



**Orange County**  
**Alcoholic Beverage Control Board**  
**Policy and Procedure Manual**



**Last Update: April 2019**

## Introductory Statement

Welcome new employee!

We would like to welcome you to The Orange County ABC Board and wish you great success in your tenure with us. We believe that each employee contributes directly to The ABC Board's growth and success, and we hope you will take pride in being a member of our team.

This Manual is designed to acquaint you with ABC Board and provide you with information about working conditions, employee benefits, and some of the policies affecting your employment. You should read, understand, and comply with all provisions of the Manual. It describes many of your responsibilities as an employee and outlines the programs developed by ABC Board for your benefit. One of our objectives is to provide a work environment that is conducive to both personal and professional growth.

No employee Manual can anticipate every circumstance or question about policy. As The ABC Board continues to grow, we reserve the right to revise, supplement, or rescind policies from time to time as deemed appropriate and within our sole and absolute discretion. Employees will, of course, be notified of such changes to the Manual if and when they occur.

We hope that your experience here will be challenging, enjoyable, and rewarding!

Sincerely,

*Tony DuBois*

Tony DuBois  
General Manager

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## **Organization of the Orange County ABC Board**

### **History**

The Orange County ABC Board was established under Chapter 18 of the General Statutes of North Carolina, and implemented by a countywide election held on February 3, 1959. A composite Board consisting of the Orange County Board of Commissioners, the Orange County Board of Education, and the Orange County Board of Health appointed three individuals to serve on the Orange County ABC Board with terms of three years, two years, and one year.

The sale of mixed beverages in social establishments and restaurants in Orange County was authorized by county-wide vote on September 12, 1978.

On April 17, 1979, the North Carolina General Assembly, in Session Laws Chapter 385, approved an act to expand the Orange County ABC Board from three to five members and provided that the members shall be appointed by the Board of Orange County Commissioners.

**Mission**

The Orange County ABC Board is an independent political subdivision of the State of North Carolina that purchases, distributes, controls and sells spirituous beverages to the eligible citizens and visitors to this County, consistently with the applicable laws of North Carolina and rules of the NC ABC Commission. Our united goal is to achieve a delicate balance in four important areas: (1) providing the highest level of customer service, (2) maintaining a dedicated workforce, (3) contributing net profits to designated Orange County systems, such as educational/rehabilitation, law enforcement and the general fund, and (4) maintaining sufficient working capital to provide for expansion and improvements.

**Mission Statement**

The mission of the Orange County ABC Board and our employees is to serve our locality responsibly by controlling the sale of spirituous liquor, returning profits to Law enforcement, Alcohol Education, and the County General Fund while providing excellent service in customer friendly, modern, and efficient stores.



## Overview

The Orange County Alcoholic Beverage Control Board is an independent local political subdivision of the State of North Carolina. Employees work for the Orange County ABC Board, not the Orange County Government or the State of North Carolina. The local ABC Board has the power and authority to adopt rules governing the operation of the Orange County ABC Board.

The North Carolina Alcoholic Beverage Control (ABC) Commission is an agency under the Department of Commerce. The overall objective of the Commission is to provide uniform control over the sale, purchase, transportation, manufacture, consumption, and possession of alcoholic beverages in the State. It is imperative that the Orange County ABC Board conform at all times to the controls which the Commission has established.

The Orange County ABC Board operates retail liquor stores and liquor-by-the-drink (LBD) distribution facilities. ABC laws are enforced through contracts with local law enforcement agencies in lieu of having an internal enforcement arm.

NC General Statutes require that the Board expend at least 5% of profit for law enforcement and at least 7% of those same profits for Alcoholic Education and Rehabilitation purposes. The Orange County ABC Board is also required to retain a working capital balance of not less than two weeks' average gross sales or greater than four months' average gross sales of the latest fiscal year.

NC General Statutes require that net income, after deducting amounts required for law enforcement and education and retaining proper working capital, be paid quarterly to the Orange County general fund, subject to agreements between the County and the Board

According to the statutes, The Orange County ABC Board has the authority to

- Buy, Sell, Transport, and possess alcoholic beverages as necessary for the operation of its ABC stores
- Adopt rules for its ABC system, subject to the approval of the Commission
- Hire and fire employees for the ABC system
- Designate one employee as manager of the ABC system and determine his/her responsibilities
- Require bonds of employees as provided in the rules of the Commission
- Operate ABC stores as provided by law

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- Issue purchase-transportation permits as provided in Article 4
- Employ local ABC officers or make other provision for enforcement of ABC laws
- Borrow money as provided in G.S. 18B-702
- Buy and lease real and personal property as necessary for the operation of the ABC system
- Invest surplus funds as provided in G.S. 18B-702
- Dispose of property in the same manner as a city council may under Article 12 Chapter 160A of the General Statutes
- Perform any other activity authorized or required by ABC law

## **Policies and Procedures**

All Policies and Procedures incorporated in this manual require approval by the Board of Directors.

The General Manager will be responsible for researching and recommending policies and procedures (and modifications) to the Board of Directors

The Board of Directors will be responsible for reviewing and approving policies and procedures.

The General Manager will be responsible for implementing policies and procedures which have been approved by the Board.

The General Manager may provide additional supplemental standard operating procedures and guidelines for the everyday operation of the Board.

### **Distribution:**

A copy of this manual, and any modifications, will be distributed to the following:

- Each Board Member
- Each full-time, part-time and temporary employee
- Each facility owned or leased by the Board

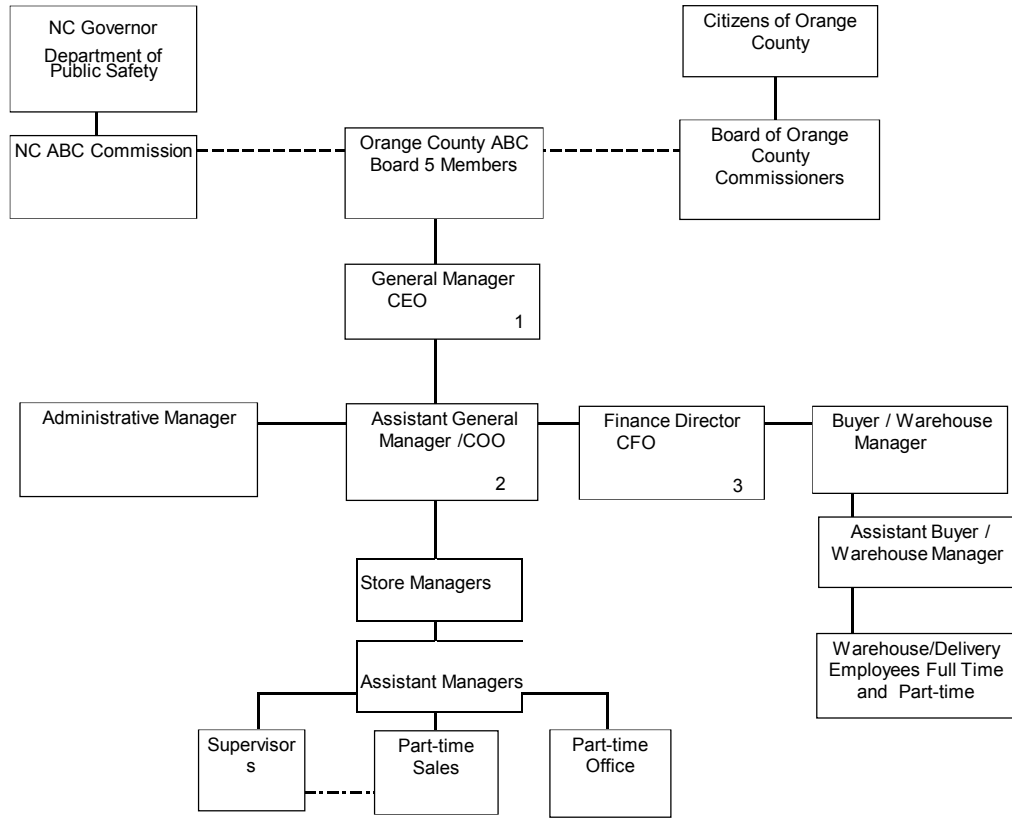
### **Employee Acknowledgement Form:**

Form 9-1 is to be completed and signed by each employee upon receipt of this manual. Subsequent new policies and modifications may also require a signed acknowledgment. The original of this form will be filed in each employees' administrative file.

### **Code of Business Ethics and Conduct Form:**

Form 9-2 is to be read and signed by each Board member and employee upon receipt of this manual. The original of this form will be filed in each Board member's and employee's administrative file.

# Orange County ABC Board - Organizational Chart



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## Section 2: Board of Directors Policies and Procedures

### Rules of Procedure for Board Meetings:

These rules and procedures shall be used for Board meetings of the Orange County ABC Board; hereafter, referred to as the “Board”. These rules incorporate general principles of parliamentary procedures and applicable North Carolina laws. The basis for these procedures were extracted from “Suggested Rules of Procedure for Small Local Government Boards”, second edition, (1998) by A. Fleming Bell, II, the Institute of Government, The University of North Carolina at Chapel Hill.

These procedures modify *Robert’s Rules of Order Newly Revised* with the following principles:

- The Board must act as a body
- The Board should proceed in the most efficient manner possible
- The Board must act by at least a majority
- Every member must have an equal opportunity to participate in decision making
- The Board’s rules of procedure must be followed consistently
- The Board’s actions should be the result of a decision on the merits and not a manipulation of the procedural rules.

## **Rules 1 through 28:**

### **Rule 1. Regular Meetings:**

The Board shall hold a regular meeting on the third Tuesday of each month, except that if a regular meeting day is a legal holiday, the meeting shall be held on the next business day. The meeting shall be held at the Main Office, 601 Valley Forge Road, Hillsborough, NC and shall begin at a time designated by the board. A copy of the Board's current meeting schedule shall be filed with the Clerk to the Board of the Orange County Commissioners.

### **Rule 2. Special, Emergency, and Recessed (or Adjourned) Meetings:**

#### **Special Meetings**

The Chair, or a majority of the members, may at any time call a special meeting of the Board. Forty-eight hours before a special meeting is called in this manner written notice of the meeting shall be Distributed in the following manner:

- Given to each Board member
- Given to the Board secretary
- Posted in the Administrastive Office of the Board
- Provided to anyone who has a written request for notice with the Board's secretary
- Given to the Clerk to the BOCC and the Board Liasiaon

A special meeting may also be called or scheduled by vote of the Board in open session during another duly called meeting. The motion or resolution calling or scheduling special meeting shall specify its time, place and purpose. At least forty-eight hours before a special meeting called in this manner, notice of the time, place and purpose of the meeting shall be distributed in the same manner listed above for special meetings

Only those items of business specified in the notice may be discussed or transacted at a special meeting, unless all members are present and the Board determines in good faith at the meeting that it is essential to discuss or act on the item immediately.

#### **Emergency Meetings**

The Chair, or a majority of the members, may at any time call an emergency meeting of the Board by signing a written notice stating the date, time and place of the meeting and the subjects to be considered. Written or oral notice shall be distributed in the same manner listed above for special meetings

Emergency meetings may be called only because of generally unexpected circumstances that require immediate consideration of the Board. Only business connected with the emergency may be considered at an emergency meeting.

#### **Recessed or Adjourned Meetings**

A properly called regular, special, or emergency meeting may be recessed or adjourned to a time and place certain by a procedural motion made and adopted as provided in Rule 16, in open session during the regular, special or emergency meeting.

The motion shall state the time and place when the meeting will reconvene.

No further notice need be given of such recessed or adjourned session of a properly called regular, special or emergency meeting.

**Rule 3. Organizational Meeting:**

On the date and the time of the first regular meeting after June 1, the newly appointed members shall take and subscribe the oath of office as the first order of business. The outgoing Chair, if present, will preside at the organizational meeting until the new Chair is sworn in. As the second order of business, the Board shall elect a Vice Chair, if he or she is not otherwise selected, using one of the nomination and voting procedures set forth in Rule 25. The Board may also consider changing the date, time and location of the regular meetings.

**Rule 4. Agenda:**

**Proposed Agenda:**

The Board's secretary shall prepare a proposed agenda for each meeting. A request to have an item of business placed on the agenda must be received at least two work days before the meeting. Any Board member may, by a timely request, have an item placed on the proposed agenda. A copy of all proposed orders, policies, regulations and resolutions shall be attached to the proposed agenda. An agenda package shall be prepared that includes, for each item of business placed on the proposed agenda, as much background information on the subject as is available and feasible to reproduce. Each Board member shall receive a copy of the proposed agenda package and it shall be available for public inspection and/or distribution when it is distributed to the Board members.

**Adoption of the Agenda:**

As its first order of business at each meeting, the Board shall, as specified in Rule 6, discuss and revise the proposed agenda and adopt an agenda for the meeting. The Board may by majority vote to add items to or subtract items from the proposed agenda, except that the Board may not add items to the agenda of a special meeting unless:

- All members are present
- The Board determines in good faith at the meeting that it is essential to discuss or act on the item immediately. If items are proposed to be added to the agenda, the Board may, by majority vote, require that written copies of particular documents connected with the items be made available at the meeting to all Board members. The Board may designate certain agenda items "for discussion and possible action." Such designation means that the Board intends to discuss the general subject area of that agenda item before making any motion concerning that item.

**Open Meetings Requirements:**

The Board shall not deliberate, vote, or otherwise take action on any matter by reference to a letter, number or other designation, or other secret device or method, with the intention of making it impossible for persons attending the meeting of the Board to understand what is being deliberated, voted, or acted on. However, the Board may deliberate, vote, or otherwise take action by reference to an agenda, if copies of the agenda-sufficiently worded



to enable the public to understand what is being deliberated, voted, or acted on-are available for public inspection at the meeting.

**Rule 5. Public Address to the Board:**

Any individual or group who wishes to address the Board shall make a request to be on the agenda to the Board's secretary. However, the Board shall determine at the meeting whether it will hear the individual or group.

**Rule 6. Order of Business:**

Items shall be placed on the agenda according to the order of business. The order of business for each regular meeting shall be as follows:

- Discussion and revision of the proposed agenda; adoption of an agenda.
- Approval of the minutes.
- Public hearings
- Administrative reports
- Committee reports
- Unfinished business
- New business
- Informal discussion and public comment.
- By general consent of the Board, items may be considered out of sequence.

**Rule 7. Presiding Officer:**

The Chair of the Board shall preside at Board meetings if he or she is present unless he or she becomes actively engaged in debate on a particular matter. The Chair shall have the right to vote only when there is a tie. In order to address the Board, a member must be recognized by the Chair. If the Chair is absent, the Vice Chair shall preside. If both the Chair and Vice Chair are absent, another member designated by vote of the Board may preside. The Vice Chair or another member who is temporarily presiding retains all of his or her rights as a member, including the right to make motions and the right to vote. If the Chair becomes actively involved in debate on a particular matter, he or she will designate another Board member to preside over the debate. The Chair shall resume presiding as soon as action on the matter is concluded.

**The presiding officer shall have the following powers:**

- To rule motions in or out of order, including patently offered for obstruction or dilatory purposes
- To determine whether a speaker has gone beyond reasonable standards of courtesy in his remarks and to entertain and rule on objections from others members on this ground
- To entertain and answer questions of parliamentary law or procedure
- To call a brief recess at any time
- To adjourn in an emergency

A decision by the presiding officer under the first three powers listed may be appealed to the Board upon motion of any member, pursuant to Rule 16, Motion 1. Such as motion is in order immediately after a decision under those powers is announced and at no other time. The member making the motion, if timely made, may not be ruled out of order.

**Rule 8. Action by the Board:**

The Board shall proceed by motion, except as otherwise provided for in Rules 3, 4 and 25. Any member, including the Chair, may make a motion.

**Rule 9. Second Required for all Motions:**

All motions require a second.

**Rule 10. One Motion at a Time:**

A member may make only one motion at a time.

**Rule 11. Substantive Motions:**

A substantive motion is out of order while another substantive motion is pending.

**Rule 12. Adoption by Majority Vote:**

A motion shall be adopted by a majority of the votes cast, a quorum as defined in Rule 22 being present, unless otherwise required by these rules or the laws of North Carolina. A majority is more than half.

**Rule 13. Voting by Written Ballot:**

The Board may choose by majority vote to use written ballots in voting on a motion. Such ballots shall be signed, and the minutes of the Board shall show the vote of each member voting. The ballots shall be available for public inspection in the office of the Board's secretary immediately following the meeting at which the vote took place and until the minutes of that meeting are approved, at which time the ballots may be destroyed.

**Rule 14. Debate:**

The chair shall state the motion and then open the floor to debate. The Chair shall preside over the debate according to the following general principles:

- The maker of the motion is entitled to speak first;
- A member who has not spoken on the issue shall be recognized before someone who has already spoken.
- To the extent possible, the debate shall alternate between proponents and opponents of the measure.

**Rule 15. Ratification of Actions:**

To the extent permitted by law, the Board may ratify actions taken on its behalf but without its prior approval. A motion to ratify is a substantive motion.

**Rule 16. Procedural Motions:**

Certain Motions Allowed: In addition to substantive proposals, only the following procedural motions, and no others, are in order. Unless otherwise noted, each motion is debatable, may be amended, and requires a majority of the votes cast, a quorum being present, for adoption. Procedural motions are in order while a substantive motion is pending and at other times, except as otherwise noted.

**Order of Priority Motions:** In order of priority (if applicable), the procedural motions are:

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**Motion 1** To Appeal a Procedural Ruling of the Presiding Officer. A decision of the presiding officer ruling a motion in or out of order, determining whether a speaker has gone beyond reasonable standards of courtesy in his remarks, or entertaining and answering a question of parliamentary law or procedure may be appealed to the Board, as specified in Rule 7. This appeal is in order immediately after such a decision is announced and no other time. The member making the motion need not be recognized by the presiding officer and the motion, if timely made, may not be ruled out of order.

**Motion 2** To Adjourn. This motion may be made only at the conclusion of action on a pending substantive matter; it may not interrupt deliberation of a pending matter. A motion to recess or adjourn to a time and place certain shall also comply with the requirements of Rule 2.

**Motion 3** To Take a Brief Recess

**Motion 4** Call to Follow the Agenda. The motion must be made at the first reasonable opportunity or it is waived.

**Motion 5** To Suspend the Rules. The Board may not suspend provisions of the rules that state requirements imposed by law on the Board. For adoption, the motion requires an affirmative vote equal to a majority of the entire membership of the Board.

**Motion 6** To Go into Closed Session.

- The Board may go into closed session only for one or more of the permissible purposes listed in General Statute 143-318.11(a).
- The motion to go into closed session shall cite one or more purposes and shall be adopted at an open meeting.
- A motion based on General Statute 143-318.11(a)(1) shall also state the name or citation of the law that renders the information privileged or confidential.
- A motion based on General Statute 143-318(a)(3) shall identify the parties in each existing lawsuit concerning which the board expects to receive advice during the closed session, if in fact such advice is to be received.

**Motion 7** To Leave Closed Session.

**Motion 8** To Divide a Complex Motion and Consider It by Paragraph. The motion is in order whenever a member wishes to consider and vote on parts of a complex motion separately.

**Motion 9** To Defer Consideration. The Board may defer a substantive motion for later consideration at an unspecified time. A substantive motion the consideration of which has been deferred expires 100 days thereafter unless a motion to revive consideration is adopted. If consideration of a motion has been deferred, a new motion with the same effect cannot be introduced while the deferred motion remains pending (has not expired). A person who wishes to revisit the matter during that time must take action to revive consideration of the original motion [Rule, Motion 14], or else move to suspend the rules [Rule 16, Motion 5].

**Motion 10** Motion for the Previous Question. The motion is not in order until there have been at least 20 minutes of debate and every member has had an opportunity to speak once.

**Motion 11** To Postpone to a Certain Time or Day. If consideration of a motion has been postponed, a new motion with the same effect cannot be introduced while the postponed motion remains pending. A person who wishes to revisit the matter must either wait until the specified time or move to suspend the rules [Rule 16, Motion 5].

**Motion 12** To Refer a Motion to a Committee. The Board may vote to refer a substantive motion to a committee for its study and recommendations. Sixty days or more after a substantive motion has been deferred to a committee, the introducer of the substantive motion may compel consideration of the measure by the entire Board, whether or not the committee has reported the matter to the Board.

**Motion 13** To Amend.

- An amendment to a motion must be pertinent to the subject matter of the motion. An amendment is improper if adoption of the motion with that amendment added would have the same effect as rejection of the original motion. A proposal to substitute completely different wording for a motion or an amendment shall be treated as a motion to amend.
- A motion may be amended, and that amendment may be amended, but no further amendments may be made until the last-offered amendment is disposed of by vote.
- Any amendment to a proposed policy or resolution shall be reduced to writing before the vote on the amendment.

**Motion 14** To Revive Consideration. The Board may vote to revive consideration of any substantive motion earlier deferred by adoption of Motion 9 of Rule 16. The motion is in order at any time with 100 days after the day of a vote to defer consideration. A substantive motion on which consideration has been deferred expires 100 days after the deferral unless a motion to revive consideration is adopted.

**Motion 15** To Reconsider. The Board may vote to reconsider its action on a matter. The motion to do so must be made by a member who voted with the prevailing side and only at the meeting during which the original vote was taken, including any continuation of that meeting through recess or adjournment to a time and place certain. The motion cannot interrupt deliberation on a pending matter but is in order at any time before final adjournment of the meeting.

**Motion 16** To Rescind or Repeal. The Board may vote to rescind actions it has previously taken or to repeal items that it has previously adopted. The motion is not in order if rescission or repeal of an action is forbidden by law.

**Motion 17** To Prevent Reintroduction for Six Months. The motion shall be in order immediately following the defeat of a substantive motion and no other time. The motion requires a vote equal to a majority of the entire membership of the board. If adopted, the restriction imposed by the motion remains in effect for six months or until the next organizational meeting of the Board, whichever occurs first.

**Rule 17. Renewal of Motion:**

A motion that is defeated may be renewed at any later meeting unless a motion to prevent reconsideration has been adopted.

**Rule 18. Withdrawal of Motion:**

A motion may be withdrawn by the introducer at any time before it is amended or before the chair puts the motion to a vote, whichever occurs first.

**Rule 19. Duty to Vote:**

Each member shall be permitted to abstain from voting, by so indicating when the vote is taken and stating the reason. This shall be reflected in the meeting minutes.

**Rule 20. Special Rules of Procedure:**

The date, time and place of the regular meetings may be changed at any regular meeting with a majority vote of the Board.

- A copy of each document rendered to the Board during a meeting will also be rendered to the Board Secretary and shall be maintained on file for 12 calendar months (unless the document is an attachment to the meeting minutes).
- Recordings of the Board meetings will be properly labeled by the Board Secretary and maintained on file for 12 calendar months.

**Board member term renewal procedures:**

- At least 90 days prior to a Board member's term expiration date the member must state their preference regarding staying on or leaving the Board to the Clerk of Orange County Commissioners.
- Also, at least 90 days prior to a Board member's term expiration date, the Board Secretary must submit the Board member's attendance record to the Clerk of Orange County Commissioners for consideration of renewal.
- The Board must state its recommendations to the Clerk of Orange County Commissioners at least 90 days prior to a Board member's term expiration date.

**Rule 21. Closed Session:**

The Board may hold closed sessions as provided by law. The Board shall commence a closed session only after a motion to go into closed session has been made and adopted during an open meeting.

- The motion shall state the purpose of the closed session.
- If the motion is based on General Statute 143-318.11(a)(1) (closed session to prevent the disclosure of privileged or confidential information or information that is not considered a public record), it must also state the name of citation of the law that renders the information to be discussed privileged or confidential.
- If the motion is based on General Statute 143-318.11(a)(3) (consultation with an attorney; handling or settlement of claims, judicial actions, mediations, arbitrations, or administrative procedures), it must identify the parties in any existing lawsuits concerning which the public body expects to receive advice during the closed session. The motion to go into closed session must be approved by the vote of a majority of those present and voting. The board shall terminate the closed session by majority vote, using Motion 7 of Rule 16.
- Only those actions authorized by statute may be taken in closed session. A motion to adjourn or recess shall not be in order during a closed session [Rule 16, Motion 2].

**Rule 22. Quorum:**

A majority of the actual membership of the Board, excluding vacant seats, shall constitute a quorum. A majority is more than half. The chair shall be considered a member of the board in determining the number of members actually present. A member who has withdrawn from a meeting without being excused by majority vote of the remaining members present shall be counted as present for purposes of determining whether or not a quorum is present.

**Rule 23. Public Hearings:**

- Public hearings required by law or deemed advisable by the board shall be organized by a special order that sets forth the subject, date, place, and time of the hearing as well as any rules regarding the length of time allotted for each speaker, and other pertinent matters. The special order is adopted by a majority vote. Its specifications may include, but are not limited to, rules fixing the maximum time allotted to each speaker; providing for the designation of spokespersons supporting or opposing the same positions; providing for the selection of delegates from groups of persons supporting or opposing the same positions when the number of persons wishing to attend the hearing exceeds the capacity of the hall (so long as arrangements are made, in case of hearings subject to the open meetings law, for those excluded from the hall to listen to the hearing); and providing for the maintenance of order and decorum in the conduct of the hearing.
- All notice and other requirements of the open meetings law applicable to board meetings shall also apply to public hearings at which a majority of the Board is present; such a hearing is considered to be part of a regular or special meeting of the Board. These requirements also apply to hearings conducted by appointed or elected committees of Board members, if a majority of the committee is present. A public hearing for which any required notices have been given may be continued to a time and place certain without further advertisement. The requirements of Rule 2, shall be following in continuing a hearing at which a majority of the board, or of a board committee, as applicable, is present.
- At the time appointed for the hearing, the Chair or his or her designee shall call the hearing to order and then preside over it. When the allotted time expires, or earlier, if no one wishes to speak who has not done so, the presiding officer shall declare the hearing ended.

**Rule 24. Minutes:**

Full and accurate minutes of the Board proceedings, including closed sessions shall be kept. The Board shall also keep a general account of any closed session so that a person not in attendance would have a reasonable understanding of what transpired. These minutes and general accounts shall be open to inspection to the public, except as otherwise provided in this rule. The exact wording of each motion and the results of each vote shall be recorded in the minutes, and on the request of any member of the Board, entire Board shall be polled by name on any vote. Members' and other persons' comments may be included in the minutes if the Board approves. Minutes and general accounts of closed sessions may be sealed by action of the Board. Sealed minutes and general accounts may be withheld from public inspection so long as public inspection would frustrate the purpose of the closed session.

**Rule 25. Appointments:**

The Board may consider and make appointment to other bodies, including its own committees, if any, only in open session. The Board may not consider or fill a vacancy among its own membership except in open session.

The Board shall use the following procedure to make appointments to various committees:

- The Chair shall open the floor for nominations; where upon the names of possible appointees may be put forward by the Board members.
- The name(s) submitted shall be debated.
- When the debate ends, the Chair shall call the roll of the members, and each member shall cast his or her vote
- The nominee(s) receiving the highest number of votes shall be appointed. If more than one appointee is to be selected, then each member shall have as many votes as there are slots to be filled. A member must cast all of his or her votes and cast them for different nominees.

**Rule 26. Committees:**

- Establishment and Appointment. The Board may establish and appoint members for such temporary and standing committees as are required by law or needed to help carry on the Board's work. Any specific provisions of law relating to particular committees shall be followed.
- Open Meetings Law. The requirements of the open meeting law shall apply to all elected or appointed authorities, committees, commissions, councils, or other bodies of a local governmental unit that are composed of two or more members and are authorized to exercise legislative, policy making, quasi-judicial, administrative, or advisory functions. However, the law's requirements shall not apply to a meeting solely among a unit's professional staff.

**Rule 27. Amendment of the Rules:**

These rules may be amended at any regular meeting or at any properly called special meeting that includes amendment of the rules as one of the stated purposes of the meeting, unless a statute or a rule of the body that created the Board provides otherwise. Adoption of an amendment shall require an affirmative vote equal to a quorum.

**Rule 28. Reference to *Robert's Rules of Order*:**

This Board shall refer to the current edition of *Robert's Rules of Order Newly Revised* to answer procedural questions not resolved in these rules, so long as *RONR* does not conflict with North Carolina law or with the spirit of these rules.

## **Appointment, Compensation & Reimbursement of Board Members:**

- Board Members are appointed by the Board of Orange County Commissioners in accordance with GS 18B-700(c). A full term is three years per GS 18B-700(a). The Board of Orange County Commissioners has a policy to limit the length of service to two-three year terms. If the unexpired term is greater than two years, it may be considered a full term.
- The salary (or stipend) of Orange County ABC Board members is established by the Board of Orange County Commissioners in accordance with General Statute 18B-700(g). The current compensation is \$125.00 per month for the Chair and \$75.00 per month for other members.
- The Board also pays for the official use of personal vehicles used in relation to the duties of the Board Members. Reimbursement for travel is outlined in the “Travel Policy” section of this manual.
- Stipends are paid for excused absences only (in the event a member misses a regular meeting).
- Each Board member will only be compensated one time per month and will not be compensated for attending more than one meeting or function.
- Stipends are paid by check on a monthly basis. Official travel is usually paid separately within a week after the approved documentation is submitted.



## **Board Member Responsibilities**

### **Responsibilities of the Chair:**

- Preside over meeting in accordance with Rule 7 of the Board Procedures.
- Coordinate meetings with the Board Secretary.
- Primary point of contact with the General Manager and Board Secretary.
- Signature authority on bank accounts and safe deposit box.
- Notify Vice Chair in advance in the event of his or her absence.

### **Responsibilities of Board Members:**

- Attend Board meetings on a regular basis; contact the Chair or General Manager if unable to attend.
- Approve policies and procedures regarding operations and personnel.
- Ensure meetings are held in accordance with NC Open Meetings Laws.
- Approve selection of the independent audit firm in accordance with NC Administrative Code, Rule 2R.0907. "The auditor shall be selected by and report directly to the local board".
- Approve all terminations of full-time employees and hiring of full-time employees when the hiring will make changes to the overall payroll budget.
- Monitor personnel activities to provide reasonable assurance employees are treated respectfully and fairly.
- Consider any changes to employee compensation. Compensation includes both salaries/wages and benefits.

### **Responsibilities of the Board Secretary (or Acting Secretary):**

- Ensure the proposed agenda is prepared and distributed in accordance with Rule 4 and Rule 6 of the Board Procedures. Ensure the proposed agenda and attachments are forwarded to the Board members for review sufficiently in advance to the Board meetings
- Attend Board meetings and record activities using a combination of hand written notes and a tape recorder.
- Ensure meeting minutes are prepared accurately and promptly after each meeting in accordance with Rule 24 of the Board Procedures. Ensure unapproved copies of the prior Board meeting minutes are forwarded to the Board members for review sufficiently in advance to the Board meetings
- Ensure meeting minutes that are approved are signed by the Chair and the Board Secretary immediately following the Board meeting.
- Ensure approved meeting minutes are distributed to the Clerk to the Orange County Commissioners within seven days after approval and signatures.
- Ensure a sign stating future meeting dates is posted in the entrance to the ABC Board main office. For example, "The Orange County ABC Board meets the third Tuesday of each month at 8:30 AM at the Main Office which is located at 601 Valley Forge Road, Hillsborough, NC".

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- Ensure a schedule stating future meeting dates is forwarded to the Clerk to the Orange County Commissioners after the July meeting and is updated anytime the schedule changes for the regular meetings.
- Maintain attendance records of Board members

### **Responsibilities of the General Manager (as it pertains to the Board):**

- Coordinates proposed agenda with the Chair and the Board Secretary.
- Attends Board meetings and updates Board members on the current and future financial and operational aspects of the day-to-day activities.
- Primary point of contact for the Chair and other Board members.
- Initiates and prepares proposed changes to policies and procedures.
- Researches special projects as required by the Board.
- Ensure employment vacancies are adequately filled to maintain a high level of customer service.
- Recruit new employees in partnership with the Assistant General Manager.
- Maintain job descriptions for current employees and prepare job descriptions when situations dictate the need for a new position.
- Compare Board-provided benefits to industry, other ABC Boards and to Orange County employee benefits to ensure the benefit program is reasonable and affordable.
- Make recommendations to the Board regarding modifications of the pay plan and the benefit plans.
- Hire and terminate part-time employees.
- Approve the hiring of full-time employees and in cases that add to the overall payroll budget also in partnership with the board.

## **Board/Employee Relations and Managers' Meetings**

### **Board/Employee Relations:**

- The Orange County ABC Board is the governing authority for the Orange County ABC system and all of its property and employees. The General Manager and all employees serve at the pleasure of the Board.
- All Board members should make the effort to become familiar with all aspects of the Orange County ABC system. State ABC Laws and the NC ABC Commission rules should be adhered to at all times. Employee relations are very important and Board members are encouraged to meet all employees. Any part of the Orange County ABC Board property is open for inspection by Board members at any time.

### **Manager's Meetings:**

Staff meetings may be conducted by the General Manager. All employees requested to attend shall attend, Board members may attend as well. Other periodic employee gatherings may be scheduled by the General Manager or Assistant General Manager as deemed appropriate.

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## **Alcohol Rehabilitation and Education Grants**

It is the policy of the Orange County ABC Board to distribute the funds for alcohol rehabilitation and education directly to recipient organizations.

It is the policy of the Orange County ABC Board to, when possible, distribute more than the required 7% of "Net Income after Distributions" for Alcohol Rehabilitation and Education expenditures to eligible recipients as determined by the Board.

### **Eligibility requirements and restrictions are as follows:**

- Grants will be made only to non-profit, tax-exempt, charitable organizations which are exempt under Section 501 (c) 3 of the Internal Revenue Code; or to governmental entities such as the State of North Carolina and its agencies, municipal corporations and political sub-divisions of the state.
- Funding is available for "the treatment of alcoholism or substance abuse, or for research or education of alcohol or substance abuse", per Chapter 18B-805 (h) of the North Carolina General Statutes. These guidelines will be strictly enforced.
- Funding is restricted to programs that provide services primarily to Orange County, North Carolina residents.
- Grants will be made for a one-time project or an on-going project.
- All grant recipients will be required to adhere to a signed grant contract.
- Agencies that do not meet reporting and evaluation guidelines will be excluded from consideration for future funding.
- Entities must provide the Board a copy of their most recent audited financial statement done within the last 2 years.
- There are no maximum amounts set for Grants requests; however, the total amount to be disbursed will be based on the calculation for net income available for distributions.
- Grant payments will be made no more often than on a monthly basis to reimburse expenditures or pay invoices from subcontractors for services rendered, instead of a lump sum payment.
- All grant money must be spent or encumbered to the awarded project within the period as defined on the grant approval letter.
- A final evaluation report at the conclusion of the grant cycle. Failure to meet report deadlines will disqualify the organization from future ABC funding.

The Board will receive written funding requests from applicants each year. Only one round of applications will be accepted each year. Entities must provide proof of their Internal Revenue status by providing a copy of their IRS determination letter. Applicants will be requested to present follow-up information in person at a Board meeting in March or April to update the board on the application of the grant funds.

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## Timeline:

- February- Public announcements will be put in newspapers each year.
- March Retreat after Board Meeting – Grant Organizations will report to the board
- March 31<sup>st</sup> - Application submission deadline.
- April Meeting – Grant applications will be given to the board to be scored.
- May – Scored grants given to the board Secretary in the first week of May
- May Meeting – Grant allocations will be considered for the budget.
- June - Allocations will be included in the final budget.
- August 15<sup>th</sup> – Final Evaluation

The staff will review applications for completeness, including a review of all audited financial statements by the board's finance officer. The Board will participate in reviewing, approving and allocating funds to applicants. Applicants will be notified in writing of project funding by July 15. The funds approved by the Board will be distributed to the applicants based on the information they are required to provide.

The Board will also receive written notifications of how funds received during the current fiscal year were spent. Representatives from each recipient will present such information in writing and will be required to present information in person at a Board meeting. There will be a review process near the end of the fiscal year to determine if funds were applied appropriately. The deadline for grantees to submit pertinent information for the year-end review is August 15.

In the September Board meeting, the Board, the General Manager and the Board Secretary will be responsible for ensuring the Board meeting minutes appropriately reflect the proposed and actual activities of the organizations as prescribed by law.

The General Manager and Board Secretary will be the primary liaisons with the candidates and recipients. The General Manager and Board Secretary will make arrangements with them to attend Board meetings as needed. The General Manager will also advise the candidates and recipients of the Board's decisions.

## Applicable Forms

Grant Application Form 9-27  
Grant Application Funding Form 9-28  
Final Evaluation Form 9-29

Legal References: N.C.G.S. 18B-805(c)(3), (h); 18B-701(a)(2)

## Minority Business Outreach Plan – Construction

This policy is to establish goals and responsibilities for minority participation in Orange County ABC Board's building construction projects which are expected to cost \$50,000 or more. The Plan will be applicable to the selection process of construction professionals. Construction professionals include, but are not limited to architectural, engineering, construction and construction manager-at-risk services. The Board's goal is at least 10% for construction projects.

- It is the intent of this policy that the Board and construction professionals will cooperate in good faith to do all things legal, proper, and reasonable to encourage participation of Minority Businesses.
- Nothing in this policy will be construed to require the Board or construction professionals to award contracts to Minority Businesses who do not submit the lowest responsible, responsive bid(s).

### Definitions:

Minority - Person who is a citizen or lawful permanent resident of the United States and is:

- Black: a person having origins in any of the black racial groups in Africa
- Hispanic: a person of Spanish or Portuguese culture with origins in Mexico, South or Central America, or the Caribbean Islands, regardless of race
- Asian American: a person having origins in any of the original peoples of the Far East, Southeast Asia and Asia, the Indian subcontinent, the Pacific Islands
- American Indian: a person having origins in any of the original peoples of North America
- Female

Minority Business - means a business:

- In which at least fifty-one percent (51%) is owned by one or more Minority persons, or in the case of a corporation, in which at least fifty-one percent (51%) of the stock is owned by one or more Minority persons or Socially and Economically Disadvantaged Individuals
- Of which the management and daily business operations are controlled by one or more of the Minority persons, or Socially and Economically Disadvantaged Individuals who own it.

