zoom. Miles Thomas called the meeting to order at 4:05 p.m.

#### **Questions on Update Reports**

Discussion on the Agency Status Report provided to board members on 4/23/2020 began with an update on the status of staffing requirements in relation to forgiveness provisions of PPP loan. Micah informed board members that KH is currently fully staffed and operations are the same as pre-COVID-19. HR is preparing for different scenarios pertaining to any loss in staff by surveying the needs of staff and their ability to return to work at KH once the stay at home order is lifted.

KH projected re-open date is 5/18 for staff and 5/25 for students, subject to any city and state changes. Student teacher ratios have changed and will affect childcare centers nationwide, including KH classrooms. Phase I of opening will include staggered days and schedules, based on CDC and LDOE required student ratios. KH will survey the needs of parents and develop the safest way to return. KH will continue to be obligated to work with all students and families, either in the classroom or remotely. Head Start funding is confirmed through 6/30 for our 709 enrolled students and families. It was advised that KH develop a contingency plan, in case no HS funding beyond 6/30. The Executive Staff Team is working on various short and mediate range scenarios.

Seniors with ADC will most likely be the last center-based program to reopen and staff will continue serving remotely.

We are preparing to provide trauma-informed work once students return to the center, as well as trauma assistance for families and staff. A therapist has been providing virtual counseling with families in need. Teachers are receiving training on dealing with trauma, along with ongoing professional development.

#### **Board Resolutions**

- I. Motion to submit the application for Early Head Start Child Care Partnership (Year II) and the application for COLA and the Quality Improvement was made by Chimene Grant Saloy, seconded by Yvette Jones, and approved as presented.
- II. Motion to accept PPP loan on behalf of KHI was made by Bill Hammack, seconded by Richard Roth, and approved as presented.



## **Board of Directors Meeting Minutes**

### **May 18, 2020**

**PRESENT:** Ashleigh Branch, Ben Butler, Katherine Gelderman, Brendan Greene, Bill Hammack, Yvette Jones, Shannon Joseph, Kit McLean, Christina Mitchell, Claudia Powell, Richard Roth, Chimene Grant Saloy, Kea Sherman, Miles Thomas, Dominique Wilson

**OTHERS:** Donna Betzer, Micah Blunt, Bridgette Burns, Arnel Cosey, Glenn Gruber, Keith Liederman, Yolanda Motley, Valerie Wheatley

#### **Meeting Objectives**

At the end of this meeting, the board should have:

- Received and discussed Development report.
- Reviewed and discussed the agency's monthly financials.
- Taken vote on the consent agenda.
- Received an update on agency Programs and Operations during COVID-19 and plans for restart.

#### **Welcome and Agenda Review**

Miles Thomas called the meeting to order at 4:04 p.m.

#### **Approval of Consent Agenda**

Motion to approve the consent agenda was made by Dominique Wilson, seconded by Yvette Jones, and approved as presented.

#### **Plan for Staff Return/Program Restart**

Valerie Wheatley presented a report with details of the plan for reopening during COVID-19 pandemic. Management structure has been modified to meeting weekly. Facilities has completed HVAC projects at Educare and additional projects at main campus. The city COVID-19 stay-at-home order has changed twice with 5/18 being the final date. KHI plans to reopen to staff and participants in mid-June and community participants in mid-July. Processes for screening, cleaning and visitors are currently being defined and is an ongoing process.

Human Resources Update – PPE policy states that KHI is required to provide surgical masks for staff. N95 masks are available on a voluntary basis. Employees will receive training for use of PPE. Staff is receiving policies and procedures for teleworking policy, Families First Act and screening process before entering campus.

Programs and Services Update – Students are expected to return on 6/8 (Phase II) on a staggered schedule.

Community Services Update - Participants will return in July during Phase III. LDOH is expected to reimburse up to 50% from 1/23 through March. Arnel met with community partners to determine the best way to serve vulnerable population, innovation and delivery of service for seniors.

Department of Health is taking the lead in contact tracing for any KH staff exposed to COVID-19. HR is considering a HIPPA release form for staff. In order to minimize the number of people entering the campus, parents are not able to bring students to class. Teachers and advocates are assisting in the transition.

#### **Development Report**

Yvette Jones began the report by stating that development has a fundraising goal of \$635,000 to include individuals, foundations and events. With no Friendraiser event due to COVID-19, we are currently

\$85,000 short of goal. Strategies are in place to fill the gap.

Tolmas Foundation has agreed to match up to \$25,000 during GiveNOLA for all new gifts. Currently, \$76,000 is outstanding in pledges and payments seem pretty secure.

Donna will send board members an email template for specific match messaging. Miles asked board members to utilize all efforts available to reach fundraising goal. It was discussed that cash and donor relationships should be strong going forward since a full economic recovery could take 1 ½ to 2 years.

**Finance Report**

Glenn Gruber shared an update on the agency's financial status since COVID-19. Glenn noted that the agency is currently showing a surplus. Adult Day Care revenue is uncertain with 22 days currently available in the budget. Head Start funding is confirmed.

PPP loan is for \$1.7 million to cover salaries and utilities. The agency is seeking 100% forgivableness. FY20-21 budget will be a challenge due to COVID-19.

**Other Business**

The KHI annual meeting will be held on 6/16 at 4 pm via Zoom. Focus will be to update stakeholders on COVID-19 response.

**Adjourn**

There being no further issues or items, the meeting was adjourned at 4:55 p.m.

\_\_\_\_\_  
**Board Secretary**

\_\_\_\_\_  
**Date**

**New Board Member and Officer Slate**

Motion to accept the New Board Member and Officer Slate was made by Dominique Wilson, seconded by Yvette Jones, and approved as presented.

It was noted that Reverend Kit McLean will not be returning to the board in FY20-21, due to moving out of New Orleans. Board members will look for a replacement representative from Trinity Church.

**Discussion of Board's Role Now & During COVID-19 Recovery**

The board discussed a possible COVID-19 Recovery Task Force focused primarily on big picture items for KH, most especially fundraising in challenging new economic and health crisis climate. Miles, Richard and Keith will further discuss formation and responsibilities of the task force. It was suggested to reach out to current and past board members to assist, but keep the Task Force as a small and adaptive as possible.

**Adjourn**

There being no further issues or items, the meeting was adjourned at 5:10 p.m.

\_\_\_\_\_  
**Board Secretary**

\_\_\_\_\_  
**Date**

# Kingsley House Administrative Structure

