



WELCOME!

At Santa Fe Recovery Center (SFRC), we recognize that our employees are our most important and valuable asset. Without our excellent and outstanding employees, the Santa Fe Recovery Center's (SFRC's) Programs could not operate. We hope to outline some of the most important concerns and considerations relevant to your employment with SFRC in this manual. Please consult your supervisor if at any time you have questions about this handbook or any other matter pertaining to your work. Let us all strive to make this a safe and pleasant working environment.

Sylvia Barela, MBA

Chief Executive Officer

VISION, MISSION, AND VALUES

Our Vision:

Santa Fe Recovery Center envisions recovery for all individuals struggling with addictions.

Our Mission:

The Santa Fe Recovery Center works with individuals to sustain lasting recovery from substance use disorders and related mental health disorders, by providing culturally relevant resilient evidence based treatment and education in partnership with other community organizations.

Our Values:

We operate with integrity and treat each client with compassion and respect in a safe and nurturing environment.

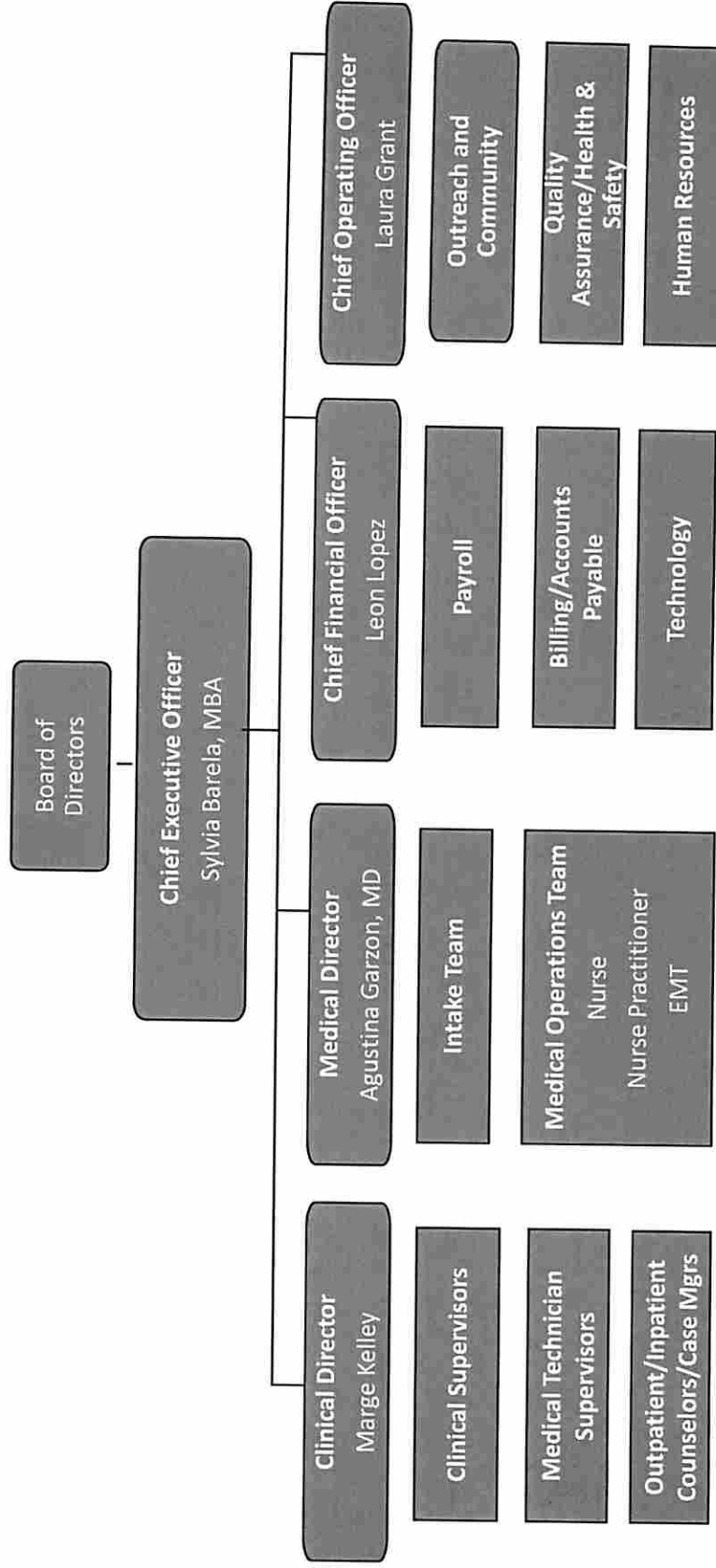
OUR HISTORY

Santa Fe Recovery Center is a fully accredited Substance Use Disorder Treatment Program, that has been in operation since 2005.

Our CARF (Commission for the Accreditation of Rehabilitation Facilities) accredited treatment programs blend the traditional 12-step philosophy with current state of the art, empirically based treatment practices. Clients experience how the stigma of addiction and mental illness can be overcome through compassionate and cooperative care provided by our community and staff.

SFRC provides substance use disorder treatment to men and women 18 and over, who seek a high quality, effective recovery program and provides opportunities for mothers to bring young children (ages 0-3 into treatment with them). Our residential treatment program includes up to a 30-90 day stay in one of our three residential facilities. We also provide detoxification for 3-7 days as well as regular and intensive outpatient treatment, medication assisted treatment, and sober living. Admittance to our program is based on criteria for clinical and/or medical necessity using the American Society for Addiction Medicine (ASAM) criteria.

Organizational Chart



**Santa Fe Recovery Center
Policies and Procedures**

Policy Number: 2.12

Effective Date:
May 16, 2005

Review Date:
October 2019

Policy and Procedure: Transport Policy and Procedures

Purpose:

The safety and wellbeing of staff and clients during transport in a SFRC vehicle or in staff's personal vehicle to medical appointments or other authorized appointments.

Policy:

Santa Fe Recovery Center strives to maintain safety and wellbeing of staff and clients during transport in one of SFRC vehicles or in staff's personal vehicle to medical appointments or other authorized appointments.

Staff Responsible for the Implementation of This Policy and Procedure (in part or in whole)
Include: Staff authorized to transport clients.

Procedure:

1. SFRC requires all staff transporting clients to be 21 years of age. Anyone under 21 years of age may not drive any company or personal vehicle while performing work for SFRC.
2. SFRC complies with all applicable federal, state, provincial, county, and city requirements with regard to transportation in a vehicle.
3. SFRC requires all staff transporting clients to be properly licensed and insured, and checks driving records of all staff responsible for transporting clients.
4. SFRC vehicles are properly insured to cover any liabilities, including injuries to all parties. Any employee who drives a vehicle for business purposes is required to have a current driver's license, automobile registration and insurance at all times and provide proof to the Human Resources Department. Employees are responsible for following all traffic laws and for any payment of any violations or tickets incurred while driving for work. Employees who are required to drive as part of their jobs must be "insurable" under the agency's vehicle insurance policy as a condition of employment and must report any changes in their driving record or driver's license status to their Supervisor and HR immediately.
5. All SFRC vehicles are properly equipped with safety features including but not limited to seat belts, child seats, first aid kits, fire extinguishers, and hazard kits that includes warning signs. Vehicles are accessible for all clients served.
6. Staff receive training from their supervisor regarding the SFRC policy on transportation of clients upon hire and at appropriate intervals.
7. Staff may not conduct personal business while transporting clients or while out on company business in a company vehicle.

**Santa Fe Recovery Center
Policies and Procedures**

8. In the event of a medical emergency, 911 must be contacted. Staff should not attempt to transport the client.
9. Staff transporting clients will carry a cell phone at all times.
10. In the case of a medical emergency during transport, the staff member will call 911 immediately for emergency assistance. In the case of a vehicle breakdown, staff member should contact roadside assistance, using the contact the number provided in the van log for that service. In all emergency situations, staff must also contact their supervisor.
11. The SFRC vehicle will be maintained according to manufacturer's recommendations.
12. Before each use of an agency vehicle, the driver performs a visual inspection of the vehicle and note any concerns in the vehicle log. The Administrative Supervisor documents a thorough monthly inspection of all SFRC vehicles.
13. Current proof of insurance and registration will be kept in all SFRC vehicles at all time.
14. Staff are responsible for filling out the vehicle log with each use of SFRC vehicles. The vehicle log information includes, but is not limited to, date, destination, purpose of trip, mileage prior to and after each use, and name of staff person driving.

**Santa Fe Recovery Center
Policies and Procedures**

Policy Number: 1.12

Effective Date:
May 16, 2005

Revision Date:
December 2019

Personnel Policy and Procedure: Code of Ethics and Professional Conduct

Purpose:

To ensure that all staff perform their designated functions in a manner that reflects the highest standards of ethical behavior.

Policy:

It is the policy of Santa Fe Recovery Center that all full- and part-time employees, contractors, students, volunteers (collectively referred to as "staff"), and members of the Board of Directors (BOD) are expected to perform their designated functions in a manner that reflects the highest standards of ethical behavior. The ethical standards contained in this policy shape the culture and norms of Santa Fe Recovery Center's administrative operations and clinical practices, and both staff and members of the Board of Directors will be held fully accountable to these standards. In addition to the specific guidelines contained in the policy, professionals are expected to follow the ethical standards required by their specific licensing and certification boards. The Code of Ethics policy is to ensure that all employees' actions reflect a competent, respectful, and professional approach when serving Santa Fe Recovery Center's clients, their families and/or representatives; working with other providers of services; and interacting within the communities we serve. It is expected that staff and members of the Board of Directors will perform their duties in compliance with all federal, state, and local regulations in accordance with guidelines set forth in this policy. Violation of guidelines within the Code of Ethics policy can lead to disciplinary actions, including termination of employment or removal from the board.

Staff Responsible for the Implementation of This Policy and Procedure (in part or in whole)
Include: All Staff and Board of Directors

Procedure:

A. Professional Conduct:

1. Staff will respect the rights of clients served by demonstrating full integration of the guidelines contained in the Clients Bill of Rights declaration. This includes the right of the client to make autonomous decisions and fully participate in every aspect of the service delivery process.
2. SFRC staff will provide services in a manner that fully respects the confidentiality of clients by demonstrating a functional knowledge of the guidelines contained in the Confidentiality Policy and Procedure, and by strictly adhering to this policy.
3. SFRC staff will be fair and honest in their work. They will not exploit or mislead, and will be faithful to their contractual obligations, commitments, and their word.
4. To prevent and avoid unethical conduct, SFRC staff will consult with, refer to, and cooperate with other professionals. SFRC staff will clarify their professional roles and obligations, and be accountable for upholding professional standards of practice.