Socially and Economically Disadvantaged Individual:

- Socially disadvantaged individuals are those who have been subjected to racial or ethnic prejudice or cultural bias because of their identity as a member of a group without regard to their individual qualities.
- Economically disadvantaged individuals are those socially disadvantaged individuals whose ability to compete in the free enterprise system has been impaired due to diminished capital and credit opportunities as compared to others in the same business area who are not socially disadvantaged.

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Bidder - Any legal entity that is seeking to be awarded a public contract or subcontract.

Board – Orange County Alcohol Beverage Control Board (contract awarding authority).

Contract - A mutually binding legal relationship, or any modification thereof, which is obligating the seller to furnish equipment, materials, or services, including construction, and obligating the buyer to pay for them.

Contractor - Any legal entity which has contracted with the Board to perform building construction, repair work, provide services, or provide equipment.

Designer – Any legal entity which has contracted with the Board to perform architectural or engineering work.

Legal Entity – Any person, sole proprietor, firm, company, partnership, corporation, association, or joint venture.

Subcontractor - A legal entity under contract with the primary contractor for supplying materials and/or labor.

### **Responsibilities and Plan Guidelines:**

The Orange County ABC Board is responsible for:

- Developing, implementing and maintaining a Minority Business Outreach Plan to identify Minority Businesses that can perform public building projects
- Implementing outreach efforts to encourage Minority Business participation in these projects. This is to include education, recruitment, and interaction between Minority Businesses and non-minority businesses
- The General Manager, acting under the general direction of the Orange County ABC Board, is the Board's agent. The General Manager's authority is limited to coordinating bid and contract information; the Board retains the authority to award bids.

The General Manager is responsible for:

- Ensuring the Board's policy is appropriately administered.
- Attending the pre-bid conference.
- Reporting the results of the Plan to the Board at the regular February meeting.
- Maintaining documentation of any contracts, correspondence, or conversations with Minority Businesses made in an attempt to meet the goals.

Designer:

- Attend the scheduled pre-bid conference to explain Minority Business requirements to the prospective bidders.
- Assist the Board to identify and notify prospective Minority Business prime Contractors and Subcontractors of potential contracting opportunities.
- Maintain documentation of any contacts, correspondence, or conversation with Minority Business firms made in an attempt to meet the goals.
- Review jointly with the General Manager, all requirements of G.S. 143-128.2(c) and G.S.143-128.2(f) – (i.e. Bidders' proposals for identification of the Minority Businesses that will be utilized with corresponding total dollar value of the bid and affidavit listing good faith efforts, or affidavit of self-performance of work, if the contractor will perform work under contract by its own workforce) - prior to recommendation of award.
- During construction phase of the project, review documentation for contract payment to Minority Businesses for compliance with Minority Business utilization commitments. Submit information/form with monthly pay applications to the Board.

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Contractors and Subcontractors will be responsible for:

- Attending the pre-bid conference.
- Identifying/determining work areas of a contract where Minority Businesses may have an interest in performing subcontract work.
- Complying with the Board's requirements listed in the proposal for Minority Business participation during the bidding process.
- Identifying on the bid sheet the Minority Businesses that will be used on the project with corresponding total dollar value of the bid and a document listing good faith efforts.
- Preparing documentation showing evidence of implementation contractor and subcontractor responsibilities available for review by Board, upon request.

Upon being named the apparent low bidder,

- Providing the name of each Minority Business Subcontractor.
- Providing the dollar amount of work on the schedule of values.
- Providing a description of the portion of work to be performed executed by each Minority Business.

Minority Businesses will be responsible for:

- Responding in a timely whether or not they wish to submit a bid.
- Becoming certified in order to participate in Board building construction projects and taking advantage of appropriate technical assistance that is made available. Certification can be obtained through the "Statewide Uniform Certification Program". Information on certification can be obtained at:

Department of Administration  
Office for Historically Underutilized Businesses (HUB)  
116 West Jones Street  
Raleigh, NC 27601

Additional information regarding the HUB Program should be directed to the HUB office at (919) 807-2330.

### **Minimum Compliance Requirements:**

All written statements made by the Bidder will become a part of the agreement between the Board and the Contractor for performance of the contract. Failure to comply with any of these statements, affidavits, or with the Minority Business policy will constitute a breach of the contract. A finding by the Board, or its agent, that any information submitted either prior to award of the Contract or during the performance of the Contract is inaccurate, false, or incomplete will also constitute a breach of the contract. Any such breach may result in termination of the contract in accordance with the termination provisions contained in the contract. It will be solely at the option of the Board whether to terminate the contract for breach.

**Dispute Resolution Procedures:** All disputes involving contractors on a building construction with the Board are to be resolved through mediation, if \$15,000 or greater. This process is available to all parties in the contract. (NC GS 143-135.26(11))



### **Section 3: Recruitment and Employment**

- 3-1 Statement of Equal Opportunity & Substance Abuse
- 3-2 Recruitment & Selection
- 3-3 Background/Credit Checks
- 3-4 Nepotism/Hiring of Relatives
- 3-5 Disability Accommodation
- 3-6 Immigration Law & Age Restrictions
- 3-7 Introductory Hiring Period
- 3-8 Promotions, Transfers & Suspensions
- 3-9 Continuous Service & Reinstatement
- 3-10 Employee Acknowledgements

## **Section 3 Recruitment and Employment**

### **Statement of Equal Employment Opportunity:**

The Orange County ABC Board is firmly committed to a policy of non-discrimination in employment and to a program of achieving total equality of opportunity for all applicants and employees. The Board prohibits discrimination in employment on the basis of race, color national origin, religion, creed, sex, sexual orientation, age, disability, citizenship, genetic information, political affiliation and Vietnam-Era or disabled veteran status as provided by law.

The Board's non-discrimination policy extends to recruitment, selection, hiring, compensation, promotion, training and all other aspects of employment.

The Board selects employees on the basis of job-related qualifications and without regard to race, color, national origin, religion, creed, sex, sexual orientation, age, disability, citizenship, genetic information, political affiliation and Vietnam-Era or disabled veteran status as provided by law.

### **Substance Abuse:**

As a part of the security program of the ABC Board and as a condition of any employee's continued employment, the Board may require employees to undergo a breathalyzer or controlled substance examination at any time during the course of employment. Results of such examinations will be used solely for the purpose of conducting the business of the Board.

## **Recruitment and Selection:**

### **General**

#### **Hiring Decisions**

All full-time hiring must be accomplished with approval of the Board when it will add to the payroll budget. The Board of Directors has delegated the authority to the General Manager to hire full-time, part-time, and temporary employees.

#### **Qualifications Standards**

Employees must meet the employment standards established by the Board of Directors as defined in the position classification plan; other reasonable minimum standards as to character, aptitude, ability to meet the public, physical condition are in the specific job descriptions. Former employees who have been fired (or who have quit in lieu of discharge) for personal misconduct or unsatisfactory job performance will not be considered for rehire.

#### **Prohibition of Retaliatory Action**

The Board prohibits retaliatory action against any employee or applicant for employment who makes a charge of employment discrimination, testifies, assists or participates in any manner at a hearing, proceeding, or investigation of employment discrimination.

## **Employment References and Conflict of interest**

### **Accurate Information**

The Board relies upon the accuracy of information contained in the employment applications, as well as the accuracy of other data presented throughout the hiring process to determine if an applicant is employable. This information is also relied upon during the term of employment. Any misrepresentation, falsifications or material omissions in any of this information or data may result in the Board's exclusion of the individual from further consideration for employment or termination of employment if the person has been hired. All applicants will authorize the release of information on form 9-3 and will complete the employment application form 9-4.

### **Employment Reference Checks:**

It is the policy of this Board to check employment references of all applicants that are strongly considered for employment. Employment reference checks are performed to ensure that individuals who desire to work for the Board are well qualified and have strong potential to be productive and successful.

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The General Manager will respond to all reference check inquiries from other employers. Responses to such inquiries will confirm only dates of employment, salary/wage rates and position(s) held.

### **Criminal Background Checks**

It is the policy of this Board to have criminal background checks performed on all job applicants who are strongly considered for employment. The results of the criminal background check may not necessarily exclude the applicant from employment.

### **Conflict of Interest**

The Board cannot employ anyone who has a financial interest, directly or indirectly, in any commercial alcoholic beverage enterprise, including any business required to have an ABC permit.

## **Background & Credit Checks**

This policy is designed to ensure a safe workplace for employees and customers as well as ensure final-applicants and employees are of the highest integrity and to provide formal guidance to all personnel who are responsible for arranging background checks.

**The following persons are subject to background checks:**

### **Applicants for employment:**

The background of all applicants making the final selection should be checked; finalists for full-time, part-time and temporary positions are to be treated the same.

### **Current Employees:**

To ensure fairness, existing employees who are applying for a new position or promotion must be treated the same as outside applicants. Background checks should be run on all current employees who:

- Are applying for promotion and/or a new position.
- Are suspected to have lied on an application.
- Report a criminal conviction.
- Are subject to a policy that provides for routine checking of specific information based on job necessity (such as a yearly check on employees driving Board vehicles).

### **Exclusions – not subject to ABC Board Background Checks:**

- Temporary Agency Employees: If temporary employment agencies are used, it is the responsibility of the employment agency to conduct the background checks. The Board must specify in the contract the types of background checks that should be performed for each job. The agency should retain the documents so the information does not become subject to the Public Records Act.
- Independent Contractors: It has been determined that independent contractors are limited in their duties and are: (a) not entrusted with the assets of the Board and (b) do not pose a threat to the security of employees or customers.

### **Policy:**

It is the Board's policy to conduct applicable background checks on final applicants who are selected for employment into any position; and also, to conduct background checks as needed on current employees included in paragraph above.

Consistency is extremely important. All applicants and employees must be treated the same; and all persons in the same or similar job must be treated as alike as possible.

Final applicants and employees are not to undergo extra screening because of that person's race, gender, religion, national origin, or other characteristic protected by anti-discrimination laws. Also, background checks that tend to disqualify a disproportionate amount of applicants who belong to a protected class are prohibited unless the check is job-related and a business necessity.

Information may be obtained from public sources without prior notification to an applicant-finalist or employee; however, no adverse action is to be taken without verification of the information obtained.

**Procedures:**

Because there are several types of occupations, several types of background checks may be required as follows:

- Criminal history check and credit history report – Required only if applicant-finalists or employee will be working in a sensitive position (for example, have access to cash, handle bank records, approve cash disbursements, use safe combinations, hold keys to facilities, etc.).
- Education verification.
- Employment verification.
- License verification – Required only if a license is needed for the specific occupation; this includes driver’s license.
- Social Security Number Verification.

**Eligibility:**

A previous conviction does not automatically disqualify a candidate from consideration from employment with the Board. The candidate may still be eligible for employment with the Board based on a variety of factors such as:

- The nature and gravity of the offense.
- How long ago the offense occurred.
- The number of convictions.
- The relationship between the job and the offense.
- The applicant’s/employee’s employment history; and,
- Efforts at rehabilitation.

However, if a candidate fails to reveal any previous conviction, he/she will be disqualified from employment in that or any other position at the Board for a period of one year because of falsification of his/her application. The conviction(s) may remain relevant to and be considered in any hiring, promotion, or transfer decision made subsequent to such year of disqualification from employment.

Convictions must be job related: When refusing to hire an applicant or taking other adverse employment action based on an arrest, the Board must show that the type of crime committed is job related and that the action is based on a business necessity.

If a candidate is hired after failing to disclose a conviction, falsification of an employment application will be grounds for dismissal from employment. Additional penalties for falsification of an application may apply if required by law.

**Record Retention:** All information obtained, as part of a background investigation, is to be held in strictest confidence. Documentation is to be retained in the applicant’s file or employee’s personnel file for the appropriate retention period. Unauthorized disclosure of information gathered through the background investigation will not be tolerated and may subject the discloser to disciplinary action.

See Forms 9-13 to 9-17 for applicable documents

## **Nepotism Policy/ Hiring of Relatives**

### **Overview:**

The employment of relatives in the same department of an organization may cause serious conflicts and problems with favoritism and morale. In addition to claims of partiality in treatment at work, personal conflicts from outside the work environment can be carried into day-to-day working relationships.

It is the policy of the Board not to discriminate in its employment and personnel actions with respect to its employees and applicants on the basis of marital or familial status. Notwithstanding this policy, the Board retains the right to refuse to appoint a person to a position in the same area or store, wherein his/her relationship to another employee has the potential for creating adverse impact on supervision, safety, security or morale or involves a potential conflict of interest.

### **Objectives:**

To avoid current or potential conflicts of interest and/or influence.

To enhance the overall internal control system and reduce the probability of placing public assets in jeopardy

### **Policy:**

The Board permits the hiring of qualified relatives of employees of the employee's household or immediate family as long as such employment does not, in the opinion of the Board, create an actual or potential conflict of interest.

Related employees should not be placed in a situation where they have influence over the wages, hours, benefits, evaluations, career progress, disciplinary actions and other terms and conditions of other related Board employees.

Management is committed to monitoring situations in which relatives work in the same department. In case of actual or potential problems, management will take prompt action. This can include reassignment in most cases, or if necessary including termination of employment for one or both of the individuals involved.

### **Relative Defined:**

For purposes of this policy, a relative is any person who is related by blood or marriage. Also included are the step, foster or in-law relationships and members of the same household regardless of familial relationship of the household members.

### **Mandate:**

In accordance with rules established by the NC ABC Commission, "No local board shall employ in any capacity any person related to a local board member or member of any other authority that appoints members of the local board by blood to a degree of first cousin or closer, nor shall the spouse of any board member be employed by the board". (NC ABC Rule 2R.1008(b)).

### **Responsibilities:**

Implementation, Monitoring & Interpretation: The General Manager has the responsibility of implementing and monitoring the above policy. The Board has the responsibility for interpretation of the above policy and for settling disagreements.

## **Disability Accomodation**

The Board is committed to complying fully with the Americans with Disabilities Act (ADA) and ensuring equal opportunity in employment for qualified persons with disabilities. All employment practices and activities are conducted on a non-discriminatory basis.

Hiring procedures have been reviewed and they provide persons with disabilities meaningful employment opportunities. Upon request, job applications are available in alternative, accessible formats, as is assistance in completing the application. Pre-employment inquires are made only regarding an applicant's ability to perform the duties of the position.

Medical records will be kept separate and confidential. Access to this information will be limited to those who have a legitimate need-to-know.

Reasonable accommodation is available to all disabled employees, related to the performance of job functions. All employment decisions are based on the merits of the situation in accordance with defined criteria, not the disability of the individual.

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

Discriminating against any qualified employees or applicants because they are related to or associated with a person with a disability is not permitted by the Board. The Board will follow any state or local law that provides individuals with disabilities greater protections than the ADA.

The Board is committed to taking all other actions necessary to ensure equal employment opportunity for persons with disabilities in accordance with the ADA and all other applicable federal, state, and local laws.



## Immigration Law and Age Restrictions

### Immigration Law Compliance

The Board is committed to employing only United States citizens and immigrants who are authorized to work in the United States and does not unlawfully discriminate on the basis of citizenship or national origin.

In compliance with the Immigration Reform and Control Act of 1986, each new employee, as a condition of employment, must complete an Employment Eligibility Verification Form I-9 and present documents establishing identity and employment eligibility. Former employees who are rehired must also complete the form if they have not completed an I-9 with the Board within the past three years, or if their previous I-9 is no longer retained or valid.

Employees with questions or seeking more information on immigration law issues are encouraged to contact the Accounting and Administrative Manager. Employees may raise questions or complaints about immigration law compliance without fear of reprisal

### Minimum Age Restrictions

The NC ABC Commission Rule 2R.1004 states that a person employed by a local ABC board shall be at least 18 years of age unless waived by the commission. The board has adopted a more stringent policy for reasons outlined below.

- To ensure consistency and equity in hiring practices and to ensure adherence to employment legislation and Board policies.
- To enhance the overall internal control system and reduce the probability of placing public assets in jeopardy.

The Board's intention is to create a more stringent policy to further restrict access to spirituous beverages and fortified wines for anyone under age 21.

- The minimum age for an Orange County ABC Board employee is 21 years of age unless specifically waived by the Board.
- This age restriction applies to all job positions and employment categories in the organization.

The General Manager has the responsibility of implementing and monitoring the above policy.

**Exceptions:** The ABC Board, by majority vote, may grant exceptions to the above in cases of extreme hardship and where the public interest would not be placed in jeopardy.

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## **Introductory Hiring Period**

The introductory period is intended to give new employees the opportunity to demonstrate their ability to achieve a satisfactory level of performance and to determine whether the new position meets their expectations. The ABC Board uses this period to evaluate employee capabilities, work habits, and overall performance. Either the employee or ABC Board may end the employment relationship at will at any time during the introductory period, with or without cause or advance notice.

All new and rehired employees work on an introductory basis for the first 90 calendar days after their date of hire. Any significant absence can extend an introductory period by the length of the absence. If ABC Board determines that the designated introductory period does not allow sufficient time to thoroughly evaluate the employee's performance, the introductory period may be extended for a specified period.

During the introductory period, new employees are eligible for those benefits that are required by law, such as workers' compensation insurance and Social Security. They will be eligible for other ABC Board-provided benefits, subject to the terms and conditions of each benefits program. Employees should read the information for each specific benefits program for the details on eligibility requirements.

Upon satisfactory completion of the introductory period, employees will be given a 90 day employee evaluation.

## **Promotions**

All promotions and reclassifications of employees will be made solely on the basis of merit. Openings for positions and qualification requirements will be posted at the main office, in each Orange County ABC facility and advertised in the local newspapers. Consideration for advancement to higher positions will be given to employees with the necessary qualifications.

In considering employees for promotion, the system gives particular attention to past performance and job knowledge. Good work habits, a sense of responsibility, prompt responses to inquiries, and cooperation with management and the public, will help in the advancement to higher positions.

## **Transfers**

An employee may be transferred from one position to another at any time for a variety of reasons, solely at the discretion of the general manager.

## **Suspension (non-disciplinary)**

The General Manager or Board of Directors may suspend employees without pay as a non-disciplinary action when suspension would be in the best interest of the employee or ABC system. Normally, this action is taken for the following reasons:

- During an investigation, hearing, or trial of an employee on any criminal charge
- During the course of civil action involving an employee
- Other circumstances as determined by the Board

If the employee is thereafter reinstated, the Board may authorize full, partial, or no recovery of pay and benefits for the period of the suspension. Continued payment of medical and dental benefits will be determined by the Board at the time of suspension.

If payments by the Board are discontinued during the period of suspension, the employee may elect to continue the benefit(s) by agreeing to pay the applicable insurance benefit premiums during the period of suspension.

## **Continuous Service & Reinstatement**

Continuous Board service is the period of consecutive service from the employee's beginning date of the current employment as a full-time, regular employee with the Orange County ABC Board. Continuous Board service is considered in calculating vacation leave accumulations, longevity and in other personnel actions as appropriate. Aggregate service with the State of North Carolina, local governments, or other ABC Boards will not be transferred.

**Each of the following conditions constitutes a break in continuous Board service:**

- Resignation, Voluntary or Involuntary Termination at any time during employment
- Change in status from Full-time to Temporary or Part-time employee (or vice versa)
- Failure to report for work on the first scheduled workday after expiration of an approved leave of absence or extension(s)
- Failure to report from layoff within five work days after the specified return-to-work date or employment review date scheduled by the General Manager
- Failure to accept recall from layoff when the salary offer is equal to or greater than the employee's salary on the layoff date
- Absence from work for any reason (except long term military leave) for more than 12 consecutive calendar months from the last day worked;
- Retirement & Death

Benefits eligibility, time earning for salary increase consideration and all other rights and privileges of regular full-time employee cease when a break in continuous Board service occurs.

### **Reinstatement**

Before being reinstated, the individual must meet the current minimum qualifications for the job to which appointed

A full-time employee who resigns while in good standing or who is dismissed because of reduction in force may be reinstated within one year of the date of separation with board approval.

An employee who enters extended active duty with the Armed Forces of the United States, the Public Health Service, or as a member of a Reserve component of the Armed Forces will be granted reinstatement rights commensurate with Chapter 43 of Public Law 93-508.

An employee who is reinstated may be credited with previous service and previously accrued sick leave and will receive all benefits provided in accordance with this policy and under supplementary rules and regulations.

The pay for a reinstated employee will reasonably compare to the pay rate prior to separation, given the circumstances of each employee's case.

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Employees granted leave without pay, maternity leave, military leave, etc. will be reinstated into the same or similar position, classification, seniority and pay, unless such position is no longer available due to budgetary reduction in staff.

## **Employee Acknowledgements**

Each of these forms are to be read and signed by each Board member and employee upon receipt of this manual. The original of each of these forms will be filed in each Board member's and employee's administrative file.

### **Employee Acknowledgement Form 9-1:**

This form need not be completed by Board members. Subsequent new policies and modifications may also require a signed acknowledgment with similar wording.

### **Code of Business Ethics and Conduct Form 9-2:**

### **Disclosure Form 9-3**

### **Conflict of Interest/Gift Ban Form 9-9**

## **Section 4: Employee Benefit Program**

- 4-1 Vacation
- 4-2 Holidays
- 4-3 Retention Benefit
- 4-4 NC Retirement (LGERS)
- 4-5 NC 401k
- 4-6 Health / Dental & Disability Insurance
- 4-7 Cafeteria Plan
- 4-8 Sick Leave
- 4-9 Medical Leave
- 4-10 Family Leave
- 4-11 Military Leave
- 4-12 Funeral & Civil Leave
- 4-13 Administrative Leave
- 4-14 Workers Compensation
- 4-15 Exhausted Leave/ Shared Leave & Leave Without Pay
- 4-16 Education Benefits
- 4-17 Other Benefits

# Orange County ABC Policy and Procedure Manual

## Vacation Leave



Vacation leave is accumulated on a monthly basis and all Full-Time employees will earn vacation in any month that they work or are on paid leave for  $\frac{1}{2}$  of the month or greater.

The accumulation of vacation is reflected in the chart below.

Service	Hours a Month	Days a Month	Hours a Year	Days a Year
First 24 Months	8	1	96	12
2 - 5 Years	10	1.25	120	15
6 - 9 Years	12	1.5	144	18
10-14 Years	14	1.75	168	21
15-19 Years	16	2	192	24
20-24	18	2.25	216	27
25 Plus	20	2.5	240	30

## Granting of Vacation Leave

The guidelines for taking vacation leave will be established at the beginning of each year for that particular year. An employee will not be granted vacation leave to be taken in the 90 Day Introductory Period unless agreed to in the hiring process.

A vacation scheduling book or other method will be used at the beginning of each year allowing employees in each job grouping to put in requests for specific time off.

Employees will be granted the use of earned vacation leave unless the request will disrupt normal operations of the ABC system. Vacation leave will not be granted between Thanksgiving week and December 31 for store personnel.

Vacation Time off Request Form 9-10 must be filled out for Approval of vacation leave



# Orange County ABC Policy and Procedure Manual

## **Vacation Leave Accumulation**

Vacation leave may accumulate to a maximum of the leave earned in one (1) calendar year plus the amount of allowed carryover.

A maximum of eighty hours of accumulated leave may be carried over at December 31 of each year.

Employees may elect to be paid a maximum of 40 hours of their accumulated vacation time at any point during the year. Employees must meet the requirements of vacation leave and the hours should be previously earned at time of request. These hours will be paid at the current rate for the employee when the time is taken and will not be subject to overtime.

Unused hours in excess of 80 at year end will be automatically rolled over into sick time.

Employees may voluntarily roll over a portion of the vacation time earned into sick time. This practice allows career employees to rollover a portion of their unused vacation time into sick leave time so it may be subsequently applied as a retirement credit.

A maximum of 50% of an employee's unused annual vacation leave is eligible to be rolled over into sick leave. All vacation days rolled into sick leave are rounded to the nearest whole day not to exceed the 50% maximum.

Employees may borrow up to 40 hours of vacation only after any floating holiday hours have been used and if the employee terminates employment with a negative vacation balance the final paycheck will have the balance deducted.

## **Requirement to Take Vacation**

Employees who earn 96 hours or more annually must use at least one consecutive week's vacation during the calendar year.

## **Reduction in Work Force**

Regular full-time employees, who are dismissed because of reduction in work force and are re-hired within five (5) years of the date of dismissal, may receive vacation at the level they were receiving at the time of dismissal.

## **Final Paycheck**

Employees will be paid all of their accumulated vacation at termination unless the separation was voluntary and a proper 2 week notice was not given or worked. Vacation cannot be used to take the place of a 2 week notice in a voluntary separation.

## Holiday Policy



### Holidays

The Orange County ABC Board grants paid holiday time off to all full-time employees on the holidays listed below:

1. New Year's Day \*
2. M.L. King, Jr. Day
3. Memorial Day
4. July 4<sup>th</sup> \*
5. Labor Day \*
6. Thanksgiving \*
7. Christmas \*

The General Statutes list required closing days and are annotated above with an “\*” and are subject to change pursuant to changes in the General Statutes of North Carolina. Other holidays are authorized by the Orange County ABC Board of Directors and are subject to change. If the holiday falls on Sunday, the following Monday will be observed as a holiday.

Retail stores will close at 6:00 pm on Christmas Eve

### Pay for Approved Holidays

All employees are eligible on date of hire for holiday pay

Holiday pay will be calculated based on the employee's straight-time pay rate (as of the date of the holiday)

To be eligible for holiday pay, employees must work the last scheduled day immediately preceding and the first scheduled day immediately following the holiday.

If a recognized holiday falls during an eligible employee's paid absence (such as vacation or sick leave), holiday pay will be provided instead of the paid time off benefit that would otherwise have applied.

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All full-time employees will be paid for 8 hours of holiday pay on the day the holiday falls whether the store is open or closed. Any hours worked on a holiday when the store is open will be paid at the standard rate along with the 8 hours of holiday pay.

Part-time employees are eligible for 4 hours and must work the day before the holiday to receive holiday hours

Paid time off for holidays will not be counted as hours worked for the purposes of determining overtime.

Salaried Employees who are required to work on an approved holiday will be allowed to take compensatory time "comp time" off at a later date but within 90 days following the holiday. The time off will be mutually agreed upon between the employee and immediate supervisor.

Employees are eligible for holiday pay for established holidays starting on their first day of employment.

### **Floating Holidays**

Floating holiday allow employees who would like to recognize other holidays or simply have a day off the ability to be paid on the days they choose.

5 Floating Holidays will be granted to full-time employees in each calendar year for a total of 40 hours. They can be used for any reason but must be scheduled in advance and cannot be taken during peak times. The time can also be used to make up the difference in hours on a paid holiday when an employee is normally scheduled for a shift longer than the standard 8 hours of holiday pay will cover. Personal time eligibility starts on January 1 of each year when all hours are available for immediate use. All floating holiday hours must be used during the calendar year and cannot be carried over. Any unused hours will not be paid out at the end of the year and will be forfeited as of December 31 of each year. There will not be any automatic payment of unused hours. Floating holiday hours must be used prior to any request to borrow vacation time.

All current employees will follow this policy with new hire eligibility dates listed below.

### **New Hire Eligibility**

Employees hired before June 30 will receive 2 days (16 hours) and anyone hired after will be eligible January 1 of the following year.

**Employee Retention Benefit**

The Employee Retention Benefit is intended to reward employees for continued loyal employment with the board and is based on years of service.

**Employee Retention Pay Schedule:**

Employee Retention Scale		
	FT	PT
1 Year	1.50%	\$100
2 Years	1.75%	\$125
3 Years	2.00%	\$150
4 Years	2.25%	\$175
5-9 years	2.50%	\$250
10-14 Years	3.25%	\$325
15-19 Years	4.00%	\$400
20-24 Years	4.75%	\$475
25 Years plus	5.50%	\$550
		< 500 hours

**Eligibility for the first Year employee:**

Any employee who starts on or before June 1<sup>st</sup> is eligible for the Employee Retention Benefit and anyone hired after that date is not eligible until the following year.

**Eligibility after the first year:**

All part time employees who work 500 hours or more and all Full Time employees are eligible for their applicable Retention Benefit level based on length of service.

**Completed Years of Service:**

A completed year is a calendar year and any part of a month more than 15 calendar days qualifies as a full month of service.

**Annual Salary/Wages:**

Salary/wages include all pay earned through salaries and wages received during the period December 1<sup>st</sup> of the prior year through November 30<sup>th</sup> of the current year. The only types of payment not included in the calculation is:

- Prior year retention benefit payment
- Lump Sum Check if applicable

**Separation:**

Retention pay is not pro-rated or paid when employees separate during the year.

The Employee Retention Benefit pay will be included in the first pay period of December.

## **NC Retirement & Life Insurance**

### **NC Local Government Employee's Retirement System (LGERS)**

The North Carolina Local Governmental Employee's Retirement System (LGERS) is the retirement system used by the ABC Board. Regular full-time employees must contribute six (6) percent of their wages. The Orange County ABC Board contributes to all eligible employees' retirement accounts. This percentage is determined by the LGERS Plan Administrator and may vary slightly from year-to-year. If you leave LGERS prior to having five (5) years of creditable service, the only payment you can receive is a refund of your contributions and interest. The share the employee contributes (plus mandatory interest) is refundable, if they resign, or employment is terminated.

The retirement system includes a death benefit after one (1) year of membership service. The death benefit payable to beneficiaries of members of the LGERS is equal to the annual salary of the member but not less than \$25,000 and not more than \$50,000. House Bill 1513 became effective July 1, 2004 and it applies to persons dying on or after that date. The Board provides an additional \$20,000 of life insurance for each full-time employee.

Employees may be eligible to purchase credit for military service. Contact the OCABC office or go to the web address below for assistance.

Click on the retirement and savings tab for more information.

<https://www.nctreasurer.com>

### **Life Insurance**

The board offers life insurance in the amount of \$20,000 for everyone in a full-time position. This coverage begins on 1<sup>st</sup> day of the month subsequent to date of hire.

In the event that an employee's life insurance is not underwritten to the full \$20,000 by the insurer; the board's life insurance policy coverage amount will be reduced to the actual coverage amount for each individual.

The actual coverage amount will usually only change from \$20,000 for active employees over the age of 65 and will only be reduced by the insurer and not by any action of the board.

## **State of North Carolina 401k Plan**

### **Overview**

An employee retirement/savings plan has been established for the benefit of eligible employees. All regular full-time employees are eligible to participate on a voluntary basis. The State of North Carolina 401(k) plan, also known as the Supplemental Retirement Plan of North Carolina, is a supplement retirement plan which meets the requirements of Section 401(k) of the Internal Revenue Code. The plan is sponsored by the State of North Carolina and governed by the Department of State Treasurer and the Plan's Board of Trustees. The Department of State Treasurer and the Board of Trustees have contracted with a third party to be the Plan Administrator.

### **Employee Contributions**

- Employee contributions are payroll-deducted in a lump-sum amount (as opposed to a % of gross pay or similar). The minimum is \$5.00 per pay period. Pre-tax contribution maximums, "catch up" maximums and rollovers from other plans are limited by IRS regulations and sometimes change. Contact the Administrative Manager for up-to-date contribution limitations.
- After the employee has started the program, changes are initiated through the Plan Administrator. Requests for payroll deductions must be in writing and changes may be made quarterly. Allow up to two weeks for changes to take effect. Cancellation of deductions may be made at any time with a five-day notice to the Administrative Manager.
- Account information can be accessed over the Internet and balances can be checked regularly. Allocation of assets can also be changed over the Internet. Statements are provided quarterly by the third-party provider.

### **Employer Contributions**

- The Board will match employee contributions 100% up to \$75.00 per pay period (26 paydays per annum) for each eligible employee's 401k account.
- Eligibility: To be eligible the employee must be a regular full-time employee with at least 90 days of regular full-time service.
- Participation: The employee is required to participate (make contributions) to receive employer contributions.
- Right of the Board: The Board reserves the right to modify or terminate this benefit as economic situations dictate; it is anticipated that employees will receive appropriate advance notice of such modifications.

Several investment options are available under the plan, including insured funds and mutual funds. A participant website is available at [www.nc401k.prudential.com](http://www.nc401k.prudential.com).

Contact the Administrative Manager if you are interested in participating in the 401k program.

## Health Insurance

A group health insurance plan is offered to all regular full-time employees effective on the first day of the month subsequent to date of hire with the Orange County ABC Board. Group health insurance is provided without charge for the employee only. Dependent coverage is available and must be paid through payroll deductions. The board will contribute \$100 to dependent coverage. Dependent coverage is not automatic; employees must ensure the application is properly completed and submitted to the Administrative Manager. The employee is also responsible for requesting changes of dependents resulting from marriage, divorce, adoption, new born babies, dependents not covered because of age requirements, etc.

### Post-Employment Health Care Benefits

All full-time employees hired prior to March 18, 2008 are grandfathered-in with the post-retirement health care benefits currently provided. It should be understood that, the Board reserves the right to make changes to this policy as conditions dictate.

### Employees hired before March 18, 2008

All employees who retire from employment with the Orange County ABC Board and have been employed by the Board for fifteen (15) years, may be eligible to continue to receive Board group health insurance coverage after their retirement until the employee reaches the age of 65, and may be eligible for Medicare Supplement Insurance paid by the ABC Board thereafter upon reaching the age of 65. In order to be eligible for such continued coverage and Medicare Supplement, the retiree must retire from the Orange County ABC Board satisfying all the requirements dictated by the North Carolina Local Government Employees' Retirement System, and the retiree must not be eligible, nor become eligible for health insurance coverage under another health insurance plan. Upon becoming eligible for health insurance coverage under a different plan, the employee's ABC Board and Medicare Supplement coverage paid by the ABC Board will be terminated. The retiree must demonstrate his/her eligibility for coverage under the Orange County ABC Board's group health insurance plan and Medicare Supplement coverage in order to receive this benefit.

### Employees hired after March 18, 2008

To be eligible for retiree healthcare benefits, employees must meet certain conditions:

- Must retire from the Orange County ABC Board having satisfied all of the requirements of the Local Government Employees Retirement System (LGERS).
- Must have at least 20 "completed years" of full-time service.
- Must be age 55 upon retirement
- Must apply for Board health care benefits prior to retirement.

Retiree benefits will be paid on a sliding scale based on "completed years" of full-time service. "Completed years" are:

- Twelve full months of service with no consideration for partial months.
- Based on actual full years of service without adjustments for sick time. Any and all breaks in service will be considered when computing "completed years".
- Retirees will be responsible for securing their own health insurance and the Board will reimburse retirees on a sliding scale (as shown below) and the rates are based on completed years of service.

Limitations:

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- Retiree must not be eligible or become eligible for health insurance coverage under another plan.
- Retiree is limited to maximum lifetime benefits on a sliding scale (as shown below) and benefits are based on completed years of service.
- Retiree benefits terminate when the retiree reaches Medicare age (currently age 65).
- If a retiree elects to terminate post-retirement health care benefits, the benefits can not be reinstated.

Sliding scale for benefits.

Number "completed years of service"	% Reimbursed	Lifetime Maximum	Min Age
At least 20 but less than 25	25%	\$30,000	55
At least 25 but less than 30	50%	\$35,000	55
30 years and more	75%	\$40,000	55

Health insurance reimbursement benefits are not automatic; the retiree must apply for post-employment health care benefits prior to retirement to maintain benefits in force. This is accomplished by completing prescribed documents with the Administrative Manager.

The General Manager will be responsible for reviewing the application for post-employment health care benefits and ensure:

- Information on the application is correct.
- All eligibility requirements are met.
- Policy is strictly adhered to.
- Approved application is provided to the Administrative Manager.

The Administrative Manager will be responsible for:

- Reimbursing the retiree each month on a timely basis
- Accounting for all transactions between the Board and the retiree.
- Providing annual statements to the retiree showing total beginning amount remaining on the lifetime maximum amount as of January 1<sup>st</sup> each year and details of the amounts disbursed by the Board for the calendar year as well as the total ending amount remaining on the lifetime maximum amount as of December 31<sup>st</sup> each year.
- Supplying the appropriate tax information to the retiree and the Internal Revenue Service, if applicable, in accordance with the laws in effect at the time.
- Maintaining and managing documentation on a calendar year basis. Documentation should be maintained for retiree on a calendar year basis; and documentation should remain on file for six full calendar years after benefits are terminated.

The retiree is responsible for:

- Complete and timely submission of the original application.
- Securing and maintaining individual health insurance
- Supplying proof that a health insurance policy in place to the Board upon request. Failure to provide the necessary information may result in loss of reimbursement.
- Paying applicable income taxes, if any, as determined by the tax laws in place at the time.
- Reviewing the annual statement for completeness and accuracy. If not contested within 45 days after issuance, the statement will be considered to be correct.

**Failure to notify the ABC board that you are eligible for other health insurance will result in immediate loss of health insurance benefits and could lead to legal action.**



### **Continuation of Group Health Insurance (COBRA)**

The federal Consolidated Omnibus Budget Reconciliation Act (COBRA) provides employees and their qualified beneficiaries the opportunity to continue health coverage under the Board's group health plan when a "qualifying event" would normally result in the loss of eligibility. Some common qualifying events are resignation, termination of employment, or death of an employee; a reduction in an employee's hours or a leave of absence; an employee's divorce or legal separation; and a dependent child no longer meeting eligibility requirements.

- Contact the Administrative Manager if you have questions regarding COBRA.
- COBRA benefits are to be paid fully by the employee (or former employee).

### **Dental Insurance**

Group dental insurance is available to eligible employees as a full-time employee.