**Santa Fe Recovery Center
Policies and Procedures**

B. Personal/Professional Conduct:

1. All current and previous personal relationships between staff and clients, and between members of staff, including friendships and family, shall be disclosed by the staff member and subject to review by the appropriate supervisor.
2. Staff will limit relationships with persons served to their defined professional roles.
3. Staff will not establish ongoing personal or business relationships with clients receiving services.
4. Staff will conduct themselves in a professional, ethical, and moral manner, and adhere to the values adopted by the organization.
5. Sexual relationships between staff and persons served are never appropriate. Sexual relationships include but are not limited to the following: engaging in any type of sexual activity, flirting, advances and/or propositions of a sexual nature, comments of a sexual nature about an individual's body, clothing, or lewd sexually suggestive comments.
6. Romantic / sexual behavior with previous clients is prohibited, for no less than one year after client's discharge from SFRC programs.
7. Staff will inform clients upon intake that they will not accept gifts of value from a client, family member, or stakeholder, and cannot accept personal favors or benefits that may reasonably be construed as influencing their conduct. Upon graduation / discharge from the program, donations to the facility may be accepted.
8. Boundaries for Peer Support Specialists can differ from other staff members. Peer support specialists may share personal success stories and life experiences to encourage, motivate and support clients. Only Peer support specialists may engage with clients in daily activities and provide other recovery related support for clients and their families receiving treatment. Beyond these exceptions, Peer Support Specialists must adhere to agency personnel standards for personal and professional conduct.

C. Business Practices:

1. SFRC will utilize the Corporate Compliance Officer to ensure that it conducts business in an ethical manner and ensure that any business practices that are questionable are thoroughly investigated through the BODs.
2. All financial, purchasing, personnel, facility development, and information technology practices shall comply with local, state, and federal law and guidelines.
3. All staff shall adhere to SFRC's Personnel Policies and Procedures contained in the organization's Policy and Procedural Manuals.

**Santa Fe Recovery Center
Policies and Procedures**

4. A clear understanding of the reimbursement system by clients, referral sources, and staff is important. All services that are billed are for services rendered. Documentation is evidence that the service was rendered.

D. Marketing Practices:

1. SFRC will conduct marketing practices in an honest and factual manner. Marketing materials and practices will in no way mislead the public or misrepresent SFRC's abilities to provide services. SFRC will not claim any service outcomes unless represented by valid and reliable research studies and outcome data.
2. SFRC will utilize clear and consistent methods of communicating information to clients, family members, third-party entities, referral sources, funding sources, and community members, and will exhibit sensitivity to the educational and reading levels of all persons when distributing information.

E. Service Delivery:

1. Staff will adhere to all professional codes of conduct and ethical standards for their specified professional discipline.
2. As part of new employee orientation, staff members are required to read the organization's Code of Ethics policies and procedures, and demonstrate knowledge of the guidelines.
3. Staff will not conduct personal business while providing services to clients.

F. Human Resources:

1. SFRC employees will not engage in outside professional addiction/mental health services that are incompatible or in conflict with job duties within the organization.
2. Private practice activities must be performed on the staff's own time and outside the organization, as long as such activities are not adverse to the interests and goals of SFRC.
3. Staff will not recruit clients for their private practice within their professional roles as SFRC staff members.
4. No staff shall engage in any other employment or activity on the organization's premises or to an extent that affects, or is likely to affect, his or her usefulness as an employee of the organization.

G. Code of Ethics Procedures:

1. All employees, students, volunteers, and BOD's, as part of the organization's initial orientation, will review the Code of Ethics, including the procedures for investigating and acting on ethics violations.

**Santa Fe Recovery Center
Policies and Procedures**

2. All staff will receive a copy of the Code of Ethics, sign a form acknowledging their review and full understanding of the code, and return the form to be filed in the staff members personnel file. Stakeholders will receive a copy of the Code of Ethics upon request.
3. To assure an awareness of ethical practices, reviews of the Code of Ethics and continued training will be conducted on an annual basis.
4. SFRC's Code of Ethics is posted in the waiting room on the bulletin board and is posted in staff offices.

H. Procedures for Investigating and Acting on Violations of the Code of Ethics:

1. When any client, family member, authorized representative, advocate, or other person believes that an ethical violation has occurred within the operations of the organization, they may report such suspicion directly to any supervisor, program director, or management staff. No employee will be discriminated against, harassed, intimidated, or suffer any reprisal as a result of making a report or participating in the investigation of the report.
2. When a staff member believes that an ethical violation of the Code of Ethics has occurred, they are required to report any suspected violation to their immediate supervisor. If the possible violation in question involves their direct supervisor's behavior, they are required to report the suspected violation to the Chief Executive Officer.
3. Staff members are required to report any suspected violation of the Code of Ethics. However, they are not required to investigate or know for certain that a violation has occurred. Staff have the responsibility to contact their direct supervisor immediately and discuss the situation.
4. Once the questionable behavior has been brought to the attention of the supervisor, the staff member(s) reporting the situation will no longer have a responsibility for being involved with the investigation other than providing additional information through a requested interview by the investigator.
5. Staff must report each suspected violation of the Code of Ethics separately should a violation that has been reported occur again.
6. When a supervisor is aware of a possible ethical violation, they should investigate the matter immediately. In addition, they should immediately notify the appropriate clinical and/or administrative director and the Chief Executive Officer. While investigating the complaint, the following issues should be considered and action taken depending on the situation:
 - a. Is any client in any harm or potential harm because of this behavior?
 - b. Does the complaint require immediate action to remove the employee from contact with the client?
 - c. Does the complaint put SFRC or its employee in a potentially liable situation that needs legal consultation?

**Santa Fe Recovery Center
Policies and Procedures**

7. The procedure for ethics violation investigation is:
8. A complaint is received (either internally or externally) and reported by the receiver to the Chief Executive Officer if an administrative employee or the Clinical Supervisor if a clinical employee, the complaint is then reported to the Chief Executive Officer.
9. The employee is notified that there is a complaint and, if warranted by the initial information and involves a direct service situation, instructed to not have contact with the client until the issue is resolved. The supervisor conducting the investigation will take primary responsibility for assisting the client with access to a clinician that can provide services during the investigation should a change be warranted.
10. If the suspected violation of the Code of Ethics involves the executive management of the organization, the Corporate Compliance Officer of the governing authority will serve as the lead investigator, and the executive committee of the governing authority will serve as the final approval of outcome and recommendations.
11. The investigation may involve interviews with witnesses and the client, as well as reviewing other relevant information. At all times, the client's rights will be respected.
12. If at any time during the investigation it is determined that the client's rights have been violated, the appropriate advocacy representative or entity will be immediately contacted to begin their own investigation process according to applicable laws and guidelines.
13. A written report will be compiled and submitted within fourteen (14) days from the notification of the complaint. The report will detail the following:
 - (1) The nature of the complaint, including time, date, persons involved, services involved;
 - (2) The person whom the complaint is lodged against;
 - (3) Results of persons interviewed and investigation of circumstances surrounding the incident;
And a recommendation based on the gathered information.
14. The investigator will make one of three possible findings in the recommendation to the Chief Executive Officer:
 - (1) Founded: The suspected violation of the Code of Ethics was found to have occurred.
 - (2) Unfounded: The suspected violation of the Code of Ethics was found not to have occurred.
 - (3) Undetermined: It cannot be determined whether or not a violation of the Code of Ethics has occurred.
15. Once approved by the Chief Executive Officer, the supervisor will inform the staff member, who is the subject of the investigation, of the outcome of the investigation.

**Santa Fe Recovery Center
Policies and Procedures**

16. If the finding was unfounded, the paperwork of the complaint and the investigation will be destroyed.
17. If the finding was undetermined, the Supervisor will adjust the supervision of the staff member to a level necessary to ensure that the suspected behavior is not occurring. The staff member will be informed of the details and will be actively involved with the supervisor in this process.
18. If it is determined that the suspected violation is a clients' rights violation, then the investigation, notification, and appeal procedure will follow the patients grievance policy and procedures.
19. If it is determined that an ethical violation has occurred, the level of reprimand of a staff member will depend upon the nature of the violation and consultation by the supervisor with the Chief Executive Officer.
20. Errors in judgment regarding boundaries or dual relationships with a client will be addressed with increased supervision and/or required workshops or training.
21. All other levels of ethical problems will be addressed through regular supervision and training.
22. When an investigation of ethical complaints is found to have merit, the incident will be reported to the management as a critical incident and reviewed within the appropriate format to assist in quality improvement, risk management.

Addendum to Code of Ethics:

Personal fundraising –

Clients may not be solicited for personal fundraising of any kind by staff members, or other clients. Neither can clients solicit funds for personal fundraising from employees. Employees fundraising for personal causes to other employees must have the approval of the Chief Executive Officer. Said approval can be revoked at any time for any reason. At this time, Santa Fe Recovery Center does not ask clients to selling items on behalf of the organization.

Personal property –

Ethical conduct by staff persons and clients with regard to the personal property of others includes respect for and safeguarding of the personal property of clients, visitors, employees, and the Santa Fe Recovery Center. There are secure safes and filing cabinets in the med tech office, quality assurance office, associate director office, and Chief Executive Officer office should it become necessary to secure valuable personal property of clients. Santa Fe Recovery Center does not take responsibility for lost or stolen personal property of staff or clients unless SFRC staff take possession of said property. Staff and clients are discouraged from bringing valuable personal property to SFRC facilities.

Witnessing Documents –

Staff persons may be asked to witness documents signed by clients such as intake forms, release of information forms, or other similar paperwork. Any witnessing of documents outside of the documents

Santa Fe Recovery Center Policies and Procedures

that Santa Fe Recovery Center normally uses for course of treatment should be done only with the approval of the Chief Executive Officer.

Social Media

At Santa Fe Recovery Center, we understand that social media can be a fun and rewarding way to share your life and opinions with family, friends and co-workers. However, use of social media also presents certain risks and carries with it certain responsibilities. To assist you in making responsible decisions about your use of social media, we have established these guidelines for appropriate use of social media.

In the rapidly expanding world of electronic communication, *social media* can mean many things.

"Social Media" includes: all means of communication or posting of information, 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 chat room, whether or not employed or affiliated with Santa Fe Recovery Center, as well as any other form of electronic communication. Some names of these sites are: Facebook, Twitter, Snapchat and Instagram.

The same principles and guidelines found in SFRC policies and three basic beliefs apply to your activities online. Ultimately, you are solely responsible for what you post online. Before creating online content, consider some of the risks and rewards that are involved. Keep in mind that any of your conduct that adversely affects your job performance, the performance of fellow employees or otherwise adversely affects members, clients, suppliers, people who work on behalf of SFRC or SFRC's legitimate business interests may result in disciplinary action up to and including termination.

1. Know and follow the rules

Carefully read these guidelines, the SFRC Statement of Ethics Policy, the SFRC Information Policy and the Discrimination & Harassment Policy, and ensure your postings are consistent with these policies. This includes our policies regarding appropriate professional boundaries and relationships with current and past clients of the facility. Please do not "friend" current or past clients of the Santa Fe Recovery center on any social media platforms. Inappropriate postings that may include discriminatory remarks, harassment, and threats of violence or similar inappropriate or unlawful conduct will not be tolerated and may subject you to disciplinary action up to and including termination.

2. Be respectful

Always be fair and courteous to fellow employees, clients, members, suppliers or people who work on behalf of SFRC. Also, keep in mind that you are more likely to resolve work-related complaints by speaking directly with your co-workers or by utilizing our Open Door Policy than by posting complaints to a social media outlet. Nevertheless, if you decide to post complaints or criticism, avoid using statements, photographs, video or audio that reasonably could be viewed

as malicious, obscene, threatening or intimidating, that disparage clients, members, employees or suppliers, or that might constitute harassment or bullying. *Examples of such conduct might include offensive posts meant to intentionally harm someone's reputation or posts that could contribute to a hostile work environment on the basis of race, sex, disability, religion or any other status protected by law or company policy.*

3. Be honest and accurate

**Santa Fe Recovery Center
Policies and Procedures**

Make sure you are always honest and accurate when posting information or news, and if you make a mistake, correct it quickly. Be open about any previous posts you have altered. Remember that the Internet archives almost everything; therefore, even deleted postings *can be searched*. Never post any information or rumors that you know to be false about Santa Fe Recovery Center fellow employees, members, clients, suppliers, people working on behalf of SFRC or competitors.

4. Post only appropriate and respectful content

- Maintain the confidentiality of SFRC private or confidential information, particularly any and all information concerning current or past clients of the facility. Trade secrets may include information regarding the development of systems, processes, products, know-how and technology. Do not post internal reports, policies, procedures or other internal business-related confidential communications.
- Respect financial disclosure laws.
- Do not create a link from your blog, website or other social networking site to a SFRC website without identifying yourself as an SFRC employee.
- Express only your personal opinions. Never represent yourself as a spokesperson for Santa Fe Recovery Center. If SFRC is a subject of the content you are creating, be clear and open about the fact that you are an employee and make it clear that your views do not represent those of Santa Fe Recovery Center fellow employees, clients, clients, suppliers or people working on behalf of SFRC. If you do publish a blog or post online related to the work you do or subjects employed with Santa Fe Recovery Center make it clear that you are not speaking on behalf of SFRC. It is best to include a disclaimer such as "The postings on this site are my own and do not necessarily reflect the views of SFRC."

5. Using social media at work

Refrain from using social media while on work time or on equipment we provide, unless it is work-related as authorized by your manager or consistent with the Company Equipment Policy. Do not use SFRC email addresses to register on social networks, blogs or other online tools utilized for personal use.



New Employee Orientation

New employees undoubtedly have questions when beginning a new position. Consequently, SFRC has developed an orientation program to introduce and welcome these individuals to the center.

On the first day of employment, the HR Department shall conduct an orientation session with new employees to complete necessary employment documents, review key SFRC policies and compensation terms, explain benefit and reward systems, and provide any other human resource related information needed to orient and integrate the employee into SFRC service. The topics covered and all paperwork shall be documented and placed in the employee's personnel file.

During the first week of employment, the employee's supervisor shall review the SFRC's history, organizational structure, job content, performance and safety standards, working conditions, promotional opportunities, and any other matters of operational importance needed to orient and integrate the employee into SFRC service. The topics covered by the supervisor shall be documented on a form provided by the department. The HR Department shall place the signed form in the employee's personnel file^[LA1]. During the introductory period, the supervisor shall meet with the employee a minimum of once per week to respond to questions and provide constructive feedback concerning performance.

Employee Information

The task of handling personnel records and related administration functions at SFRC has been assigned to the HR Department. Personnel files will be kept confidential at all times.

It is the responsibility of the employee to supply the following and to notify SFRC of any changes in the following areas when they occur.

- Legal Name
- Address and or phone #
- Marital Status
- Withholding tax status
- Education
- Conviction of Criminal Offenses
- Information which would affect bond insurance
- Proof of automobile insurance and a current driver's license
- Any change in status regarding an employee's license or certification

Access to Personnel File

Employees have the right to examine their personnel file and to challenge any statement in the file. An employee may submit in writing any additions, corrections, or challenges to material in the file, which will become a permanent part of the file.

Under supervision, in the HR Office, employees may review their personnel files, but may not remove their files from SFRC. A copy of any personnel records will be provided at the written request of the employee. An employee shall not remove any records from his/her personnel file.

Effective 01/01/2020

Human Resources

Santa Fe Recovery Center at its option, may change, delete, suspend or discontinue parts or the policy in its entirety, at any time without prior notice. In the event of a policy change, employees will be notified. Any such action shall apply to existing as well as to future employees.



SFRC reserves the right to supervise the review or copying, and to remove sensitive information prior to review or copying, as permitted by law.

Personnel records will be kept during an employee's employment and for a maximum of three years following termination. Release of confidential information from a current or former employee's file will only be permitted with prior written consent from employee.

Employee References and Information

All requests for references or information about a current or terminated employee must be transferred to the HR Manager, who may disclose to prospective employers only the former employee's dates of employment, final title or position, job location, and whether or not the employee is eligible for re-hire. With the former employee's written permission, the HR Manager may give employment history.

Information requested by law enforcement will be provided if it is believed that an employee has been engaged in illegal activities; if actions of the individual threaten physical injury to SFRC property or other employees or persons served, or to protect the legal interests of SFRC. In such cases, any release of information will be made only with approval of the Chief Executive Officer.

BREIF DESCRIPTION OF TRANSIT PROGRAM

A. Route Design

Santa Fe Recovery Center (SFRC) provides on demand transportation to its clients in recovery from substance use disorders (SUDs). The specific route depends on the needs of the clients.

Types of trips can vary from moving clients between SFRC facilities or other medical appointments to connecting with social services and partner programs or meeting basic life needs such a groceries and personal items. SFRC provides transportation to and from these appointments on demand.

B. Schedule

Transportation services provided by Santa Fe Recovery Center (SFRC) between Christus Saint Vincent's Hospital and the SFRC Detox Facility are available 24hrs a day, 7 days a week. Transportation services for the Residential Facility and new Extended Residential Facility are available from 8am to 12am daily on demand for clients of SFRC.

C. Fare Structure

Santa Fe Recovery Center provides transportation for its clients free of charge. There are no fares for clients and their families using these services.

D. Advertising and Marketing

Santa Fe Recovery Center (SFRC) clinical staff provides information about SFRC transportation services to every new patient during intake and patient orientation. SFRC Medical Technicians are also responsible to educate clients about the free transportation resources SFRC provides and assist in scheduling trips when applicable.

**Santa Fe Recovery Center
Policies and Procedures**

Policy Number: 1.8

Effective Date:

May 16, 2005

Revision Date:

October 2019

Policy and Procedure: Protection and Destruction of Confidential Information

Purpose:

To insure appropriate protection and destruction of confidential information pertaining to client information gathered during treatment or confidential information pertaining to staff of SFRC by Santa Fe Recovery Center staff.

Policy:

Santa Fe Recovery Center staff implements appropriate safeguards to protect, and secure confidential information. Safeguards are implemented to ensure appropriate destruction of material containing confidential information, relating to either clients or employees of SFRC, by shredding the material or deleting files in SFRC's EMR system. In the event of a legal process initiated against the organization, information will be protected from destruction.

Staff Responsible for the Implementation of This Policy and Procedure (in part or in whole) Include:
All Staff persons

Procedure:

1. Confidential paper records are kept in offices that are locked when not in use. Paper records are kept on site for eight years. Files more than 8 years old will be destroyed via a shredding company.
2. Confidential electronic records are stored in SFRC's cloud based EMR system. Records will be retained in the EMR system for a timeframe designated by law and as advised by the agency's financial advisors. When electronic files are deleted, the process is managed by the EMR system company.
3. All current and discharged charts are stored in the clients file in SFRC's EMR system and are maintained at each point of delivery by the appropriate staff trained to use the system.
4. Electronic confidential records including billing, financial, and client treatment records are stored in SFRC's EMR system and are accessible to users assigned that privilege. Administrative privileges for the system are consigned to select individuals.
5. Santa Fe Recovery Center owns multiple paper shredders and any paper forms that have met the destroy date are appropriately shredded.
6. Any duplicate or drafts of financial, scheduling, or client record documents which contain client name, social security number or date of birth, or employee documentation with similar identifying information are uploaded as collateral material to a client file in the EMR system to avoid duplications.
7. Confidential paper documents waiting to be destroyed may be centralized in one location, primarily the file storage room at the Administration building, so that shredding of confidential information may take place at scheduled times.

**Santa Fe Recovery Center
Policies and Procedures**

8. In the event of legal process initiated against the organization, pertinent information will be collected and stored in an appropriate location to which access is restricted to include only the Chief Executive Officer or if necessary the Board of Directors.

**Santa Fe Recovery Center
Policies and Procedures**

Policy Number: 2.9

Effective Date:
May 16, 2005

Revision Date:
October 2019

Policy and Procedure: Incident Reports and Medication Incident Reports

Purpose:

To provide the agency with a method of documenting incidents, reporting, taking remedial action, collecting data about risk management activities, as well as providing a procedure for identifying, tracking, and trending risk issues with the goal of preventing future incidents.

Policy:

Santa Fe Recovery Center has a process for documenting, reporting, taking remedial action, and collecting data on all critical incidents that occur or staff are made aware of. Any Santa Fe Recovery Center employee or volunteer, who is witness to or involved in an accident/incident will complete the Incident Report Form within 24 hours and notify the appropriate supervisor immediately and other individuals designated on the Incident Report forms.

Staff Responsible for the Implementation of This Policy and Procedure (in part or in whole)
Include: All Staff Members

Procedure:

Definition of Incident

- * Any OSHA violation (including Biohazard accidents and unsafe working conditions).
- * Injury, threats, or accidents involving a staff, client, visitor, family member, or third party (use or possession of a weapon, any violent or aggressive action, vehicular accidents, suicide or attempted suicide, medical emergencies).
- * Medication errors or discrepancies in medication counts (complete a Medication Incident Report).
- * Adverse drug reactions (complete a Medication Incident Report).
- * Adverse patient reaction to a procedure or treatment.
- * Damage to SFRC property.
- * Theft.
- * Sexual Assault
- * Safety concerns (including communicable diseases and infection exposure incident.)
- * Any deviation from organizational policy which poses a potential or actual detriment to client care and/or client or staff well-being.
- * Any situation that is in conflict with agency's policies and procedures (including use or possession of licit or illicit substances, knowledge of abuse or neglect).
- * Elopement and/or wandering of residential clients (this includes leaving AMA or without the knowledge of personnel).
- * Any other incident/Sentinel event where staff feels that documentation is warranted

1. Incident report forms can be found in in all facilities and electronic copies on the OneDrive for access by all employees.
2. Incidents should be reported to a supervisor immediately.

**Santa Fe Recovery Center
Policies and Procedures**

3. Incidents involving adverse or allergic reactions to medications must be reported to a member of the medical team immediately and 911 called if the reaction is severe.
4. Documentation on the incident form shall be legible, clear, and concise but thorough with a narrative description of the incident. The incident report must contain input from all individuals present during the incident to provide the most accurate description possible of what occurred. Reports must be written within 24 hours. Reports must be reviewed by clinical and medical staff as appropriate.
5. Incidents involving clients should include client's name and EMR BEAR ID number. Final reports will be scanned and uploaded to the incident report folder in the client chart and then sent to the Administrative Director or Quality Assurance Director.
6. The Chief Executive Officer, Clinical Director, Medical Director or Administrative Director, will be informed in the event of an incident. Timely debriefings will occur as necessary within 72 hours of the critical incident.
7. Appropriate notifications shall also be made to emergency contacts as appropriate following an incident.
8. State and Federal funding regulations are followed with regard to reporting the incident as appropriate.
9. Emergency services are notified as appropriate depending on the nature of the incident.
10. Clients are informed at intake that their admission to SFRC is voluntary and that they can leave at any time. They are encouraged to inform staff if they want to leave treatment so that staff can assist them with obtaining transportation, leaving with appropriate referrals and medications, and take their belongings with them.
11. Incidents involving injury to staff must be reported to the Administrative Director within 24 hours and required insurance information completed. Without these forms the employee may not file a claim for a workplace injury.
12. Medication Incident reports must be completed by appropriate staff immediately upon discovery of medication error. Reports are reviewed by the Medical Director and filed at the Pharmacy binder located at each facility for review by a pharmacist licensed by the NM Board of Pharmacy.
13. Annual trainings are conducted on incident reporting that detail how and when an incident report should be filled out.
14. An annual evaluation of all critical incidents is conducted with the goal of performance improvement, prevention of future incidents, and identification of trends, causes, necessary education for staff.