Group dental insurance is provided free of charge to the employee only. Dependent coverage is available and must be paid through payroll deduction. Dependent coverage is not automatic; employees must ensure the application is properly completed and submitted to the Accounting and Administrative Manager. The employee is also responsible for requesting changes of dependents resulting from marriage divorce, adoption, new born babies, dependents not covered because of age requirements, etc...

### **Disability Insurance**

**Short-Term:** Short-term disability insurance is available for all regular, full-time employees; however, the employee must pay 100% of the premiums through payroll deduction.

**Long-Term:** The Local Government Employee Retirement System (LGERS) provides for long-term disability insurance if an employee become disabled meets the plan qualifications which includes participation for a minimum of five years. Long-term disability insurance is available for all regular, full-time employees; however, the employee must pay 100% of the premiums through payroll deduction.

Contact the Administrative Manager for additional details and to set-up the insurance.



## Section 125 – Cafeteria Plan

Section 125 Cafeteria Plans are authorized by the Internal Revenue Service to allow employees to make pre-tax deductions for certain expenses.

The Board's Section 125 Cafeteria Plan consists of two separate plans which are the "Premium Only Plan" (POP) and the "Flexible Spending Account" (FSA).

### Tax Savings Explained:

The employee saves money because the pre-tax deductions avoid social security/Medicare taxes in addition to federal and North Carolina income taxes. [Social security/Medicare taxes are currently 7.65%; federal and state income tax percentages vary based on the employee's individual tax circumstances and tax bracket.]

### Eligibility:

Both Section 125 plans are offered to all full-time employees working at least 32 hours per week immediately upon employment. Part-time employees who work less than 32 hours per week are ineligible for these plans. New employees may enter the first pay-period after becoming eligible.

Plan Year: Both Section 125 plans are on the same "Plan Year" which begins July 1<sup>st</sup> and ends on June 30<sup>th</sup> of each year. This coincides with the Board's group health insurance renewal date.

### Open Enrollment or Annual Election Period:

Only during the month of June each year, employees may elect to:

- Become a participant in either or both plans
- Continue participation in either or both plans
- Modify their participation in either or both plans
- Cease participation in either or both plans.

Exceptions to the Annual Election Period, above: Exceptions apply for a limited number of circumstances such:

- Change in Participant's legal marital status,
- Change in employment status,
- Change in Participant's number of dependents,
- Change in dependent's status (for example, no longer a dependent due to age or student status).
- Other exceptions may apply; consult the Summary Plan Description for other exceptions and additional details.

### Section 125 - Premium Only Plan (POP)

The purpose of the POP is to allow employees to deduct health and dental insurance premiums from gross pay before taxes.

- a. Participation: Any regular full-time employee with eligible deductions is automatically enrolled; eligible employees not wishing to participate must inform the Administrative Manager in writing.

### Section 125 - Flexible Spending Account (FSA)

Purpose: The purpose of the Flexible Spending Account is to financially assist employees with the rising cost of health care and dependent day care expenses by allowing a pre-tax deduction for “qualified” expenses (see below).

Employee Participation: Participation is voluntary and printed material will be provided each year to assist eligible employees in the decision process. Information is available other times during the year from the Administrative Manager.

Qualified Expenses: Most medical and dental expenses for both the employee and qualifying dependents are qualified expenses. A complete list of qualifying expenses is available from the Administrative Manager. Some of the more common expenses are:

- Co-payments for medical, dental or prescription drugs.
- Non-prescription drugs.
- Medical and dental deductibles.
- Medical and dental out-of-pocket expenses.
- Dependent day care expenses.

Controlling Documents: The information below is to provide a general indication of the plan’s set-up and limitations. The following documents, which are available from the Administrative Manager, should be consulted for additional details and information:

- The Health Care FSA Summary Plan Description,
- The Dependent Day Care Summary Plan Description
- The Flexible Benefit Plan - Plan Document
- Related amendments to the documents listed above.

Maximum Annual Payroll Deductions:

- Health Care FSA Plan is \$2,000.
- Dependent Day Care FSA Plan is \$5,000.

Deductions for payments:

Payments for plan participation are accomplished through payroll deductions. Although the payroll is every other week (26 pay days per year), payroll deductions are taken only 24 times annually. This is to coincide with other voluntary payroll deductions.

The Administrative Manager should be consulted for additional information or for answers to questions not included above.

## **Sick Leave**

### **Sick Leave Earned:**

Each full-time employee working consistently 35-40 hrs per week will earn sick leave at the rate of 8 hours per calendar month. The maximum amount of sick leave earned in one calendar year is 96 hours. Sick leave is earned during any month in which the employee works or is on paid-leave half or more of the work days in the month.

### **Sick Leave Approval:**

Approval with pay must be approved as provided in this section. Notification of the desire to take sick leave shall be submitted to the appropriate supervisor at least one hour prior to reporting time when an employee is sick and cannot report to work. The minimum sick leave to be taken shall not be less than one (1) hour.

### **Granting of Sick Leave:**

- Sick leave granted will be charged on an hourly basis. Employees absent from work due to sick leave shall have those hours charged to accumulated sick leave.
- An employee may be granted sick leave from work with pay, if his absence is due to sickness, bodily injury, quarantine, required physical or dental examinations or treatment, exposure to a contagious disease when continued work might jeopardize the health of others, serious medical condition in the employee's family which requires the care by the employee, but may not exceed three (3) consecutive days for any occurrence except by special permission from the General Manager.
- Physician's Certificate: The General Manager may require a physician's certificate as written verification to ascertain the employee's physical capacity to resume his or her duties for each occasion on which an employee uses sick leave. The employee may be required to submit to such medical examination or inquiry as the General Manager deems desirable. The General Manager will be responsible for this provision in order that employees must not be on duty when they might endanger their health or the health of other employees, and there will be no abuse of sick leave privileges.

### **Sick Leave Accumulation**

- Sick leave will accumulate with no limit on the maximum accumulation.
- One month of retirement credit is allowed for each 20 days of accrued sick leave in an employee's sick leave account at time of retirement, if the employee is a member of the local government employees' retirement system.
- Employees who resign in good standing, or are dismissed from employment because of reduction in force and are reinstated within one (1) year will be credited with their previously accumulated sick leave.
- Employees who are dismissed for reasons other than reduction in force, and employees who are not reinstated within one (1) year will lose all accumulated sick leave.

- The Board may grant leave without pay to an employee who has exhausted sick leave and vacation because of a major operation or serious medical condition. This leave will be granted in weekly increments. The Board will consider length of service, past performance, future prospects of continuing employment and other relevant information prior to approval.

### **Advancing Sick Leave**

Sick leave may be advanced up to a maximum of 12 days (96 hours) as long as the employee meets the following requirements:

- The non-exempt employee has exhausted all accrued sick leave and accrued vacation leave.
- The non-exempt employee qualifies for sick/medical leave under the Family Medical Leave Act (FLMA) (refer to Article VII, paragraphs 13, "Medical Leave" and 14, "Family Leave").
- The non-exempt employee requests and agrees to repay the gross amount of advanced sick leave within a 26-week period after returning to work either by:
  - Earning sick leave and/or vacation leave (hour-for-hour); or
  - By payroll deduction; or
  - A combination of "a." and "b." above.

### **Effect of Separation on Sick Leave**

- At separation, the employee receives no pay for accumulated, unused Sick Leave.
- If the employee has taken more Sick Leave than earned, or if Sick Leave has been advanced, the non exempt employee must reimburse the Board for the gross amount of all such leave taken.

Unearned sick leave may be repaid by:

- Accumulated vacation leave (hour-for-hour); or
- Cash, or
- A combination of "a" and "b" above.

All employees should report any desire to take sick leave to the appropriate supervisor at their assigned location. If an employee becomes sick during their shift, they should notify the Manager on duty or appropriate supervisor. The notified Manager will make arrangements to cover the remainder of the shift.

If an employee submits the required two-week notice of resignation and then becomes sick and cannot complete the notice period they will not be compensated for the days not worked.

## Medical Leave

Overview: The Family and Medical Leave Act (FMLA) went into effect in 1993. Under FMLA, employees who qualify are granted leave for certain family-related events and illnesses. Family Leave mainly pertains to an employee's family; whereas, Medical Leave pertains to the employee themselves.

Employees Eligible for Medical Leave: In general, to be covered, an employee must be a regular full-time employee and must have worked for at least 12 months and must have performed at least 1,250 hours of work (approximately 25 hours per week) during the 12 months before leave begins. There are also some other qualifications that must be met.

Employees Considering Medical Leave: The information contained in this manual is not all inclusive or exhaustive. Additional information should be requested from management and additional sources to ensure a particular situation qualifies for FMLA treatment.

The Board provides leaves of absence without pay to eligible employees who are temporarily unable to work due to a serious health condition or disability. For purposes of this policy, serious health conditions or disabilities include inpatient care in a hospital, hospice, or residential medical care facility; continuing treatment by a health care provider; and temporary disabilities associated with pregnancy, childbirth, and related medical conditions.

Eligible employees should make requests for medical leave to their supervisors at least 30 days in advance of foreseeable events and as soon as possible for unforeseeable events. Use Time-Off Request and Approval Form 9-10 for this purpose.

A health care provider's statement must be submitted verifying the need for medical leave and its beginning and expected ending dates. Any changes in this information should be promptly reported to the General Manager. Employees returning from medical leave must submit a health care provider's verification of their fitness to return to work.

Eligible employees are normally granted leave for the period of the disability, up to a maximum of 12 weeks within any 12 month period. Any combination of medical leave and family leave may not exceed this maximum limit. If the initial period of approved absence proves insufficient, consideration will be given to a request for an extension. Extensions may be granted only upon recommendation by the General Manager and by approval of the Board of Directors.

Employees will be required to first use any accrued leave time (such as vacation or sick time) before taking unpaid medical leave.

Employees who sustain work-related injuries are eligible for a medical leave of absence for the period of disability in accordance with all applicable laws covering occupational disabilities.

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Subject to the terms, conditions, and limitations of the applicable plans, the Board will continue to provide health insurance benefits for the full period of the approved medical leave. The employee is responsible for 100% of dependent health and dental coverage (and any other contributory insurance) during this period.

Vacation leave is earned by Full-time employees in any month that they work or are on paid leave for  $\frac{1}{2}$  of the month or greater. Vacation does **not** accrue in any month that the employee is on unpaid leave for more than  $\frac{1}{2}$  of the month. If a recognized holiday falls during an eligible employee's paid absence holiday pay will be provided instead of the paid time off benefit that would otherwise have applied. If the absence is unpaid then the holiday will also be unpaid.

So that an employee's return to work can be properly scheduled, an employee on medical leave is required to provide the General Manager with at least two weeks advance notice of the date the employees intends to return to work. When a medical leave ends, the employee will be reinstated to the same position, if it is available, or to an equivalent position for which the employee is qualified.

If an employee fails to report to work promptly at the end of the medical leave, the Board will assume the employee has resigned and reimbursement will be requested for health insurance for the period of medical leave. The employee must return to work for a minimum of 30 calendar days to fulfill the health insurance obligation to the company.

Employees are prohibited from performing unauthorized work for personal gain while on medical leave.



## Family Leave

**Overview:** The Family and Medical Leave Act (FMLA) went into effect in 1993. Under FMLA, employees who qualify are granted leave for certain family-related events and serious medical conditions. Family Leave mainly pertains to an employee's family; whereas, Medical Leave generally pertains to the employee himself.

**Employees Eligible for Leave:** In general, to be covered, an employee must be a full-time employee and must have worked at least 12 months and must have performed at least 1,250 hours of work (approximately 25 hours per week) during the 12 months before leave begins. There are so other qualifications that must also be met.

**Employees Considering Family Leave:** The information contained in this manual is not all inclusive or exhaustive. Additional information should be requested from management and additional sources to ensure a particular situation qualified for FMLA treatment.

The Board provides family leaves of absences without pay to eligible employees who wish to take time off from work duties to fulfill family obligations relating directly to childbirth, adoption, or placement of a foster child; or to care for a child, spouse, or parent with a serious health condition. A serious health condition means an illness, injury, impairment, or physical or mental condition that involves inpatient care in a hospital, hospice, or residential medical care facility; or continuing treatment by a health care provider.

Eligible employees should make requests to the General Manager at least 30 days in advance of foreseeable events and as soon as possible for unforeseeable events. Use Time-Off Request and Approval Form 9-10.

Employees requesting family leave related to the serious health condition of a child, spouse, or parent may be required to submit a health care provider's statement verifying the need for a family leave to provide care, its beginning and expected ending dates, and the estimated time required.

Eligible employees may request up to a maximum of 12 weeks of family leave within any 12 month period. Any combination of family leave and medical leave may not exceed this limit. If this initial period of absence proves insufficient, consideration will be given to a written request for a single extension of no more than 30 calendar days. Employees will be required to first use any accrued paid leave time before taking unpaid family leave. Married employee couples may be restricted to a combined total of 12 weeks leave with any 12 month period for childbirth, adoption, or placement of a foster child; or to care for a parent with a serious health condition.

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Subject to the terms, conditions, and limitations of the applicable plans, the Board will continue to provide health insurance benefits for the full period of the approved family leave for the employee only. The employee is responsible for 100% of dependent health and dental coverage (and any contributory insurance) during this period.

Vacation leave is earned by Full-time employees in any month that they work or are on paid leave for  $\frac{1}{2}$  of the month or greater. Vacation does **not** accrue in any month that the employee is on unpaid leave for more than  $\frac{1}{2}$  of the month. If a recognized holiday falls during an eligible employee's paid absence holiday pay will be provided instead of the paid time off benefit that would otherwise have applied. If the absence is unpaid then the holiday will also be unpaid.

So that an employee's return to work can be properly scheduled, an employee on family leave is requested to provide the General Manager with at least two weeks advance notice of the date the employee intends to return to work. When family leave ends, the employee will be reinstated to the same position, if it is available, or to an equivalent position for which the employee is qualified.

If an employee fails to report to work promptly at the end of the approved leave period, the Board will assume that the employee has resigned and will request reimbursement for the health insurance premiums for the period of family leave. An employee must return for a minimum of 30 calendar days to fulfill the health insurance obligation.

Employees are prohibited from performing unauthorized work for personal gain while on family leave.

## **Military Leave**

The Board is obligated to comply with the Uniformed Services Employment and Reemployment Rights Act of 1994 (USERRA). The USERRA was signed into law on October 13, 1994 and it clarifies and strengthens the Veterans' Reemployment Rights (VRR) Statute. The primary purpose of USERRA is to put employees in the same employment situation with respect to seniority and benefits that they would have been in had they not taken time off to serve in the military. Although USERRA does not contain any provisions related to income maintenance, there are four areas in which USERRA does impose duties on employers who have employees absent on military leave:

- Seniority and associated rights and benefits
- Health benefits
- Retirement benefits
- Job security.

A complete listing of job rights and related qualifications for military members and veterans is beyond the scope of this manual; however, the following applies:

- USERRA covers all branches of the "uniformed services".
- USERRA benefits do not extend to individuals, whose military service ends under "other than honorable conditions", including a dishonorable discharge or bad conduct discharge.
- Under USERRA, employees who leave to serve in the armed forces are, in most instances, entitled to return to their former jobs when their military service is over. Certain stipulations may apply, consult with the Veterans' Employment and Training Service (VETS); which is administered through the US Department of Labor.
- Military leave does not constitute a "break in continuous service".
- Employees who maintain health insurance coverage on their dependents have the option of continuing that coverage, at the employee's own expense, for the duration of their military leave or Eighteen months, whichever is shorter.

USERRA does not require employers to continue paying an employee's regular wages or salary while the employee is on leave or to make up the difference between the employee's military pay and his or her regular wages or salary. However, leave with pay, up to a maximum of 96 regularly scheduled work hours in a calendar year is granted by the Board. The first day of such leave is the first regularly scheduled workday the employee is absent.

There are two options for pay:

- The employee may retain military pay; however the salary payment which the employee receives from the military will be deducted from the sum paid by the ABC Board.

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- Employers must allow employees to use any paid vacation, sick or other leave time that has accrued prior to the start of a military absence. An employer may not require an employee to use accrued leave.

Employees away on military service do not accrue additional vacation or sick leave during the period of military leave.

Military leave is granted upon request and with essential documentation to full-time employees requiring time away from work because of mandatory military obligations as members of the US armed forces reserve units.

Employees should submit requests for military leave, with a copy of the military orders, to their supervisor for approval as soon as possible after notification.

## **Funeral & Civil Leave**

### **Funeral Leave:**

Employees are eligible for funeral leave when there is a death of an immediate family member. Immediate family member is defined as wife, husband, father, mother, daughter, son, grandparent, grandchildren, brother, sister, and also includes step, foster or in-law relationships.

Funeral Leave may not exceed three consecutive days for any one occurrence. Funeral leave does not affect employee's accrued vacation or sick leave. Employees requesting this leave must complete form 9-10 and provide the relationship to the deceased.

## **Civil Leave**

### **Jury Duty**

If an employee is called for jury duty or as a court witness for the Federal or State governments or a subdivision thereof, the employee will be entitled to leave with pay for such duty, in addition to keeping fees received for such duty, and no charge will be made against annual vacation leave. If the employee is released from jury duty or court appearance prior to the end of the employee's workday, the employee is required to return to work on each day he is released from jury duty or court.

### **Time off to Vote**

The Board encourages employees to fulfill their civic responsibilities by participating in elections. Generally, employees are able to find time to vote either before or after their regular work schedule. If employees are unable to vote in an election during their nonworking hours, the Board will grant up to two hours of unpaid time off to vote if a replacement can be scheduled

## **Administrative Leave**

Administrative Leave may be granted by the General Manager under the “Emergency Closings” and the “Suspension of the Sale of Alcoholic Beverages” policies.

Pay for Administrative Leave:

- If a work facility must close after the start of a normal workday, both full-time and part-time hourly employees will be paid for the greater of the hours scheduled (if present for duty) or hours actually worked.
- If it is determined before the start of a normal workday that operations will be officially closed due to emergency conditions, both full-time and part-time employees will be paid for the hours scheduled to work.
- Employees in essential operations may be asked to work on a day when operations are officially closed. Under these conditions, hourly employees who work will receive regular pay (Administrative Pay) plus pay for the hours actually worked (overtime rates may apply in accordance with FLSA).

Employees must use their own discretion relative to whether or not conditions are safe for commuting to work. Vacation leave will be charged when employees elect not to report for work, report late or leave early when facilities are officially open.

## Workers Compensation Leave

All injuries arising in the course of employment should be reported by employees, deemed by state law, immediately to their immediate supervisor. Failure to report injuries immediately may result in denial of the claim by the insurance company.

The immediate supervisor must contact the Assistant General Manager or Administrative Manager with information, such as who, what, when, where, witnesses, and nature of injury.

The Administrative Manager is responsible for initiating a Workers' Compensation claim with the insurance representative within one work day after notification.

When an employee is injured in the course of performing duties related to the job, benefits are available under the North Carolina Worker's Compensation Act. This benefit is available to all full-time and part-time employees.

An employee absent from duty because of sickness or disability covered by Worker's Compensation laws may:

- Elect to receive only those payments made under Worker's Compensation law without using accumulated vacation or sick leave, or
- Elect to use their accumulated vacation or sick leave to receive as a supplemental payment the difference between their regular salary and the payments received under Worker's Compensation. Accumulated vacation or sick leave schedules will be adjust to reflect time used.

Before returning to work, a Physician's Certificate is mandatory to determine the fitness of an employee to resume duties.

While on workers' compensation leave, the employee will continue to accumulate vacation and sick leave to be credited to the employee's account for use upon return to regular full-time duty.

If the employee does not return to regular full-time duty from workers' compensation leave and vacation accumulated **only during the first six months of worker's compensation leave** will be paid by a lump sum payment. This payment will be in addition to any unused vacation leave which was on hand at the time of the injury. Sick leave will also be accumulated accordingly (for the first six months) but it applied, not paid.

### State Statute below for reference

No compensation, as defined in [G.S. 97-2\(11\)](#), shall be allowed for the first seven calendar days of disability resulting from an injury, except the benefits provided for in [G.S. 97-25](#). Provided however, that in the case the injury results in disability of more than 21 days, the compensation shall be allowed from the date of the disability. Nothing in this section shall prevent an employer from allowing an employee to use paid sick leave, vacation or annual leave, or disability benefits provided directly by the employer during the first seven calendar days of disability.

## **Exhausted Leave**

### **Shared Leave**

Shared leave provides an employee the opportunity to donate a specified number of Vacation Leave hours to help another employee who has exhausted all Sick and Vacation Leave and is in need of leave to cover periods of missed work time due to a serious health condition or to care for a member of his or her immediate family who has a serious health condition.

An employee donating leave may elect to donate a minimum of four hours of Vacation Leave up to the amount that would not drop his or her Vacation Leave balance below 80 hours of leave.

Any full-time employee with one year of service as a full-time employee with the Orange County ABC Board is eligible to donate or request leave.

The following are situations wherein an employee can request to participate in the Shared Leave program upon documentation of the need for leave by a physician:

- An employee is unable to work due a serious health condition. This includes an employee who is unable to work due to pregnancy- related disability.
- An employee who needs to be away from work to care for a member of the employee's immediate family (spouse, child or parent) who has a serious health condition.

The following are not eligible for shared leave:

- Elective surgery.
- An employee receiving Workers' Compensation benefits.

An employee requesting leave through the Shared Leave program must first exhaust all earned, unused paid time off.

An employee may receive a maximum of 80 hours of donated leave each calendar year through the Shared Leave program. Shared Leave may not be used to extend an employee's time in leave status beyond one year from the last date worked.

Process:

An employee who wishes to request leave through the Shared Leave program provides a letter to the General Manager requesting participation in the Shared Leave program and a physician's statement documenting the need for leave. The General Manager reviews Shared Leave requests for eligibility.

Once a Shared Leave Request is approved, the General Manager communicates a description of the employee's request to all Board employees, releasing only the information authorized in writing by the employee. The General Manager may elect to release the description first to employees in the requesting employee's department before communicating the request to all Board employees.

Any employee's donation of Vacation Leave to a participant in the Shared Leave program is voluntary. Direct solicitation of employees for Shared Leave donations is not permitted.



## Orange County ABC Board Policy and Procedure Manual

An employee who wishes to donate Vacation Leave to an employee requesting Shared Leave provides a written request to the General Manager within the period specified by the General Manager's request. (Sick leave may not be donated.)

Donations of leave must be a minimum of four hours.

Donated leave hours up to a total of 80 hours are transferred to the employee receiving Shared Leave. Once leave is donated and transferred to the employee receiving the leave, it may not be returned to the donating employee.

During the period an employee is using Shared Leave, the employee continues to be in a leave-earning capacity, be entitled to holidays, receive any pay increase for which otherwise eligible, and be eligible to receive benefits offered under the Board's group insurance policies.

## **Educational Benefits**

The purpose of providing educational benefits is to ensure employees are well prepared in their present positions and also to provide the opportunity for employees to prepare themselves for advancement to higher positions.

The Orange County ABC Board will provide a maximum of \$1000.00 per employee per fiscal year for full-time employees to take courses that are related to their ABC employment. The Board of Directors has capped the authorized amount to spend per fiscal year at \$10,000. The expenditure cap dictates that funds are offered on a “first come, first served” basis; therefore, when the projected reimbursement money is depleted, employees will no longer have the opportunity for reimbursement.

All courses must be pre-approved by the General Manager. There is not a specific form, but the documentation required will be the course name and description, name of the school, number of credits and the tuition amount.

Examples of courses that the Board will pay for are Business Administration and Business Management courses such as: Human Resources, Supervisory, Personnel Management, Organizational Behavior, Accounting, Finance, etc. The Board will also pay for courses to obtain Adult Education Basic Skills such as: GED, English composition, math refresher courses and courses for computer applications such as Windows, Word and Excel.

The employee is responsible for paying the tuition in advance; then requesting reimbursement after the final course grade has been obtained. There are no special forms required for reimbursement, but proof of payment (such as a statement of account from the school) and a copy of the final course grade are required. The General Manager will be responsible for reviewing and approving/disapproving payments to employees.

The employee is responsible for all other expenses such as travel to and from school, books, supplies, cost of computer, internet expenses, parking fees, registration fees, communication expenses, etc.

Time in class is not work time and school attendance and studies are to be done on the employee’s own time away from work and must not interfere with the employee’s regular work schedule. Employees will not be paid to attend school.

Tuition will be reimbursed based on the cost of each course and the final course grade obtained. 100% reimbursement for a grade of C or better (including a score of PASS in a pass/fail course) and 0% reimbursement for a grade of D or below and FAIL.

## **Other Benefits**

### **Credit Union**

The North Carolina Credit Union is a cooperative savings and loan institution, organized to promote thrift among its members and to provide a source of credit at least possible cost. Full-time and part-time employees may apply for membership based on the credit union rules. Contact the credit union directly for membership applications and benefits of membership. Payroll deduction is available for deposits and loan payments.

### **Social Security**

The Board complies with the federal social security laws by making mandatory contributions under the Federal Insurance Contributions Act (FICA) and the Old Age Survivors Disability Insurance Act (OASDI).

### **Unemployment Insurance**

Employees separating from the Board may be eligible for unemployment insurance depending on the reason for separation and their personal circumstances. The Division of Employment Security should be consulted for a definitive answer.

## **Section 5: Pay and Classification**

- 5-1 Compensation Plan & Salary Chart
- 5-2 Position Classification Plan
- 5-3 Job Descriptions

# Orange County ABC Board Policy and Procedure Manual

## **Compensation Plan**

The compensation Plan outlines the different ways that employees get paid. Pay should be a direct reflection of the responsibility of the position held and the quality at which the job duties of that position are performed. This compensation plan takes into account two concepts in that each person is looked at individually while at the same time there is consistency and pay equity across the board. The Salary Ranges established in this compensation Plan will be reviewed on a continual basis as it is anticipated that they will need to evolve over time.

## **Pay Equity**

The Orange County ABC Board maintains a policy of equal pay for equal work based on the responsibility of each position, longevity of service and employee performance. Variations in pay should only be based on those factors and pay equity should be maintained within all possible reason.

## **Payment Methods**

- Employees are paid on a Bi-weekly basis.
- Salary Increases are typically processed on the first day of a new pay period.
- All employees must have checks direct deposited.
- Lump Sum checks will be paid in the same manner as a weekly paycheck
- Pay is distributed on Friday every other week.

## **Performance Evaluation Raises**

Raises for all employees will be effective on the first full pay period in July if the employee has earned a raise based on the performance evaluation process. New employees hired after January 1 will not be eligible for a performance raise until the following year. Details on the performance evaluation process are found in the section of the handbook by the same name.

## **Pay Ranges**

Pay ranges have been established for each position based on the responsibility of each job. Longevity of the employee in each job level should closely match placement in the overall salary range. The following chart is the Orange County ABC Salary Ranges by Position.

## Orange County ABC Board Salary Ranges by Position\*

### Hourly Positions

Level	Job Description	Location	Minimum	Maximum
3	Temporary	Various	\$13.75	\$13.75
4	Part-Time	Various	14.90 hr	17.00 hr
5	Supervisor	Various	14.90 hr	40,000
7	Assistant Manager	Any Store	34,000	51,000
10	Store Manager	Any Store	43,000	68,800

### Salary Positions

Level	Job Description	Location	Minimum	Maximum
12	Buyer Assistant	Office/Whse	43,000	68,800
13	Admin	Office	44,000	70,400
14	Buyer	Office/Whse	55,000	88,000
15	Finance	Office	60,000	96,000
16	Assistant GM	Office	66,000	105,600
17	GM	Office	Salary determined by Board*	

\*GM has legislative cap so this number needs BOCC approval of new range

\*GM also cannot be paid less than any other employee

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## Promotions

Promotions are performance based and the pay rate will be established based on several factors

- The salary range for the position.
- Pay equity with employees that have a similar position and similar longevity
- Generally a promotion raise should not be less than 5% unless justified
- Generally a promotion should not be more than 10% unless justified

## Demotions

Demotions whether voluntary or involuntary will have a base pay rate adjustment based on the following factors.

- Salary Range for the new position
- Pay Equity with employees that have a similar position and similar longevity.
- The original promotion amount that was granted

## Proficiency Pay

Proficiency Pay is intended to provide an equitable means of rewarding employees who have been asked by management to work above their normal pay level. Proficiency pay is also intended to function as a motivator to encourage employees to accept additional responsibilities and demonstrate their ability to perform at a higher level.

The period of absence covered must be greater than 15 calendar days in length.

Employees functioning as an interim manager must be designated as such by the General Manager (or his representative) to work in the temporary position at least 15 calendar days during the absence.

Proficiency Pay Rate: The additional pay will be 5% of the employee's current rate of pay and will be calculated and paid each applicable pay period.

# Orange County ABC Board Policy and Procedure Manual

## **Lump Sum Payment**

This one-time payment will not increase the base salary of the employee and can be applied only in the following cases.

### Board Freezes Salary Increases

In a year that the board freezes salary increases a lump sum payment may be applied and the scale will be based the same as the evaluation process. The same graduated percentage scale used in the evaluation process will be used to determine the total amount of money paid to each employee.

### Employee tops out of Job Range

In a year that an employee tops out in a salary range a lump sum may be applied and the criteria used to apply the payment will be the same manner listed above for when there is a salary freeze.

Lump Sum Payments will be distributed on the first full pay period in July.

## **Deductions**

Deductions will be made in each paycheck for the following

Social Security and Taxes mandated by Federal and State Laws  
Retirement matching percentage as determined annually by LGERS  
Any Voluntary deductions  
401K deductions  
Other Individual deductions as required by law such as garnishments

The last check in any month that includes 3 paychecks will not have any voluntary deductions taken out.

Lump Sum checks will have regular payroll taxes and retirement withheld.



## Position Classification Plan

### Categories of Employees and the Position Classification Plan:

It is the intent of the Board to clarify the definitions of employment classifications so that employees understand their employment status and benefit eligibility. These classifications do not guarantee employment for a specified period of time. Accordingly, the right to terminate the employment relationship at will, at any time, is retained by both the employee and the Board.

Each employee is classified as either Non-Exempt or Exempt from federal and state wage and hour laws. Generally, Non-Exempt employees are paid hourly wages, whereas Exempt employees are paid a salary. Non-Exempt employees are entitled to overtime pay under the specific provisions of federal and state wage and hour laws. An employee's Exempt or Non-Exempt classification may be changed only upon written notification by the General Manager or the Chairman of the Board.

In addition to the Exempt and Non-Exempt classification, each employee will belong to one other employment category:

- **FULL-TIME** employees are those who are not in a temporary or introductory status and who are regularly scheduled to work a full-time schedule. Generally, they are eligible for the Board's benefit package, subject to the terms, conditions, and limitations of each benefit program.
- **PART-TIME** employees are those who are not assigned to a temporary or introductory status and who are regularly scheduled to work less than 30 hours per week. While they do receive all legally mandated benefits (such as social security and workers' compensation insurance), they are ineligible for practically all of the Board's other benefit programs.
- **INTRODUCTORY** employees are those whose performance is being evaluated to determine whether further employment in a specific position or with the Board is appropriate. Employees normally complete the introductory period within ninety calendar days unless notified otherwise. Generally, full-time employees are eligible for the Board's benefit package, subject to the terms, conditions, and limitations of each benefit program. Part-time employees receive all legally mandated benefits (such as social security and workers' compensation insurance), but they are generally ineligible for the Board's other benefit plans.
- **TEMPORARY** employees are those who are hired as interim replacements, to temporarily supplement the work force, or to assist in the completion of a specific project. Employment beyond any initially stated period does not in any way imply a change in employment status. Temporary employees receive all legally mandated benefits (such as workers' compensation insurance and social security), but they are ineligible for the Board's other benefit programs.

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The employment positions of the ABC Board are classified as stated below; and the ABC Board is organized as follows

<u>Classification</u>	<u>Position</u>
Exempt	General Manager
Exempt	Assistant General Manager
Exempt	Finance Officer
Exempt	Buyer & Warehouse Manager
Exempt	Administrative
Exempt	Assistant Buyer & Warehouse Manager
Non-Exempt	Store Manager & LBD
Non-Exempt	Assistant Store Manager & LBD
Non-Exempt	Vacation/Relief Manager
Non-Exempt	Sales Associate (Full-time)
Non-Exempt	Sales Associate (Part-time)
Non-Exempt	Office Administrator (Part-time)
Non-Exempt	Warehouse/Delivery Labor (Part-time)

**Salaries and Wages Plan:**

To obtain annual pay for a regular full-time employee, multiply the hourly pay times 2,080 hours (52 weeks times 40 hours per week). Those groups are as follows:

**Maintenance of the Position Classification Plan**

The Board of Directors is responsible for the administration and maintenance of the position classification plan. The General Manager will be responsible for bringing to the attention of the Board:

The need for new positions, and material changes in the nature of duties, responsibilities, working conditions, or other factors affecting the classification of any existing position.

New positions may be established only by the Board after which:

Allocate the new position to the appropriate classification within the classification plan, or amend the position classification plan to establish a new classification to which the new position may be allocated.

When the Board finds that a substantial change has occurred in the nature or level of duties and responsibilities of an existing position, it may

- Revise the duties and responsibilities of an existing position
- Change the position to another classification within the classification plan
- Amend the position classification plan to establish a new classification to which the position may be allocated.

**Temporary Classification** Temporary reclassification through temporary job assignments may occur as the need arises within the system to shift employees temporarily from one job site (or job classification) to another to ensure that normal daily operations of the system are maintained.

## **Job Descriptions**

It is the responsibility of the General Manager to review job descriptions at least annually and modify as job requirements change or updates or needed.

Job applicants will be furnished a copy of the pertinent job description prior to a job interview by the person(s) conducting the interview.

The pertinent job description will be provided to all employees when hired initially and again when modifications are made.

The Following Job Descriptions are for all positions with the board;

- Part-Time Employee
- Supervisor
- Assistant Store Manager
- Store Manager
- Assistant Buyer and Warehouse Manager
- Administrative Manager
- Buyer and Warehouse Manager
- Finance Officer
- Assistant General Manager
- General Manager

<b>Orange ABC</b>	<b>Orange County ABC was established in a vote by Orange County Citizens on February 3, 1959 to facilitate the sale of spirituous liquor.</b>		
<b>Job Title:</b>	Part-Time Employee	<b>Date:</b>	July 1, 2012
<b>Job Description: Floating Operational duties in different Orange County ABC Store locations.</b>			
<p><b>Education:</b> Minimum High School Diploma  Experience: 5 years of Related Experience in a similar Retail role.  Physical Requirements: Sitting, lifting up to 40 lbs, computer work, bending, stooping and repetitive motions.</p> <p><b>Key Skills:</b></p> <ul style="list-style-type: none"> <li>• Team player able to communicate effectively throughout all levels of the organization</li> <li>• Cash Handling ability</li> <li>• Ability to use a computer based POS system</li> <li>• Knowledge of the ABC Rules and Regulations and the ability to disseminate the information to the public when needed.</li> <li>• Ability to merchandise the store and understanding of key merchandising concepts</li> <li>• Product Knowledge for the alcohol industry and general knowledge of the retail industry</li> <li>• Flexibility to work in various locations throughout the county</li> <li>• Ability to apply talents to create a positive working environment</li> </ul>			
<b>Job Location</b>	Location Specific	<b>Manages staff:</b>	No
<b>Job Role:</b>	Sales and Operations	<b>Employment Status:</b>	Hourly
<b>Salary Range</b>	Level 4 & 5	<b>Employment Class</b>	Part Time
<p><b>Responsibilities:</b></p> <ul style="list-style-type: none"> <li>• Making sure labels in the store are up to date by informing manager if any shelf labels are missing</li> <li>• Maintaining a high level of customer service and customer interaction in the store</li> <li>• Balance cash register to match the report and the end of the day</li> <li>• Fast and friendly service to customers in the checkout process</li> <li>• Inform Store Manager or office of any facilities issues to keep the store well maintained</li> <li>• Staying up to date on product knowledge to help customers make informed decisions on purchases</li> <li>• Ensure all ABC laws, rules and policies are consistently followed</li> <li>• Follow rules and regulations of all regulatory agencies and general statutes</li> <li>• Always check ID's for anyone who looks to be under 25</li> <li>• Other duties assigned by the General Manager</li> </ul>			

<b>Orange ABC</b>	<b>Orange County ABC was established in a vote by Orange County Citizens on February 3, 1959 to facilitate the sale of spirituous liquor.</b>		
<b>Job Title:</b>	Part-Time Administrative	<b>Date:</b>	July 1, 2018
<b>Job Description: Administrative &amp; Operational duties in Orange County ABC office location.</b>			
<p><b>Education:</b> Minimum 2 Year degree or equivalent relevant experience in lieu of education  Experience: 5 years of Related Experience in a support role.  Physical Requirements: Sitting, lifting up to 40 lbs, computer work, bending, stooping and repetitive motions.</p> <p><b>Key Skills:</b></p> <ul style="list-style-type: none"> <li>• Team player able to work well and communicate effectively throughout all levels of the organization</li> <li>• Well Organized and has the ability to work independently and in a group</li> <li>• Ability to use a computer based POS system</li> <li>• Knowledge of the ABC Rules and Regulations and the ability to disseminate the information to the public when needed.</li> <li>• Cash handling ability and experience and some basic knowledge of accounting is preferred</li> <li>• Working knowledge of Excel, Word and computers in general</li> <li>• Product Knowledge for the alcohol industry and/or general knowledge of the retail industry</li> <li>• Ability to work a flexible Schedule</li> <li>• Strong practical problem solving skills</li> <li>• Ability to apply talents to create a positive working environment</li> <li>•</li> </ul>			
<b>Job Location</b>	Office	<b>Manages staff:</b>	No
<b>Job Role:</b>	Administrative	<b>Employment Status:</b>	Hourly
<b>Salary Range</b>	\$13.15-\$15.00	<b>Employment Class</b>	Part Time
<p><b>Responsibilities:</b></p> <ul style="list-style-type: none"> <li>• Maintaining a high level of customer service and customer interaction with the stores</li> <li>• Filing paperwork, record organization and retention, creating new file folders with label machine</li> <li>• Daily responsibilities include, Answer doors, phone calls, Filing and ,Stuffing envelopes</li> <li>• Ordering Store supplies and assisting in filling orders from stores and maintaining supply room</li> <li>• Data Entry of daily paperwork, sales recording and processing</li> <li>• Distributing monthly board spreadsheets and help with admin duties like minutes, recording and agenda</li> <li>• Coordinate Maintenance schedules as well as scheduling and follow up of Service vendors</li> <li>• Maintain and update Website and manage customer list</li> <li>• Assist in payroll processing including schedule verification</li> <li>• Troubleshooting computer and paperwork errors</li> <li>• Assist office employees in various duties to cover vacations and increased workloads</li> <li>• Other duties assigned by the office staff and General Manager</li> </ul>			

# Orange ABC

Orange County ABC was established in a vote by Orange County Citizens on February 3, 1959 to facilitate the sale of spirituous liquor.