SFRC INCIDENT REPORT

Date _____ Time _____ Location _____

Individuals involved in the incident. List names of all individuals.

☐ Injured party _____

☐ Clients _____

☐ Staff _____

☐ Witnesses _____

Participation in incident:

☐ Direct involvement ☐ Observed ☐ Found ☐ Other _____

Type of incident:

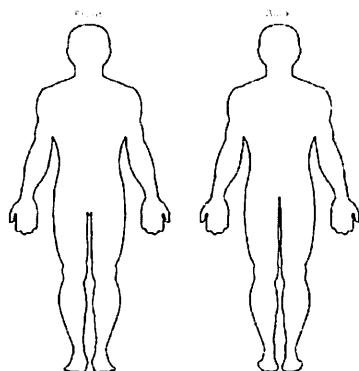
☐ Aggression/Behavior ☐ Accident ☐ Possible Abuse/Neglect ☐ Injury ☐ Other _____

Who was notified _____ Time _____

Describe injury (use back of form if necessary)

Describe the following in detail: Events leading up to incident, how all parties were involved in the incident, what happened during the incident, what followed the incident, describe how staff handled event and client response. (use back of form if necessary)

Mark injury on body form below:



Nurse's Comment

Medical Director Review

Initials of injured party if declined medical attention _____

Notifications to: Indicate Date and Time [Call RN on Call and email individuals listed below]

☐ COO _____

☐ Clinical Director _____

☐ Medical Director _____

☐ CEO _____

☐ Core Counselor _____

☐ Client Emergency Contact. Contact if ROI is on file.

Signature of person filing report _____ Date _____



P.O. Box 2009, Glen Allen, VA 23058-2009
800-362-7535 Fax: 855-662-7535
newclaims@markelcorp.com

Incident Report Form

This form should be completed if someone has been injured or property
(including motor vehicles) has been damaged.

Today's Date: _____

Policy Number: _____

Section I – Insured/Organization Information

Insured/Organization Name: _____

Mailing Address: _____

Location Address (if different than mailing) _____

Phone Number: (_____) _____ Contact Person: _____

Section II – Property Damage Information

Owner of Damaged Property: _____

Address: _____

Phone Number: (_____) _____ Damaged Property Description: _____

Section III – Injured Party Information

Name of the Injured Person: _____

Address: _____

Phone Number: (_____) _____ Alt. Phone Number: (_____) _____ Date of Birth: ____/____/____

Parent or Guardian (if a minor) _____

Description of injury: _____

Section IV – Incident Information

Date of Damage/Injury: ____/____/____

Time of Damage/Injury: _____ a.m. p.m.

1. Exact location of the incident: _____

2. What activity was going on? _____

3. Detailed description of the accident: _____

Please provide the names and information of witnesses:

- a. Full Name: _____
Address: _____
Phone #: _____ Age: _____
- b. Full Name: _____
Address: _____
Phone #: _____ Age: _____

4. After the incident, what action was taken? (Please be specific.) _____

5. If applicable, provide the name of the facility where the injured party was taken: _____
6. How was the injured party transported? _____
7. Who was called? _____ When? _____ a.m. p.m.

Additional Information or Comments: _____

Fraud Warning: Any person who knowingly and with intent to defraud any insurance company or other person files an application for insurance containing any materially false information, or conceals for the purpose of misleading information concerning any fact material thereto, commits a fraudulent insurance act, which is a crime and subjects the person to criminal [NY residents: substantial] civil penalties. In the District of Columbia, Louisiana, Maine, Tennessee, and Virginia, insurance benefits may also be denied.

I hereby certify that to the best of my knowledge and belief the information provided is true and correct and that no information which would materially affect this insurance has been withheld.

Please provide the following signatures:

Printed Name of the person completing this report Title

Signature of the person completing this report

Printed Name of the supervisor on duty

Signature of the supervisor on duty

Printed Name of the parent/guardian of the injured party (if minor)

Signature of the parent/guardian of the injured party (if available)

Additional Information or Comments: _____

Please fax this completed form to 855-662-7535 or email newclaims@markelcorp.com

- If the steering feels loose or has excessive play, it must be checked by a certified mechanic.

While Driving

Certain deficient conditions can only be identified when the vehicle is in motion. Note these items, and check any problems on the Vehicle Self-Inspection Checklist after your test drive.

- Check for any unusual movement, vibration, or sound, which could be an indication of a defective condition.
- Check for any smoke, steam, or unusual odors, which could also be an indication of a defective condition.
- Verify that the vehicle does not pull while driving or braking.
 - Do not operate a vehicle if the vehicle wanders or pulls to one side during normal operation, acceleration, or braking.
- Check the operation of the speedometer.
- In addition to full concentration on the driving task, keep an eye on all the gauges; and immediately find a safe place to stop if any of the gauges register outside of the normal operating range.

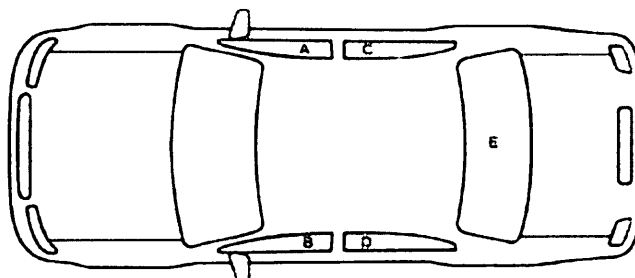
Also see the included **DAILY PRE TRIP CHECKLIST FOR SFRC VEHICLES** on the following page.

SFRC Vehicle Check List

Vehicle:	Date:	Time																											
Facility:	Driver:																												
Inspect and check all items Below.																													
<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <p style="text-align: center;">Daily</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Y</th> <th>N</th> <th>N/A</th> </tr> </thead> <tbody> <tr><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td></tr> </tbody> </table> </div> <div style="width: 45%;"> <p>Registration</p> <p>Insurance Card</p> <p>Vehicle Accident Packet</p> <p>Seat Belts In Good Condition</p> <p>Clean Interior</p> <p>Floor Free Of Hazards</p> <p>Any damage to vehicle inside and out?</p> </div> <div style="width: 45%;"> <p>Beginning Mileage:</p> <p>Ending Mileage:</p> </div> </div>			Y	N	N/A																								
Y	N	N/A																											

Y	N	N/A	Safety Equipment
			Fire Extinguisher
			Jumper Cables
			First Aid Kit
			Child seat properly secured
			Cell Phone

Indicate any physical damage to the exterior of the vehicle. Write any additional information on back side of form.

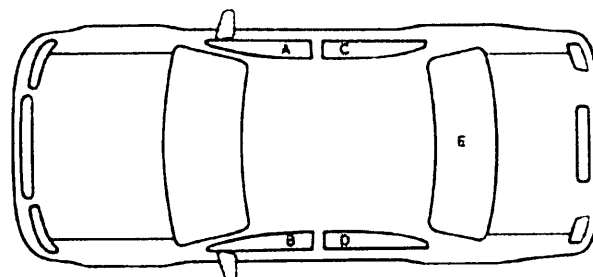


☐ CONDITIONS OF THE ABOVE VEHICLE IS SATISFACTORY

Vehicle:	Date:	Time																											
Facility:	Driver:																												
Inspect and check all items Below.																													
<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <p style="text-align: center;">Daily</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Y</th> <th>N</th> <th>N/A</th> </tr> </thead> <tbody> <tr><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td></tr> </tbody> </table> </div> <div style="width: 45%;"> <p>Registration</p> <p>Insurance Card</p> <p>Vehicle Accident Packet</p> <p>Seat Belts In Good Condition</p> <p>Clean Interior</p> <p>Floor Free Of Hazards</p> <p>Any damage to vehicle inside and out?</p> </div> <div style="width: 45%;"> <p>Beginning Mileage:</p> <p>Ending Mileage:</p> </div> </div>			Y	N	N/A																								
Y	N	N/A																											

Y	N	N/A	Safety Equipment
			Fire Extinguisher
			Jumper Cables
			First Aid Kit
			Child seat properly secured
			Cell Phone

Indicate any physical damage to the exterior of the vehicle. Write any additional information on back side



☐ CONDITIONS OF THE ABOVE VEHICLE IS SATISFACTORY

Exterior

- Check the vehicle body condition for any damage.
 - Bumpers, fenders, and trim must be in good condition and must not be loose or significantly damaged.
 - Check all doors and their locking mechanisms for easy operation.
 - Make sure that the doors are functional and not obstructed or otherwise damaged.
 - Check all emergency exits if the vehicle is so equipped.
- Check the direction signals/emergency flashers for operation and for cracked or missing lenses.
- Make sure the windows and mirrors are free of ice, snow, or frost.
- Check the windshield wipers and washers.
- Adjust all mirrors to fit the driver and minimize blind spots.
- Tap the horn to make sure the horn works properly.
- Check the vehicle registration tag, and make sure the vehicle license has not expired.
- Check the vehicle's tires and wheels.
 - Look for loose or missing lug nuts.
 - Look for any oil residue on the inside or outside of the wheel. This type of oil leak could indicate a bad brake cylinder or axle seal. Either condition can result in decreased brake performance that could result in an accident.
 - Make sure the tires are properly inflated. Recognize that every vehicle type has different requirements for tire pressure. The manufacturer's recommended tire pressure is listed in the owner's manual and on the driver's door or door pillar. 15-passenger vans require up to 80 PSI of tire pressure.
 - Make sure the tire can handle the pressure required. It is not uncommon for a vehicle to be fitted with the wrong tires. For example, 15-passenger vans must be equipped with load range E tires. Load range D tires can only be safely inflated to 65 PSI.
 - Check the tire pressure using a high-quality tire pressure gauge.
 - If your vehicle is equipped with an automatic tire pressure monitoring system, be familiar with the system and possible limitations. Some systems do not provide the actual PSI reading and only sound an alarm when the tire pressure drops below a prescribed limit.
 - Make sure the tires have adequate tread depth (greater than 1/8 inch) and that the tires have no visible signs of deterioration.
 - Make sure the spare is in good condition and adequately inflated.

Under the Hood / Under the Vehicle

Important: Perform under-the-hood inspections on a cold engine. If the engine has been running, take extreme care not to burn anything on any engine component. NEVER remove the radiator cap.

- Open the hood, and check the battery, battery connections, and engine accessory drive belts.
- Check the engine oil level, brake cylinder fluid level, power steering fluid level, engine coolant level, and washer fluid level.

- Look for any leaks or loose components under the hood.
- The coolant level should be easily checked by looking at the coolant reservoir tank.
- Look under the vehicle next.
 - Look for any sign of oil or fluid leaks.
 - Look at the vehicle muffler and exhaust system checking for holes, missing support hangers, missing tailpipes, and other defects.
 - Check the suspension system for loose or hanging components.
 - Check the shock absorbers for oil leaks or worn insulator bushings.

Interior

- Check the general housekeeping of the vehicle interior.
 - Loose cups, cans, and other items have been known to lodge under the brake pedal of a vehicle and cause major accidents.
 - Keep the vehicle interior clear of any loose objects.
- Check for a first aid kit, and warning reflectors. Make sure they are in good condition and correctly stowed.
- Check the operation and availability of seat belts for all seating positions.
 - If child safety seats are needed, make sure the seats are properly installed following the child safety seat manufacturer's instructions.
 - If operating a vehicle with removable seats, make sure the seats are properly secured to the floor of the vehicle.

After Starting the Engine

Important: Before starting the engine, make sure the parking brake is engaged.

- Listen for any unusual noises. Any squealing, clicking, grinding, popping, or other unusual sound could be an indication of a significant mechanical problem.
- Check the gauges.
 - Make sure the oil pressure, fuel level, coolant temperature, voltage, and/or amperage readings are all within operating ranges.
 - If your vehicle is equipped with air brakes, make sure that the low pressure alarm and pressure gauge are working properly.
- Press the brake, and check for firm resistance.
 - If the pedal presses to the floor or feels spongy the brake system must be checked by a certified mechanic.
- With the brake engaged, move the transmission shift control through the selection range.
 - Any delay or unusual noises may be an indication of a problem and should be checked by a certified mechanic.
- Check the parking brake for proper adjustment and effectiveness.
- Check the heater, defroster, and air conditioner for operation.
- Turn the steering wheel, and check for looseness or excessive play in the wheel.



SFRC recognizes that its employees/volunteers may hold a wide range of personal beliefs, values, and commitments. These beliefs, values and commitments are a conflict of interest only when they prevent employees/volunteers from fulfilling their job responsibilities, if employees/volunteers attempt to use SFRC's time and facilities for furthering them, or if employees/volunteers continue attempting to convince others of their personal beliefs after they have been asked to stop.

No employee, volunteer, consultant, contract worker, Board or advisory committee member shall have a direct or indirect financial interest in the assets, leases, business transactions, or professional services or SFRC unless full disclosure of the relationship is made to the Board of Directors. If a relationship involves a Board Director, that Director may not participate in any vote taken in respect to a specific transaction.

Employees, volunteers, Board and advisory committee members are prohibited from offering or receiving payment or other consideration for referrals.

Drug and Alcohol Use

SFRC is firmly committed to ensuring the health, safety and well-being of its employees, members and the public. SFRC has established a strong commitment to maintain a drug and alcohol free work force. Our goal is to ensure that all employees are able at all times to safely and efficiently perform their duties.

In compliance with the *Drug-Free Workplace Act of 1988*, SFRC has a longstanding commitment to provide a safe, quality-oriented and productive work environment. Alcohol and drug abuse poses a threat to the health and safety of SFRC employees and to the security of the SFRC's equipment, clients and facilities. For these reasons, SFRC is committed to the elimination of drug and alcohol use and abuse in the workplace.

SFRC prohibits the unlawful possession, use, or distribution of illicit drugs and alcohol by employees on SFRC's sites and/or their members' work sites, or in SFRC vehicles. Any illegal substance found in the workplace will be confiscated and turned over to the appropriate law enforcement agency immediately. Any employee reporting to work under the influence of, or in possession of, drugs or alcohol will have provided SFRC with just cause for immediate termination..

SFRC may perform drug and alcohol tests for any reason at any time, in accordance with applicable state law, including the following:

- Pre-employment Drug Screen
- Post-accident/injury Drug and/or Alcohol Test
- Reasonable-suspicion Drug Screen
- Random Drug Test (where permitted by state law)
- Periodic Drug Test (where permitted by state law)

Collection and Testing Procedures

Employees subject to alcohol testing will be transported to a SFRC designated facility and directed to provide breath specimens. Breath specimens will be tested by trained technicians using federally approved breath alcohol testing devices capable of producing printed results that

Effective 01/01/2020

Human Resources

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identify the employee. If an employee's breath alcohol concentration is .04 or more, a second breath specimen will be tested approximately 20 minutes later. The results of the second test will be determinative. Alcohol tests may, however, be a breath, blood or saliva test, at the SFRC's discretion. For purposes of this policy, test results generated by law enforcement or medical providers may be considered by the SFRC as work rule violations.

Applicants and employees subject to drug testing will be transported to an SFRC designated testing facility and directed to provide urine specimens. Applicants and employees may provide specimens in private unless they appear to be submitting altered, adulterated or substitute specimens. Collected specimens will be sent to a federally certified laboratory and tested for evidence of marijuana, cocaine, opiates, amphetamines, PCP, benzodiazepines, methadone, methaqualone and propoxyphane use. (Where indicated, specimens may be tested for other illegal drugs, as well as Suboxone) The laboratory will screen all specimens and confirm all positive screens. There must be a chain of custody from the time specimens are collected through testing and storage.

Consequences

Applicants who refuse to cooperate in a drug test or who test positive will not be hired and will not be allowed to reapply/retest in the future. Employees who refuse to cooperate in required tests or who use, possess, buy, sell, manufacture or dispense an illegal drug in violation of this policy will be terminated. If the employee refuses to be tested, yet the SFRC believes he or she is impaired, under no circumstances will the employee be allowed to drive himself or herself home.

Employees who test positive, or otherwise violate this policy, will be subject to discipline, up to and including termination

Depending on the circumstances, the employee's work history/record and any state law requirements, SFRC may offer an employee who violates this policy or tests positive the opportunity to return to work on a last-chance basis pursuant to mutually agreeable terms, which could include follow-up drug testing at times and frequencies determined by SFRC for a minimum of one year but not more than two years as well as a waiver of the right to contest any termination resulting from a subsequent positive test. If the employee either does not complete the rehabilitation program or tests positive after completing the rehabilitation program, the employee will be immediately discharged from employment.

Employees will be paid for time spent in alcohol or drug testing and then suspended pending the results of the drug or alcohol test. After the results of the test are received, a date and time will be scheduled to discuss the results of the test; this meeting will include a member of management and HR. Should the results prove to be negative, the employee will receive back pay for the times/days of suspension.

Confidentiality

Information and records relating to positive test results, drug and alcohol dependencies, and legitimate medical explanations provided to HR will be kept confidential to the extent required by law and maintained in secure files separate from normal personnel files. Such records and

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information may be disclosed among managers and supervisors on a need-to-know basis and may also be disclosed when relevant to a grievance, charge, claim or other legal proceeding initiated by or on behalf of an employee or applicant.

Inspections

SFRC reserves the right to inspect all portions of its premises for drugs, alcohol or other contraband. All employees, contract employees and visitors may be asked to cooperate in inspections of their persons, work areas and property that might conceal a drug, alcohol or other contraband. Employees who possess such contraband or refuse to cooperate in such inspections are subject to appropriate discipline, up to and including discharge.

Crimes Involving Drugs

SFRC prohibits all employees, including employees performing work under government contracts, from manufacturing, distributing, dispensing, possessing or using an illegal drug in or on SFRC premises or while conducting SFRC business. SFRC employees are also prohibited from misusing legally prescribed or over-the-counter (OTC) drugs. Law enforcement personnel may be notified, as appropriate, when criminal activity is suspected.

SFRC does not desire to intrude into the private lives of its employees but recognizes that employees' off-the-job, who have involvement with drugs and alcohol may have an impact on the workplace. Therefore, SFRC reserves the right to take appropriate disciplinary action for drug use, sale or distribution while off SFRC premises. All employees who are convicted of, plead guilty to or are sentenced for a crime involving an illegal drug are required to report the conviction, plea or sentence to HR within five days. Failure to comply will result in automatic discharge. Cooperation in complying may result in suspension without pay to allow management to review the nature of the charges and the employee's past record with SFRC.

Arrests and Convictions

In order to promote the safety and security of our clients, employees, contractors, vendors and other visitors to our property, enhance the operations and protect against potential legal liability, while at the same time recognizing the rights of our employees, the following policy has been established regarding employees who are:

- Charged with committing certain crimes;
- Arrested or incarcerated;
- Convicted or who plead guilty to certain crimes; or
- Are sentenced to a period of confinement in a penal institution or some other facility.

Any employee who is subject to one of the above situations under federal, state or local law must immediately notify his/her manager. At that time, a risk assessment may be made by the supervisor and/or manager, in consultation with HR, as to whether the nature of the crime(s) for which the employee has been charged and whether the circumstances are such that allowing the employee to continue to work would create an unreasonable risk for the SFRC. Factors that may be considered include, but are not limited to, whether the alleged crime involved violence and/or injury to another person, the job duties of the accused employee and whether the situation has been reported in the national or local news media. The employee may be placed on an unpaid

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employee should determine the most appropriate and safest option for themselves, him or herself. All employees are to comply with the dress code for their gender identity.

Immigration Law Compliance

Each individual hired by SFRC will be required to establish and certify his or her identity and right to work in the United States. All offers of employment are contingent on verification of the candidate's right to work in the United States. On the first day of work, every new employee will be asked to provide original documents verifying his or her right to work and, as required by federal law, to sign Federal Form I-9, Employment Eligibility Verification Form. **Americans with Disabilities Act as Amended (ADA and ADAAA).**

SFRC is committed to complying with all applicable provisions of the **Americans with Disabilities Act (ADA) and its amendments (ADAAA)**. It is our policy not to discriminate against applicants and individuals with disabilities and, when needed, to 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 SFRC to comply with all federal and state 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)**. Furthermore, it is the SFRC policy not to discriminate against qualified individuals with disabilities in regard to application procedures, hiring, advancement, discharge, compensation, training or other terms, conditions and privileges of employment.

If an accommodation is needed, the employee must make their manager aware of their need and any type of accommodation that is required. SFRC may ask for documentation of the need for accommodation from the employee's doctor. An accommodation will be granted if it is reasonable and does not constitute an undue hardship on SFRC. If such an accommodation includes time off, we will require the employee to use any accrued or earned paid time off during the leave granted under the **ADA** and, as appropriate, to utilize leave under **FMLA** if applicable.

Recruitment/Hiring Process

As job vacancies become available or created if new, the designated representative of the department will submit the filled Job Requisition form to the HR department, this will detail the number of positions (if multiple), recommended rate of pay (to be approved by CEO) and brief description of the position. HR will then first advertise the position internally providing current SFRC staff the opportunity to apply. Interested staff must apply within the time period specified. HR will also advertise externally on Indeed.com, Facebook, Craigslist and/or local newspaper. When advertising externally, the position(s) will remain open until filled.

STEP 1: HR receives an **Application** and/or **Resume** of a potential candidate for an open position. HR will review to determine whether the candidate meets the minimum



requirements for the position. Those unqualified candidates contacted will be notified by HR in writing using the appropriate "No, thank you" letter.

STEP 2: HR will contact qualified applicants for an initial interview and screen individuals utilizing the relevant **Applicant Screening** form. If the candidate meets the minimum job requirements, HR will perform a **Reference Check**. HR will forward candidates recommended for a 2nd interview to the supervising Director who will coordinate with the direct supervisor and/or designated representative and provide HR dates/times for setting up the interview.