**Job Title:**

Part-Time Business HR Admin Intern

**Date:**

July 1, 2018

Job Description: Special Projects in Orange County ABC office location.

**Education:** Current Graduate or Undergraduate student at an accredited institution of higher learning.

Physical Requirements: Sitting, lifting up to 40 lbs, computer work, bending, stooping and repetitive motions.

**Must be 21 to work in the ABC System**

**Key Skills:**

- Team player able to work well and communicate effectively throughout all levels of the organization
- Well Organized and has the ability to work independently and in a group
- Ability to use a computer based POS system
- Working knowledge of Excel, Word and computers in general
- Product Knowledge for the alcohol industry and/or general knowledge of the retail industry
- Ability to work a flexible Schedule
- Strong practical problem solving skills
- Ability to apply talents to create a positive working environment

**Job Location**

Office

**Manages staff:**

No

**Job Role:**

Administrative

**Employment Status:**

Hourly

**Salary Range**

\$13.15

**Employment Class**

Part Time

**Responsibilities:**

- Main Focus are Special Projects determined by the Management Staff listed below (list not all inclusive)
- This position will have a limited role in answering doors, phone calls, filing and basic office help
- Interact with customers on an as needed basis when they come into the office environment
- Other duties assigned by the office staff and General Manager

**Special Projects**

- Review Evaluation Process
- Review Cash Handling Procedures
- Update other policies as needed
- Employee Handbook Reorganization

<b>Orange ABC</b>	<b>Orange County ABC was established in a vote by Orange County Citizens on February 3, 1959 to facilitate the sale of spirituous liquor.</b>		
<b>Job Title:</b>	Supervisor	<b>Date:</b>	July 1, 2012
<b>Job Description: Floating Management and Operational duties in different Orange County ABC Store locations.</b>			
<p><b>Education:</b> Minimum High School Diploma</p> <p>Experience: 5 years of Related Experience in a similar Retail Supervisory role with supervisory experience.</p> <p>Physical Requirements: Sitting, lifting up to 40 lbs, computer work, bending, stooping and repetitive motions.</p> <p><b>Key Skills:</b></p> <ul style="list-style-type: none"> <li>• Team player able to communicate effectively throughout all levels of the organization</li> <li>• Knowledge of the ABC Rules and Regulations and the ability to disseminate the information to the public when needed.</li> <li>• Highest level of honesty, Integrity and ethical standards and willing ness to maintain a high level of transparency</li> <li>• Operations Management &amp; Internal Control for inventory and cash handling</li> <li>• Ability to merchandise the store and understanding of key merchandising concepts</li> <li>• Product Knowledge for the alcohol industry and general knowledge of the retail industry</li> <li>• Knowledgeable about computers and well versed in POS system troubleshooting</li> <li>• Ability to apply talents to create a positive working environment</li> </ul>			
<b>Job Location</b>	Various Locations	<b>Manages Staff:</b>	When Needed
<b>Job Role:</b>	Sales/Operations & Management	<b>Employment Status:</b>	Hourly
<b>Salary Range:</b>	Level 5	<b>Employment Class:</b>	Full Time
<p><b>Responsibilities:</b></p> <ul style="list-style-type: none"> <li>• Responsible for all matters regarding the operation of retail and mixed beverage ABC stores</li> <li>• Supervises part-time personnel</li> <li>• Ensures that store paperwork is filled out completely and accurately</li> <li>• Maintains a high level of customer service, a proper staffing level in the store</li> <li>• Sets an example with a high level of customer service</li> <li>• Balance cash register reports with the related cash and completed daily reports</li> <li>• Fills out transportation permits accurately</li> <li>• Follows shelf management policies to keep the store merchandised properly</li> <li>• Staying up to date on product knowledge to help customers make informed decisions on purchases</li> <li>• Continuous improvement by learning on the job and taking advantage of training opportunities</li> <li>• Trains others to ensure up to date information is available to all employees</li> <li>• Maintaining current and appropriate point-of-sale displays and alcohol education material placed in the stores</li> <li>• Ensures Bank deposits are made in a timely manner</li> <li>• Informs Store Manager or office of any facilities issues to keep the store well maintained</li> <li>• Leads by example to maintaining a high level of customer service in the store.</li> <li>• Ensures all ABC laws, rules and policies are consistently followed</li> <li>• Follow rules and regulations of all regulatory agencies and general statutes</li> <li>• Other duties assigned by the General Manager</li> </ul>			

<b>Orange ABC</b>	<b>Orange County ABC was established in a vote by Orange County Citizens on February 3, 1959 to facilitate the sale of spirituous liquor.</b>		
<b>Job Title:</b>	Assistant Store Manager	<b>Date:</b>	July 1, 2012
<b>Job Description: Assistant Management and Operational oversight of a Single Orange County ABC Store location</b>			
<p><b>Education: Minimum:</b> High School Diploma with some higher education or equivalent experience  Experience: 5 years of Related Experience in a similar Retail Supervisory role.  Physical Requirements: Sitting, lifting up to 40 lbs, computer work, bending, stooping and repetitive motions.</p> <p><b>Key Skills:</b></p> <ul style="list-style-type: none"> <li>• Team player able to communicate effectively throughout all levels of the organization</li> <li>• Excellent Interpersonal Skills, Decision Making, Problem Solving and Conflict Resolution skills</li> <li>• Knowledge of the ABC Rules and Regulations and the ability to disseminate the information to the public when needed.</li> <li>• Operations Management &amp; Internal Control for inventory and cash handling</li> <li>• Ability to merchandise the store and understanding of key merchandising concepts</li> <li>• Leadership and Management skills as well as ability to train and develop others</li> <li>• Product Knowledge for the alcohol industry and general knowledge of the retail industry</li> <li>• Knowledgeable about computers and well versed in POS system troubleshooting</li> <li>• Highest level of honesty, Integrity and ethical standards and willing ness to maintain a high level of transparency</li> </ul>			
<b>Job Location</b>	Location Specific	<b>Manages Staff:</b>	Yes
<b>Job Role:</b>	General Management	<b>Employment Class:</b>	Hourly
<b>Salary Range:</b>	Levels 6-8	<b>Employment Class:</b>	Full Time
<p><b>Responsibilities:</b></p> <ul style="list-style-type: none"> <li>• Responsible for all matters regarding the retail operation of the ABC store in partnership with the Store Manager</li> <li>• Ensuring appropriate point-of-sale displays and alcohol education material placed in the stores and maintained current</li> <li>• Supervises Vacation Relief and part-time employees</li> <li>• Ensure that store paperwork is filled out completely and accurately including transportation permits</li> <li>• Receiving the truck to resupply the store inventory and checking it off for accuracy</li> <li>• Communicate with the Buyer when product is running low to maintain proper inventory levels</li> <li>• Balance cash register reports with the related cash and completed daily reports</li> <li>• Responsible for performance of the physical inventory count and accuracy in absence of the Store Manager</li> <li>• Evaluations of direct reports and subordinates as well as recommendations for promotions</li> <li>• Ensure Bank deposits are made in a timely manner and all ABC laws, rules and policies are consistently followed</li> <li>• Follow rules and regulations of all regulatory agencies and general statutes</li> <li>• Follow shelf management policies to keep the store merchandised properly</li> <li>• Staying up to date on product knowledge to help customers make informed decisions on purchases</li> <li>• Continuous improvement by learning on the job and taking advantage of training opportunities</li> <li>• Trains others to ensure up to date information is available to all employees</li> <li>• Maintains current and appropriate point-of-sale displays and alcohol education material placed in the stores</li> <li>• Informs Store Manager or office of any facilities issues to keep the store well maintained.</li> <li>• Lead by example to maintaining a high level of customer service in the store.</li> <li>• Update store pricing and sale signs to ensure accurate store pricing</li> <li>• Other duties assigned by the General Manager</li> </ul>			



<b>Orange ABC</b>	<b>Orange County ABC was established in a vote by Orange County Citizens on February 3, 1959 to facilitate the sale of spirituous liquor.</b>		
<b>Job Title:</b>	Store Manager	<b>Date:</b>	July 1, 2012
<b>Job Description: Management and Operational oversight of a single Orange County ABC Store location</b>			
<p><b>Education:</b> Minimum High School Diploma with some higher education or equivalent experience  <b>Experience:</b> 5 years of Related Experience in a similar Retail Supervisory role.  <b>Physical Requirements:</b> Sitting, lifting up to 40 lbs, extensive computer work, bending, stooping and repetitive motions.</p> <p><b>Key Skills:</b></p> <ul style="list-style-type: none"> <li>• Team player able to communicate effectively throughout all levels of the organization</li> <li>• Excellent Interpersonal Skills, Decision Making, Problem Solving and Conflict Resolution skills</li> <li>• Knowledge of the ABC Rules and Regulations and the ability to disseminate the information to the public when needed.</li> <li>• Operations Management &amp; Internal Control for inventory and cash handling</li> <li>• Ability to merchandise the store and understanding of key merchandising concepts</li> <li>• Leadership and Management skills as well as ability to train and develop others</li> <li>• Product Knowledge for the alcohol industry and general knowledge of the retail industry</li> <li>• Knowledgeable about computers and well versed in POS system troubleshooting</li> <li>• Highest level of honesty, Integrity and ethical standards and willing ness to maintain a high level of transparency</li> </ul>			
<b>Job Location</b>	Location Specific	<b>Manages Staff:</b>	Yes
<b>Job Role:</b>	General Management	<b>Employment Class:</b>	Hourly
<b>Salary Range:</b>	Levels 9-11	<b>Employment Class:</b>	Full Time
<p><b>Responsibilities:</b></p> <ul style="list-style-type: none"> <li>• Responsible for all matters regarding the retail operation of the ABC store</li> <li>• Ensuring appropriate point-of-sale displays and alcohol education material placed in the stores and maintained current</li> <li>• Supervises Assistant Manager, Vacation Relief and part-time employees</li> <li>• Ensure that store paperwork is filled out completely and accurately including transportation permits</li> <li>• Follow shelf management policies to keep the store merchandised properly</li> <li>• Stay up to date on product knowledge to help customers make informed decisions on purchases</li> <li>• Continuous improvement by learning on the job and taking advantage of training opportunities</li> <li>• Trains others to ensure up to date information is available to all employees</li> <li>• Maintains current and appropriate point-of-sale displays and alcohol education material placed in the stores</li> <li>• Communicate with the Buyer when product is running low to maintain proper inventory levels</li> <li>• Balance cash register reports with the related cash and completed daily reports</li> <li>• Responsible for the store inventory and performance of the physical inventory count accuracy</li> <li>• Evaluations of direct reports and subordinates as well as recommendations for promotions</li> <li>• Ensure Bank deposits are made in a timely manner and that all ABC laws, rules and policies are consistently followed</li> <li>• Receiving the truck to resupply the store inventory and checking it off for accuracy</li> <li>• Leader in ensuring the store is a safe place to work and shop and Follow rules and regulations of all regulatory agencies</li> <li>• Verifying store time cards are accurately completed and turned in at the end of the payroll period.</li> <li>• Overall facilities management including surveillance equipment to provide clean, well maintained stores</li> <li>• Lead by example to maintaining a high level of customer service in the store.</li> <li>• Review the store pricing and sale signs to ensure accurate store pricing</li> <li>• Other duties assigned by the General Manager</li> </ul>			

<b>Orange ABC</b>	<b>Orange County ABC was established in a vote by Orange County Citizens on February 3, 1959 to facilitate the sale of spirituous liquor.</b>		
<b>Job Title:</b>	Assistant Buyer/Warehouse Manager	<b>Date:</b>	July 1, 2012
<b>Job Description: Assistant Product Buyer and Manager of the Warehouse for the Orange County ABC System</b>			
<p><b>Education:</b> Minimum High School Diploma with some higher education or equivalent experience</p> <p><b>Experience:</b> 5 years of Related Experience in a similar Role as a product Buyer with supervisory experience</p> <p><b>Physical Requirements:</b> Sitting, lifting up to 50 lbs, computer work, bending, stooping and repetitive motions.</p> <p><b>Key Skills:</b></p> <ul style="list-style-type: none"> <li>• Team player able to communicate effectively throughout all levels of the organization</li> <li>• Communication &amp; Interpersonal Skills, Decision Making, Conflict Resolution, team player.</li> <li>• Ability to maintain proper attention to details of multi unit operation</li> <li>• Knowledge of the ABC Rules and Regulations and the ability to disseminate the information to the public when needed</li> <li>• Leadership and Management skills as well as ability to train and develop others</li> <li>• Highest level of honesty, Integrity and ethical standards and willing ness to maintain a high level of transparency</li> <li>• Working Knowledge of product flow and logistics</li> <li>• Ability to effectively use MS Office Suite software or ability to learn quickly</li> <li>• Ability to apply talents to create a positive working environment</li> </ul>			
<b>Job Location</b>	Office / Warehouse	<b>Manages Staff:</b>	Yes
<b>Job Role:</b>	Product Flow Management	<b>Employment Class:</b>	Salary
<b>Salary Range:</b>	Level 12	<b>Employment Class:</b>	Full Time
<p><b>Responsibilities:</b></p> <ul style="list-style-type: none"> <li>• Reviewing daily reports and other paperwork for completeness and accuracy</li> <li>• Training employees on the special order process and encouraging the orders as an example of customer service</li> <li>• Coordinating deliveries to all ABC retail and mixed beverage outlets</li> <li>• Managing the unloading of trucks from the state warehouse</li> <li>• Back-up Safety Coordinator for Warehouse operations and back-up trainer on OSHA regulations</li> <li>• Placing orders with the state warehouse to maintain proper inventory levels throughout the system</li> <li>• Receiving and distributing special orders</li> <li>• Participating in the inventory process by entering inventory data and downloading it to all outlets</li> <li>• Responsible for performing and reconciling inventory for the warehouse</li> <li>• Follow rules and regulations of all regulatory agencies and general statutes</li> <li>• Maintaining the vehicle fleet and keeping up with maintenance records</li> <li>• Other duties assigned by the General Manager</li> </ul>			

<b>Orange ABC</b>	<b>Orange County ABC was established in a vote by Orange County Citizens on February 3, 1959 to facilitate the sale of spirituous liquor.</b>		
<b>Job Title:</b>	Administrative Manager	<b>Date:</b>	July 1, 2012
<b>Job Description: Administrative Management duties of the ABC System in Orange County</b>			
<p><b>Education:</b> Minimum Associates degree/higher diploma or equivalent experience with Notary Public or ability to obtain.</p> <p><b>Experience:</b> 5 years of Related Experience in a similar Administrative Management role with supervisory experience</p> <p><b>Physical Requirements:</b> Sitting, lifting up to 25 lbs, extensive computer work, bending, stooping and repetitive motions.</p> <p><b>Key Skills:</b></p> <ul style="list-style-type: none"> <li>• Team player able to communicate effectively throughout all levels of the organization</li> <li>• Communication &amp; Interpersonal Networking, Decision Making, Conflict Resolution, Intermediary Liaison</li> <li>• Ability to perform basic accounting and reporting of numbers to management</li> <li>• Human Resources knowledge and ability to apply abilities to improve employee relations</li> <li>• Knowledge of employee benefit plans, insurance, retirement, payroll and compliance.</li> <li>• Leadership and Management skills as well as ability to train and develop others</li> <li>• Highest level of honesty, Integrity and ethical standards and willing ness to maintain a high level of transparency</li> <li>• Project Management, and willingness to take on extra responsibilities when needed</li> <li>• Working knowledge of MS Office Suite and Traverse accounting software or ability to learn quickly</li> <li>• Broad spectrum of management skills and also ability to apply talents to create a positive working environment</li> </ul>			
<b>Job Location</b>	Administrative Office	<b>Manages Staff:</b>	No
<b>Job Role:</b>	Administrative Office Work	<b>Employment Class:</b>	Salary
<b>Salary Range:</b>	Level 13	<b>Employment Class:</b>	Full Time
<p><b>Responsibilities:</b></p> <ul style="list-style-type: none"> <li>• Review daily reports and other paperwork for completeness and accuracy.</li> <li>• Assist with organization and supervision of physical inventory counts and related re-counts.</li> <li>• Manage the processing of incoming computer data from stores and transmitting data to stores.</li> <li>• Reconcile the deposits of all monies accruing to the board and communicates any issues to the Finance Director.</li> <li>• Assist with general ledger maintenance and ensuring data processing and accounts payable functions are completed accurately and in a timely manner.</li> <li>• Follow rules and regulations of all regulatory agencies and general statutes</li> <li>• Maintain optimum level of office supplies as well as supplies for the stores.</li> <li>• Manage the communication process with the State ABC Commission, and all local authorities and the board.</li> <li>• This position will serve as the board secretary for record keeping, planning and communication purposes.</li> <li>• Process daily reports and preparing them for presentation to the management,</li> <li>• Partner with manager on payroll process to ensure timely and accurate disbursement to the employees of the board</li> <li>• Manage the HR functions including New Hire paperwork, insurance, retirement, training and any other related duties.</li> <li>• Work together with the Finance Director to ensure all taxes are paid and all reporting requirements are completed</li> <li>• Prepare accounts payables in partnership with the Finance Director for review by the General Manager</li> <li>• Travel to every store at least once a month to maintain a good working relationship with the stores</li> <li>• Other duties assigned by Finance Director, GM or assistant GM and assistance with any projects as required</li> </ul>			

<b>Orange ABC</b>	<b>Orange County ABC was established in a vote by Orange County Citizens on February 3, 1959 to facilitate the sale of spirituous liquor.</b>		
<b>Job Title:</b>	Buyer/Warehouse Manager	<b>Date:</b>	July 1, 2011
<b>Job Description: Product Buyer and Management of the Warehouse for the Orange County ABC System</b>			
<p><b>Education:</b> Minimum Associates degree/higher diploma or equivalent experience</p> <p><b>Experience:</b> 5 years of Related Experience in a similar Role as a product Buyer with supervisory experience</p> <p><b>Physical Requirements:</b> Sitting, lifting up to 50 lbs, extensive computer work, bending, stooping and repetitive motions.</p> <p><b>Key Skills:</b></p> <ul style="list-style-type: none"> <li>• Team player able to communicate effectively throughout all levels of the organization</li> <li>• Communication &amp; Interpersonal Networking, Decision Making, Conflict Resolution, team player.</li> <li>• Ability to maintain proper attention to details of multi unit operation</li> <li>• Knowledge of the ABC Rules and Regulations and the ability to disseminate the information to the public when needed</li> <li>• Leadership and Management skills as well as ability to train and develop others</li> <li>• Highest level of honesty, Integrity and ethical standards and willing ness to maintain a high level of transparency</li> <li>• Working Knowledge of product flow and logistics</li> <li>• Ability to effectively use MS Office Suite software or ability to learn quickly</li> <li>• Broad spectrum of management skills and also ability to apply talents to create a positive working environment</li> </ul>			
<b>Job Location</b>	Office and Warehouse	<b>Manages Staff:</b>	Yes
<b>Job Role:</b>	Product Flow Management	<b>Employment Class:</b>	Salary
<b>Salary Range:</b>	Level 14	<b>Employment Class:</b>	Full Time
<p><b>Responsibilities:</b></p> <ul style="list-style-type: none"> <li>• Reviewing daily reports and other paperwork for completeness and accuracy</li> <li>• Training employees on the special order process and encouraging the orders as an example of customer service</li> <li>• Overseeing and managing daily operation of the warehouse</li> <li>• Ordering products for all stores and mixed beverage outlets</li> <li>• Coordinating deliveries to all ABC retail and mixed beverage outlets</li> <li>• Managing the unloading of trucks from the state warehouse</li> <li>• Placing orders with the state warehouse to maintain proper inventory levels throughout the system</li> <li>• Managing the special order system that entails ordering, processing , receiving and distributing special orders</li> <li>• Updating SPA's from the State ABC Commission on a monthly basis</li> <li>• Safety Coordinator for Warehouse operations and trainer on OSHA regulations</li> <li>• Follow rules and regulations of all regulatory agencies and general statutes</li> <li>• Participating in the inventory process by entering inventory data and downloading it to all outlets</li> <li>• Responsible for performing and reconciling inventory for the warehouse</li> <li>• Interacting with sales representatives concerning product needs and the addition of new items</li> <li>• Processing breakage and accounting for the damaged item in accordance to inventory standards</li> <li>• Maintaining the vehicle fleet and keeping up with maintenance records as well as safety training</li> <li>• Other duties assigned by the General Manager and the local ABC board</li> </ul>			

<b>Orange ABC</b>	<b>Orange County ABC was established in a vote by Orange County Citizens on February 3, 1959 to facilitate the sale of spirituous liquor.</b>		
<b>Job Title:</b>	Financial Director/Officer	<b>Date:</b>	July 1, 2012
<b>Job Description: Financial Management and oversight of the ABC System in Orange County</b>			
<p><b>Education:</b> Minimum Bachelor's degree/higher diploma and in some cases experience can be substituted for education</p> <p><b>Experience:</b> 5 years of Related Experience in a similar Financial Management role with supervisory experience</p> <p><b>Physical Requirements:</b> Sitting, lifting 25 lbs, extensive computer work, bending, stooping and repetitive motion.</p> <p><b>Key Skills:</b></p> <ul style="list-style-type: none"> <li>• Team player able to communicate effectively throughout all levels of the organization</li> <li>• Communication &amp; Interpersonal Networking, Decision Making, Conflict Resolution, Intermediary Liaison</li> <li>• Financial Management, Budgetary Analysis, Forecast Preparation, Working Capital &amp; Asset Management</li> <li>• Business Optimization, Operations Management &amp; Internal Control</li> <li>• Leadership and Management skills as well as ability to train and develop others</li> <li>• Highest level of honesty, Integrity and ethical standards and willing ness to maintain a high level of transparency</li> <li>• Auditing, Feasibility Studies, Project Management, Risk Management, Property Management including lease negotiation</li> <li>• Strategic Leadership, Management, Crisis Management, Group Dynamics, developing partnerships &amp; Synergy</li> <li>• Working knowledge of MS Office Suite and Traverse accounting software or ability to learn quickly</li> <li>• Broad spectrum of management skills and also ability to apply talents to create a positive working environment</li> </ul>			
<b>Job Location</b>	Administrative Office	<b>Manages Staff:</b>	Yes
<b>Job Role:</b>	Financial Management	<b>Employment Class:</b>	Salary
<b>Salary Range:</b>	Level 15	<b>Employment Class:</b>	Full Time
<p><b>Responsibilities:</b></p> <ul style="list-style-type: none"> <li>• Keep the accounts the local board in the proper level of detail as well as the General Ledger in accordance with GAAP and the rules and regulations of the commission.</li> <li>• Maintain Banking relationships as well as disburse all funds of the local board in strict compliance of the law, the budget and pre-audit obligations.</li> <li>• Prepare financial statements monthly or as often as requested by the General Manager or the Board.</li> <li>• Supervise the deposit of all monies accruing to the board and the investment of idle funds of the board.</li> <li>• Maintain all records concerning the debt and other obligations of the board and determine the amount of money that will be required for debt service or the payment of other obligations during the fiscal year and maintain all funds.</li> <li>• Manage issues pertinent to overall financial management, cost optimization and capital efficiency in addition to ensuring accuracy and robustness of financial figures and negotiates contracts for new leases and oversees purchasing contracts.</li> <li>• Perform budgeting, reviewing audits files and assuming responsibilities for the yearly audit as well as analyzing factors influencing business performance including physical Inventory processing.</li> <li>• Maintain and monitoring financial statements, formulating all relevant reports, planning, conducting and finalizing audits of financial statements for organizations.</li> <li>• Review daily reports and preparing them for presentation to the management, running month end system reports and checking integrity of the same and present financials to the board on a monthly basis in partnership with the GM.</li> <li>• Oversee the automated payroll process to ensure timely and accurate disbursement to the employees of the board</li> <li>• Serve as a liaison to the board on financial reporting and partners with the General Manager on budget issues</li> <li>• Partner with Administrative Manager to complete daily duties to ensure smooth operations of the board</li> <li>• Follow rules and regulations of all regulatory agencies and general statutes</li> <li>• Travel to every store at least once a month to maintain a good working relationship with the stores</li> <li>• Other duties assigned by the General Manager, Local ABC Board or state ABC Commission</li> </ul>			

<b>Orange ABC</b>	<b>Orange County ABC was established in a vote by Orange County Citizens on February 3, 1959 to facilitate the sale of spirituous liquor.</b>		
<b>Job Title:</b>	Assistant General Manager	<b>Date:</b>	July 1, 2012
<b>Job Description: Management and Operational oversight of the ABC System in Orange County</b>			
<p><b>Education:</b> Minimum Bachelor's degree/higher diploma and in some cases experience can be substituted for education  <b>Experience:</b> 5 years of Related Experience in a similar Retail Supervisory role with supervisory experience of multiple units.  <b>Physical Requirements:</b> Sitting, lifting up to 25 lbs, extensive computer work, bending, stooping and repetitive motions.</p> <p><b>Key Skills:</b></p> <ul style="list-style-type: none"> <li>• Team player able to communicate effectively throughout all levels of the organization</li> <li>• Communication &amp; Interpersonal Networking, Decision Making, Conflict Resolution, Intermediary Liaison</li> <li>• Knowledge of the ABC Rules and Regulations and the ability to disseminate the information to the public when needed.</li> <li>• Business Optimization, Operations Management &amp; Internal Control</li> <li>• Leadership and Management skills as well as ability to train and develop others</li> <li>• Highest level of honesty, Integrity and ethical standards and willing ness to maintain a high level of transparency</li> <li>• Strategic Leadership, Management, Crisis Management, Group Dynamics, developing partnerships &amp; Synergy</li> <li>• Working knowledge of MS Office Suite and Traverse accounting software or ability to learn quickly</li> <li>• Broad spectrum of management skills and also ability to apply talents to create a positive working environment</li> </ul>			
<b>Job Location</b>	Administrative Office	<b>Manages Staff:</b>	Yes
<b>Job Role:</b>	General Management	<b>Employment Class:</b>	Salary
<b>Salary Range:</b>	Level 16	<b>Employment Class:</b>	Full Time
<p><b>Responsibilities:</b></p> <ul style="list-style-type: none"> <li>• Maintains OCABC website, updates information in computer and prepares shelf labels.</li> <li>• Troubleshooting all computer hardware and software issues to ensure smooth operations of all of the stores.</li> <li>• Overseeing any store improvement projects and remodels including fixturing and the opening of new locations.</li> <li>• Downloading prices from ABC Commission and ensuring price labels are current with Commission price lists at all times</li> <li>• Reviewing daily reports and preparing them for presentation to the management, running month end system reports and checking integrity of the same and present financials to the board on a monthly basis in partnership with the GM.</li> <li>• Assisting the General Manager in the overall efficient operation of the Orange County ABC system.</li> <li>• Responsible for all matters regarding the operation of retail and mixed beverage ABC stores</li> <li>• Maintaining a high level of customer service, a proper staffing level in the stores and management of the application pool</li> <li>• Overall facilities management including safety, surveillance equipment, and providing clean and well maintained stores</li> <li>• Ensuring appropriate point-of-sale displays and alcohol education material placed in the stores and maintained current</li> <li>• Preparing work schedules and maintaining schedules for paid time off and verifying payroll against time cards.</li> <li>• Manager of the training program for store staff and the review process for the employees in the stores.</li> <li>• Coordinating special events with distiller/broker representatives</li> <li>• Reviewing and signing accounts payable and payroll checks</li> <li>• Follow rules and regulations of all regulatory agencies and general statutes</li> <li>• Alternate Board Secretary: Assumes duties and responsibilities of the Board Secretary during their absence</li> <li>• Maintains and follows up on store maintenance contracts and the bidding process when the contracts are up for renewal</li> <li>• Other duties assigned by the General Manager or local ABC Board.</li> </ul>			

<b>Orange ABC</b>	<b>Orange County ABC was established in a vote by Orange County Citizens on February 3, 1959 to facilitate the sale of spirituous liquor.</b>		
<b>Job Title:</b>	General Manager	<b>Date:</b>	July 1, 2012
<b>Job Description: General Management and Operational oversight of the ABC System in Orange County</b>			
<p><b>Education:</b> Minimum Bachelor's degree/higher diploma and in some cases experience can be substituted for education</p> <p><b>Experience:</b> 5 years of Related Experience in a similar management role with supervisory experience of a department or business unit.</p> <p><b>Physical Requirements:</b> Sitting, lifting up to 25 lbs, extensive computer work, bending, stooping and repetitive motions.</p> <p><b>Key Skills:</b></p> <ul style="list-style-type: none"> <li>• Team player able to communicate effectively throughout all levels of the organization</li> <li>• Communication &amp; Interpersonal Networking, Decision Making, Conflict Resolution, Intermediary Liaison</li> <li>• Knowledge of the ABC Rules and Regulations and the ability to disseminate the information to the public when needed.</li> <li>• Business Optimization, Operations Management &amp; Internal Control</li> <li>• Leadership and Management skills as well as ability to train and develop others</li> <li>• Highest level of honesty, Integrity and ethical standards and willing ness to maintain a high level of transparency</li> <li>• Strategic Leadership, Management, Crisis Management, Group Dynamics, developing partnerships &amp; Synergy</li> <li>• Working knowledge of MS Office Suite and Traverse accounting software or ability to learn quickly</li> <li>• Broad spectrum of management skills and also ability to apply talents to create a positive working environment</li> </ul>			
<b>Job Location</b>	Administrative Office	<b>Manages Staff:</b>	Yes
<b>Job Role:</b>	General Management	<b>Employment Class:</b>	Salary
<b>Salary Range:</b>	Level 17	<b>Employment Class:</b>	Full Time
<p><b>Responsibilities:</b></p> <ul style="list-style-type: none"> <li>• Oversee the overall efficient operation of the Orange County ABC system.</li> <li>• Prepare the budget on an annual basis in partnership with the finance officer</li> <li>• Maintain relationships in the community to support the boards mission</li> <li>• Oversee store improvement projects and remodels including fixturing and the opening of new locations.</li> <li>• Review daily, weekly and monthly reports and preparing them for presentation to the board</li> <li>• Responsible for all matters regarding the operation of retail and mixed beverage ABC stores</li> <li>• Run the monthly board meeting to ensure valuable communication with the board</li> <li>• Maintain high level of Human Resource focus in the organization and oversee HR policy development and training plan</li> <li>• Customer service excellence, a proper staffing level in the stores and management of the application pool</li> <li>• Overall facilities management including safety, surveillance equipment, and providing clean and well maintained stores</li> <li>• Ensure appropriate point-of-sale displays and alcohol education material placed in the stores and maintained current</li> <li>• Prepare work schedules and maintaining schedules for paid time off and verifying payroll against time cards.</li> <li>• Manager of the training program for store staff and the review process for the employees in the stores.</li> <li>• Focus on the daily activities, midrange goals and long range goal development</li> <li>• Follow rules and regulations of all regulatory agencies and general statutes</li> <li>• Responsible for real estate management including lease negotiations, lease administration and property management</li> <li>• Maintain and follow up on store maintenance contracts and the bidding process when the contracts are up for renewal</li> <li>• Leadership in keeping a technology roadmap to ensure the board stay current in this area</li> <li>• Other duties assigned by the local ABC Board.</li> </ul>			

## **Section 6: Personnel Policies**

- 6-1 Rules of Conduct
- 6-2 Code of Business Ethics and Conduct
- 6-3 Conflict of Interest & Gift Policy
- 6-4 Disclosure Policy
- 6-5 Personnel Files and Data Changes
- 6-6 Information Integrity and Security
- 6-7 Harassment
- 6-8 Solicitation & Moonlighting
- 6-9 Wrongful Conduct and Rules of Reprisal
- 6-10 Whistleblower Protection



## **Rules of Conduct:**

### **Public Statements and Appearances**

Employees are encouraged to represent the board with the utmost professionalism in all public encounters and communications. Publicly criticizing or ridiculing the board and its employees by speech, writing, or other expression, where such expression is defamatory, obscene, unlawful, or is untrue could result in disciplinary action.

### **Dissemination of Information**

- Employees are to treat the official business of the Board as confidential. Information regarding official business will be disseminated only to those for whom it is intended, in accordance with established Board policy unless otherwise authorized by the General Manager.
- All requests for documents related to the official business of the Orange County ABC system, made pursuant to North Carolina's Public Records laws, will be referred to the General Manager or Administrative Manager.
- Employees may only remove or copy official records or reports from departmental files with advance written permission of the General Manager.
- Employees must not divulge the identity of persons and/or agencies giving confidential information except as authorized by proper authority.

The protection of confidential business information is vital to the interest and the success of the Board. Examples of confidential information includes the following examples:

- Financial Information
- Lease Information
- Money Handling Practices and Procedures
- Quantities of Inventory
- Amount of Cash Handled
- Security System Information
- Personnel Information
- Passwords, Alarm Codes & Safe Codes

### **Reporting For work:**

Employees must report for work at the time and place required by assignment and must be physically and mentally fit to perform their duties. Employees are to be properly equipped and aware of information required for the proper performance of their job so that they may immediately assume their duties.

### **Sleeping on the Job:**

Employees are not permitted to sleep while at work. Sick employees must report to the Manager on duty who will determine the proper course of action.

**Truthful Statements**

Employees will give truthful statements at all times regarding the scope of employment and operations of the Board. A statement should not be made unless the employee is sure of its truthfulness.

**Abuse Of Equipment**

Employees must not intentionally abuse, deface, alter, or damage any Board equipment or property.

**Leaving Work**

Employees must not leave their assigned shift except when authorized by proper authority.

**Courtesy**

Employees are to be courteous to other employees, members of the Board and the public. Employees must be tactful in the performance of their duties, must control tempers, and exercise the utmost patience and discretion, and must not engage in argumentative discussions even in the face of extreme provocation.

**No Call / No Show**

Any employee who is absent without prior consent and does not notify the appropriate supervisor will be terminated after three (3) scheduled workdays.

## **Code of Business Ethics and Conduct**

Each Board member and employee is an integral participant in the Board's mission; and each participant is expected to exhibit a high degree of professionalism and personal integrity consistent with the pursuit of excellence in the conduct of his/her responsibilities.

The ABC Board and all of its employees hold certain shared values by which our actions are measured and governed. This policy identifies those commonly held values and associated behaviors. Violations of the Code of Business Ethics and Conduct may be cause for disciplinary action up to and including termination of your Board position or employment.

Board members and employees agree:

- That they have an obligation to management, fellow employees, citizens, and customers to conduct all Board business in accordance with the Board's mission, values and established policies and procedures, as well as federal and States laws and rules..
- To cooperate with and treat fellow Board members and employees with honesty and respect.
- To commit themselves to ethical and professional conduct.
- That they will not violate the privacy or confidentiality of entrusted information.
- To avoid conflicts of interest, be honest, and reject bribery or any inappropriate coercion or reception of gifts based on your position or employment status.
- To strive to achieve highest quality, effectiveness, and integrity.
- To acquire and maintain professional competence.
- To manage personnel and resources responsibly.

Board members and employees should contact the Board Chair, General Manager or immediate supervisor if they have any issues concerning possible non-compliance with this Code of Business Ethics and Conduct.

Board Personell will acknowledge that he/she have read and understand the Board's Code of Business Ethics and Conduct policy by signing form 9-2.

## **Conflict of interest/Gift Policy**

The purpose of this policy is to establish a conflict of interest policy, especially as it relates to acceptance of gifts.

**The acceptance of gifts or favors of any value is not allowed under any circumstances.**

No one shall give liquor or anything of value to any board member or employee of the board. Board members and employees of the board shall not accept gifts, either directly or indirectly, from anyone. The acceptance of tangible or intangible gifts is prohibited.

**Examples of tangible gifts** are but not limited to:

Property, tickets, equipment, computer hardware, books, signs, meals, food, beverages etc...

**Examples of intangible gifts** are but not limited to:

Gratuities, favors, discounts, entertainment, hospitality, computer software, loans, etc...

- Board members and employees will not accept any gifts from anyone in the performance of his/her duties.
- Current Board members and employees, and future Board members and employees must certify in writing that they have received copies of and are responsible for complying with the provisions of this policy as required by law by signing Conflict of Interest/Gift Policy form 9-9.
- Board members and employees must also be aware that gifts and things of value cannot be filtered through a third party to skirt the prohibitions of these mandates and this policy.
- Violation of these mandates is a Class 1 misdemeanor. (NS GS 133-32(b). Violation of these mandates or this Board policy will result in disciplinary action up to and including termination of employment and in the case of a board member removal from office.

It is the policy of this ABC Board that all board members and employees shall comply with the Gift Law (G.S. 133-32). Employees and board members are prohibited from accepting gifts or anything of value from any individual with whom the board has a business relationship.

Sign Conflict of Interest/Gift Policy form 9-9 to acknowledge this policy

## Disclosure Policy

**Purpose:** The purpose of this policy is to improve the quality and timeliness of disclosing external activities of Board members and employees.