STEP 3: The Director, direct supervisor and/or the designated representative will then interview the candidate. The **Interview Questionnaire** form will be utilized during the interview by the interviewing panel. After the interview, hiring supervisors will advise applicants that HR will be in contact with them. After the interview the designated representative will then contact HR with their recommendation. Completed Interview Questionnaires are provided to HR for review and further processing. Once a candidate (s) has been selected, HR will make contact with the offer along with further instructions regarding required new hire paperwork. All remaining applicants and candidates will be notified of non-selection.

STEP 4: Once the selected candidate has been notified, HR will set up a time where the new hire will be provided with an **Offer of Employment** letter. The letter informs candidates about the onboarding requirements and that employment is contingent upon criminal records clearance and drug screening results. Candidate must sign and date the offer letter in acceptance of the offer in order to move forward. Candidates receive the **Employment Forms Packet**. The **Employment Forms Packet*** consists of the following forms:

- Santa Fe Recovery Center New Hire Check List
- Santa Fe Recovery Center Confidentiality Form (required)
- Concentra Authorization for Examination or Treatment Form (required)
- CYFD/DOH Fingerprint Authorization
- Santa Fe Recovery Center UA (Urine Analysis) Drug Test Consent Form (required)
- NM New Hire Reporting Form (required)
- W-4 (required)
- I-9 (required)
- Payday Authorization Agreement for Automatic Deposit Form-Payroll Direct Deposit (optional)
- Santa Fe Recovery Center Ethical Expectations Policies/Procedures Receipt and Acknowledgment (required)
- Santa Fe Recovery Center Employee Emergency Contact Numbers Form (required)



- Job Description (required)
- If the new hire is a Med Tech, HR will provide the Med Tech Operating Manual and the Assisted Living Medication Learner Workbook

List of required forms may be subject to changes and /or deletion or replacement as required by federal and state law.

The candidate will complete the above required paperwork during the New Hire Orientation. The Employment Forms Packet should not be done at any other time or given to the candidate for completion, either electronically or by any other means. It is during this time; HR will perform the criminal background check.

No potential employee should be contacted by any other representative of the organization unless with explicit permission from the CEO. All required paperwork and background checks and testing should be completed and be in good standing prior to actual start date, which includes any scheduling of orientation, meetings, etc.

HR will at this time provide name badges, SFRC employee email login and temporary password and initial EMR Bear new user setup. Only those employees who will work with EMR Bear will be provided access. Training on EMR Bear will be provided by specific department trainers.

STEP 6: Upon receipt of the above required forms, HR will provide the in-depth Santa Fe Recovery Center orientation which includes but is not limited to, any information on benefits, leave status, pay periods and payroll information, SFRC policies and procedures, Safety Training, IT Process, Code of Ethics, etc. If the new employee is placed as a Med Tech, they will receive the Med Tech Operating Manual and the Assisted Living Medication Learner Workbook. As part of the Orientation, job specific documents and/or information should be provided so that staff can begin their on-the-job training with better preparedness.

No one may begin working for Santa Fe Recovery Center until this process is completed in full. Human Resources has the authority to deny your candidate from obtaining employment when (1) required HR documentation is incomplete; (2) candidate's criminal records clearance is denied and/or drug screening is positive for illegal drug use. **Only HR by authorization of the CEO may hire employees.**



Background Checks

An "employee" of SFRC is a person who regularly works for SFRC on a wage or salary basis. We also have outside vendors and/or contractors that work with us for a limited amount of time and are paid by the job in full or by the hour, per contract agreement. At times, we also may have volunteers that generously give of their time, based on their experience, to our clients. In all cases, New Mexico State Law requires that all persons must go through a background check. This is particularly important due to the presence of children at our facilities.

Per New Mexico State Law Citation: Ann. Stat. § 32A-15-3; Admin. Code § 8.26.4.16

Background checks are required for the following persons:

All operators, staff, and employees, and prospective operators, staff, and employees, of child care facilities and juvenile detention, correction, or treatment facilities.

Nationwide criminal history records checks are required for all persons listed above.

The background check shall include the following:

- State and Federal criminal records checks
- An additional criminal records check of the applicant and all adults living in the applicant's home through a search of nmcourts.com
- A check for abuse and neglect referrals

The Children, Youth and Families Department (CYFD) shall fingerprint all persons who are required to obtain background checks.

- CYFD shall conduct the background checks and shall submit a fingerprint card for those individuals to the Department of Public Safety and the Federal Bureau of Investigation for this purpose.
- Criminal Records
- Due to the nature of work that is done and the potential of any employee being around children at any given time, a criminal record check is performed to protect SFRC's interest and that of its employees, clients and children of clients.

Per New Mexico State Law Citation: Ann. Stat. § 32A-15-3; Admin. Code § 8.26.4.16

Drug Testing

All candidates who have received an offer of employment, contractors and volunteers will be required to undergo testing for commonly abused controlled substances in accordance with this policy. SFRC contracts with Concentra for this process. Upon receipt of an offer of employment, candidates must complete required drug testing within 24 hours. Candidates who refuse to submit to a drug test or who fail to show up for a drug test within 24 hours of an offer of employment will no longer be considered for employment, and any offer of employment will be rescinded.

Effective 01/01/2020

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If a candidate tests positive on an initial screening test, the test will be confirmed by the Concentra process. If this results in a confirmed positive test, the employment offer will be formally withdrawn, and the candidate will be provided with a copy of the test results and the reason why he or she is no longer being considered for employment.

All candidates have the right to meet with the testing laboratory personnel and with SFRC to explain their test results. These discussions will be considered confidential except that information disclosed in such tests will be communicated to personnel within SFRC or within the lab who need to know such information to make proper decisions regarding the test results or employment of the individual.

Individuals who are in recovery from substance use disorders or engaged in a supervised drug rehabilitation program and are no longer using drugs, may be protected under the **Americans with Disabilities Act (ADA)**. Therefore, SFRC will consider the applications of candidates who formerly tested positive for drugs if candidates can show evidence of rehabilitation and compliance with this policy.

All records concerning test results will be kept in medical files that are maintained separately from SFRC personnel files.

Licenses, Credentials and Certifications

Employees of SFRC hired to fill a position requiring a particular license or certification (i.e., licensed clinicians, health practitioners, CPR and First Aid, driver's license) must provide documentation prior to their first day of employment. Employees are responsible for determining timing of renewal processes, obtaining and renewing licenses and certifications as a condition of their employment. Employees must submit hard copies of renewals to their managers and Human Resources prior to their expiration. Depending on job requirements, employees may not be allowed to work without a required license or certification.

Anniversary Date

The first day you report to work for orientation is your official start date and your corresponding anniversary date. This anniversary date is the start of each employee's own "fiscal year" for purposes of calculating eligible non-paid and paid benefits such as vacation, sick and other leave policies in the manual. In case of a transfer or promotion, the actual start date with the SFRC remains on record as history, but the new position becomes the new date for performance reviews and any other transfer or promotion calculation.



TRAINING AND CONTINUING EDUCATION

Mandatory Staff Meetings and Trainings

All staff members are obligated to attend any meeting deemed mandatory by the Chief Executive Officer. Written permission to miss any mandatory staff meetings or trainings must be obtained in writing from an employee's direct supervisor in order for the employee to be excused. If not excused, missing a mandatory staff meeting/training will be considered absence without leave and can result in disciplinary action up to and including termination of employment depending on the severity of the problem.

Staff Development & Training

SFRC recognizes the importance of continuing professional education and training to provide employees with the skills and experience necessary for their continued development and to maintain and enhance the SFRC's ability to achieve its mission in the community. Participation in professional education is encouraged and SFRC will assist employees in achieving this goal. Payment of fees for conferences or training experiences are at the sole discretion of SFRC and may be made when funding is available when recommended by the supervisor, approved by the Chief Executive Officer, and when such training:

- Is complimentary to the SFRC's purpose;
- Is deemed to be of special or needed benefit to the individual's ability to fulfill his/her job responsibilities and duties;
- Is submitted in advance for approval by the Chief Executive Officer; and
- Will not interfere with the satisfactory discharge of responsibilities of services to our clients and fellow employees.

The SFRC provides ongoing in-service training opportunities for employees. The scope of training includes topics relevant to the growth of the employee as an individual and issues directed at quality of service to clients served by the SFRC. Documentation of all personnel training, including dates and employee signature verifying receipt of training, shall be kept in personnel file.

Employees are responsible for meeting any initial and ongoing training or continuing education requirements as mandated by any SFRC or personal licensure required for their specific job classification. Failure to maintain and document specific training and continuing educational requirements will be grounds for disciplinary action and may result in dismissal.

Employees are required to fulfill any requirements for additional training as stipulated in the employee's performance evaluation in order to maintain the minimum standards of their position. Failure to do so will be grounds for disciplinary action and may result in dismissal.

Internal Departmental Training and Coaching/Mentoring

A specific schedule of basic training and orientation has been established for all job and employment classifications. The Coaching/Mentoring program provides guidance in professional development for all supervisors. The All Staff Training provides training in policy, protocol and

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Human Resources

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miscellaneous courses, either required or optional, that will enhance internal training and allow for specific topics. SFRC encourages all employees to take advantage of the continuing education initiative and further job specific training. Attendance to all courses must be approved by a supervisor and HR Manager.

Both employees and their managers are responsible for continuous learning. Employees should show willingness to improve by asking their managers for direction and advice. Managers should do the same with their own superiors, while encouraging and mentoring their subordinates.

Employees and managers are responsible for finding the best ways to provide internal departmental training. The Departmental Job Checklist can provide a useful tool for tracking the training necessary, and must be signed off and sent to human resources with signatures, no later than a month after the employees start date. Supervisors can experiment with job rotation, job shadowing and other types of on-the-job training (without disrupting daily operations). We also encourage employees to use their rights for self-paced learning by asking for educational material and access to other resources.

General guidelines:

- All eligible employees are covered by this policy without discriminating against rank or protected characteristics.
- Managers should evaluate the success of training efforts. They should keep records for reference and better improvement opportunities.
- All employee development efforts should respect cost and time limitations, as well as individual and business needs.
- Employees should try to make the most out of their trainings by studying and finding ways to apply knowledge to their work.
- Departmental Job Checklist should be returned to human resources for placement in the personnel folder.

Continuing Education

Santa Fe Recovery Center supports employees who wish to continue their education to secure increased responsibility and growth within their professional careers. In keeping with this philosophy, the Center has established a reimbursement program for expenses incurred through approved institutions of learning, **with an allotment for the year of \$10,000**. All full-time, regular employees that have completed their probationary period are eligible for participation in this program as long as the courses are job-related.

The Center will reimburse up to a maximum of \$1,500 per year incurred by an employee for continuing education through an accredited program that either offers growth in an area related to his or her current position or might lead to promotional opportunities. This education may include college credit courses, continuing education unit courses, seminars and certification tests. You must secure a passing grade of "B" or its equivalent or obtain a certification to receive any

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reimbursement. Expenses must be validated by receipts, and a copy of the final grade card or certification must be presented to show hours or certification received.