**Scope:** This policy pertains to all Board members and all employees of the Orange County ABC Board.

**Background:** Board members or employees may be invited by a third party to participate in activities, events, presentations and/or consultations. The invitation is extended because of their association with OCABC or because of their function within the organization. In order for the Chair and Board to remain fully informed, it is important for such invitations to be shared prior to the time of the activity.

**Policy:** The Disclosure policy creates an explicit understanding between Board members and employees to report in a timely manner any representation or participation in external activities.

### Procedures:

- Board participation in external activities, invitations, presentations, consultations, should be communicated to the Chair and/or Vice Chair prior to the time of the activity. Requests may be communicated by any practical means. Employee participation in external activities etc. will be communicated to the General Manager and the General Manager will share this information with the Board.
- Board members shall sign the policy within a reasonable time after appointment to the Board and then again annually. The Board Chair will ensure Board members follow these procedures.
- Employees shall sign the policy within a reasonable time after being hired (whether part-time or full-time) and then again annually. The General Manager will ensure employees follow these procedures.

Board Personell will acknowledge that he/she have read and understand the Board's Disclosure policy by signing form 9-3.

## **Personnel Files**

**In accordance with NCAC .1009(b), the Board has adopted Orange County's Access to Personnel Records Ordinance (Orange County Ordinance Sec. 28-100(3)). All information contained within an ABC employee's personnel record, other than information made public by law, is confidential and shall not be open for inspection unless provided for under federal or state law. The privacy of employee personnel records shall, therefore, be governed by N.C.G.S. 153A-98 and any successor statute(s).**

The Administrative Manager will maintain personnel files (listed below) for each employee of the system. These files are to be kept in a locked cabinet with limited access, based on a need-to-know basis. Employee files are open to the individual employee upon request.

An administrative personnel file will be maintained and will contain salary notations, withholding forms, I-9, retirement information, merit evaluations, workers' compensation claims, OSHA claims and other paperwork necessary for administrative operations.

A separate personnel file (if necessary) will be maintained for rehabilitation and disciplinary notations or reports.

A separate personnel file (if necessary) will also be maintained for health related issues such as insurance and other health related matters that are personal in nature.

## **Personnel Data Changes**

It is the responsibility of each employee to promptly notify the Administrative Manager of any changes in personnel data.

Personal mailing addresses, telephone numbers and names of dependents, individuals to be contacted in the event of an emergency, educational accomplishments and other such status reports should be accurate and current at all times. If any personnel data has changed, notify the Accounting and Administrative Manager in writing using the Payroll Set-up, Change Request and Authorization form

## **Merit Principle**

All promotions and reclassifications of employees will be made solely on the basis of merit. All positions requiring the performance of the same duties and fulfillment of the same responsibilities will be assigned to the same classification and same salary/wage range.

## Information Integrity and Security

### Identity Theft Protection Policy:

**Purpose:** The purpose of this document is to implement written policies and procedures for the use, storage and disposal of documents and electronic data containing employees, Board members, customers and vendor's personal information.

Personal Information: All of the following items are considered to be personal information:

- Driver's license numbers
- Bank account numbers
- Credit and debit account numbers
- E-mail addresses
- Personal Identification numbers (PINs)
- Passwords, and
- Parent's legal surname prior to marriage.

### Disposal

Disposal includes:

The discarding or abandonment of records containing personal information, and,

The sale, donation, discarding or transfer of any medium, including computer equipment, or computer media, containing records of personal information, or other non-paper media upon which records of personal information are stored, or other equipment for non-paper storage of information.

### Policy:

Social Security Numbers: Except as provided below, employees and/or Board members must not do any of the following:

- Intentionally communicate or otherwise make available to the general public an individual's social security number.
- Print an individual's social security number on any card required for the individual to access products or services provided by the System.
- Require an individual to transmit his or her social security number over the Internet, unless the connection is secure or the social security number is encrypted.
- Require an individual to use his or her social security number to access an Internet Website, unless a password or unique personal identification number or other authentication device is also required to access the Internet Website.
- Print an individual's social security number on any materials that are mailed to the individual, unless State or Federal law requires the social security number to be on the document mailed.
- Sell, lease, trade, rent, or otherwise disclose an individual's social security number to a third party for any purpose without written consent to the disclosure from the individual.

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This section does not apply in the following instances:

- To the collection, use, or release of a social security number for internal verification or administrative purposes provided that no consideration is exchanged between the person and the third party for the collection, use, or release of the social security number.
- When a social security number is included in an application or in documents related to an enrollment process, or to establish an account, contract, or policy.
- To the collection, use, or release of a social security number to investigate or prevent fraud or to conduct background checks.
- To a business acting pursuant to a court order, warrant, subpoena, or when otherwise required by law.
- To a business providing the social security number to a federal, State, or local government entity, including a law enforcement agency, or court, or their agents or assigns.

Use, Storage and Destruction of Personal Information Records:

Use and Storage:

- All employees and Board members must take reasonable measures to protect against unauthorized access to, or use of, personal information prior to its disposal.
- Documents bearing personal information must be filed in locked cabinets with access limited to personnel with a valid "need-to-know".
- All non-printed personal information residing on electronic media (i.e. floppy disks, computer hard drives, memory sticks, compact drives, etc) must be password protected or stored on removable electronic media which is then physically stored in a locked cabinet so the personal information cannot be read, copied or stolen.

Disposal - After the proper retention period:

All printed personal information must be burned, shredded or pulverized so that personal information cannot be practically read or reconstructed.

All non-printed personal information residing on electronic media (i.e. floppy disks, computer hard drives, memory sticks, compact drives, etc) must be erased so the personal information cannot be practically read or reconstructed.



## **Sexual & Other Unlawful Harassment**

Orange County ABC is committed to providing a work environment free of discrimination and harassment. Orange County ABC strongly disapproves of, and will not tolerate, unlawful harassment, including sexual harassment. This policy applies to conduct occurring in the workplace and/or in other settings where Orange County ABC employees may be in connection with their work, such as business trips, and business related parties and social events. All persons are expected to refrain from engaging in conduct which may be construed as unlawful harassment or sexual harassment. Likewise, each person is expected to take the necessary steps to prevent and eliminate its occurrence. This policy applies to all Orange County ABC personnel, as well as to vendors, clients, board members or others who deal with personnel.

This policy prohibits unlawful harassment in any form, including sexual harassment, harassment related to race, color, religion, sex (including pregnancy), sexual orientation, gender identity, national origin, ethnicity, age (40 or older), disability or genetic information and any other legally protected characteristic.

Sexual harassment includes unwelcome sexual advances, requests for sexual acts or favors, or other verbal or physical conduct of a sexual nature when (i) submission or rejection of such conduct is a term or condition of employment or is a basis for employment decisions, or (ii) such conduct has the purpose or effect of unreasonably interfering with an individual's working conditions or performance by creating an intimidating, hostile, humiliating or offensive work environment.

While in some cases individuals may make comments, jokes or personal advances without intending harm, such action can be unwanted, threatening and perceived as harassment. Stopping harassment in its many forms requires an increased awareness by everyone of the impact that such actions may have on others. Following is a partial list of unwelcome behavior that may be considered harassment:

- Verbal conduct such as racial or ethnic epithets, derogatory jokes or comments, slurs, sexual innuendo, sexually suggestive "kidding or teasing," jokes about gender-specific traits, unwanted sexual overtures or comments, inquiries or discussions concerning one's sexual experiences, comments on an individual's body;
- Visual conduct such as derogatory and/or sexually oriented posters, photography, cartoons, drawings or gestures;
- Physical conduct such as unwanted touching, hugging, kissing, intentional brushing up against the body of another employee;
- Threats or demands to submit to sexual requests as a condition of continued employment or to avoid a loss of benefits, or offers of benefits in return for sexual favors; and
- Retaliation for having reported or threatened to report harassment.

Whenever possible, any person who is experiencing unwelcome conduct of the type generally described above should inform the person engaging in the conduct that it is unwelcome and

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request that it stop. The complainant may choose to pursue this option alone, or may ask a supervisor to be present or serve as an intermediary.

In any case, a person who believes that he/she has been harassed by a co-worker, supervisor, customer, vendor or other business visitor, or who has witnessed such harassment, is strongly encouraged to report the facts of the incident or incidents in accordance with the procedure set forth below. Orange County ABC can only resolve matters brought to its attention; accordingly, Orange County ABC encourages all persons to come forward with information about allegations of unlawful harassment. Retaliation for making a complaint or cooperating in an investigation of alleged harassment is strictly prohibited.

### **Filing a harassment complaint**

In the event an individual feels any form of unlawful harassment has taken place, Orange County ABC will make every effort to resolve the situation as quickly as possible. The following are guidelines for the resolution of these situations.

Any individual who believes that he or she has been unlawfully discriminated against, harassed, or bullied is strongly encouraged to file a complaint orally or in writing to any of the following individuals:

- A supervisor or manager, who will then immediately file a report with the assistant general manager or general manager
- The assistant general manager, who will then immediately file a report with the general manager or board chair
- The general manager
- The board chair, if the complainant is directly supervised by the general manager
- Any board member, if the complainant is the general manager

A complaint should be filed as soon as possible but no later than 30 calendar days after disclosure or discovery of the facts giving rise to the complaint. Complaints submitted after the 30 day period will be investigated, however individuals should recognize that delays in reporting may significantly impair the ability to investigate and respond to such complaints.

### **Addressing complaints of alleged incidents of harassment**

- 1) Whoever received a complaint of harassment shall immediately notify the appropriate investigator who shall respond to the complaint and investigate.
  - If the alleged perpetrator is any employee, customer or vendor, the investigator will be the general manager,
  - If the alleged perpetrator is the general manager or any board member, the board attorney will be the investigator.
  - Unless the board chair and/or general manager are the subject of the harassment complaint, the GM will be notified within 24 hours of the complaint having been filed and the board chair will be notified by the general manager within 24 hours after the GM has been notified.
  - Within 24 hours of the onset of a harassment investigation, the general manager will notify the board attorney of the investigation and will follow the guidance provided by the board attorney.
- 2) The investigator is responsible for determining whether the alleged act(s) constitutes a violation of policy or law. In so doing, the investigator shall impartially, promptly, and thoroughly investigate the complaint. The investigator shall take all reasonable steps to interview (1) the complainant; (2) the alleged perpetrator(s); (3) individuals identified as witnesses by the complainant or alleged perpetrator(s); and (4) any other individuals, including other possible victims, who may have relevant information. The investigation will include a review of all evidence presented by the complainant or alleged perpetrator. The board attorney will be provided the opportunity to review all facets of the investigative process at any time during the investigation.
- 3) The complaint and investigation will be kept confidential to the extent possible. Information may be shared only with individuals who need the information in order to investigate and address the complaint appropriately and those with a legal right to access the information, which may include the alleged perpetrator.
- 4) The investigator shall review the factual information gathered through the investigation to determine whether, based on a preponderance of the evidence, the alleged conduct constitutes unlawful harassment.
- 5) The investigator shall provide written notification to the complainant of the results of the investigation within 15 calendar days of receiving the complaint, unless additional time is necessary to conduct an impartial, thorough investigation.
- 6) Prior to any findings being released, and/or delivered to involved parties, and prior to any disciplinary action, job actions or other sanctions being assessed pursuant to the findings of the investigation, the board attorney will be notified both of the findings of the investigation and recommended job actions, if any, that may be forthcoming.
- 7) If the investigator determines that the complaint was substantiated, the perpetrator(s) will be subject to discipline or other corrective steps, including but not limited to termination, as described in progressive discipline procedure.

## **Solicitation & Outside Employment**

### **Solicitation**

Solicitation and sales other than normal ABC activities are prohibited on the premises of the ABC facilities.

### **Collections**

- Local Boards may provide containers for the collection of voluntary contributions to alcohol rehabilitation programs approved by the Commission.
- Collection or solicitation of contributions for any other purpose is prohibited.
- “Tip Jars” are prohibited in the ABC stores.

### **Political Activity Restricted**

Every employee has a civic responsibility to support good government by every available means and in every appropriate manner. Any employee may join or affiliate with civic organization of partisan or political nature, may attend political meetings, and may advocate and support the principle or policies of civic or political organizations in accordance with the Constitution and laws of the State of North Carolina and in accordance with the laws of the United States of America. However, no employee shall:

- Engage in any political activity while on duty
- Be required, as a duty of or as a condition for employment, promotion, tenure of office; to contribute funds for political or partisan purposes
- Solicit, or act as custodian of funds for political or partisan purposes
- Coerce or compel contributions for political purposes from another employee of the Board
- Use any supplies or equipment of the Board for political purposes.

### **Outside Employment (Moonlighting)**

The work of the Board has precedence over the other occupational interest of employees. Any outside employment for salary, wages or commissions and all self-employment must be reported to, and approved by, the Board.

## **Wrongful Conduct and Rules of Reprisal:**

The Board has developed numerous policies and procedures for enforcing standards of conduct and behavior. Additionally, Board employees are expected to abide by applicable Federal laws, NC General Statutes and NC ABC Commission Rules. An employee cannot be compelled by a Board member or a supervisor to violate a Board policy, an applicable law, or public policy. In the interest of the Board, an employee who has particular knowledge of specific acts which he or she reasonably believes constitute wrongful conduct should disclose the misconduct to the General Manager or any Board member.

### **Wrongful Conduct:**

Wrongful conduct is defined in this policy to be:

- A serious violation of Board policies or procedures.
- A violation of applicable Federal laws, North Carolina laws, or NC ABC Commission Rules.
- The use of Board property, resources, or authority for personal gain or non-Board related purposes except as provided by Board policy.

### **Disclosure and Investigation:**

When the Board has defined policies and procedures for maintaining standards of conduct and disclosure of violations, the applicable policies should be used to disclose such violations. Policies included but are not limited to:

- Board policy prohibiting discrimination.
- Board policy prohibiting sexual harassment.

In matters relating to wrongful conduct as defined above, mismanagement of Board resources, or an abuse of authority which is not already covered by a specific Board policy, the General Manager is designated to receive such disclosures. If the disclosure is against the General Manager, then the disclosure should be made to the Board Chair. He/she will also conduct or coordinate follow-up which may include an investigation of the disclosure.

- The General Manager or Board Chair will maintain the record on these allegations.
- The General Manager or Board Chair may employ the use of a third party (Sheriff's Department, external auditor, etc.) to follow-up on the matter which may include an investigation of the disclosure.
- Laws and Board policies impose privacy and confidentiality restraints on reporting the results of such a review or investigation. Within the constraints of these laws and policies, the General Manager or Board Chair, will acknowledge, and as appropriate and permissible by law and policy, provide confirmation of the status and the outcome of the review.
- It should be noted that a disclosure warranting an investigation is not the same as making a compliant or reprisal (adverse employment action or situation).

### **Complaints of Reprisal:**

The General Manager will coordinate with the Chair to appoint a third-party investigator. The investigator will report findings and recommendations to the General Manager or Board Chair whether retaliation occurred, and if so, what the appropriate remedy or remedies will be. This will be discussed in Closed Session and the decision of the Board will be final.

## Whistleblower Protection

This policy is intended to protect any employee who engages in good faith disclosure of alleged wrongful conduct to a designated Orange County ABC Board member or General Manager.

More specifically it:

- Encourages employees to disclose serious breaches of conduct covered by Federal law, NC General Statutes, NC ABC Commission Rules and Board policies and procedures, and.
- Informs employees how allegation of wrongful conduct can be disclosed.
- Protects employees from reprisal by adverse employment action as a result of having disclosed wrongful conduct (employees who self-report misconduct are not afforded protection by this policy), and
- Provides individuals who believe they have been subject to reprisal a fair process to seek relief from retaliatory acts.

This policy provides protection to Board employees who:

- Disclose (or threaten to disclose) to their supervisor or any public body, an act or omission that the employee reasonably believes to be a violation of law, rule or regulation by another Board employee or Board member.
- Provide information to or testify before any public body conducting an investigation hearing or inquiry into a violation of law, rule or regulation; or,
- Assist or participate in a proceeding to enforce this policy.

The Board will not take retaliatory action such as reprimand, discharge, suspension, demotion, denial of promotion or transfer that occurs in retaliation for an employee's exercise of any one of the three protected activities above

The Board provides remedies for employees if retaliation occurs, and if the employee's work performance or behavior did not warrant the adverse action, which may include one or more of the following:

- Employee shall be made whole;
- Reinstatement;
- Two times back pay;
- Interest on back pay; and/or,
- Payment of reasonable cost and attorneys' fees.

The employee would need to pursue civil action in order to attempt to receive some or all of the remedial relief listed above.

## **Section 7: Operational Procedures**

1. Customer Service Laws
2. Customer Service Rules
3. Shoplifting
4. Training Policy
5. Work Week, Pay Period
6. Time Cards and Attendance Records
7. Overtime
8. Meal Periods/ Break Periods
9. Cash Management & Procedures
10. Change Fund
11. Personal Appearance
12. Employee Parking & In Store Music
13. Tobacco Use
14. Communications Devices and Electronics
15. Housekeeping
16. Environmental Impact
17. Travel Policy
18. Safety and Vehicle Operations
19. Board Credit Cards
20. Emergency Closings & State of Emergency

## **Customer Service Laws**

### **18B-302. Sale to or purchase by underage persons.**

#### **Sale**

It shall be unlawful for any person to sell spirituous liquor to anyone less than 21 years old.

#### **Give**

It shall be unlawful for any person to: give malt beverages or unfortified wine to anyone less than 21 years old; or give fortified wine, spirituous liquor, or mixed beverages to anyone less than 21 years old.

#### **Purchase, Possession, or Consumption**

It shall be unlawful for a person less than 21 years old to purchase, to attempt to purchase, or to possess spirituous liquor or to consume any alcoholic beverage.

#### **Defense**

It shall be a defense to a violation of this section if the seller:

- Shows that the purchaser produced a driver's license, a special identification card issued under G.S. 20-37.7, a military identification card, or a passport, showing his age to be at least the required age for purchase and bearing a physical description of the person named on the card reasonably describing the purchaser; or
- Produces evidence of other facts that reasonably indicated at the time of sale that the purchaser was at least the required age.
- Shows that at the time of purchase, the purchaser utilized a biometric identification system that demonstrated the purchaser's age to be at least the required age for the purchase and the purchaser had previously registered with the seller or seller's agent a driver's license, a special identification card issued under G.S. 20-377.7, a military identification card, or a passport showing the purchaser's date of birth and bearing a physical description of the person named on the document.

The Orange County ABC Board considers one of the most important instructions to employees is to not sell alcoholic beverages to, or for the use of, minors. While mitigating circumstances may be a consideration, under most circumstances there will not be a second chance. The Board will most likely terminate any and every employee that sells alcoholic beverages to a minor.

#### **Fraudulent Use of Identification**

It shall be unlawful for any person to enter or attempt to enter a place where alcoholic beverages are sold or consumed, or to obtain or attempt to obtain alcoholic beverages, or to obtain or attempt to obtain permission to purchase alcoholic beverages, in violation of this section, by using or attempting to use any of the following:

- A fraudulent or altered driver's license.
- A fraudulent or altered identification document other than a driver's license.
- A driver's license issued to another person.
- An identification document other than a driver's license issued to another person.
- Any other form or means of identification that indicates or symbolizes that the person is not prohibited from purchasing or possessing alcoholic beverages under this section.



### **Allowing Use of Identification**

It shall be unlawful for any person to permit the use of the person's driver's license or any other form of identification of any kind issued or given to the person by any other person who violates or attempts to violate this section.

### **Amounts of alcoholic beverages that may be purchased**

#### **Purchases Allowed**

Without a permit, a person may purchase at one time:

Not more than eight liters of either fortified wine or spirituous liquor, or eight liters of the two combined.

#### **Unlawful Purchase**

It shall be unlawful for any person to purchase, or for any person to sell, an amount of alcoholic beverages greater than that stated in subsection

#### **Greater Amounts**

Amounts of alcoholic beverages greater than those listed above may be purchased with a purchase-transportation permit under G.S. 18B-403.

#### **Purchase-transportation permit**

Amounts

With a purchase-transportation permit, a person may purchase and transport an amount of alcoholic beverages greater than the amount specified in G.S. 18B-303. A permit authorizes the holder to transport from the place of purchase to the destination within North Carolina indicated on the permit at one time the following amount of alcoholic beverages:

- A maximum of 100 liters of unfortified wine;
- A maximum of 40 liters of either fortified wine or spirituous liquor, or 40 liters of the two combined; or
- The amount of fortified wine or spirituous liquors specified on the purchase-transportation permit for a mixed beverage permittee.

#### **Issuance of Permit**

A purchase-transportation permit may be issued by:

- The local board chairman;
- A member of the local board;
- The general manager or supervisor of the local board; or
- The manager or assistant manager of an ABC store, if he is authorized to issue permits by the local board chairman.

#### **Disqualifications**

A purchase-transportation permit shall not be issued to a person:

- who is not sufficiently identified or known to the issuer;
- is known or shown to be an alcoholic or bootlegger;
- Has been convicted within the previous three years of an offense involving the sale, possession, or transportation of non-tax paid alcoholic beverages; or
- Has been convicted within the previous three years of an offense involving the sale of alcoholic beverages without a permit.

**Form**

A purchase-transportation permit shall be issued on a printed form adopted by the Commission. The Commission shall adopt rules specifying the content of the permit form.

**Restrictions on Permit**

A purchase may be made only from the store named on the permit. One copy of the permit shall be kept by the issuing person, one by the purchaser, and one by the store from which the purchase is made. The purchaser shall display his copy of the permit to any law-enforcement officer upon request. A permit for the purchase and transportation of spirituous liquor may be issued only by an authorized agent of the local board for the jurisdiction in which the purchase will be made.

**Time**

A purchase-transportation permit is valid only until 9:30 P.M. on the date of purchase, which date shall be stated on the permit.

**Special Occasion Purchase-Transportation Permit**

When a person holds a special occasion for which a permit under G.S. 18B-1001 is required, the purchase-transportation permit issued to him may provide for the storage at and transportation to and from the site of the special occasion of unfortified wine, fortified wine, and spirituous liquor for a period of no more than 48 hours before and after the special occasion. The purchase-transportation permit authorizes that person to transport only the amounts of those alcoholic beverages authorized. The Commission may adopt rules to govern issuance of these extended purchase-transportation permits.

**Sale to Intoxicated Person**

It shall be unlawful for an ABC store employee to knowingly sell or give alcoholic beverages to any person who is intoxicated.

**Discretion for Seller**

Any person authorized to sell alcoholic beverages under this Chapter may, in his discretion, refuse to sell to anyone. It shall be unlawful for any person to knowingly buy alcoholic beverages for someone who has been refused the right to purchase under this subsection.

**No one may refuse to sell alcoholic beverages to a person solely based on that person's race, religion, color, national origin, sex, sexual orientation or disability.**

## Customer Service Rules

### Customer Approach

These important rules set standards for behavior and procedures expected of all ABC employees.

Service to the Public:

- It is expected that each customer is greeted within the first minute they enter the store even if the employee is engaged with another customer or on the phone and show them where a product is located.
- It is expected that each employee is dressed in ABC issued attire and is well groomed and presentable to the public.
- It is expected that each employee has a positive disposition when taking care of the customer interactions in the store.
- It is expected that each customer is asked if they need help and upon that engagement questions are answered to help the customer make purchase decisions.
- It is expected that the customer is given a receipt without asking and that each customer is thanked for their purchase.
- Discourtesy, for any reason, is inexcusable and will not be tolerated.

### Identification Examination Policy

The purpose of this policy is to ensure that potential customers possess proper identification and are age 21 and over. It establishes the valid forms of identification and shows how to examine forms of identification to detect fraudulent documents.

North Carolina Alcohol Law Enforcement dictates that these are the only acceptable ID's

- Valid driver's license from any state
- Valid North Carolina Identification Card
- Valid Passport
- Valid military identification card

Check the identification of all potential purchasers who appear to be 40 years of age or younger. This is done by:

- Asking them if they are 21 years of age or older.
- If they say no – then reject the sale without proceeding.
- If the person replies that they are 21 or older, ask to see his/her identification.
- If they present the ID while still covered ask the person to remove the ID from the cover.

Remember the acronym "PAUSE":

- **P**icture – compare photo ID to person.
- **A**ge – compute the age.
- **U**nderage or of age?
- **S**eal – does the document bear a seal?
- **E**xamine for irregularities – explained below.

Compare the purchaser's physical characteristics with the photo ID.

**If a NC driver's license check the color of the border**

- Green means the holder was age 21 or over when the card was issued.
- Yellow means the holder was under age 21 when the card was issued.
- Red means the holder was under age 18 when the card was issued.
- Check the hologram or the seal on the front.
- Turn the card over and check for encoding.

**If an out-of-state driver's license**

- Check the "50 States" driver's license manual and compare for specifications.
- Compute age and compare to current date – must be age 21 or older.
- Ask the person a question (such as street address, spell last name, date of birth, etc) to ensure the answer agrees with the document information).

**Feel the card:**

- Check the thickness of the photo to ensure another photo has not been applied over the original; apply same technique/reasoning for birth and expiration dates.
- Feel for seams in the card.

**Visually examine the card:**

- Check date of birth.
- Check the document expiration date. If the document is expired, it is not a "valid" form of ID. Also, the ID in question could be the expired ID of an older sibling.
- See if birth dates and expiration dates match.
- Look for seams or broken areas.
- Look at the print – check for irregular size fonts.
- See if the laminate is coming loose (pulling apart).

All stores are equipped with an electronic scanner – scan the card and pay particular attention to the results of the scan.

If it appears that the identification is not legitimate – do not make the sale. Do not feel compelled to make the sale if the customer tries to be intimidating.

If the ID appears to be valid and the photo ID is reasonably comparable to the actual person, then use personal judgment in making the sale.

**Request to Refuse to Sell**

It is the policy of the Orange County ABC Board (the Board) not to get involved in a situation when a third party requests that otherwise eligible customer be refused service. For example, family member "A" feels that another family member "B" should not be permitted to purchase alcohol because of a valid medical condition.

## Handling Intoxicated Patrons

**The purpose of this policy is to provide guidance for point-of-sale employees to:**

- Identify intoxicated patrons.
- Provide information on how intoxicated persons should be handled.

### Best Practices

- Watch patrons closely as they park, enter the store and as they shop.
- Be alert for signs of intoxication
- Please bear in mind that some of the signs may also suggest a mental or physical impairment. Be sensitive to these possibilities.

### When dealing with intoxicated patrons:

- Be quiet but firm.
- Do not provoke the customer.
- Remain calm and try to keep the customer calm.
- If subordinate to the Manager-on-Duty, gain opinion of supervisor before approaching the customer. Jointly assess the seriousness of the situation, if possible.
- Expect the unexpected.
- Call law enforcement if deemed necessary
- **As always, exercise your best judgment when making or refusing a sale.**

### Use of Alcoholic Beverages

The consumption of alcoholic beverages on the premises is prohibited.

No employee shall knowingly permit anyone to consume any alcoholic beverages(liquor, beer, wine, ale, etc.) on the premises of an ABC store or warehouse.

### Sales Return Policy

- After the product leaves the store returns and exchanges are not permitted.
- Always be firm but polite with the customers regarding this policy.
- It is the Store Managers' responsibility to ensure signs are posted in their stores to this effect.
- Refer to the policy listed later in this Article regarding entitled "Customer Complaints" if customers are persistent.

### Employee Purchases

- Any employee purchasing liquor must make the purchase through another employee and the merchandise is to be taken immediately from the store and locked in the employee's vehicle.
- No alcoholic beverages may be taken from the ABC store except through the front sales area. This rule applies to all sales.
- Employees purchasing merchandise are not to take it out (or to their vehicle) at closing time.

### **Customer Complaints**

Any employee receiving a complaint should report the complaint to the Assistant General Manager or the General Manager and if possible secure the name and the telephone number of the complainant.

### **Rights of Employees and Management**

In the performance of their job, Board employees may be accused of breaking ABC laws or rules by law enforcement (or other third parties). If this occurs, certain rights must be asserted to protect themselves from self-incrimination and embarrassment. This is especially true if employees are approached by members of the media. Employees who allegedly violate ABC laws or rules, should follow the procedures listed below:

- Always cooperate with law enforcement, be respectful and do not attempt to obstruct justice.
- Contact your supervisor immediately.
- Consider contacting legal counsel for advice regarding protection of your rights of self-incrimination. Please be aware that this would be a personal expense (not a Board expense) under most circumstances.
- Listen intently and think carefully about what you say. Things said in the heat of the moment may unintentionally be self-incriminating.
- Be aware that the management of the Orange County ABC Board reserves the right to review surveillance data (if any) prior to turning the information over to law enforcement. ***However, if surveillance data is required in accordance with a search warrant, you must comply.***
- Employees should not speak, or otherwise communicate, with the media until after they have met with management and all of the facts of the matter are known and have been considered.

## Shoplifting Policy

**Customer Service** is the first line of defense against shoplifting.

### Shoplifting Do's and Don'ts

- **Do** Speak to customers when they come in the door. This lets them know you are aware they are in the store.
- **Do** Ensure surveillance cameras are always focused and call contract maintenance if not in acceptable working condition.
- **Do** Arrange products so missing items are easily spotted (for example, keeping the shelves "pulled-up" and items neatly aligned).
- **Do** Keep doors to offices/store rooms closed.
- **Do** Speak to customers who appear to be suspicious. Offer to help them, go down the aisle towards them to assist them if the workload permits, Engage them in conversation because that lets them know that you can describe them.
- **Do not** engage in "profiling" customers by assuming someone is suspicious because of nationality, race, gender, religion, etc.
- **Do not** attempt to physically apprehend or retain a suspect because reactions may be violent. The personal safety of the customers and employees is more important than anything in the store.

### How to handle a shoplifting incident:

**Do not** physically attempt to apprehend or restrain a suspect. It could turn violent.

### Assuming the shoplifter is still in the store:

#### If working alone:

- Do not attempt to confront the suspected shoplifter. Attempt to acquire the vehicle tag number and description (make, model, year, color, etc).
- Check shelving/displays and video recordings to verify suspicions.
- Make a copy of the recording for future use.
- Complete an Incident Report and turn it in to the Assistant General Manager. Include all the details you are able to recall, such as physical description, clothing, mannerisms, speech patterns, etc.

#### If working with another employee:

- Alert the other employee to call law enforcement.
- Approach the customer in a non-threatening way (For example, "Excuse me, did you want to pay for that").
- Wait until the suspect leaves and attempt to acquire the vehicle tag number and description (make, model, year, color, etc).
- Check shelving and video recordings to verify suspicions (if time permits).
- Make a copy of the recording (burn a CD) for future use.
- Complete an Incident Report, including a physical description of suspected shoplifter, and turn it in to the Assistant General Manager. Include all the details you are able to recall, such as physical description, clothing, mannerisms, speech patterns, etc.

**Assuming the shoplifter has left the store:**

- Attempt to acquire the vehicle tag number and description (make, model, color, etc).
- Check shelving and video recordings to verify suspicions.
- Make a copy of the recording (burn a CD) for future use.
- Complete an Incident Report and turn it in to the Assistant General Manager. Include all the details you are able to recall, such as physical description, clothing, mannerisms, speech patterns, etc.

**Prosecution:**

- If it is apparent that a shoplifting incident took place and there is sufficient evidence to prosecute then management should move forward to ensure the shoplifter is prosecuted to the fullest extent of the law.
- The employee on duty (when the shoplifting occurred) is normally not required to attend the court proceedings; however, a Board representative must attend to ensure the judicial system knows the Board is serious about cost reimbursements and punishment of offenders.
- The General Manager and the Assistant General Manager will coordinate who will represent the Board.



## Training

The critical part of selling alcohol beverages is control and point-of-sale personnel are the system's first line of defense when it comes to preventing the sale of alcoholic beverages to minors and intoxicated patrons. It is also important that employees are aware of applicable laws and how they should handle certain emergency situations.

Point-of-sale personnel require mandatory training in the following topics:

- Identification.
- Underage sales.
- Acceptable forms of identification.
- Detecting fake, altered and imposter identification.
- Confiscation of illegal ID cards.
- Intoxicated patrons
- Identifying intoxicated patrons.
- Refusal of intoxicated patrons.
- Dram shop liability.
- Rules and laws of conduct.
- Shoplifting.
- Armed robberies.
- Scanners.
- Smart Safe.

### **Distribution of Related Board Policies:**

Board policies regarding all of the topics listed above will be included in the Policy and Procedure Manual. The Policy and Procedure Manual can be accessed at our website, <https://www.orangeabc.com>.

### **Initial & Subsequent Training:**

#### **Initial Training:**

Initial training is intended to educate new employees on subjects such as identification and intoxicated patrons.

New employees are to be trained through a combination of methods such as:

- In-house training using various types of media such as websites, visual aids, videos, and one-on-one review of applicable policies.
- On-the-job training.

**Subsequent training:**

Intended for employees who have been with the Board less than 90 days and have already had initial training and some experience in the stores.

Subsequent training may be provided by:

- State of NC Alcohol Law Enforcement Agency Personnel.
- NC ABC Commission Personnel.
- Local Alcohol Law Enforcement Personnel.
- In-house training using various types of media such as website, visual aids, videos, and one-on-one review of applicable policies.

**Training Schedule**

- New employees are to be trained in-house on Identification and Intoxicated patrons before being allowed to sell alcohol.
- Subsequent training for new employees is required within 90 days after being hired.
- Refresher training is required at least annually or whenever important developments are made or substantial changes are forthcoming.

**On-going training**

It is the policy of the board to offer ongoing training on alcohol education topics throughout the year for each employee. In addition the following opportunities are available for training at least one time per employee each fiscal year.

- Customer Service
- Time Management
- Communication
- Basic Management
- Intermediate Management
- Advanced Management
- Performance Management
- Harassment

Other classes can be tailored to each individual based on the employee's position and individual needs.

## **Work Week, Pay Period & Scheduling:**

All employees (unless an exception is specifically granted) are subject to the following Conditions of Employment. Only the Board of Directors can make any exceptions.

The “Work Week” starts on Sunday at midnight and ends at midnight on Saturday. Regular full-time employees will normally work forty (40) hours per week in accordance with a work schedule set by the office staff. The General Manager is required to work those hours necessary to assure satisfactory performance of their duties, as determined by the Board but not less than 40 hours per week. Store hours for the public are 9:00 AM. - 9:00 PM. Monday through Saturday. Office hours are 8 AM. - 4:00 PM. Monday through Friday.

- When business activities require some other schedule to meet work needs, the General Manager (or his representative) may authorize a deviation from the normal schedule.
- The normal workday is considered to be eight (8) hours in length. Throughout this manual any reference to a “workday” will mean eight (8) hours.
- Even though a workday is considered 8 hours some shifts can be scheduled up to 13 hours on a regular basis.
- The “Pay Period” is bi-weekly (26 pay periods per year). There is a one week hold-back after the end of the pay period, so payday is every other Friday. If Friday falls on a Board or bank holiday, paychecks will be dated the preceding work day of the week.
- Administrative errors regarding pay should be brought to the attention of the Assistant General Manager and the corrections will be made the following pay period.

## **Work Schedules:**

All employees are expected to be prompt in reporting for duty; and employees should be cooperative at times when it is necessary to adjust hours due to unusual circumstances.

In case of emergency, make person-to-person contact with your immediate supervisor and the Assistant General Manager or other Office Staff. Do not leave a telephone message. This person should be notified as soon as possible (but no later than one hour prior to scheduled starting time) so adequate personnel coverage of the store or other activity can be arranged.

Schedule requests should be put in as far in advance as possible and are not guaranteed.

Schedules are generally posted two weeks in advance and are subject to change after posting due to mitigating circumstances.

## **Time Records:**

### **For the purpose of the policy time clocks can be manual, electronic or data entry**

- In order to obtain necessary payroll information required by federal and state wage and hour laws, employees are required to clock in at their respective job sites. Employees are responsible for verifying their time by the end of the pay period.
- Employees will clock in upon starting work. Any time an employee leaves work for personal reasons (which may only be done with the permission of the General Manager or his designated representative) the employee will clock out on the time clock. Only work related business that takes an employee out of the building, i.e. making bank deposits or going to ABC office on business, may be conducted while the employee is on the clock.
- Employees are responsible for their time and must not allow others to clock in or out for them. Employees are not allowed to clock in more than 15 minutes before their assigned shift schedule. Employees must clock out no later than 30 minutes after the end of their respective shift.
- Any error in recorded time worked must be reported immediately. Mistakes should be found must be initialed by the employee and communicated to the appropriate supervisor.
- Store Managers are responsible for periodically reviewing time worked for irregularities and again at the end of each pay period. The Assistant General Manager will review each employee's time before a payroll check is issued.
- All paychecks are to be direct deposited can be viewed and printed from ABC online service.

## Overtime:

Approval of Overtime: The Office Staff will arrange the work schedules of the employees to accomplish the required work within the standard workday. Employees will be required to work overtime only when necessary. Overtime that is approved will be paid in quarter hour (.25) increments. All unscheduled overtime must be approved in advance by the GM.

Employees “exempt” (salaried employees) under the Fair Labor Standards Act (FLSA) required to work in excess of 40 hours per week receive compensatory time (comp time) off during periods mutually agreed upon in advance with their immediate supervisor as staffing situations permit. Compensatory time is taken on an hour-for-hour basis. Accumulated comp time may be carried over from year-to-year but 40 hours is the maximum time an “exempt” employee may accumulate. Comp time must be used within 90 days after it is earned or it will expire. Normally, comp time may not be “cashed in” or otherwise sold back to the Board; however, if an “exempt” employee terminates with accumulated comp time, the time will be paid at straight-line rates for up to 40 hours.

Employees “non-exempt” (hourly employees) under the Fair Labor Standards Act (FLSA) required to work in excess of 40 hours per week must receive pay equal to one and one-half their normal hourly rate for the time worked in excess of 40 hours. Compensatory time is not an option for “non-exempt” employees. The General Manager, Assistant General Manager , and the Buyer and Warehouse Manager may authorize time-and-a-half rates to non-exempt employees regardless of the number of hours actually worked during the week if situations dictate. The purpose of authorizing overtime rates is an incentive for non-exempt employees to work additional hours on short-notice to fill-in during the unexpected absence of a co-worker (or a similar emergency situation).

Calculating Overtime: Overtime for “non-exempt” (hourly) employees is calculated by multiplying the hourly rate by 1.5 times for all hours in excess 40 **actually** worked in a work week. Although hours for sick, holiday and vacation may be paid during the work week, they are not considered in the overtime calculation.

### Exempt (Salaried) Positions eligible for comp time

- General Manager
- Assistant General Manager
- Finance Officer
- Buyer and Warehouse Manager
- Administrative Manager
- Assistant Buyer and Warehouse Manager

### Non-Exempt (Hourly) Positions eligible for overtime

- Store Manager
- Assistant Manager
- Vacation Relief Manager
- Warehouse Staff
- Part-time Staff

## **Meal Periods/Break Periods**

### **General:**

The federal Fair Labor Standards Act (FLSA) does not require employers to give employees meal or rest periods. However, the FLSA does regulate when employees must be paid for these periods. The basic rule for minimum wage and overtime purposes is that a meal or break period that runs from five (5) to about 20 minutes may not be deducted in computing total work time. Meal or break time may not be deducted if the employee has work duties that “predominately benefit” the employer (such as having to answer the telephone during lunch). Otherwise, employees need not be compensated for time spent during a bona fide meal period or break period, and meal time may be excluded from the hours worked by an employee for federal minimum wage and overtime purposes.

Many times, employees are on duty all throughout their work day (or shift). Supervisors at each facility are responsible for scheduling meal periods to accommodate operating requirements. Based on the above paragraph, retail employees who do not exceed the meal and break period guidelines are to be compensated for meal and break periods. Retail and administrative employees who have the benefit of leaving the building and exceed the five (5) to 20 minute meal and break period must either clock in/out or otherwise exclude this time from the hours worked.

## Cash Management

The Orange County ABC Board has established cash management procedures to provide a consistent method for handling cash throughout the organization. Store Managers are responsible for ensuring that proper cash handling procedures are carried out in stores under their management. It is the responsibility of all employees to make certain that cash handling policies and procedures are followed in a common sense manner.

All cash funds are to be kept secure at all times. Cash and change not already deposited into a SmartSafe or assigned to cash drawers/tills must be kept in the store's backroom safe. The only person permitted to access the store safe is the Manager on duty for the day. The store safe must be kept locked at all times.

The Manager on duty will assign a change drawer/till to all cashiers at the start of their shift. Each till will have a starting balance of \$100. Surplus funds in tills should be deposited into the SmartSafe throughout the course of the business day. Drawer balances are not to exceed \$300 at any given time during a work shift.

## Change Funds

Change funds are used to provide the financial resources necessary to conduct the daily operations of our stores. Total change fund balances are limited to predetermined amounts for each store. The balance of change funds on hand should not deviate from the assigned amount. All daily sales revenues must be deposited into the SmartSafe in a timely manner and are not to be used for additional store change. In the event it is necessary to increase the balance of change funds for a store, the Store Manager should contact the office for authorization.

At the beginning of a work shift, employees must count their till to ensure that the drawer agrees with the beginning balance of \$100. At the end of a shift, each employee must count their drawer back down to its initial starting balance.

All change drawers for each store are subject to audit by the Manager on duty at any given time. Managers are required to note any discrepancies (overages/shortages) on the daily store report.

## Verification

At the end of a work day, the Manager on duty must

- Compile sales from all registers into a single report showing total cash/credit card sales.
- Confirm that the balance of SmartSafe deposits and undeposited funds equals the total amount of cash sales for the day.
- Verify that the balance remaining in each register drawer equals \$100.
- Confirm and record all cash overages/shortages.

Before opening for the business day, the Manager on duty must

- Verify the balance of all cash in the store safe including change funds, change drawers, undeposited funds and manual bank deposits.
- Record balances on the "Change Fund – Daily Cash Count & Verification" form.
- Assign change drawers to employees.

## **SmartSafes**

For safety and security purposes, the Board has installed SmartSafes from the SafeDeposit Company in each of our stores. Deposits should be made into SmartSafes throughout the course of the business day, minimizing the need for Managers on duty to take deposits to the bank. Deposits made into SmartSafes become the property of the SmartDeposit at the time they are deposited. They cannot be accessed or retrieved by any Orange County ABC Board personnel. An armored pickup service will empty the contents of the SmartSafe, pick up any miscellaneous deposits and deliver change orders to the stores once a week.

SmartSafes have the capability to detect counterfeit bills, so larger bills must always be checked before an employee accepts them as legal tender. Additionally, larger bills (\$100s and \$50s) must be deposited into the SmartSafe when they are received and never put in change drawers.

SmartSafes have a limited storage capacity (1,200 bills), so smaller bills (\$10s, \$5s, \$1s) should be deposited only as necessary. Smaller bills may be deposited into the SmartSafe at the close of a work shift, however, at the discretion of the Manager. Managers are responsible for monitoring the capacity levels of all SmartSafes and for overseeing all deposits that are made into them.

Store Managers are responsible for ensuring that employees are fully trained in the use of the SmartSafes. SmartSafes are accessed using an employee's four-digit code. The SmartSafe will track all deposits, noting the amount and time of the deposit and the identity of the employee making the deposit. At the close of a work shift, the Manager on duty should print out a ticket from the SmartSafe summarizing all of the deposits for the day.

## **Change Orders**

Change orders must be placed with the SafeDeposit Company. The Manager on duty must call or email the order in by 12:00 p.m. on Thursday. The Manager on duty will then make a "change" deposit into the SmartSafe equal to the amount of change that was ordered. Change orders will be delivered at the time of the next SmartSafe pickup.

In the event that additional change is needed before the scheduled delivery, a Manager on duty may place an order with a nearby bank. The Manager will document the amount of change being purchased and remove the appropriate amount from the change funds in the backroom safe. The Manager should pick up the change order at the bank and return to the store in a timely manner. All unscheduled bank change orders must be reported to the office before Managers leave the store to retrieve them.

## **Armored Pickup**

The SafeDeposit Company has contracted with an armored carrier service to retrieve the contents of the SmartSafe once a week. The armored service will arrive at a store unannounced early in the week, usually on Tuesday or Wednesday. The armored service driver is permitted to remain in the store for a limited period of time to empty the contents of the SmartSafe, deliver any change orders and pick up any miscellaneous deposits.



## **Overages/Shortages**

All overages/shortages in cash drawers must be reported to the Manager on duty. Employees must never contribute personal funds to make-up for cash shortages. Additionally, any overages in a change drawer (or unsecured funds found in a store) are to be added to the balance of cash received for the day. Cash overages are the property of the Orange County ABC Board.

## **Deposits**

On Monday morning, the Manager on duty will compile a “miscellaneous/manual” deposit of any undeposited SmartSafe funds from the previous business week. The weekly deposit plus all cash deposited into the SmartSafe should equal the store’s total cash deposits for the week. The “miscellaneous” portion of the weekly deposit (small bills) should be deposited into the SmartSafe. The “manual” portion of the deposit (coins) should be keyed into the SmartSafe, then placed into a plastic pickup bag along with a bank deposit slip. The “manual” deposit will be picked up by the armored car service at the time the SmartSafe is emptied.

At the end of the month, the Manager on duty will make a miscellaneous deposit of any remaining undeposited SmartSafe funds. Following any weekly and/or monthly miscellaneous deposits, the balance of undeposited SmartSafe funds held in the store safe must be “zero.”

In the event that circumstances prevent depositing funds into the SmartSafe, the Manager on duty is responsible for preparing a manual bank deposit at the end of the business day. Manual bank deposits are to remain locked in the backroom safe until the Manager on duty takes the deposit to the bank on the following morning. All unscheduled manual bank deposits should be communicated to the office *prior* to the Manager leaving the store premises. No bank deposits are allowed to be made at night.

## **Personal Funds**

Personal funds must remain with employees or be secured in their personal effects (purse, wallet, etc.) at all times. Unsecured funds on store premises are assumed to be the property of the Orange County ABC Board. Personal funds are never to be commingled with Board funds.

## **Gift Cards**

In past years, the Board sold gift cards with prepaid amounts of \$25-\$100 to be used for future purchases at any of our stores in Orange County. Although the sale of gift cards has been discontinued, a number of purchased gift cards remain unused.

Orange County ABC Board gift cards are not credit cards and should be treated as cash payments. Gift cards may only be used for the cash balance remaining on the card. Any employee receiving a gift card for payment must contact the office immediately to confirm the card’s cash balance. The card must be accepted for the full balance remaining on the card. Employees should keep the gift card and remit any change due to the customer in cash. Any change given back for a gift card purchase will be noted as a cash shortage by the Manager on duty.

Gift cards issued by the Orange County ABC Board are not valid in other counties. Likewise, gift cards issued by other ABC Boards are not acceptable forms of payment in Orange County.

## **Business Checks**

Business checks are an acceptable form of payment for LBD customers only. Accepting checks is a courtesy afforded by the Board to our business customers. Check-writing privileges may be rescinded or revised at any time at the discretion of the Board or management. New commercial customers may write checks drawn on a business account after a 60 day introductory period, beginning with their initial order. Cash, certified bank checks and credit cards are the only acceptable forms of payment during the trial period.

### Acceptance

- Business checks for LBD purchases must be written from a U.S. bank.
- Checks may be written for the amount of the purchase only.

### Returned Checks (NSF)

- All liquor sales to an LBD customer will be suspended until the NSF balance is settled.
- Repayment of an NSF check along with a service charge of \$35 should be made immediately upon notification.
- Check-writing privileges will be suspended for 30 days following receipt of an NSF check.
- Suspended LBD customers may continue to make purchases using cash or credit cards.
- Issuing a second NSF check within one year from the first offense will result in check-writing privileges being revoked for a period of six months.
- Writing a third NSF check within a year of the first offense will result in a customer's check-writing privileges being suspended for one full year.
- If issues with NSF checks are deemed excessive or recurring, check-writing privileges may be suspended indefinitely at the discretion of the Board and/or management.

### Check Deposits

- Received checks are to be kept secure at all times.
- Checks are to be scanned and deposited into the Board's bank account in a single batch at the close of each business day.
- Checks may be scanned in multiple batches during the course of a high-volume business day at the discretion of the Manager on duty.

## **Management**

To ensure that cash handling procedures approved by the Board are implemented uniformly in all of our stores, the office management team has been tasked with overseeing all operational and accounting practices related to cash management.

### Administration

The Administrative Manager is responsible for coordinating and reviewing all paperwork submitted by our store locations. The Administrative Manager will audit the daily store paperwork and ensure that cash reconciliations are accurate and complete. The Administrative Manager may discuss any relevant issues pertaining to improper cash handling or store reporting with the Assistant General Manager and/or Finance Officer. More serious issues such as suspected fraud or misuse of Board funds will be reported to the General Manager immediately.

### *Accounting*

The Finance Officer is responsible for managing the Board's financial assets including all cash, change funds, investments and banking accounts. Any material issues regarding cash balances and/or cash handling procedures discovered by the Finance Officer will be conveyed to the General Manager immediately. The Finance Officer may conduct spot-checks of store safes and change funds at any time. Audits of all store safes will be performed at least once per quarter with no prior notice given.

The Finance Officer is also responsible for overseeing the Board's annual audit as mandated by state law. An agent for the independent auditor will verify inventory and change fund balances in our stores on or about July 1 of each year. The amount of cash on hand counted at these stores will be confirmed and verified by the auditor, Store Manager and the Finance Officer.

### *Operations*

The Assistant General Manager is responsible for ensuring that the Board's cash handling policies and procedures are fully implemented in all of our stores. The Assistant General Manager will ensure that all store employees are properly trained in cash handling procedures. The Assistant General Manager may perform compliance spot-checks at any store location at any time.

### *Management*

The General Manager is responsible for the overall operations of the Orange County ABC Board. The General Manager will investigate any reports of material cash discrepancies and/or irregularities in our stores. The General Manager may initiate disciplinary and/or legal actions against any employee found to be in violation of applicable laws and/or Board policies and procedures. The General Manager will apprise the Board of any material cash irregularities immediately. Any relevant issues with cash balances, cash handling or related employee disciplinary actions will be reported to the Board at the next scheduled meeting.

## **Disciplinary Action**

Any employee found to be in violation of the Board's cash handling procedures may be subject to disciplinary action. Any corrective actions taken by the management team will be in accordance with the disciplinary policies and procedures of the Board as outlined in Section 7-2.

Flagrant violations of cash policies, procedures and/or applicable laws may be subject to more stringent repercussions. Any misappropriation or misuse of Orange County ABC Board cash assets or willful violation of Board policies and/or procedures may be grounds for immediate dismissal. Any individual found to be involved in misappropriating Board funds and/or other criminal activities may be prosecuted to the fullest extent of the law.

## **Questions and Concerns**

Matters related to cash handling procedures or business operations should never be discussed in front of customers. However, employee questions or concerns regarding the Board's cash handling policies and procedures may be addressed confidentially to the Manager on duty or to the office management team at any time.

## Change Funds

Each store clerk is assigned a change drawer for his exclusive use while operating a cash register in a store. Each clerk will be responsible for the funds in his change drawer and they should not be used interchangeably.

Shortages or overages while operating a cash register are not desirable. Any shortages or overages must be reported to the Store Manager and recorded on the over/short record. The Store Manager will also note shortages after an explanation from the clerk. Employees are responsible for, and accountable for, any and all cash assigned to them or otherwise under their control. Employees are not required to make up shortages. Likewise, any overage or money found in a store is the property of the ABC system. Continual shortage or overages by a clerk is reason to question an employee's ability to handle money.

Each retail store in the Orange County ABC system is charged with an operating change fund. This amount will be established by the General Manager and will be included in the books and records of the entity.

The change fund for each store is to be allocated as follows:

- \$100 for each employee assigned to work a regular schedule.
- \$100 for a change bag to be used by a relief person assigned to work in that store.
- Required amount placed in cash register drawer for hold up alarm system.
- Remaining balance for store operating change.

The total amount of the change fund in each store is the responsibility of the Store Manager. The NC ABC Commission requires an independent accounting firm to perform an annual audit. During the audit, a member of the accounting firm will normally count the change fund in each store. The member of the accounting firm and the Store Manager will verify the accuracy and sign a cash verification form.

Each employee in the store is responsible for maintaining his allotted change bag at the designated \$100.00 amount. The Store Manager is responsible for maintenance of the safe change fund. This responsibility includes the procurement and maintenance of the proper amount of bills and coins to operate the store on a day to day basis. During periods when the Store Manager is not in the regular work schedule, i.e. vacation or sick leave, the Assistant Store Manager assumes this duty.

Clerks are allowed to purchase from this fund on an as needed basis. All employees' bags, as well as the safe fund, are subject to audit by the store manager at any given time. Managers are required to fill out a verification form when counting deposit, change form or individual bags. If any discrepancies are found, the form must be turned into the office to General Manager or Sales and Operations Manager. Discrepancies (overage/shortage) should be noted on the daily store report the day the discrepancy was discovered. Managers are required to furnish employees individual bags. Managers should also keep a copy if required.

All store monies are subject to internal audits by the General Manager or his representative at any time. Any discrepancies or problems with store change fund are to be reported by the Store Manager to the General Manager (or his representative) immediately.

## **Personal Appearance**

### **Overview:**

Dress, grooming and personal cleanliness standards contribute to the morale of all employees and affect the business image the Board presents to citizens, customers and visitors. Employees are expected to present a clean, neat appearance and to conduct themselves with propriety at all times while at work.

### **Accountability:**

As part of the responsibilities for the day-to-day operations of the system, the General Manager is responsible for ensuring employees are presentable and properly attired. The GM will establish and maintain guidelines for employees to follow. Managers at all levels are responsible for ensuring their subordinates present an acceptable appearance while at work.

### **Personal Dress:**

Each employee is issued ABC Shirts or aprons to wear as part of their daily dress. Dress before the ABC attire is received is business casual. Closed toe shoes must be worn at all times for safety reasons. Special projects involving extra work can be dress down for getting dirty. Jeans and appropriate length shorts and are allowed as part of the daily dress.

### **Piercings/tattoos:**

Any piercings or tattoos that will be visible to the customers need to be appropriate for the community at large.

## **Employee Parking & In Store Music**

### **Employee Parking**

Employees should not park in spaces where customers usually park. These spaces are for the convenience fo the customers. If you are unsure where to park, ask the Store Manager (or appropriate supervisor).

### **In Store Music**

The sound system in the store is intended to create an atmosphere that is conducive to a pleasurable shopping environment. Music in the ABC Stores is to be played primarily for the pleasure of the customer.

- Offensive and/or controversial music is not to be played at any time
- Political talk radio of any kind is prohibited
- Sports talk radio is allowed
- The volume of the music is to be set to a level so that conversations are easily held.

# Orange County ABC Policy and Procedure Manual

## Tobacco Use Policy

The Orange County ABC Board encourages employees to understand the health risks of tobacco use and will assist employees in their efforts to stop using tobacco with support and also through programs offered by the Board sponsored insurance plan.

Tobacco and e-cigarette usage is prohibited inside any store, board owned or board leased property or vehicle or within 15 feet of the front entrance of each property. There will be an area outside of each location designated as a tobacco use area.

The tobacco use area at each location will follow the criteria listed below

- Minimum of 15 feet from the front entrance door of each board property
- A receptacle for cigarettes must be available in the tobacco use area
- The tobacco use area must be in clear view to the main entrance of the store if the employee is working alone.
- In a board property that has more than one employee on staff the tobacco user must be in an area out of customers view.

In a store with one employee no one can use tobacco products when there is a customer on board property.

In a store with more than one employee no one can use tobacco if the store is busy.

No more than 1 minute per hour is allowed to use tobacco.  
Any further time used will involve clocking out for an unpaid break.

The store phone must remain attended at all times.

The main goal of the tobacco use policy is to create a healthy environment for our customers and employees while balancing the needs of the tobacco users and non-tobacco users.

## **Communication Devices & Electronics**

### **Store Telephone Usage**

ABC telephones are intended for business use. There are times when the ABC phones may be used for personal calls. Calls by employees should be held to a minimum and should not interfere with the work schedule or customer service. All long distance calls must be logged in on Telephone Call Log Form 9-11. The Store Manager will review the form for completeness and forward it to the Administrative Manager on a monthly basis. The period of time on the log will coincide with the telephone billing cycle.

The Administrative Manager will be responsible for comparing the telephone bill to the telephone call log, computing the cost of personal usage and billing employees accordingly. Charges owed to the Board must be paid within three (3) workdays after the notification of indebtedness. The Administrative Manager will report unaccounted phones calls to the appropriate manager for resolution. Unresolved calls will be reported to the General Manager within 10 days after the end of each month.

### **E-Mail and Voice Mail**

- The Board's communications systems are the exclusive property of the employer.
- The Board has the right to monitor and restrict e-mail or voice mail messages.
- E-mail and voice mail should be limited to business use with only limited exceptions.
- Offensive messages, such as personal insults, profanity, nudity, sexual or racial slurs and off-color jokes, are prohibited.
- Unauthorized access to employees' electronic files is prohibited
- Inappropriate use of the Board's communications systems may result in disciplinary action up to and including termination.

### **Internet Usage**

- Internet usage should be for business use only except for limited exceptions.
- The Board may use software that monitors Internet use, keeps a log of site accessed, or blocks certain types of Internet access.
- Employees should download only Board related files from the Internet. If a file is questionable, consult the General Manager.

### **Personal Cell Phones and Electronic Equipment**

The board limits the use of personal electronic devices while at work. Employee's personal cell phones are permitted on the job but they should be used sparingly. Their use should not interfere with an employee's duties or responsibilities. This policy covers phone calls, texting and using smartphones as well as any other personal electronics like tablets and laptops. Abuse of this privilege will result in the cell phone or device staying in the back room or in a personal vehicle.

### **Identity Protection**

Social Security Numbers or other personal identifies are not to be shared electronically or in print except as Required by law, as part of documents for an employer sponsored enrollment process or as part of a background investigation.



## Housekeeping

The Orange County ABC Board takes pride and attaches great importance in the appearance of its facilities, grounds and parking areas. Good housekeeping is part of each employee's job, as well as a joint responsibility of all employees.

- Employees are expected to do their fair share in maintaining the facility's grounds and parking area's appearance.
- Shelves should be clean, well-stocked and merchandise placed in an orderly fashion at all times.
- Parking areas are to be checked regularly for any litter, and the same removed. Individual work areas are to be kept neat and clean.
- Store employees should also strive to keep the back rooms and checkout counters clean and neat.
- Personal effects in the stores and other facilities should be kept to a minimum. The Board is not responsible for employee's personal effects left unattended on Board property.
- Bathrooms should be kept clean and functional at all times

## **Environmental Impact**

The Board supports environment awareness by encouraging recycling and waste management in its business practices and procedures. This support includes a commitment to the purchase, use and disposal of products and materials in a manner that will best utilize natural resources and minimize any negative impact on the earth's environment.

Special recycling receptacles have been set-up to promote the separation and collection of the following recyclable materials at the Board's facilities:

- Aluminum
- Newspapers
- Cardboard

The simple act of placing a piece of paper, can or bottle in a recycling container is the first step in reducing demand on the earth's limited resources. Success of this program depends on active participation by all of us. Employees are encouraged to make a commitment to recycle and be a part of this solution.

The Board encourages reducing and, when possible, eliminating the use of disposable products. Source reduction decreases the consumption of valuable products with best practices listed below:

- Post memos for employees
- Two-sided photocopying
- Eliminate fax cover sheets
- Repair leaky faucets
- Reuse paper clips, folders, binders, etc.
- Reuse packaging material
- Turn off lights when not in use.
- Adjust heat/air conditioning when unoccupied
- Use energy efficient bulbs whenever possible
- Use energy management systems where possible
- Purchase energy efficient vehicles when practical

Whenever possible, employees are encouraged to purchase products for the work place that contain recycled or easily recyclable materials. Buying recyclable products supports recycling and increases the market for recyclable materials. By recycling, the Board is helping to solve trash disposal and control problems facing all of us today.

## **Sustainable Building**

Sustainable building practices should be followed in remodeling, renovation and building projects. Energy efficiency should be a top priority in any project including energy management systems, daylighting and greenspace.

## Travel Policy

The Travel Policy adopted by the Orange County ABC Board is the same Travel Policy used by the County to govern the travel for Orange County government employees. Additional clarification is offered below and the continued use of the county policy must be approved each year by a vote of the County Commissioners.

Travel is defined as leaving the normal job location to travel to another site to conduct Board business. In the case of a Board member, the normal job location is the home of the Board member.

Employees should use Board vehicles for official travel whenever possible. Official travel must be pre-approved by the employee's immediate supervisor except in emergency cases.

Travel to meetings inside the county does not qualify for travel reimbursement.

For Board Members: Mileage to and from normal Board meetings is not reimburseable; however, mileage incurred for special projects, retreats, travel to stores, etc will be considered reimburseable. Documentation for mileage reimbursements should be remitted directly to the Secretary to the Board for processing and will need to be approved by the board chairperson.

Mileage Computation: If an employee is required to travel to another location instead of his normal work location, the normal mileage to and from work must be deducted from the travel for the period. For example, an employee is scheduled to attend a meeting in Greensboro and the actual round trip distance recorded was 100 miles. The employee normally travels 30 miles roundtrip to work, the mileage claimed for reimbursement would be for 70 miles; the difference between the normal mileage to and from work and the required travel mileage. If the business travel is less than the normal roundtrip to work, no reimbursement is allowed.

The specific County Job Titles differ in the document from the OCABC Job titles for example the County Manager is equivalent to the General Manager. All travel is to be reimbursed at the time of travel on an ABC Travel & Expense Reimbursement form # 8-6.

The following document is the travel policy for Orange County government and as such the Orange County ABC Board Policy and can not be altered in any fashion except for the clarifications above.

**ORANGE COUNTY  
BOARD OF COMMISSIONERS**

**ACTION AGENDA ITEM ABSTRACT**

**Meeting Date:** June 5, 2012

**Action Agenda  
Item No.**

5-j

**SUBJECT:** Orange County ABC Board Travel Policy

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**DEPARTMENT:** County Manager, Finance and Administrative Services      **PUBLIC HEARING: (Y/N)**

No

**ATTACHMENT(S):**  
County Travel Policy

**INFORMATION CONTACT:**

Frank Clifton, (919) 245-2300  
Clarence Grier, (919) 245-2453

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**PURPOSE:** To approve the Orange County Alcoholic Beverage Control (ABC) Board's adoption and use of the Orange County's travel policy.

**BACKGROUND:** Last year the North Carolina Alcoholic Beverage Control Commission enacted a new policy requirement that each local ABC Board adopt a travel policy. The local ABC Board can adopt the State of North Carolina's travel policy or the travel policy for the County in which the ABC Board resides.

The Orange County ABC Board voted last year and this year to adopt and continue to use Orange County's travel policy. In order to use the County's policy, the BOCC has to approve the Orange County ABC Board's use of the travel policy, and has to approve the use of the travel policy on an annual basis.

**FINANCIAL IMPACT:** There is no financial impact with approving the Orange County ABC Board's use of the County's travel policy.

**RECOMMENDATION(S):** The Manager recommends that the Board approve the Orange County ABC Board's use of the County's travel policy.

**ORANGE COUNTY TRAVEL POLICY**

**1. Purpose**

To establish uniform procedures for authorization of travel by Orange County employees conducting County business and to establish procedures for the reimbursement of the cost of authorized travel.

**2. General**

The County is committed to managing travel costs while providing a reasonable balance between the needs of the County and the needs of the traveler.

The policy of the County is to reimburse the employee/official traveling on authorized Orange County business for all legitimate expenses incurred. The Department Head or his/her designee is responsible for monitoring the initial need for the travel and the availability of funds so that the cost of travel to the County is reasonable and necessary.

All County travel is subject to the availability of funds.

**3. Policy Coverage**

All employees of the County, full or part time, either probationary, permanent, or temporary are covered by this policy, including the County Manager, the County Sheriff, the Register of Deeds, and all others subject to Department Head approval, such as volunteers and advisory board members.

**4. Travel Authorization**

**a. Overnight and Out-of-State Travel**

Prior to making an overnight or out-of-state trip, an employee must obtain written authorization from the appropriate supervisor, as outlined below:

<u>Traveling Employee</u>	<u>Approval Required</u>
County Staff	Department Head
Department Head	Assistant County Manager or County Manager
Assistant County Manager	County Manager

Overnight travel will be authorized only for employees traveling to destinations of at least 60 miles from the employee’s normal place of work. Exceptions may be made on a case-by-case basis when the employee needs to stay beyond the normal work day (Conference or workshop schedule starts before 8:00 or extends beyond 6:00 PM or employee is responsible for organizing conferences, workshops and seminars). Overnight and out-of-state travel must be authorized using the Travel Authorization Form. If a workshop, seminar or conference is being attended, a copy of the agenda must be attached.

**b. Non-overnight Travel**

Non-overnight travel may be authorized orally by the County Manager, Department Head, or Supervisor prior to making the trip. The Travel Authorization Form is not required for this travel.

## 5. Reimbursement after Travel

The traveler may elect to pay all expenses out of personal funds and request reimbursement from the Finance Department within 30 days of completed travel using the Travel and Expense Statement Form. Requests for less than \$10.00 may be deferred and combined with subsequent months' requests. Travel expenses properly documented and submitted to Finance within the prescribed time limit will be reimbursed on the next scheduled pay day. Only expenses directly related to and appropriately classified as travel expenses will be reimbursed. Receipts are required and must be submitted for the following travel expenses:

- ◆ Hotel/Motel charges
- ◆ Common carrier tickets or stubs
- ◆ Parking charges
- ◆ Registration and workshop receipts
- ◆ Rental car receipts
- ◆ Gasoline, motor oil and repair service receipts

## 6. Travel Advances

A traveler may request an advance using the Travel Authorization Advance Form. Advances are authorized for overnight travel only, with the exception of registration fees.

a. A travel advance may include allowances for:

- ◆ Meals
- ◆ Lodging
- ◆ Registration
- ◆ Personal vehicle mileage

b. If a travel advance is requested, the requester shall prepare a Check Request Form for each check requested. After required signatures are obtained, the check request(s) shall be forwarded to the Finance Department no less than five working days prior to the next scheduled accounts payable date.

c. A travel advance must be cleared within 30 working days after returning from travel by completing a Travel and Expense Statement Report (For Travel Advance Receipts). Failure to do so may result in an amount equal to the advance being deducted from the traveler's next pay check.

## 7. Use of County Vehicles

See Department of Public Works Vehicle Use Policy

## 8. Allowable Expenses

### a. Overnight Travel

#### (1) Transportation

**Personal Vehicle** - Transportation shall be by the most direct route. A traveler may elect to use a personal vehicle in lieu of coach class air, though living expenses will be reimbursed only for the period required based on airplane travel time, unless the use of the employee's personal vehicle is for the convenience of the County. Reimbursement for use of a personal vehicle is at the prevailing non-taxable rate per mile allowed by the IRS, or air coach rate, whichever is less. The Financial Services Department shall adjust the

mileage rate when it receives notification of a mileage rate change to be effective at the later of the beginning of the subsequent month or whenever the new rate is effective.

**Air Travel** - It is the traveler's responsibility to acquire the best air travel rate available. When a traveler can show a net savings on a airline ticket by extending travel (i.e. over a Saturday night) it is recommended that the traveler take advantage of this savings. However, the additional hotel room and meal costs should be taken into consideration when computing this net savings.

Requests for reimbursements should be made using the Travel and Expense Statement. All applicable paid receipts should be attached to ensure reimbursement.

**Rental Car** - With prior written authorization from the County Manager, the cost of renting an automobile will be allowed if it is determined that no other mode of transportation is as economical or practical. For reimbursement, a validated paid receipt must be attached to the traveler's Travel and Expense Statement. When renting vehicles, the traveler should not purchase any additional insurance (collision, theft, vandalism, etc.). Any accidents or damages to a rental car, other vehicles, persons or properties, caused by rental vehicle operated by a County traveler is covered under the County's insurance program.

**Other Expenses** - Bus, taxi and subway fares are additional allowable expenses.

**Traffic Violations** - Traffic violations such as, but not limited to, parking and speeding tickets are the responsibility of the traveler and will not be reimbursed.

## (2) Lodging

Lodging expenses will be reimbursed at the actual cost of the room, provided:

- The lodging is reasonably priced in relation to the area.
- The traveler takes advantage of special convention or negotiated rates.

The Finance Department reviews in advance the requested lodging reimbursement rate. Any rate not in accordance with the above provisions requires the County Manager's advance approval.

For reimbursement, the paid bill for lodging must be attached to the traveler's Travel and Expense Statement.

A County traveler sharing a room with a non-county employee will be reimbursed at the single occupancy rate only.

**(3) Meals**

The daily allowance for meals for in-state travel will be in accordance with the meal portion of the second tier of M&IE (meals and incidental expense) rates established under IRS guidelines which are currently the total M&IE rate less \$3 per day . The daily allowance for meals for out of state travel will be paid in accordance with the meal portion of the M&IE rates established under IRS guidelines for the travel destination location. Meals for partial day travel will be reimbursed with the approval of the appropriate supervisor based on the meal breakdown in the per diem schedule. The Financial Services Department shall adjust the per diem rates when it receives notification of a per diem rate change to be effective at the later of the beginning of the subsequent month or whenever the new rate is effective.

**(4) Registration Fees**

Conference, convention or training registration fees may be paid in advance by the County or the traveler. Paid receipts are required for reimbursement when fees are paid by the traveler.

**(5) Parking Fees**

Paid receipts are required for reimbursement of parking fees. Tips to parking attendants will not be reimbursed.

**(6) Telephone Charges**

A personal "safe arrival" three minute telephone call is authorized. Business telephone calls will be reimbursed with sufficient justification using the Travel and Expense Statement.

**(7) Non-reimbursable Items**

- ◆Alcoholic Beverages
- ◆In Room Movies
- ◆Family or Other Traveling Companions' Expenses
- ◆Maid Services
- ◆Red Cap Services (except for those with a handicap or special needs)

**(8) Cancellations**

In the event of canceled travel plans, it is the traveler's responsibility to pursue all available refunds. The County will reimburse non-refundable costs if the cancellation is the result of a County action, an emergency, or any other situation deemed reasonable by the appropriate department head or supervisor. Non-refundable items must be reported to the Financial Services Department.

**b. Non-overnight Travel****(1) Advances**

With the exception of registration fees, travel advances will **not** be made for non-overnight travel.



**(2) Transportation**

County employees are encouraged to use County-owned vehicles instead of personal vehicles when available. When travel is authorized by personal vehicle, reimbursement is allowed at the prevailing non-taxable rate per mile allowed by the Internal Revenue Service.

**(3) Meals**

An employee involved in one day or partial day travel shall be reimbursed for meals only when the destination is located at least 35 miles from the employee's normal place of work or such expenses are incurred as a result of attendance at a formal workshop, conference, or seminar. Meal reimbursements will be made in accordance with the established per diem rates.

**(4) Registration Fees**

Fees may be paid in advance by the County or employee. Paid receipts are required for reimbursement when registration fees are paid by the employee.

**(5) Parking**

A paid receipt is required for reimbursement of this expense.

**9. Responsibilities**

It is the responsibility of the Financial Services Department to manage this policy. Financial Services will review the requests for reimbursements and ensure all provisions of this policy have been followed. Once any travel discrepancies have been reconciled with the appropriate Department Head, Supervisor, or traveler, a Finance Department representative will ensure timely payment of the traveler's expenses.

Revisions and dissemination of this policy are the responsibility of the Financial Services Department.

*Effective July 1, 2009*

## **Safety and Vehicle Operations**

This Board is committed to preventing accidents, which is what safety is all about. The Board makes reasonable efforts to provide safe and healthy working conditions; and the Board is genuinely interested in the health of all employees. Safety is a joint responsibility and requires active participation of both the Board and the employees.

Regardless of how much the Board spends on safety equipment or how many safety rules are published, unless each employee uses the equipment and follows the safety rules, there can be no safety program.

Safety is a condition of employment with the Orange County ABC Board.

### **Appointment, Authority and Responsibilities of the Safety Director:**

The General Manager is appointed the Safety Director and he is authorized to appoint an alternate to handle matters as his representative.

The responsibilities of the Safety Director will include, but will not be limited to, the following:

- Special reports to the Board regarding accidents;
- Investigating, recording and analyzing accidents and injuries, both as to cause and cost, so that effective steps can be taken to reduce them;
- Identifying and reporting existing and potential hazards and devising measures to counter them. Fill Out Safety Form 9-7 to document any issues.

### **Responsibilities of Facility Managers:**

For purposes of this Article, a "Facility Manager" is the Store Manager in a retail store, the LBD Manager in the LBD facility, the Purchasing and Warehouse Manager for the Warehouse and the Accounting and Administrative Manager for the administrative offices.

Because the Safety Director cannot be at every facility, except on a periodic basis, he must act through the Facility Managers to ensure the safety program is in place.

Facility Managers responsibilities are as follows:

- Perform safety inspections of the facility, contents and real estate using the checklist provided on a monthly basis. See Appendix A to this Article for the checklist.
- Show new employees areas that are potential safety hazards.

### **Responsibilities of All Employees:**

- Report all work injuries immediately to your supervisor.
- Get first aid treatment for all minor injuries. Even small scratches may become infected if not treated.
- Report, or resolve, any unsafe act or condition to management immediately.

**Basic Safety Rules:**

- Lift properly, bend knees and use legs. Hold loads close to your body. Get help for heavy loads and use hand trucks/carts.
- No horseplay is allowed.
- Do not place articles with sharp or pointed edges on desks or counters.
- A clean job is a safe job. Each employee of the Board is charged with the responsibility of keeping his/her work area relatively clean and free of safety hazards.
- Avoid repetitive motion injuries by taking periodic breaks and exercising muscles.

**Customer/Visitor Safety:**

- Customers are not allowed in warehouse or storage areas.
- Only certain visitors are permitted in the warehouse/storage areas, refer to NC Administrative Code 2R.1005 for specifics.
- When floors are wet due to the weather (or cleaning) place signs near entrances to notify customers that the floor may be slippery.

**SafetyVehicle Operations:**

Employees are not permitted to drive Board vehicles unless approved by the General Manager. Requirements for approval include, but are not limited to:

- Valid State of North Carolina drivers license;
- No violations for Driving Under the Influence (DUI) or Driving While Impaired (DWI) in the last ten years.
- Drivers should refrain from using cellular telephones when the vehicle is in motion except under emergency situations.
- Employees must always wear seat belts when driving or riding in Board vehicles.

**Vehicle Maintenance:**

The objectives of vehicle maintenance is to:

- Prevent accidents or delays.
- Minimize the number of hours of vehicle down-time for repairs.
- Save money by preventing excessive wear and breakdown of equipment.

The primary driver of a vehicle is responsible for vehicle maintenance.

The primary driver of a vehicle is also responsible for ensuring the vehicle receives proper state vehicle inspections in a timely manner. The maintenance schedule is not to exceed the vehicle manufacturer's specified maintenance periods.

## **Board Credit Cards**

The intent of this policy is to ensure credit cards issued in the name of the Orange County ABC Board are used for official Board purchases only and the policy is clearly understood by the Board's employees.