To receive tuition reimbursement, employees should follow the procedures listed here:

1. The employee must provide his or her manager with information about the course for which he or she would like to receive reimbursement.
2. The pre-approval section of the tuition reimbursement form should be completed and all the appropriate signatures obtained prior to enrolling.
3. The employee must then take the form to HR, and a copy will be added to the employee's file. The employee will maintain the original until he or she has completed the course. The employee can then enroll in the course.
4. After completion of the course, the employee should resubmit the original tuition reimbursement form with the reimbursement section filled out, including appropriate signatures, as well as receipts and evidence of a passing grade or certification attached.
5. The HR department will then coordinate the reimbursement with the payroll department.

Due to the limit of \$10,000 per year, it is important that submittals are reviewed immediately and approved on a first come first serve basis. If the \$10,000 is reached for the year, the remainder will be reviewed for the coming year's approval.

Any questions or comments should be directed to the HR department.

Performance Reviews

SFRC wants to help our employees to succeed in their jobs and to grow. In an effort to support this growth and success, SFRC has an annual review process for providing formal performance feedback. Feedback includes a Performance Evaluation, which includes ratings based on evaluation of employee performance during the past year. Our Performance Review process is based on Performance and not on tenure.

Your manager or supervisor will also conduct a 60 Day New Hire informal review of your performance as a new employee. All performance reviews will cover the following areas:

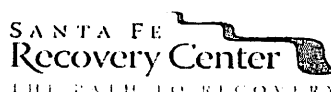
- The quality and quantity of your work
- Your strengths and areas for improvement
- Your initiative and teamwork
- Attendance
- Safety
- Problem-solving and decision-making skills
- Ongoing professional growth and development
- Any additional areas that apply to your specific job

This is a good time to discuss your career goals with your manager because we are interested in helping you learn and advance your career with us. Signing the performance review does not necessarily indicate that you agree with all of the comments. It merely indicates that you have been given the chance to review the evaluation and time to discuss any concerns you may have with your manager.

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Employee Engagement

To demonstrate the Center's commitment to staff engagement the following actions will be taken:

- the Board and Leadership Team will seek to ensure staff engagement is considered as a key indicator and placed on agendas as appropriate.
- staff with line management responsibility will be encouraged and supported to manage their teams in an engaging way through appropriate training and providing them with information and resources to meet their objectives.
- recognised staff representatives will act in accordance with SFRC's Recognition Program Guidelines and be an example of excellence.
- action on staff engagement will be driven by data from sources including the SFRC staff survey, and the response to the issues raised in the survey shall be shared on a timely basis
- arrangements for communication with staff will be reviewed to create more opportunities for interaction with staff, providing a commitment to respond to feedback such as; Monthly round tables with management and the CEO.
- the Center will continue to develop mechanisms to enable staff involvement and input into decision making on key issues affecting them such as implementing Suggestion Boxes and Culture Committee involvement.
- the Center will adopt good practice recommendations in ways which support staff engagement
- the application of Center values, core professional leadership behaviors and ways of working based on staff engagement principles
- the Center will organize staff engagement event/s on a regular basis

Benefits of Employee Engagement

SFRC recognizes that staff engagement is part of the Center's overall approach and in particular how staff are involved, communicated with and treated within their working area.

The role of Leadership and Managers in staff engagement

- High quality leadership and management at all levels are vital to successful staff engagement.
- The role of leadership and line managers is especially important given the clear association between engagement, job satisfaction, advocacy and performance. They play a crucial part in ensuring that staff understand how their role contributes to the overall objectives of the organization.

Leadership and line Managers in each area should continue to develop engagement strategies by enabling staff the opportunity to feed their views upwards and ensure staff are kept informed

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through regular communications and feedback. This also includes supporting individual team members in the appraisal/performance review process. Such engaging behaviour can increase engagement amongst staff. Those with leadership responsibility should aim to;

- create an environment of effective two-way communication
- aim to demonstrate alignment to core professional leadership behaviors
- create an environment where staff is able to make suggestions for improvement and can implement their ideas
- provide guidance and support to enable employees to deliver to their full potential
- acknowledge value and recognise the contribution of all staff and provide praise where appropriate
- enable good interpersonal skills and actively managing tensions between team members
- maintain a positive attitude
- seek to motivate their team in challenging times
- acknowledge that different groups of staff will be influenced by different combinations of factors

The Center is committed to continuing its engagement with staff and will seek to improve on the ranking scores as measured in the staff survey.

Staff engagement benefits the Center by creating an informed, involved and productive workplace that helps the achievement of the Center's strategic goals. Engaged employees:

- have a desire and commitment to give their best
- generate greater productivity and higher levels of innovation
- will act as advocates for the Center
- have lower rates of sickness or absenteeism
- are less likely to leave
- behave in ways that support Center values
- have a positive impact on clients
- have a stronger sense of personal well-being, feel more involved, committed and productive at work.

**Santa Fe Recovery Center
Policies and Procedures**

Policy Number: 1.13

Effective Date:

August, 2020

Review Date:

August 2020

Policy and Procedure: Technology – Email System

Purpose:

The purpose of the policy is to (1) outline appropriate use of SFRC's (Santa Fe Recovery Center) E-Mail system and services in order to minimize disruptions to services and activities; and (2) comply with federal and state laws and regulations that address public records retention and management and confidentiality, including, but not limited to, the New Mexico Public Records Act.

Policy:

SFRC E-Mail is for business use. All E-Mail accounts and all data transmitted or stored using E-Mail systems and services is property of SFRC.

Staff Responsible for the Implementation of This Policy and Procedure (in part or in whole)

Include: IT Administrator

Procedure:

This policy applies to all E-Mail systems and services owned by SFRC (whether operated on local or Internet-based servers), all SFRC E-Mail account holders, and all E-Mail messages and attachments sent or received using the SFRC E-Mail systems and services.

"E-Mail" means a message transmitted electronically over a communications network. This includes any system that enables users to compose, transmit, receive, and manage electronic messages and images across networks and through gateways connecting to other local area networks. "Chat" applications that permit instantaneous communications are included in this definition. Because "chat" messages cannot be easily stored or maintained, "chat" messages should be used only for a matter of convenience for short communications, and shall not be used to conduct the organizations business.

1. Account Activation/Termination:

- a. Employee account activation. All SFRC employees will receive an E-Mail account upon the approval of their supervisor and the execution by the employee of the Technology Use Agreement. It is the responsibility of the employee to protect the confidentiality of his or her account and password information.
- b. Account Termination. E-Mail access will be terminated when the employment or on-going relationship between the organization and the employee or third party is terminated. An account also may be suspended during internal investigations or terminated by the organization as a disciplinary penalty for misuse or violation of the Technology Use Agreement. SFRC is under no obligation to forward the contents of an individual's E-Mail account to a non-SFRC E-Mail account or to store the contents of the E-Mail account, except as required by records retention laws and regulations.

2. Ownership; No Expectation of Privacy: SFRC owns all E-Mail accounts and all data transmitted or stored using E-Mail systems and services. Users have no general expectation of privacy in E-Mail messages sent or received through the SFRC system. The SFRC administrators may access or monitor E-Mail files to maintain the system, or to investigate issues related to system security, system abuse, or violations of SFRC policies and regulations.

**Santa Fe Recovery Center
Policies and Procedures**

3. **Data Retention:** Due to finite resources, SFRC has the right to restrict the amount of user space on the E-Mail server, as necessary, and to purge and remove email accounts subject to records retention laws and regulations.

Archival and backup copies of E-Mails are created, despite end-user deletion, in compliance with SFRC document retention policy. The goals of these backup and archival procedures are to ensure system reliability, prevent business data loss, and meet regulatory and litigation needs. Back-up copies exist primarily to restore service in the event of a system failure. Archival copies are designed for quick and accurate access by SFRC administrators for supervisory, business, or legal needs. It is a violation of this policy for an email account user to tamper with archival or back-up copies of E-Mails.

4. **Appropriate Use:** When using E-Mail as an official means of communication, SFRC employees should apply the same professionalism, discretion, and ethical standards that they would use in written or in person business communications.

Examples of Inappropriate Use.

The inappropriate use of E-Mail is prohibited. A non-exhaustive list of examples of inappropriate use of E-Mail includes, but is not limited to:

- a. The creation and exchange of messages which are harassing, bullying obscene or threatening.
- b. The unauthorized exchange of proprietary information or any other privileged, confidential, or sensitive information.
- c. The creation and exchange of advertisements, solicitations, chain letters and other unofficial, unsolicited email, non-SFRC communications, or political campaigning.
- d. The creation and exchange of information in violation of any laws, including copyright laws, or SFRC policies.
- e. The knowing transmission of a message containing a computer virus.
- f. The misrepresentation of the identity of the sender of an E-Mail.
- g. The use or attempt to use, view, alter or delete the accounts of others without their permission.
- h. Use of SFRC E-Mail systems and services in a manner that strains storage or bandwidth (e.g. e-mailing large attachments instead of pointing to a location on a network drive or the SFRC internet). The total size of an individual e-mail message sent to 1 or 2 recipients (including attachment) should be 25 MB or less.
- i. Setting a configuration or default setting to automatically forward all email to an external destination without prior approval from the SFRC IT Administrator.
- j. Knowingly opening e-mail attachments from unknown or unsigned sources. Attachments are a primary source of computer viruses and should be treated with utmost caution.
- k. Sharing e-mail account passwords with another person, or attempting to obtain another person's e-mail account password. E-mail accounts are only to be used by the registered user.
- l. Limited personal use of SFRC E-Mail. While limited personal communications are permitted, such communications shall not be in violation of federal and state laws and regulations or SFRC policies, nor should the employee's personal use of E-Mail interfere with the employee's work responsibilities or cause any disruption in the work place or production of work.

**Santa Fe Recovery Center
Policies and Procedures**

- m. Inclusion of personally-selected messages, including but not limited to: quotes, personal or political messages or opinions, references to non-SFRC approved team or other "spirit" slogans, or other non-SFRC approved messages on the sender's email message.

5. Confidentiality: Employees shall use extreme caution when communicating confidential or sensitive information using E-Mail. Employees must be aware that all E-Mails sent become the property of the receiver, and that all E-Mails containing SFRC related business may become a public record. Employees shall exercise judgment and caution when using the "Reply," "Reply All," or "Forward" command during E-Mail correspondence to ensure that the resulting message is not delivered to unintended recipients.

Each E-Mail account shall include the following confidentiality statement in the signature area of the E-Mail message:

Confidentiality Notice: This e-mail, including all attachments is for the sole use of the intended recipients and may contain information that confidential and privileged under federal and state laws and regulations. Any unauthorized review, use, disclosure or distribution is prohibited, unless specifically provided by federal and state laws and regulations. If you are not the intended recipient, please contact the sender and destroy all copies of this message.

E-mail messages that contain personally identifiable information about a client or employee shall be maintained as a confidential record and shall not be distributed or disclosed, except as permitted pursuant by federal or state laws and regulations.

6. Reporting Misuse: Employees shall immediately report good faith beliefs that E-Mail systems and services are being misused or receipt of any offensive E-Mail to their respective supervisor, the IT Director or CEO. Employees shall not forward, delete, or reply to the message in question. The CEO or designee shall determine how to properly preserve and/or dispose of the message.

7. Disciplinary Consequences:

Violation of this policy shall subject the employee to discipline, up to and including discharge or termination. Violations of state or federal laws will be reported to law enforcement officials.