### **Eligible Personnel:**

- Administrative office management & employee designated by management staff

### **Processing Procedures:**

- Each cardholder is responsible for attaching original documentation to the monthly statement for each purchase. Additional explanations of the charges are also required unless the purpose is clearly evident.
- The cardholder is responsible for determining the proper store number to be used. Any questions should be directed to the Administrative Manager.
- The Administrative Manager will review all credit card statements for complete documentation prior to the Finance Officer authorizing payment of the account.
- The Administrative Manager should not pay any credit card account that has not been approved.
- Unsubstantiated charges will be the responsibility of the cardholder.
- **Personal charges on the ABC credit cards are prohibited.**

## Emergency Closings and State of Emergency

### Emergency Closing Policy

- Our primary objective is to provide spirituous beverages and related services to our eligible customers in a timely manner. It is our intention to be open for business regardless of weather conditions. However, emergencies such as severe weather, fire, power outages, war, terrorism, political unrest or other problems can disrupt Board operations. In extreme cases, these circumstances may require the closing of a store (or stores) or other work facility.
- The General Manager is responsible for determining when a facility requires closing and is also responsible for determining when the facility will resume operations. If the weather becomes so severe that we cannot open or it would be too dangerous for employee travel, then closings will be posted on the Orange County ABC website, <http://www.orangeabc.com>
- Employees must use their own discretion relative to whether or not conditions are safe for commuting to work. Employees not reporting for work when facilities are open, will automatically be charged for vacation.
- Employees in essential operations may be asked to work on a day when operations are officially closed. Under these circumstances, employees who work will receive regular pay (overtime rates may apply in accordance with federal and state laws).

In the event of a power outage, the Manager on Duty should:

- Politely request the customers to leave and lock the doors.
- Put a sign on the door stating why the facility is closed.
- The computer system will stay up only a few minutes. Finalize transactions, back the computers down and turn them off.
- Unplug the UPS (uninterruptible power supply) from the wall socket.
- Call the power company and try to determine how long the power will be out.
- Depending on the response from the power company, a judgment call will be required by the Manager on Duty as to whether to stay at the store and resume operations when the power comes on or to send all the employees home.

## **Suspension of the Sale of Alcoholic Beverages**

### **State of Emergency:**

Under certain conditions, when the Governor of North Carolina finds that a “state of emergency” exists anywhere in this State, (under NC General Statute 18B-110) they may Order the closing of all ABC stores, and Order the cessation of all sales, transportation, manufacture, and bottling of alcoholic beverages.

The Governor’s order shall apply in those portions of the State designated in the order, for the duration of the state of emergency. Any order by the Governor under this section shall be directed to the Chairman of the Commission and to the Secretary of Crime Control and Public Safety”.

Also, if the Board of Orange County Commissioners order that no alcoholic beverages are to be sold in Orange County, the Orange County ABC Board employees must abide by this order until the order is lifted.

It is recognized that the dissemination of these types of orders may be a problem because of the potential loss of communications and power outages during emergency situations. Therefore, if there is ever any doubt as to whether or not the sale of alcoholic beverages has been suspended in Orange County, the Manager on Duty should call the Orange County Sheriff’s Department at 644-3050 or 245-2900.

In the event the Governor or the County Commissioners order the closing of the ABC stores, the employees will be paid in accordance with the policies set forth in this manual under the “Administrative Pay Policy” and “Emergency Closings Policy”.

### **Individual Store Emergency**

If a store is robbed, catches on fire or there is another unforeseen emergency that could cause personal trauma, the board is committed to making sure the employees impacted have the opportunity to successfully transition back to work. Three paid counseling sessions will be made available to the impacted employees as part of that support. The first session is required and 2 additional sessions are available if needed.

## **Section 8: Performance Management**

1. Performance Evaluation Process
2. Open Door Policy
3. Suggestion Program
4. Problem Resolution Procedure
5. Progressive Discipline Policy
6. Separation

# Orange County ABC Policy and Procedure Manual

## **Performance Evaluation Process**

Successful organizations have an evaluation process that rewards performance and challenges all of the employees to be the best they can be. The Orange County ABC Board has defined a process that pays employees for performance and motivates everyone to maintain a high level of consistency.

### **Introductory 90 Day Evaluation**

Upon satisfactory completion of the introductory period, employees will be given a 90 day employee evaluation and then enter the "regular" employment classification. The 90 day evaluation is a one page document that highlights strengths and areas for improvement to get the new employee on the right track. Form 9-19

### **Mid-Year Evaluation**

The Mid-Year evaluation will be given in January if needed and will be a brief check on progress of the goals from the annual review. The Mid-Year review will also target areas of focus before the next annual evaluation. Form 9-20

### **Self-Evaluation**

Part of the annual evaluation process will be a self-evaluation done by the employee and sent to the Assistant General Manager in May. This will involve the employee filling out the same review form that will be used to evaluate the employee.

### **Performance Plan**

A Performance Plan can be issued for any incidents (positive or developmental) throughout the year that provide an opportunity to refocus or recognize an employee on any of the core competencies on the review. Form 9-18

### **Annual Evaluation**

Annual Evaluations will be given in June and will be the vehicle for feedback covering the entire year. Each employee will receive an evaluation from their supervisor and it will be based on input from the self-evaluation as well as peers and supervisors. Forms 9-21 to 9-26.



# Orange County ABC Policy and Procedure Manual

Evaluations will be based on the following 5 Ratings in 11 core competencies. The 11 core competencies evaluated for all employees are listed on a chart that follows these pages and are specific to each job description\*.

5 = Consistently Exceeds Expectations

4 = Often Exceeds Expectations

3 = Meets Expectations (Most ratings will fall in this area)

2 = Needs Improvement

1 = Unsatisfactory performance

## **Graduated performance raises based on average score**

Below 2.75 = 0

2.75-2.99 = 1%

3.0-3.24 = 2%

3.25-3.59 = 3%

3.6-3.94 = 4%

3.95 & Above = 5%

Any employee who has received an adverse employee action throughout the course of the year should have that accurately reflected in the final review score but if that is not the case then it will be considered whether a raise is possible on a case by case basis.

All new salary increases for the performance evaluation process will take effect on the first full pay period in July.

The General Manager will have final approval on all increases and the board will have final approval on any increases for the General Manager.

## Evaluation Core Competency Chart

	Part-Time	Vac Relief	ASM	SM	Asst Buyer	Admin	Buyer	Finance	Asst GM
Customer Service	x	x	x	x	x	x	x	x	x
Communication	x	x	x	x	x	x	x	x	x
Reliability/Dependability	x	x	x	x	x	x	x	x	x
Productivity	x	x	x	x	x	x	x	x	x
Problem Solving	x	x	x	x	x	x	x	x	x
Job/Product Knowledge	x	x	x	x	x	x	x	x	x
Compliance	x	x	x	x	x	x	x	x	x
Interpersonal Skills	x	x	x	x	x	x	x	x	x
Initiative	x	x	x	x					
Adaptability	x	x							
Judgement/Decision Making			x	x	x	x	x	x	x
Leadership			x	x					x
Teamwork	x	x			x	x	x	x	x
Time Management					x	x	x	x	x
Professionalism									x
Board Goals									

8-1.1

All Employees are rated on 11 Core Competencies listed above and are specific to each job description\*

The Assistant GM is rated on 13 and GM on all 17

## Overall Performance Evaluation Rating Scale Definitions

### **5=Consistently Exceeds Expectations**

This category is reserved for the best of the best who consistently work at the highest level in everything they do and are an example for others to follow.

### **4=Exceeds Expectations**

This category is about going over and above the expectations of the position. Work is performed at a high level that is sustained throughout the year. The employee in this category expands the scope of tasks performed and accomplishes difficult assignments with little supervision.

### **3=Meets Expectations**

This category is the example of someone meeting job requirements and exceeding them at times. This area also recognizes that no one is perfect but any lapses in performance are negligible and do not affect overall performance. Most employees are performing at this level and it is the definition of doing a good job.

### **2=Needs Improvement**

This category is exemplified by a lack of consistency in the performance of job duties. Usually one or more standards are not being met and there is a great deal of management follow-up involved in completing tasks.

### **1=Unsatisfactory Performance**

This category exemplifies someone who consistently fails to meet performance standards.

## Performance Evaluation Rating Guide

The following Performance Evaluation Core Competency Guide gives first person examples of the three main rating categories encountered in the evaluation process. Each example puts the rating category into perspective and is written so that examples are easy to use when writing a self-evaluation or in writing an evaluation on someone else. The guide covers seventeen core competencies across all job descriptions. Each individual evaluation focuses on eleven job specific core competencies and all are referenced in the following guide. The guide lists only the most commonly used categories but it will be easy to determine if someone falls outside the common three rating categories of 2, 3 & 4. Please use the following guide to write self-evaluations and evaluations on any direct reports keeping in mind how important it is to be accurate in the interpretation of the ratings from 1 to 5.

# Performance Evaluation Core Competency Examples

## 1. Customer Service

### Exceeds Expectations

I do everything necessary to retain customers. Without customers I wouldn't have a job. Excellent customer service is crucial for the success of our team and our Board. My customer service is stellar and I have very satisfied customers. I want our customers to love our Board and through this dedication to the customer, increase our revenue. I listen to customers, understand how to deal with difficult ones, and aim to have a satisfied customer with each experience.

### Meets Expectations

I have a very good approach to handling customers and believe this has resulted in an excellent image for the Board. I will continue to work on improving the customer experience. I am good at handling customer interactions – and very good at handling difficult customers. I understand how to listen to and calm down customers in stressful situations. I believe I am good at handling customer situations and resolving problems.

### Needs Improvement

There are times when I have struggled with difficult customers. I do not always know how to handle the situation and do not enjoy upset customers. These situations are out of my comfort zone and I struggle to find a resolution. A focus this year is to rebuild and improve my customer service ability.

## 2. Communication

### Exceeds Expectations

I stand out among my peers. I excel as a Board spokesperson, conducting myself with dignity and openness in every business venture. I am often sought after for feedback on a project. I work to create a welcoming and inclusive work environment, always making others feel welcome to visit my office for a discussion. I remain composed under stress, and have a calming influence on those around me. I foster open information sharing and enhance the productivity of my team.

### Meets Expectations

I believe I communicate well. I am always making others feel welcome and act as a calming influence when an upsetting situation arises. I believe I am a satisfactory communicator, always explaining ideas in a clear and precise manner. I demonstrate an evolved sense of humor and candor during business dealings, always keeping open lines of communication.

### Needs Improvement

I find that I am an inconsistent communicator. At times, I believe I am insightful, while at other times I struggle to explain concepts. I need to work more on being consistently prepared in order to better communicate my ideas. I need to improve my communication by fostering open lines with my coworkers and be more welcoming with my interactions. I have a strong personality which has a tendency to alienate some around me and I will work to improve this.

### **3. Reliability and Dependability**

#### **Exceeds Expectations**

When something has to get done, I am someone who will get it finished and delivered. I am committed to success in this organization! I find a way to get the job done, despite any obstacles in the way. I get to work early to be prepared to start a productive and efficient work day. I've had perfect attendance this past year.

#### **Meets Expectations**

I believe I have demonstrated that I am one of the hardest workers and I care about my job and I am very consistent with my work. I have satisfactory attendance. I believe I have been on-time to work and work my full schedule most work days. I have a nearly perfect record of attendance and am on-time, ready to work, each day.

#### **Needs Improvement**

There have been times this year when I have struggled to complete tasks on time. Due to personal needs, I have not been able to work extra hours as sometimes needed.

At times, I have a bad habit of arriving late to work. I understand how this affects my team and am working on a plan to improve my attendance. Though my attendance is good, I know some of my breaks have run a little long this year.

### **4. Productivity**

#### **Exceeds Expectations**

I am focused on working smart this year. We are expected to do more with less and I believe I have been innovative in how I approach work and this has resulted in great performance for the year. I will continue to work to discover ways to be more efficient in my job. Getting the job done is very important to me, and I believe, one of my greatest strengths.

#### **Meets Expectations**

I complete my tasks in a timely and efficient manner. I know I am a hard worker and I have been working on becoming a "smarter" worker. This next year, I will continue to learn in my new position and become more productive. One area that I believe I do very well in is working hard to make sure the job gets done right the first time. I have demonstrated I am an industrious worker with high output and high quality work.

#### **Needs Improvement**

I understand I must improve my own productivity and create a work environment where my team can be more productive as well. There is a perception that my work quality has decreased recently and I will continue to work to improve that. I will work to become re-engaged with assignments and balance the work I need to perform. I will continue to seek feedback and incorporate that into my daily work habits to improve in this area.

## **5. Problem Solving**

### **Exceeds Expectations**

I always analyze a decision effectively before implementing it. My analytical approach to problems has resulted in an excellent closure rate on problems. My ability to quickly assess a problem and identify potential solutions is the key to my excellent performance. I have an analytical mind that is quick to discover the root causes for problems. I am able to analyze a situation, describe it succinctly, and discover what a symptom is and what the actual problem is, and then offer creative solutions to resolve the situation. I have the ability to unravel even the most difficult problems to find potential solutions.

### **Meets Expectations**

Though I believe my problem solving skills have been great this year, there are a number of areas of troubleshooting that I know I can improve in. I am working on learning how to more quickly analyze a situation and provide multiple options for solving a problem. I can easily break down a problem into smaller components to analyze the entire issue in an efficient manner. I strive to find all of the probable solutions to issues.

### **Needs Improvement**

I have excelled at identify a problem, but struggle to discover and offer potential solutions. Sometimes I become fixated on the problem and can't see beyond it to help analyze the potential decisions that need to be made. I have struggled to narrow down the root cause of problem, often being distracted by the symptoms. I have a difficult time troubleshooting problems, but once potential solutions are offered, I find it easy to pick the right solution.

## **6. Job/Product Knowledge**

### **Exceeds Expectations**

I stay up-to-date about all the latest trends and advancements in my field, sharing them with my colleagues to ensure maximum productivity. I understand Board processes and how to follow them to precision. I am very knowledgeable with daily tasks and perform them with ease. I recognize organizational inefficiencies and work with management to improve them. I am a subject matter expert in store operations and product knowledge and willingly train others on the same.

### **Meets Expectations**

I show good judgment when handling routine problems. I am proficient at my job and demonstrate this through continued excellence at accomplishing my tasks. My wealth of information relevant to my field and specific responsibilities makes me one of the most valued employees. I understand what is expected of me and perform my job well. I have a sufficient appreciation for the gaps in my expertise and work to improve those. I need some improvement in my overall product knowledge.

### **Needs Improvement**

I want to rely on my own knowledge to complete assignments and struggle to ask for help when it's needed. I need to work on changing my approach, and I need to be more willing to learn from my peers. While I make consistent promises to put more effort into my work, my actions haven't lived up to these promises. I believe that with more effort, my work can be much improved, even exceptional. I depend too much on the instruction of my superiors, and need improvements to work alone more efficiently. I need to learn a great deal more about the products we sell.

## **7. Compliance**

### **Exceeds Expectations**

I always try to adhere perfectly to our processes and procedures. I consistently keep myself up to date with Board policies as well as state laws and ensure they are followed to the letter. I believe I have an excellent understanding of what the Board expects and the policies and procedures that must be followed. I pause long enough to consider how decisions would affect the Board and then act accordingly.

### **Meets Expectations**

I understand Board processes and regulations and work hard to meet them. I support the Board's vision and mission and work hard to achieve it. I understand and follow all rules and regulations set by our Board and the State. We are in a well regulated industry and I make sure that I follow all of the rules, regulations, and policies to the letter. I understand how to comply with everything the company has asked of me and I believe I have done a good job with this.

### **Needs Improvement**

There have been some of the policies where I have struggled to adopt and practice them. Many of these have seemed outdated, but I understand the Board wants me to follow them to the letter despite the deficiencies. I am working on documenting these deficiencies so these policies can be revised and improved.

## **8. Interpersonal Skills**

### **Exceeds Expectations**

I have a natural rapport with people and am at ease in business situations. I relate very well to people and make them feel valued. I try to make people feel important and know I appreciate them. I am a positive influence to those around me and I build confidence in them to achieve more. I believe I connect well with coworkers and management. I understand relationship dynamics and how to build high quality relationships with my coworkers, direct reports, and managers.

### **Meets Expectations**

I am a nice and affable person who works well with others. I am gracious and responsive most of the time and am open and honest with feedback. I like to think I am an amiable and charming person who understands how to relate well with those around me. I find it easy to discover things I have in common with people and build a professional and productive working relationship.

### **Needs Improvement**

I have struggled building quality relationships with my coworkers. I understand I have not responded well to attempts to be included and instead I have alienated many of those around me. There is an impression that I can be very difficult to work with and on a number of occasions, my outbursts have disrupted work. I will work to improve building professional relationships with coworkers.

## **9. Initiative**

### **Exceeds Expectations**

When I see an opportunity for improvement, I take it. I enjoy finding new ways of increasing efficiency and productivity. I believe I am very resourceful when it comes to taking on new work and I always find a way to get it done. I like to step out of my comfort zone and accomplish new things by taking initiative.

### **Meets Expectations**

I understand what work needs to be accomplished and I know how to get the work completed. When I see work that must be done, my natural inclination is to get it done. When I see something needing to be fixed or done, I immediately seize upon it as an opportunity to accomplish something, or learn something new. I work to expand my knowledge and job skills and also to get things accomplished

### **Needs Improvement**

At times I feel I am overwhelmed with work and find it difficult to take on new assignments. I do not always take the initiative to ask for more work when there is downtime. When new tasks need to be done, I am usually asked to do them. I don't ask for more work assignments or for additional work. If someone needs something done, I expect that they will ask me for help.

## **10. Adaptability**

### **Exceeds Expectations**

Though many people find change difficult to handle, I understand how to handle it with ease. We have a very fast paced environment and I understand how to navigate the changes and provide high quality work, despite not knowing what may be coming at me next. The past year has seen a number of changes and I have handled the changes well and supported other employees who were troubled by them. I face challenges head on and with a motivated spirit.

### **Meets Expectations**

I frequently adjust my work schedule to meet the needs of the team. I am very willing to make the necessary changes to help the team succeed. I believe I am a versatile employee who does what is necessary to keep the board moving forward. I consistently maintain composure during times of stress, and show that I can adapt to new challenges. I face challenges head on with composure by identifying efficient solutions.

### **Needs Improvement**

Occasionally, I become frustrated when faced with sudden, unexpected changes. At these times, I know I lose focus of the end goal. I do well adapting to small changes at work, but struggle when we have larger issues that affect the whole organization. Some changes are just too large for me to adapt to quickly. There are times when I struggle with new work assignments and training and while I understand how important these are to the Board, I need some latitude to achieve these in my own timeframe.



## **11. Judgment/Decision Making**

### **Exceeds Expectations**

I believe I have excellent decision making skills. When presented with a difficult situation, I can easily review all of the options and make an educated decision. These decisions are based on experience and expertise in the industry. I am judicial with how I respond to questions and situations. I understand words have an impact and ensure that I choose the right ones before making a decision or giving direction to my staff.

### **Meets Expectations**

I have an even keel personality which works well when it comes to decision making. I weigh all of the options and provide a reasoned response. I am very focused and determined, yet my mind can be changed with the right information. I have used this mix to make quick and effective decisions which have proven to be good ones.

### **Needs Improvement**

I find it difficult to review all of the options and discover the “right” answer to the problem. Sometimes, I find myself indecisive and unable to make the right decision. I am often too quick to make decisions and a few of those have backfired. Though I have struggled making sound decisions, I think that my process to get to a decision is detailed and well grounded. It takes me longer than some to arrive at a decision, though I eventually reach one.

## **12. Leadership**

### **Exceeds Expectations**

I am an excellent coach and I consistently receive maximum performance from the people that work for me. I understand how to use daily tasks to meet short term goals and also how to motivate employees to meet long term goals. I understand different attributes of leadership and how to apply them with different types of employees. I excel in working with people to get the best out of them.

### **Meets Expectations**

I have performed well in leadership, directing a team to meet goals and maintain high levels of productivity. I understand how to influence team members and help lead them to meet expectations. I understand different types of people and the different ways to motivate them to get the job done. I don't just manage my staff to accomplish goals, but I lead them to meet objectives and ultimately, success.

### **Needs Improvement**

I have provided direction, goals, and objectives, but do not find people working towards them. I am an introverted person and have found it difficult to connect with people in a manner you would typically think of for a manager. I have a tendency to focus on small tasks and get lost in the details versus thinking about the big picture and how to achieve large tasks.

## **13. Teamwork**

### **Exceeds Expectations**

I believe I work well with others and put the team first in all things. I am a master at understanding relationship dynamics and how these translate to team-based success. I know how to select the right group of people to work on a project or task, and how to find common ground so we can work towards success. I believe that a high performing team is stronger than the sum of its parts and I excel in both being a team leader and when necessary a strong member of a team.

### **Meets Expectations**

I believe I am a consummate team player and regularly make contributions to the success of the team. I always help out to achieve the goals of the group and am not concerned about who gets the credit, just the task gets accomplished. I work well with others and understand how this can be beneficial to the Board. I understand how to make proper suggestions and critiques to those working around me. I need to learn how to also take suggestions and critiques from my coworkers and managers.

### **Needs Improvement**

I am often focused on the task at hand which others see as a lack of teamwork. I am really good at accomplishing my goals and struggle to interact as part of a team. I would rather do something myself instead of explain to someone else how to do it because I know that I will do it right the first time. I am working on making sure coworkers understand I care about and want success for the team.

## **14. Time Management**

### **Exceeds Expectations**

I am a very efficient worker. I define a schedule each week and keep to it. I find that I am frequently interrupted in this role, but I find a way to keep on track. I am very good at managing my time and accomplishing tasks on time. I have demonstrated that I work well under pressure and can juggle multiple priorities and still deliver ahead of schedule. My strength is developing project plans which utilize available resources in an efficient manner. I am very good at managing my day to day schedule amid a hectic time.

### **Meets Expectations**

I have a focused personality and believe I will accomplish anything I have my mind set to. I understand and use the tools provided to achieve my objectives. I set an efficient schedule and meet it. I am able to adequately schedule my time to accomplish my tasks. I understand at times there have been, on occasion, some scheduling issues, but overall I handled it well.

### **Needs Improvement**

One of my challenges has been my willingness to say 'yes' to too many requests. This has resulted in a number of times where I am overloaded and ineffectual. I will work on being more assertive and only take on work that I can complete in a reasonable time. When I get immersed in work, I have a tendency to lose track of time and not pay attention to things around me. This level of focus can be a good thing to get something accomplished, but when it causes my time to overrun and miss appointments or project deadlines, it can become a problem.

## **15. Professionalism**

### **Exceeds Expectations**

I represent the Board with excellence in key customer situations. I display a great attitude and respect towards coworkers and the customers. I am adept at keeping a calm demeanor in all circumstances. I help others understand how to professionally deal with situations to reduce stress and the potential for problems. My goal for each thing I do is to make sure it represents me, my boss, and the Board with excellence.

### **Meets Expectations**

I have many years of experience in this field and understand how to meet all of the requirements of the job in a skilled and polished manner. I work hard to be professional in every business situation and project a good image for the Board. I project an image of professionalism in each task and project I work on. I have a calm demeanor when working in difficult situations and understand how to diffuse people who are upset.

### **Needs Improvement**

I have worked hard to improve how I work with people and control what I say and do. There have been times where I have acted unprofessionally and my manager has helped me identify those and quickly correct them. The one area I have struggled in for professionalism is my work area. I understand it is not clean or tidy and this is an area I am working on.

## **16. Goals and Objective Setting**

### **Exceeds Expectations**

I always meet predetermined targets and deadlines. When I set a goal, I make sure the goal is accomplished, despite what obstacles may be in the way. I have a driven personality which thrives on goal setting. I understand how to frame my work within objectives and then create proper goals to achieve them. One of the primary drivers behind my success is my focus on a master list of goals. Not only do I work towards Board goals, but I have also defined a number of personal and professional goals. I understand my purpose at the Board and strive to succeed in each task I undertake.

### **Meets Expectations**

I am proficient in setting goals based on objectives. I understand how to break these goals down into steps to achieve them. I believe goal setting is important to getting things accomplished and place the proper emphasis on it with me team. I work on these elements of the goal until the goal is achieved. I know how to set specific goals which are measurable and achievable in the timeframe allotted. I have a number of goals defined for me each year and I work hard to achieve each one.

### **Needs Improvement**

I have struggled to achieve my goals this year. I think the root cause of this has been a lack of focus on the goals and a general atmosphere of "putting out fires" instead of proactively working towards the future. I have not followed a systematic process to achieve my goals. This has resulted in lower results than could otherwise have been achieved. I understand the process is in place for a reason, but have not found the time to implement it for goal setting.

# Orange County ABC Board Policy and Procedure Manual

## **Open Door Policy**

The Orange County ABC Board believes that employees are the organization's most important resource. The Board believes that open communication within an atmosphere of mutual trust is of prime importance to the Board and its employees. Effective communication is always a two way street and the Board values employees' constructive opinions and suggestions. The Orange County ABC Board believes in team effort and an open atmosphere, it encourages an employee to meet and discuss suggestions, problems or concerns with management.

The Orange County ABC Board believes in open and honest communication. If there is a question, problem or suggestion, employees will receive fair and objective consideration without fear of reprisal. This is the right of every employee!

Communication should start with an immediate supervisor/manager. The expectation is that all problems or misunderstandings should be able to be resolved quickly.

If at any time an employee is not satisfied with the response from the supervisor or if it is preferred to talk to someone else, the next step is to contact the Assistant General Manager or General Manager. Notes will be kept of the conversation to provide details of the issue for future reference.

If a more formal procedure is requested or an issue needs to be brought to the boards attention the option is available to use the Problem Resolution Procedure.

# Orange County ABC Policy and Procedure Manual

## **Suggestion Program**

Employees of ABC Board have the opportunity to contribute to the future success and growth of the Board by submitting suggestions for practical work-improvement or cost-saving ideas. In a collaborative workplace the success of the business is dependent on the sharing of ideas across all levels of the organization.

A suggestion is an idea that will benefit the ABC Board by solving a problem, reducing costs, improving operations or procedures, enhancing customer service, eliminating waste or spoilage, improving morale or making the ABC Board a better or safer place to work. Statements of problems without accompanying solutions, or recommendations concerning co-workers and management are not appropriate suggestions.

All employees are eligible to participate in the suggestion program. Office employees are encouraged to submit suggestions that are beyond the normal scope of their assigned duties and areas of responsibility.

All suggestions must be submitted on a suggestion form and should contain a description of the problem or condition to be improved, a detailed explanation of the solution or improvement, and the reasons why it should be implemented. If there are questions or advice needed about any ideas a Manager should be contacted for help.

Suggestions should be submitted to the employee's supervisor who will review the suggestion and then forward it to the General Manager. Each suggestion will be reviewed and carefully considered. Anyone submitting a suggestion will be notified of the pending adoption or the reason why it was not adopted.

Recognition will not be given for minor suggestions that have a limited range of impact. Special recognition will be given to employees who submit a suggestion that is implemented and the degree of recognition will be commensurate with the scope and overall impact of the suggestion.

## **Problem Resolution Procedure**

Employees who wish to choose a more formal procedure to resolve a workplace issue may choose the process below. Employees who select this process should advise the Assistant General Manager of the decision.

The following Problem Resolution Procedure has been developed to assist employees in resolving serious work-related problems. Most workplace issues are resolved through direct and clear communication between the two parties. The first step in any problem resolution should always begin as a discussion with the employee's supervisor, who is the key person in all communications involving work. Choosing the procedure below should be done within a reasonable time after the problem occurs.

Step 1: An employee who is not satisfied after a discussion may present the problem in writing to the supervisor advising that they are initiating the Problem Resolution Procedure. The supervisor will consider the problem and typically will respond within 10 business days, unless he/she believes the circumstances warrant additional investigation.

Step 2: After considering the supervisor's response, should the employee not feel that the problem is satisfactorily resolved, (or if the nature of the problem has precluded a discussion with the supervisor), the employee may refer the problem in writing to the Assistant General Manager; detailing prior attempts to resolve the problem. The employee should make arrangements to meet with the Assistant General Manager. The Assistant General Manager will consider the problem and typically will respond within 10 business days, unless he/she believes the circumstances warrant additional investigation.

Step 3: Employees who deem the Assistant General Manager's response unsatisfactory may refer the matter in writing to the General Manager; detailing prior attempts to resolve the problem. The General Manager will consult with all parties involved, and typically give a decision within 10 business days after concluding the review.

Step 4: Employees who deem the General Manager's response unsatisfactory may refer the matter in writing to the Board. The Board will decide when to meet with the employee, typically at the next scheduled Board meeting. The decision of the Board is final and binds all parties. The Board will give the employee a written record of the decision.

In the case of an employee separation skip directly to step 4 after informing the General Manager of the request to meet with the Board.

# Orange County ABC Policy and Procedure Manual

## Progressive Discipline Policy

The purpose of this policy is to state the ABC Board's position on administering equitable and consistent discipline for unsatisfactory conduct in the workplace. The best disciplinary measure comes from good leadership and fair supervision at all employment levels.

The ABC Board's own best interest lies in ensuring fair treatment of all employees and in making certain that disciplinary actions are prompt, uniform, and impartial. The main purpose of any disciplinary action is to correct the problem, prevent recurrence, and prepare the employee for satisfactory service in the future.

Although employment with the ABC Board is based on mutual consent and both the employee and ABC Board have the right to terminate employment at will, with or without cause or advance notice, the ABC Board may use progressive discipline at its discretion.

By using progressive discipline, the goal is that most employee problems will be corrected at an early stage, benefiting both the employee and ABC Board.

Progressive Disciplinary action may involve any of the following five steps that will be documented in a written form

- Verbal warning - usually for a first or minor offense with written verification
- Written warning - usually for a second or more serious offense
- Suspension
- Demotion
- Termination of employment

The ABC Board recognizes there are certain types of employee issues that are serious enough to justify bypassing steps, or in extreme situations, termination of employment without going through progressive discipline steps. This following should not be considered to be an all-inclusive list as other unforeseen serious occurrences not listed could also be considered for immediate termination.

Examples are; but not limited to:

Fraud while securing employment, working while impaired by drugs or alcohol, Consuming alcohol or drugs while on duty, Insubordination, Conviction of a felony or DUI, Misappropriation of ABC funds or merchandise, Political activities on ABC property, Violation of NC General Statutes while on duty (Including underage sale), Filing a false report, Interfering with an investigation, Harassment of any kind and any absence lasting more than a week without any explanation. (These are also listed on the signed Employee Acknowledgement form)

Each employee involved in a progressive disciplinary action may use the Problem Resolution Procedure as a process for communicating with the next layer of management in a case where the employee feels they have been treated unfairly.

## Separation

All employees of the Orange County ABC Board work at the pleasure of the Board and are terminable-at-will. Any employee may be dismissed with or without cause at any time by the Board. Steps to separate employees from Orange County ABC Board service are to be implemented fairly and objectively.

**Procedure:** All separations of employees from positions of the Board will be designated as one of the following types and will be accomplished in the manner indicated:

- **Resignation:** An employee may resign by notifying the General Manager (or his designated representative) of the effective date as far in advance as possible. A minimum of two weeks is expected of all employees who chose to resign.
- **Retirement:** Whenever an employee meets the conditions set forth under the provisions of the retirement plan adopted by the Board for Orange County ABC Board employees (LGERS), the employee may elect to retire and receive all benefits earned under the retirement plan. An employee may otherwise retire after meeting or exceeding minimum retirement age under social security standards.
- **Disability:** An employee may be separated for disability when the employee cannot perform the required duties because of a physical or mental impairment. Action may be initiated by the employee or the Board, but in all cases it must be supported by medical evidence as certified by a competent physician. The Board may require an examination at its expense and performed by a physician of its choice. Before an employee is separated for disability, a reasonable effort shall be made to locate an alternative position within the Board performing a service for which the employee may be suited.
- **Reduction in Force:** Should it become necessary to reduce the work force, every effort will be made to place employees in another position within the system. However, in the event that a reduction in force becomes necessary, consideration will be given to the quality of each employee's past performance and the needs of the Board, as well as seniority in determining those employees to be retained.
- **Dismissal:** All employees of the Orange County ABC Board work for the pleasure of the Board and are terminable at will. Any employee may be dismissed with or without cause at any time by the Board. When an employee is dismissed he will be provided a written notice of dismissal within three work days. Only the Board of Directors may dismiss full-time employees. The Board of Directors has delegated authority to the General Manager to dismiss part-time employees.
- **Death:** All compensation due in accordance with these policies and procedures will be paid to the estate of the deceased employee. The date of death will be recorded as the separation date and may be used for calculating compensation due.



**Exit Interview:**

Purpose: Exit interviews are made to give management insight as to those reasons for employee turnover. The objective is to improve working conditions and to provide incentives that will evoke employee loyalty and contentment.

Policy: Each employee separating from the Board is requested to participate in an Exit Interview with the General Manager (or his designated representative).

The General Manager will make a determination as to whether the employee is a subject for future rehire and place his/her recommendation as well as the basis for the recommendation in the employee's administrative file.

**Final Paycheck:**

A separating employee will receive a final pay check on the regular payday following the end of the last pay period worked based on the policies in effect on the date of termination.

Included in the final paycheck will be:

- Hours actually worked and overtime due, if applicable;
- Accrued vacation hours
- Holiday that occurred during pay period
- Accrued compensatory hours (salaried only).

**Not** to be included in the final paycheck:

- Earned but unused sick leave hours
- Longevity pay will not be prorated or paid

**Section 9: List of Forms**

1. Employee Acknowledgement Form
2. Code of Ethics and Conduct Form
3. Disclosure Policy
4. Employment Application
5. Travel Expense Report
6. Suggestion Form
7. Safety Checklist
8. Change Funds/ Cash Count
9. Conflict of Interest/ Gift Ban
10. Time-off Request and Approval Form
11. Telephone Call Log
12. Payroll Set-up Change Request
13. Consumer Notification Letter
14. Pre-Adverse Action Letter
15. Adverse Action Letter
16. Applicant Consent for Release of Information
17. Summary of Rights Under Fair Credit Reporting Act
18. Performance Development Plan
19. 90 Day Review
20. Mid-Year Review
21. Part-Time Review
22. Vacation Relief Review
23. Store Management Review
24. Office Management Review
25. Assistant GM Review
26. GM Review
27. Grant Application
28. Grant Funding Budget
29. Grant Final Evaluation
30. Separation Checklist

## Employee Acknowledgement Form

The Orange County ABC Board Handbook and Policy and Procedure Manual describe important information about the Orange County ABC Board. I understand that I should consult management regarding any questions not answered in the manual. I have entered into my employment relationship with the Orange County ABC Board voluntarily and acknowledge that there is no specified length of employment implied. Accordingly, either I or the ABC Board can terminate the relationship at will, with or without cause, at any time, so long as there is no violation of applicable federal or state law.

Because the information, policies, procedures and benefits described are subject to change, I acknowledge that revisions to the manual may occur. All such changes will be communicated through official notices and I understand that revised information may supersede, modify or eliminate existing policies. Only the Board of Directors of the Orange County ABC Board has the ability to adopt any revisions to the policies or procedures in this manual.

I understand that I can be immediately terminated for all of the following reasons but not limited to: Fraud while securing employment, Working under the influence of drugs or alcohol, Consuming alcohol or drugs while on duty, Insubordination, Conviction of a felony or DUI, Misappropriation of ABC funds or merchandise, Political activities on ABC property, Violation of NC General Statutes while on duty (Including underage sale), Filing a false report, Harassment of any kind and any absence lasting more than a week without any explanation.

This list is not all-inclusive and other unforeseen serious occurrences not listed could also be considered for immediate termination.

Furthermore, I acknowledge that this manual is neither a contract of employment nor a legal document. I have received instructions on how to access the manual online at <http://orangeabc.com/protected-employee-area/> and I understand that it is my responsibility to read and comply with the policies contained in these documents.

---

Employee Printed Name

---

Employee Signature

---

Date

**Code of Business Ethics and Conduct**

Each Board member and employee is an integral participant in the Board’s mission; and each participant is expected to exhibit a high degree of professionalism and personal integrity consistent with the pursuit of excellence in the conduct of his/her responsibilities.

The ABC Board and all of its employees hold certain shared values by which our actions are measured and governed. This policy identifies those commonly held values and associated behaviors. Violations of the Code of Business Ethics and Conduct may be cause for disciplinary action up to and including termination of your Board position or employment.

Board members and employees agree:

- That they have an obligation to management, fellow employees, citizens, and customers to conduct all Board business in accordance with the Board’s mission, values and established policies and procedures, as well as federal and States laws and rules..
- To cooperate with and treat fellow Board members and employees with honesty and respect.
- To commit themselves to ethical and professional conduct.
- That they will not violate the privacy or confidentiality of entrusted information.
- To avoid conflicts of interest, be honest, and reject bribery or any inappropriate coercion or reception of gifts based on your position or employment status.
- To strive to achieve highest quality, effectiveness, and integrity.
- To acquire and maintain professional competence.
- To manage personnel and resources responsibly.

Board members and employees should contact the Board Chair, General Manager or immediate supervisor if they have any issues concerning possible non-compliance with this Code of Business Ethics and Conduct.

My signature below acknowledges that I have read and understand the provisions as set forth in the Board’s Code of Business Ethics and Conduct.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

## Disclosure Policy

**Purpose:** The purpose of this policy is to improve the quality and timeliness of disclosing external activities of Board members and employees.

**Scope:** This policy pertains to all Board members and all employees of the Orange County ABC Board.

**Background:** Board members or employees may be invited by a third party to participate in activities, events, presentations and/or consultations. The invitation is extended because of their association with OCABC or because of their function within the organization. In order for the Chair and Board to remain fully informed, it is important for such invitations to be shared prior to the time of the activity.

**Policy:** The Disclosure policy creates an explicit understanding between Board members and employees to report in a timely manner any representation or participation in external activities.