**Santa Fe Recovery Center
Policies and Procedures**

Policy Number: 1.14

Effective Date:
August 2020

Review Date:
August 2020

Policy and Procedure: Technology – Resources

Purpose:

To address authorized use of the organizations technology resources

Policy:

The computers, electronic media and services provided by SFRC are primarily for business use to assist employees in the performance of their jobs. Limited, occasional, or incidental use of electronic media (sending or receiving) for personal, non-business purposes is understandable and acceptable, and all such use should be done in a manner that does not negatively affect the systems' use for their business purposes.

Staff Responsible for the Implementation of This Policy and Procedure (in part or in whole)
Include: IT Administrator

Procedure:

Employees are expected to demonstrate a sense of responsibility and not abuse this privilege. That includes the following forbidden actions:

1. Obscene, sexually explicit or pornographic pictures stored on computer or removable media.
2. Defamatory or threatening messages (chat, email...etc.) towards any employee, client and community members.
3. In violation of any license governing the use of software (ex. Illegal download of software(s), pirating of music and video...etc.).
4. Engaged in for any purpose that is illegal or contrary to SFRC policy or community interests.
5. Removing and/or changing the Local Administrative password, which is used by the Technology Department to help with remote assistance and proper troubleshooting as needed by the Technology Staff.

Staff is expected to treat the technology given to them as if it is their own property and not damage or exchange parts to either improve or limit their capabilities. In order for the above expectations to be met, the Technology Department reserves the right to confiscate, audit and evaluate the use of those technologies at any time for any reason and without notice.

Supervision

Access to the Internet and/or Network resources is an important part of an employee's achievement in the SFRC organization. Access to those resources is protected or secured by the Technology Department. Even though the Technology Department does its best to stay on top of blocking inappropriate materials, there are times where those methods can fall behind and therefore SFRC relies on monitoring and supervision of Network/Internet access by staff members to prevent abuse of such resources.

**Santa Fe Recovery Center
Policies and Procedures**

Staff members whose work area is connected to the network, which therefore is connected to the Internet; are responsible for the appropriate use of those connections and for monitoring the appropriate use of materials accessed. All staff members are responsible for taking an active role in the monitoring and supervision of network resources and the Internet. Staff also has a responsibility to supervise the physical use of such technologies and report abuse of such equipment to proper Administration.

I, _____, have read the above Technology Use and Supervision statement, and agree to abide by its provisions. I understand that violation of the provisions stated in the policy may result in suspension or revocation of network access and related privileges, and could lead to SFRC disciplinary action.

**Santa Fe Recovery Center
Policies and Procedures**

Policy Number: 1.15

Effective Date:
August 2020

Review Date:
August 2020

Policy and Procedure: Technology – Backup, Disaster Recovery and Security

Purpose:

To ensure appropriate protection and destruction of confidential information pertaining to client information gathered during treatment or confidential information pertaining to staff of SFRC by Santa Fe Recovery Center staff.

Policy:

Santa Fe Recovery Center staff implements appropriate safeguards to protect, and secure confidential information. Safeguards are implemented to ensure appropriate destruction of material containing confidential information, relating to either clients or employees of SFRC, by shredding the material or deleting files in SFRC's EMR system. In the event of a legal process initiated against the organization, information will be protected from destruction.

Staff Responsible for the Implementation of This Policy and Procedure (in part or in whole)
Include: IT Administrator

Procedure:

1. Backup/recovery

There are three major components to the SFRC technology system: EMR-BEAR, Microsoft Azure Cloud Services, and QuickBooks. All three SaaS (Software as a Service) products are cloud hosted, meaning that these services are hosted in the cloud by their respective companies. Each company has its own backup and disaster recovery procedure. SFRC does not control those backups, but instead pays for those services so that each one of those products has 30 days' worth of informational backups. These SaaS products are tested once a year for reliability and relevance to past data.

2. Disaster Recovery

As mentioned in the Backup/Recovery procedure, all major components of SFRC are tested yearly to check for reliability and relevance. Additionally, SFRC maintains a backup internet line at 5312 Jaguar Drive for continued operational services. All work can continue at this location if all other locations lose access to internet services. The backup internet service is tested yearly.

3. Security

- a. Access management is covered by Microsoft Azure and EMR Bear.
- b. Audit capabilities are embedded in Office 365, QuickBooks, and EMR Bear to verify hierarchical structure of authority. Additionally, EMR Bear and Office 365 require all users to have two factor authentication (text message and password) to enter into these systems. Moreover, all SaaS products are HIPAA and 42 CFR Part 2 compliant.

**Santa Fe Recovery Center
Policies and Procedures**

- c. Data export and transfers are available 24/7 in EMR bear and Office 365 which are both hosted in the cloud.
- d. Old computers and equipment are donated to goodwill and hard drives are destroyed by a local data and documents destruction agency through our security officer Jacob Gutierrez.
- e. Protection from Malicious Activity is provided by Webroot Secure Desktop Virus Software and by Webroot DNS Web Filtering services. Both products are managed remotely through their cloud services and provides information to the IT Administrator on upgrades and updates as needed.
- f. Remote access and support is available to our IT admins using Ninja RMM.
- g. Ninja RMM provides remote management of scheduled automatic updates for all end user Windows based equipment.

PASSENGER CODE OF CONDUCT

Santa Fe Recovery Center (SFRC) performs a vital service of providing on demand transportation to its clients. SFRC's goal is to ensure that transportation services are delivered safely, effectively, and efficiently in a manner that safeguards the public and protects its employees from risks posed by inappropriate passenger conduct.

SFRC transportation services are free of charge to clients and their families. We operate cars, vans and buses, all of which apply to this passenger code of conduct.

DEFINITIONS

Violence - Physical force employed to violate, damage, abuse, injure, or strike in any manner.

Threat - An expression or action showing intent to inflict harm. Giving signs or warnings of violence or the announcement of violence as a possibility.

Inappropriate Behavior - Any conduct that does not demonstrate respect for safety and welfare of themselves and/or others or that interferes with the orderly provision of transportation services. The Vehicle Operator may use his or her sole discretion in determining the level of violation for any and all other inappropriate behavior(s)/conduct.

VEHICLE ETIQUETTE AND CONDUCT

For the safety and comfort of all passengers and employees, the following rules of conduct will be enforced to ensure that all passengers have a pleasant experience.

1. Federal regulations prohibit the operation of any bus with passengers standing ahead of the white line.
2. Articles, which, because of their size or nature of content, may be dangerous to passengers, are not allowed in SFRC vehicles. Articles prohibited by SFRC include but are not limited to:
 - a. Illegal drugs.
 - b. Weapons, including but not limited to knives and guns.
 - c. Flammable or combustible materials or other dangerous substances such as gasoline, kerosene, and propane.
 - d. Open containers of alcohol.
 - e. Animals, other than service animals for the disabled, except those animals that can be safely carried in a closed and secured bag, carrier or kennel.
 - f. Any article that cannot be safely held and/or stored in a seat that could potentially hurt other passengers if it were to come into contact with another passenger during an unscheduled stop.
3. Children in strollers must be removed from the stroller and placed in a seat or on a parent's lap. Strollers must be folded and stored out of the aisle of vehicle and in the designated space available.
4. All passengers must wear shirts and shoes.
5. Profane and vulgar language directed towards passengers or Vehicle Operator, loud distracting language, and/or obscene signs or gestures will not be tolerated on buses and/or facilities. Use of racial slurs, racial/ethnic name calling, displaying racial behaviors will not be tolerated.

FOR YOUR SAFETY AND THE SAFETY OF OTHERS:

1. Please allow the Vehicle Operator to drive their vehicles safely.
2. Smoking is prohibited on all buses. Drivers shall inform passengers in a courteous, but firm manner that smoking is prohibited.
3. Passengers are prohibited from throwing objects from the bus, or sticking anything, including body limbs, out of the window.
4. Excretion of any bodily fluid upon or at another person or object while on the vehicle.
5. Please keep all aisles free of all items.

PASSENGERS ARE NOT ALLOWED TO:

1. Disturb other passengers or the Driver. Drivers should courteously request that the offending action cease. Examples of such disturbances include, but are not limited to: excessive noise, throwing objects, physical violence, offensive behavior and speech, public intoxication, and harassing behavior.
2. Solicit the sale of goods or services in vehicles.
3. Place advertisements on the inside or outside of the vehicles, nor may any passenger remove or deface those placed on the vehicles by the authorized representatives of the company.
4. Play loud musical devices in vehicles, unless headsets with reasonable level of volume, are being used.
5. Perform any personal hygiene tasks while riding in an SFRC vehicle (i.e. put on perfume, clip fingernails, etc).
6. Consume any alcoholic beverage or possess an open container of any alcoholic beverage.
7. Possess weapons on or around transit facilities.
8. Make any sexual references, sexually implicit remarks, gestures or touch other passengers.

NOTE: At any time, the Medical Technician/Driver may refuse to transport or order off the bus or out of the vehicle any person who is violating or had violated the "Passenger Bus Etiquette and Code of Conduct." No person shall refuse to depart from SFRC vehicles when ordered to do so by the Medical Director, Clinical Director or Medical Technician Supervisor.

CONSEQUENCES OF MISCONDUCT

The behaviors outlined previously will not be tolerated on SFRC service. Bus Operators and/or Management will take direct and fitting action in response to misconduct.

- Conduct that is deemed illegal/hazardous/violent will be addressed immediately, up to and including assistance from the appropriate security personnel and/or police department.
- If one individual is inhibiting the atmosphere for the majority of the passengers, that person will be asked to cease the behavior causing the disturbance. If the behavior continues and the Vehicle Operator feels that the passenger has been given sufficient warning, the Vehicle Operator then has the right to ask the passenger to leave the vehicle after first consulting with the Medical Technician Supervisor. If the passenger does not leave the bus after being asked by the Vehicle Operator, the

Vehicle Operator should then notify the Medical Technician Supervisor and Medical Director of the situation so they can either respond on-site to provide additional assistance and/or notify the proper authorities to provide further assistance.

ANIMALS ON BUSES

1. All service animals are allowed to ride with their owner. This applies to any animal that is considered a service animal.
2. All animals are allowed on SFRC vehicles free of charge as long as they are properly restrained/kenned and are under the owner's control.
3. Animals other than service animals must be in an enclosed and secured bag, carrier or kennel.
4. Animals may ride on a space available basis. If a SFRC vehicle is at capacity and there is no room to accommodate an animal, even one that complies with all other terms of this policy, the passenger must wait for the next trip.
5. Any animal, including a service animal, which is not under control, may be removed from the vehicle. Not under control means showing aggressive behavior, defecating, urinating, physically touching other passengers such as pawing, etc. Allergic reactions from other passengers or fear of the animal are sufficient grounds to remove an animal.
6. Situations involving animals can be unpredictable. Every effort will be made to accommodate the passenger in the implementation of this policy.

LOST AND FOUND

SFRC holds items found in our vehicles for thirty (30) days. After that, items are donated to a local charity. Please call 505-471-4985 for more information.

BUS SECURITY

For your safety, please do not touch unattended packages and/or handbags you may find on the buses. Please report all unattended packages to the Vehicle Operator. Also, please do not leave your own belongings unattended.