### Procedures:

- Board participation in external activities, invitations, presentations, consultations, should be communicated to the Chair and/or Vice Chair prior to the time of the activity. Requests may be communicated by any practical means. Employee participation in external activities etc. will be communicated to the General Manager and the General Manager will share this information with the Board.
- Board members shall sign the policy within a reasonable time after appointment to the Board. The Board Chair will ensure Board members follow these procedures.
- Employees shall sign the policy within a reasonable time after being hired (whether part-time or full-time). The General Manager will ensure employees follow these procedures.

I have read and understand the above Disclosure Policy.

---

(Signature)

---

(Date)

# APPLICATION FOR EMPLOYMENT

## Orange County ABC Board

601 Valley Forge Rd Hillsborough, NC 27278

919-732-3432 [ocabc@orangeabc.com](mailto:ocabc@orangeabc.com)

An Equal Opportunity Employer

Last Name		First Name		Middle Name		Date	
Street Address		City/State		Zip Code		Applying for Part Time Yes No Date Available	
Have you worked for Orange County ABC in the past Yes No			Are you 21 years of age or older? Yes No			Applying for Full Time Yes No Date Available	
Position Desired:			Wage/Salary Desired:			Last 4 Digits in Social Security #	
Home #		Cell#		Email			
<b>Education</b>							
High School attended:			City & State		Graduated Yes No	If not a Graduate; highest year completed is 9 10 11	
College or technical school:			City & State		Graduated Yes No	Degree	Major:
Graduate School			City & State		Graduated Yes No	Degree	Major:
Are you presently enrolled in school?			If yes, give name & location of school and expected degree date:				
List any job-related skills or accomplishments, including military service:							
<b>Availability</b>							
	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday	Sunday
From:							NA
To:							NA
Total hours per week you are available to work:		Do you have any special requests or needs for a work schedule?					
<b>- Provide Three References Who Are Not Former Employers Who We May Contact -</b>							
Name and Occupation			How do you know them, and for how long?			Phone Number	
Are you related by blood or marriage to any current ABC employee? No Yes If yes Who							
Employment offers are conditional upon completing a Federal I-9 form and also providing documents to verify identity and to provide work authorization. If hired, can you provide evidence of legal eligibility to work in the U.S.? Yes No							
Please detail any convictions for crimes other than minor traffic violations including the offense and approximate date*							

\*The existence of a criminal record will not automatically exclude you from employment consideration



**ORANGE COUNTY ABC BOARD**

TRAVEL REIMBURSEMENT REQUEST AND EXPENSE REPORT \*

**REQUEST / REPORT SECTION**

Name of Requestor:	Title:	
--------------------	--------	--

**Important - attach all applicable receipts and/or invoices to this report**

	Sun	Mon	Tues	Wed	Thurs	Fri	Sat	Totals
Dates Traveled								
Lodging (incl taxes)								\$
Fares, Air, Bus, etc To/From Destination								
Mileage-personal vehicle (per below)								
Meals: Breakfast								
Incl. Lunch								
Tips Dinner								
Flat Rate								
Taxi, Bus, Rental								
Registration Fees								
Conference Exp								
Telephone								
Baggage Handling								
Other Expenses								
Totals								\$

Comments:

**Explanation of personal vehicle expenses:**

Date	From (location)	To (location)	Odometer Readings		Mileage Claimed	\$ Amount
			Begin	End		

**EXPENSE SUMMARY**

Total cost of trip per above	\$ .
Less: expenses prepaid by Board	.
Less: cash advanced	.
Add (Deduct) other adjustments - Explain	.
Balance Due - Board or Requestor (Circle One)	

I hereby certify that the foregoing travel expenses were incurred in the conduct of Board business.

Signature of requestor: \_\_\_\_\_ Date: \_\_\_\_\_

**APPROVAL / REVIEW / PAYMENT SECTION**

Approved by Supervisor: \_\_\_\_\_ Date: \_\_\_\_\_

Reviewed & approved for payment by GM: \_\_\_\_\_ Date: \_\_\_\_\_

\* A completed Travel Reimbursement and Expense Report form should be submitted within 14 work days after returning from travel (OCABC Board Policy & Procedure Manual).



# Employee Suggestion Form

Employee Name (Print) \_\_\_\_\_

**1. What is the current issue that needs to be corrected?**

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**2. What is your suggestion?**

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---

---

---

**3. What are the expected results?**

(Check all boxes that apply, and then describe the advantages and benefits that would result from adopting your suggestion. Include any specific estimates you may have, such as expected savings.)

**I believe my suggestion will:**

- |   |  |  |
|---|--|--|
| <input type="checkbox"/> <b>Improve Service</b>         | <input type="checkbox"/> <b>Reduce Injuries or Illness</b> | <input type="checkbox"/> <b>Save Money</b> |
| <input type="checkbox"/> <b>Increase Revenue</b>        | <input type="checkbox"/> <b>Reduce Labor Costs</b>         | <input type="checkbox"/> <b>Save Space</b> |
| <input type="checkbox"/> <b>Increase Productivity</b>   | <input type="checkbox"/> <b>Reduce Equipment Costs</b>     | <input type="checkbox"/> <b>Save Time</b>  |
| <input type="checkbox"/> <b>Improve Employee Morale</b> | <input type="checkbox"/> <b>Other</b> _____                |  |

Explain the advantages and benefits:

---

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---

Employee's signature \_\_\_\_\_ Date \_\_\_\_\_

Please read the Employee Suggestion Policy before submitting your suggestion.

## Facility Manager Safety Inspection Checklist

Location \_\_\_\_\_

Month/Year \_\_\_\_\_

OK    Issue

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

### Aisles & Walkways

Sufficiently wide for walking and handling product  
Clear of trash, materials etc.

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

### Building Exterior, Parking Lot & Grounds

Holes in pavement or ground that could be hazard  
Any Loose items or defective parts hanging off of the building  
Obstructions or broken surfaces on roads, parking lot or sidewalk  
Appropriate Signs & Markers  
Landscape areas are satisfactory maintained and no debris

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

### Electrical Equipment & Cords

3 prong plugs are used to ground equipment as needed  
All electrical outlet boxes have tight fitting covers  
Wires & Cords do not show any signs of wear

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

### Environmental Controls

All work areas are appropriately illuminated  
No potential exposure to chemical hazards is seen  
Work area is properly ventilated  
Restrooms are clean and sanitary  
Drinking water is clean and safe

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

### Ergonomics

Employees can perform their work without eyestrain or glare  
Employees can perform work without repetitive overhead lifting  
Rest breaks are provided to relieve stress from repetitive motion tasks

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

### Exits

All Exits are marked with an illuminated exit sign  
Exits are sufficiently clear of obstructions to permit quick escape

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

### Fire Protection

Fire Extinguishers are located in accessible locations  
Fire Extinguishers locations are properly marked  
Fire Extinguishers are properly labeled and charged  
Employees are trained on how to use a fire extinguisher

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

### Floors

There are no slip, trip or fall hazards on the floor  
Proper warning signs are posted near any wet areas

OK   Issue

**General Work Environment**

\_\_\_\_\_ \_\_\_\_\_ General conditions are clean and orderly  
\_\_\_\_\_ \_\_\_\_\_ Spilled materials and liquids are cleaned up immediately  
\_\_\_\_\_ \_\_\_\_\_ Emergency lighting is adequate and operational (date tested) \_\_\_\_\_

**Medical services & First Aid**

\_\_\_\_\_ \_\_\_\_\_ Adequately stocked commercial first aid kits are available  
\_\_\_\_\_ \_\_\_\_\_ Emergency telephone numbers are posted for medical services

**Offices**

\_\_\_\_\_ \_\_\_\_\_ Rugs & Carpets are free of holes & tears  
\_\_\_\_\_ \_\_\_\_\_ Electrical cords are not running across the floor in a traffic area  
\_\_\_\_\_ \_\_\_\_\_ Ailes and walkways are free of obstructions  
\_\_\_\_\_ \_\_\_\_\_ Light switches and cover plates are properly secured  
\_\_\_\_\_ \_\_\_\_\_ General Housekeeping is good  
\_\_\_\_\_ \_\_\_\_\_ There is adequate ventilation  
\_\_\_\_\_ \_\_\_\_\_ Chairs are adjustable and provide proper support

**Portable Ladders**

\_\_\_\_\_ \_\_\_\_\_ Safety feet are in good operable condition  
\_\_\_\_\_ \_\_\_\_\_ Rungs are clean and unpainted  
\_\_\_\_\_ \_\_\_\_\_ Ladders are in good operable condition with no broken parts

Note any issues discovered during the course of the inspection here

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

Location \_\_\_\_\_

Date \_\_\_\_\_

I hearby certify that a monthly inspection was performed and any issues are noted above.

Inspector \_\_\_\_\_

Signature \_\_\_\_\_



## Conflict of interest/Gift Policy

The purpose of this policy is to establish a conflict of interest policy, especially as it relates to acceptance of gifts.

**The acceptance of gifts or favors of any value is not allowed under any circumstances.**

No one shall give liquor or anything of value to any board member or employee of the board. Board members and employees of the board shall not accept gifts, either directly or indirectly, from anyone. The acceptance of tangible or intangible gifts is prohibited.

**Examples of tangible gifts** are but not limited to:

Property, tickets, equipment, computer hardware, books, signs, meals, food, beverages etc...

**Examples of intangible gifts** are but not limited to:

Gratuities, favors, discounts, entertainment, hospitality, computer software, loans, etc...

- Board members and employees will not accept any gifts from anyone in the performance of his/her duties.
- Current Board members and employees, and future Board members and employees must certify in writing that they have received copies of and are responsible for complying with the provisions of this policy as required by law by signing Conflict of Interest/Gift Policy form 9-9.
- Board members and employees must also be aware that gifts and things of value cannot be filtered through a third party to skirt the prohibitions of these mandates and this policy.
- Violation of these mandates is a Class 1 misdemeanor. (NS GS 133-32(b). Violation of these mandates or this Board policy will result in disciplinary action up to and including termination of employment and in the case of a board member removal from office.

It is the policy of this ABC Board that all board members and employees shall comply with the Gift Law (G.S. 133-32). Employees and board members are prohibited from accepting gifts or anything of value from any individual with whom the board has a business relationship.

My signature below acknowledges that I have read and understand the provisions as set forth in the Board's Conflict of Interest and Gift Ban Policy

---

Signature

---

Date

**ORANGE COUNTY ABC BOARD  
TIME-OFF REQUEST AND APPROVAL FORM**

*PLEASE PRINT NEATLY*

**REQUEST SECTION**

Instructions to employee - Complete "Request" section of form and give form to appropriate supervisor (per below) for approval and processing.

Group	Approved By:
Group I - Store Managers, Group I Vacation Relief	Assistant GM
Group II - Assistant Store Managers, Group II Vacation Relief	Assistant GM
Group III - All Employees other than Groups I or II listed above	Immediate Supervisor *
<b>Employee's Name:</b>	<b>Group:    I    II    III</b>

Date(s) requested - from \_\_\_\_\_ through \_\_\_\_\_ Total hours requested: \_\_\_\_\_

Reason (check one):

- |   |  |
|---|--|
| <input type="checkbox"/> Vacation                     | <input type="checkbox"/> Bereavement (Funeral)           |
| <input type="checkbox"/> Sick Time                    | <input type="checkbox"/> Jury Duty - attach court notice |
| <input type="checkbox"/> Medical Leave / Family Leave | <input type="checkbox"/> Other - explain: _____          |

Comments: \_\_\_\_\_

Employee's Signature: \_\_\_\_\_ Date of Request: \_\_\_\_\_

**APPROVAL / DISAPPROVAL SECTION**

Instructions to Supervisor - Check applicable box below, sign and date. Make two copies, give employee one copy and retain the other. Send original to Administrative Manager.

- |                                   |   |
|-----------------------------------|---|
| <input type="checkbox"/> Approved | <input type="checkbox"/> Disapproved - state reason below |
|-----------------------------------|---|

Comments: \_\_\_\_\_

Supervisor's Signature: \_\_\_\_\_ Date: \_\_\_\_\_



**ORANGE COUNTY ABC BOARD  
PAYROLL SET-UP, CHANGE REQUEST AND AUTHORIZATION**

Employee's Full Name:	Employee #:
-----------------------	-------------

**SET-UP NEW EMPLOYEE \***

Street Address:			
City:	State:	ZIP:	
Social Security Account Number (attach photo copy):			Birth date:
Drivers License # & State (attach photo copy):			
Home Telephone #:		Emergency Phone #:	
Emergency Contact Person:			Relationship:
Title / Position		Exempt or Non-exempt	
Employee Type: (H = Hourly, S = Salary)			
Pay Frequency: ( B = Bi-weekly-26 pay periods per annum)			
Hire Date:	Results of background check (attach documentation):		
Pay Rate:	Hourly / Monthly:	Annualized:	
PT Hiring approved by GM - Date:		Signature:	
FT Hiring approved by Board at meeting - Date:		Verified:	

**CHANGES FOR CURRENT EMPLOYEE \*\***

Increase Pay From \$	to \$	per hour / month	% Change in pay:
Annualized pay change from \$	to \$		Last Raise Date:
Effective Date of Increase:	Change Title/Position: from to		
Justification for Increase:			
Other Changes:			
Change/Increase Recommended by (Signature):			Date:
Approved by the Board:			Date:

**EMPLOYEE AUTHORIZATIONS**

Change voluntary insurance deduction from \$	to \$	each month.
Name of Payor:		
Change of Address:		
Other Changes:		
Employee Signature & Date (For Changes Requested):		

**TERMINATIONS**

Effective Date:
Reason for termination:
Recommend for re-hire: Yes No Reason:
Supervisor's Signature & Date:

**FOR OFFICE USE ONLY**

General Manager's Approval:	Date:
Remarks:	
Processed by Administrative Manager:	Date:
Remarks:	

\* Attach Job Application, Federal Form W-4, Form NC-4, Form I-9 and any other documentation.  
 \*\* To change number of dependents, marital status or other withholding information, use Federal Form W-4 and/or NC forms.  
 Changes for State Employee's Credit Union and 401k information must be changed directly with the provider.



**Consumer Notification Letter**

Orange County ABC Board Letterhead

(Date)

Applicant Name and Address

Dear \_\_\_\_\_:

This is to inform you that a consumer report or an investigative report will be requested from the Orange County Alcoholic Beverage Control Board’s vendor, a Consumer Reporting Agency (CRA). This report is for the purpose of evaluating your eligibility for employment, promotion, reassignment or retention as an employee.

You have been asked to carefully read and sign an “Authorization for Release of Information” permitting the Board’s vendor to furnish the consumer report to us.

In accordance with the Fair Credit Reporting Act (15 U.S.C. paragraph 1681 et. seq.), you will notified in advance before the Board makes any adverse employment decision which is based in whole or in part on the consumer report.

Sincerely,

(Name)\_\_\_\_\_

(Signature)\_\_\_\_\_

(Title)\_\_\_\_\_

Orange County ABC Board Policy and Procedure Manual

***(Pre-Adverse Action)***

Orange County ABC Board Letterhead

(Date)

Applicant Name & Address

Dear \_\_\_\_\_:

I am writing to inform you that in evaluating your application for employment, promotion, reassignment or retention as an employee, I have received the enclosed consumer report. This notification is provided because an adverse employment decision may be based, in whole or in part, on this report.

The report was prepared by \_\_\_\_\_; authorization was signed by you at the time application. A copy of the authorization and a summary of your rights as a consumer are enclosed. The Board is not responsible for any employment-related determination.

If you have any questions regarding this report or believe that it may contain incorrect information, you may contact this company and they will responds to your inquiry. Their mailing address and telephone numbers are listed below:

Sincerely,

(Name)

(signature)

(Title)

Enclosures: Consumer Report  
Copy of Authorization  
Consumer Rights Authorization

Orange County ABC Board Policy and Procedure Manual

*(Adverse Action)*

Orange County ABC Board Letterhead

(Date)

*Applicant Name & Address*

Dear \_\_\_\_\_:

I am writing to inform you that the Board decided not to offer you employment based upon the information received from a consumer report. The report was prepared by \_\_\_\_\_ pursuant to an authorization signed by you at the time of application. The Board is not responsible for any employment-related determination and is unable to provide the specific reasons regarding the decision.

You may receive a free copy of the consumer report from the consumer reporting agency during the 60 day period described in the Fair Credit Report Act (FRCA) (15 U.S.C. paragraph 1681j). You may also dispute the accuracy or completeness of any information as pursuant to FCRA 15 U.S.C. paragraph 1681 m (a). Their mailing address and telephone numbers are listed below:

Sincerely,

(Name)\_\_\_\_\_

(Signature)\_\_\_\_\_

(Title)\_\_\_\_\_

## ORANGE COUNTY ABC BOARD

### Applicant Authorization and Consent for Release of Information

This release and authorization acknowledges that the Orange County Alcoholic Beverage Control Board (“The ABC Board”) may now, or at any time while I am employed, contact personal references, conduct a verification of my education and licenses/certifications, employment/work history, motor vehicle records, and receive any criminal history record information pertaining to me which may be in the files of any Federal, State or Local criminal justice agency, and to verify any other information deemed necessary to fulfill the job requirements. The results of this verification process will be used to make employment decisions pursuant to the ABC Board’s employment policies. The ABC Board will not request credit reports without proper notification in compliance with the Fair Credit Reporting Act.

I authorize the ABC Board’s current verification vendor and any of its associates, to disclose orally and in writing the results of this verification process to the designated authorized representative of the ABC Board. The ABC Board may, at its discretion, change the vendor and this release will remain in effect.

I have read and understand this release and consent, and I authorize background verification. I authorize all persons, schools, current and former employers and other organizations and Agencies to provide the ABC Board’s employment verification vendor, or its associates with all information that may be released. I hereby release all of the persons and Agencies providing such information from any and all claims and damages connected with the release of any requested information. I agree that any copy of this document is as valid as the original.

I do hereby agree to release and discharge the ABC Board, the employment verification vendor and their associates to the full extent permitted by the laws from any claims, damages, losses, liabilities, costs and expenses or any other charge or complaint filed with any Agency arising from the retrieving and reporting of information. According to the Fair Credit Reporting Act, I am entitled to know if employment was denied based on information obtained by my prospective employers and to receive a disclosure of the public record information and of the nature and scope of the investigative report. I have been given a summary of my rights under the Fair Credit Reporting Act.

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Printed Name (Last, First, Middle Initial)

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Social Security Number

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Date of Birth

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Signature

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Date

## Summary of Your Rights Under the Fair Credit Reporting Act

The federal Fair Credit Reporting Act (FCRA) promotes the accuracy, fairness, and privacy of information in the files of consumer reporting agencies. There are many types of consumer reporting agencies, including credit bureaus and specialty agencies (such as agencies that sell information about check writing histories, medical records, and rental history records). Here is a summary of your major rights under the FCRA. For more information, including information about additional rights, go to [www.ftc.gov/credit](http://www.ftc.gov/credit) or write to: Consumer Response Center, Room 130-A, Federal Trade Commission, 600 Pennsylvania Ave, NW, Washington, DC 20580.

1. **You must be told if information in your file has been used against you.** Anyone who uses a credit report or another type of consumer report to deny your application for credit, insurance, or employment – or to take another adverse action against you – must tell you, and must give the name, address, and telephone number of the agency that provided the information.
2. **You have the right to know what is in your file.** You may request and obtain all information about you in the files of a consumer reporting agency (your “file disclosure”). You will be required to provide proper identification, which may include your Social Security number. In many cases, the disclosure will be free. You are entitled to a free file disclosure if: (a) A person has taken adverse action against you because of the information in your credit report; (b) You are the victim of identity theft and place a fraud alert in your file; (c) Your file contains inaccurate information as a result of fraud; (d) You are on public assistance; (e) You are unemployed but expect to apply for employment within 60 days. (f) In addition, all consumers are entitled to one free disclosure every 12 months upon request from each nationwide credit bureau and from nationwide specialty consumer reporting agencies. See [www.ftc.gov/credit](http://www.ftc.gov/credit) for additional information.
3. **You have the right to ask for a credit score.** Credit scores are numerical summaries of your creditworthiness based on information from credit bureaus. You may request a credit score from consumer reporting agencies that create scores or distribute scores used in residential real property loans, but you may have to pay for it. In some mortgage transactions, you will receive credit score information for free from the mortgage lender.
4. **You have the right to dispute incomplete or inaccurate information.** If you identify information in your file that is incomplete or inaccurate, and report it to the consumer reporting agency, the agency must investigate unless your dispute is frivolous. See [www.ftc.gov/credit](http://www.ftc.gov/credit) for an explanation of dispute procedures.
5. **Consumer reporting agencies must correct or delete inaccurate, incomplete, or unverifiable information.** Inaccurate, incomplete or unverifiable information must be removed or corrected, usually within 30 days. However, a consumer reporting agency may continue to report information it has verified as correct.

# Performance Plan

Area(s) of Focus

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5


Please summarize the area(s) of focus and describe any specifics

Reason for Receiving the Performance Plan

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Specific Areas of Focus

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Actions to be Taken Before Next Review

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Employee Comments

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Manager's Signature

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Employee Signature

\_\_\_\_\_  
Date

# 90 Day Employee Performance Evaluation

	1	2	3	4	5
Customer Service	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Communication	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Reliability & Dependability	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Productivity	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Problem Solving	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Job & Product Knowledge	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Compliance	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Interpersonal Skills	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Initiative	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Adaptability	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Judgement & Decision Making	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Total Overall Score

Score Average

### Review Rating Scale

- 5 = Consistently Exceeds Expectations
- 4 = Exceeds Expectations
- 3 = Meets Expectations (most ratings fall here)
- 2 = Needs Improvement
- 1 = Unsatisfactory Performance

Any rating that is not a 3 needs to have specific comments to justify the rating

### Summary of Strengths

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### Summary of Areas for Improvement

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### Employee Comments

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Employee Signature

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Reviewer Signature

\_\_\_\_\_  
Date





# Part-Time Employee Evaluation Summary

Customer Service  
Communication  
Reliability/Dependability  
Productivity  
Problem Solving

Job/Product Knowledge  
Compliance  
Interpersonal Skills  
Initiative  
Adaptability  
Teamwork

Total Overall Score

Score Average

Summary of Strengths

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Summary of Areas for Improvement

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Goals for Next Year

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Employee Comments

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Employee Signature

Reviewer Signature

Date

# Supervisor Evaluation Summary

Customer Service  
Communication  
Reliability/Dependability  
Productivity  
Problem Solving

Job/Product Knowledge  
Compliance  
Interpersonal Skills  
Initiative  
Adaptability  
Teamwork

Total Overall Score

Score Average

Summary of Strengths

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Summary of Areas for Improvement

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Goals for Next Year

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Employee Comments

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Employee Signature

Reviewer Signature

Date

# Store Management Evaluation Summary

Customer Service  
Communication  
Reliability/Dependability  
Productivity  
Problem Solving

Job/Product Knowledge  
Compliance  
Interpersonal Skills  
Initiative  
Judgement & Decision Making  
Leadership

Total Overall Score

Score Average

Summary of Strengths

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Summary of Areas for Improvement

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Goals for Next Year

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Employee Comments

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Employee Signature

Reviewer Signature

Date

# Office Management Performance Evaluation

Name \_\_\_\_\_ Position \_\_\_\_\_ Review Date \_\_\_\_\_

## Review Rating Scale

5=Consistently Exceeds Expectations 4=Exceeds Expectations 3=Meets Expectations (most ratings)  
2 = Needs Improvement 1 = Unsatisfactory Performance

Any rating that is not a 3 needs to have specific comments to justify the rating

Customer Service

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Rating

Communication

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Rating

Reliability & Dependability

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Rating

Productivity

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Rating

Problem Solving

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Rating

# Office Management Performance Evaluation

Job & Product Knowledge

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Rating

Compliance

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Rating

Interpersonal Skills

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Rating

Judgement & Decision Making

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Rating

Teamwork

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Rating

Time Management

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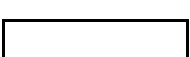
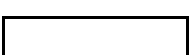
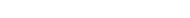
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Rating

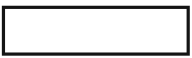


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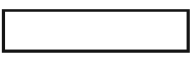




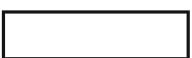
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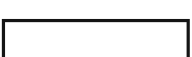
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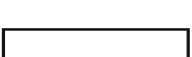
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# Assistant General Manager Performance Evaluation

Name \_\_\_\_\_ Position \_\_\_\_\_ Review Date \_\_\_\_\_

## Review Rating Scale

5=Consistently Exceeds Expectations    4=Exceeds Expectations    3=Meets Expectations

2 = Needs Improvement    1 = Unsatisfactory Performance

Any rating that is not a 3 needs to have specific comments to justify the rating

Customer Service

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Rating

Communication

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Rating

Reliability & Dependability

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Rating

Productivity

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Rating

Problem Solving

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Rating

Job & Product Knowledge

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Rating



Compliance

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Rating

Interpersonal Skills

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Rating

Judgement and Decision Making

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Rating

Leadership

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Rating

Teamwork

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Rating

Time Management

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Rating

Professionalism

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Rating

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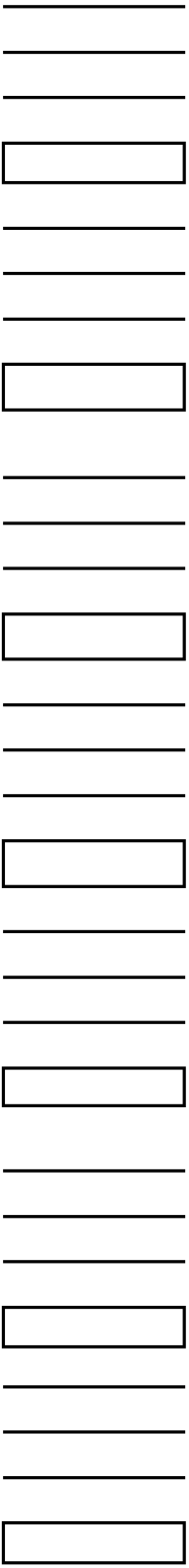
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# General Manager Evaluation Summary

	1		2		3		4		5	
Customer Service			Interpersonal Skills							
Communication			Initiative							
Reliability/Dependability			Adaptability							
Productivity			Judgement & Decision Making							
Problem Solving			Leadership							
Job & Product Knowledge			Teamwork							
Compliance			Time Management							
			Professionalism							
Total Overall Score			Achievement of Board Goals							
Score Average			If this rating is lower than a 3 then no raise is possible							

**Summary of Strengths**

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**Summary of Areas for Improvement**

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**Goals for Next Year**

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**Employee Comments**

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

\_\_\_\_\_  
Reviewer Signature

\_\_\_\_\_  
Date

**ORANGE COUNTY ALCOHOLIC BEVERAGE CONTROL BOARD**  
**Grant Application Guidelines**  
**Grant Application Submission Date is the last day of March in submission year.**

If you have any questions, please contact:

**Board Secretary: Angel Neighbours 919-732-3432 ext.101, admin@orangeabc.com or**  
**General Manager: Tony DuBois (919) 732-3432 ext 102, ocabc@orangeabc.com.**

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**GRANT ELIGIBILITY AND RESTRICTIONS:** Eligibility requirements and restrictions are as follows:

1. Grants will be made only to non-profit, tax-exempt, charitable organizations which are exempt under Section 501 (c) 3 of the Internal Revenue Code; or to governmental entities such as the State of North Carolina and its agencies, municipal corporations and political sub-divisions of the state.
  2. Funding is available for “the treatment of alcoholism or substance abuse, or for research or education on alcohol or substance abuse”, per Chapter 18B-805 (h) of the North Carolina General Statutes. These guidelines will be strictly enforced.
  3. Funding is restricted to programs that provide services primarily to Orange County, North Carolina residents.
  4. Grants will be made for a one-time project or an on-going project.
  5. All grant recipients will be required to adhere to a signed grant contract.
  6. Agencies that do not meet reporting and evaluation guidelines will be excluded from consideration for future funding.
  7. Entities must provide the Board a copy of their most recent audited financial statement done within the last 2 years.
  8. There are no maximum amounts set for Grant requests; however, the total amount to be disbursed will be based on the calculation for net income available for distributions.
  9. Grants payments will be made on a monthly basis to reimburse expenditures or pay invoices from subcontractors for services rendered, instead of a lump sum payment.
  10. All grant money must be spent or encumbered to the awarded project within the period as defined on the grant approval letter.
  11. Evaluation report forms must be submitted at the conclusion of the grant cycle (fiscal year ending June 30 – no later than August 15th). Failure to meet report deadlines will disqualify the organization from future ABC funding.
  12. Applicants will be notified in writing of project funding by letter mailed by July 15.
  13. Any funding limitations imposed by the Board will be noted in the grant approval letter.
- 

**ORGANIZATIONAL INFORMATION**

Organization Name: \_\_\_\_\_  
Address: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_  
Telephone Number: \_\_\_\_\_ Fax Number: \_\_\_\_\_  
Website Address: \_\_\_\_\_  
Contact Person and Title: \_\_\_\_\_  
Telephone Number: \_\_\_\_\_ Fax Number: \_\_\_\_\_  
E-mail address: \_\_\_\_\_  
Name and Title of CEO / Director (if different from contact person) \_\_\_\_\_

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**Brief Statement about Organization History and Mission:**

**PROPOSAL INFORMATION:**

Please circle one:      New project                      On going project

Grant request amount: \$ \_\_\_\_\_                      Total Project Budget: \$ \_\_\_\_\_

**Brief Summary of Project:**

Names of collaborative Partners/Organizations:

Signature of CEO: \_\_\_\_\_ Date: \_\_\_\_\_

**INSTRUCTIONS:** Please use the following outline to complete your proposal; be thorough, but concise in your responses:

**SECTION A: General Document Guidelines**

1. Use 12 point font, single spaced for sections B-E
2. Overall length must not exceed 10 pages, excluding budget
3. Length of application does not include letters of support

**SECTION B: Case for Support**

1. What need/problem specific to the “treatment of alcoholism or substance abuse, or research or alcohol education on alcohol or substance abuse” will this project address?
2. How will the need/problem be addressed through this project?
3. What population is this project designed to serve?
4. How many individuals will be impacted through the use of the grant funds?
5. Why and how is this target population at risk to alcohol or substance abuse?
6. How will the identified target population benefit from this project?
7. What is the strategy to reach this target population?
8. What other organizations will be involved in this project?

### **SECTION C: Project Implementation/Management**

1. Provide a timeline to demonstrate how this project will be implemented. The timeline should include specific steps, key staff and volunteer involvement, as well as collaborative partner involvement in each step.
2. Provide names and qualifications of key staff/volunteers and collaborative partners.

**SECTION D: Evaluation** - What methods will you use to evaluate the project's impact on alcoholism and substance abuse and how will the impact be measured? Answer this question using the following outline:

1. Goals (what changes do you seek to create?).
2. Strategies to achieve goals (What will be done to facilitate changes).
3. Measurements of success (How will you define success?).
4. Measurement tool (What methods will be used to track and measure progress toward goals?).

### **SECTION E: Project Sustainability**

1. If this is an ongoing project, how will the organization support this project in the future if it is to continue?
2. What additional resources are needed to support this project in the future if it is to continue?

**SECTION F: Budget** - It is imperative that you complete the attached budget form and include the narrative requested on the form along with the attached spreadsheet.

### **SECTION G: Required Supporting Documents**

1. Budget for the organization (for the year affected by the grant request).
2. The most recent audited financial statement done within the last 2 years.
3. Copy of the original IRS determination letter indicating 501 (c)(3) tax exempt status and application modifications (1<sup>st</sup> year only).
4. Current Board of Directors (include occupation and/or community affiliations, board duties/responsibilities and compensation, if any).
5. Three letters of support

#### **APPLICATIONS SHOULD BE MAILED TO:**

Angel Neighbours, Board Secretary  
Orange County ABC Board  
601 Valley Forge Road Hillsborough, NC 27278

Applications are to include one (1) original and six (6) copies. Include attachments with the original application only.

Questions? Please contact: Angel Neighbours at 919-732-3432 ext 101,  
or e-mail inquiries to [angel077@mindspring.com](mailto:angel077@mindspring.com)

# Orange County ABC Board Grant Application Funding Form

**Organization:** \_\_\_\_\_

For each budget line item, breakdown the information on a spreadsheet. Also, for each line item provide the total budgeted amount for the line item.

1. **Salaries, Wages, Contractual, and Consultant:** Provide names, titles, services rendered, hours worked per week, amount paid per hour worked, etc.
2. **Printing** (brochures, flyers, handouts, etc): For each different item, provide item name, number of copies, cost per copy.
3. **Supplies** (paper, notebooks, clip boards, pens, pencils, visual aids, etc): Provide a detailed list of supplies to be used (such as item numbers, quantities and cost of each unit).
4. **Postage:** Provide a detailed list of items mailed, quantities, cost each, etc.
5. **Technology** (Software, telecommunications equipment, etc): Provide a detailed list of items to be purchased (name, description, quantities, cost each, etc).
6. **Educational Materials** (videos, books, pamphlets, etc): Provide a detailed list of items to be purchased (name, description, quantities, cost each, etc).
7. **Conferences/Meetings:** Provide the name and sponsor of each conference the organization plans to attend, the number of staff attending, registration fees, etc.
8. **Travel, Lodging, Subsistence and Entertainment:** Provide detailed information such as destination, estimated cost for travel, lodging, food and entertainment, etc.
9. **Client/Patient per Diem:** Provide number of clients/patients for each activity, number of days and cost per day.
10. **Other expenses:**
  - a. Provide separate line items with detailed information to support totals for each line item.
  - b. Provide the total budgeted amount for "Other Expenses".
11. **Total Project Expense** (sum of items above).

Please attach a detailed budget narrative to explain each line item above and how it is linked to the project being submitted for funding.



# Orange County ABC Board Grant Final Evaluation Form

**Important – please read carefully.**

**Evaluation form due dates:**

1. Fiscal year projects (July 1 – June 30), please complete and return the Final Evaluation Form before August 15<sup>th</sup>.
2. For other projects, please complete and return the Final Evaluation Form one month prior to your request for future funding.

**Form completion:** The use of this form is not required; however, we request that you follow the format below.

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

Organization's Name: \_\_\_\_\_

Executive Director: \_\_\_\_\_

Address: \_\_\_\_\_

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_ E-mail: \_\_\_\_\_

Evaluation form contact person: \_\_\_\_\_

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_ E-mail: \_\_\_\_\_

**PROGRAM INFORMATION:**

**Section A – Project Title:** \_\_\_\_\_

**Section B – Project Review:** Refer to the original application and briefly restate the purpose of the grant (goals and objectives) relating to “alcohol and substance abuse”, the process you used to meet the goals and objectives relating to “alcohol and substance abuse”.

**Section C – Specific Project Results:**

Please list each goal; how each goal was measured, and the percentage accomplished satisfactorily for each goal.

Goal A -

➤ Name: \_\_\_\_\_

➤ How measured/benchmarks:

➤ Amount accomplished satisfactorily: \_\_\_\_\_%

Goal B –

- Name: \_\_\_\_\_
- How measured/benchmarks:
- Amount accomplished satisfactorily: \_\_\_\_\_%

Goal C -

- Name: \_\_\_\_\_
- How measured/benchmarks:
- Amount accomplished satisfactorily: \_\_\_\_\_%

1. Explain how you measured the effectiveness of your activities against your goals and objectives. (Please include copies of feedback forms filled out by participants or examples of forms used).
2. Were you satisfied with the outcomes of your endeavors? Why or why not?
3. Please provide examples of supporting materials used in sessions – lesson plans, agendas, etc.
4. Please provide a brief profile of the people served (or target audience) through this ABC grant – (for example, ages, background, etc. specific to “alcohol and substance abuse”, etc.).
5. If possible, provide a “human interest story” that illustrates the success of the project directly addressing “alcohol and substance abuse”. If possible, attach supporting material – news items, letters of support, photographs, etc.
6. What was the project’s most notable success?

**Section D – Specific Implementation:**

1. Did you encounter any challenges, setbacks or delays in meeting your project’s objectives? How were they addressed? Please give specific examples. (e.g. initially the tutors found our curriculum difficult to use. We learned to involve them in future curriculum activities.)
2. Did you collaborate with any other organizations? Please elaborate on the processes and challenges of collaboration with your partners.

3. Did the grant monies result in new collaborative effects?
  
4. Describe any significant organizational and/or staff changes (such as turnover) during the grant period that directly impacted the delivery of services for this project.

**Section E – Project Finances:**

1. Provide a financial statement showing budgeted vs actual revenue and expenses for the funded project. Include a detailed, complete accounting of how ABC funds were used.
  
2. Provide the organization’s Federal Form 990 – “Return of Organization Exempt From Income Tax”, if applicable. If not applicable, please explain why.

**Section F – Lessons Learned:**

1. What has your organization learned from the evaluation and how are you using this information as you continue this or other programs?
  
2. What has changed for the participants/community as a result of your project’s activities?

**Section G – Additional Comments/Information/Suggestions, etc.:**

**Separation Checklist**

ABC of Orange County

Employee Name: \_\_\_\_\_

Date of Separation: \_\_\_\_\_

**Items To Provide To Employee**

- Separation Letter
- Relevant Policies

**Items To Be Returned by employee**

- Keys
- Company Files, Books, Training Materials
- Disclosure of all Passwords/Social Media Info

**Financial Information Discussed**

- Final Pay date \_\_\_\_\_
- Unused Vacation Days \_\_\_\_\_
- COBRA Information mailed
- 401k
- NC State Employee Pension Information
- Wage viewer information

**Employee Contact Info**

Address \_\_\_\_\_

Email address \_\_\_\_\_

Phone \_\_\_\_\_

Alternate Contact Person Name \_\_\_\_\_

Alternate Contact Person Phone/email \_\_\_\_\_

Comments \_\_\_\_\_

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\_\_\_\_\_  
Employee's Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
General Manager's Signature

\_\_\_\_\_  
Date