

**EMPLOYEE HANDBOOK**

**REVISED 09/2018**

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# SECTION I: ALL ABOUT FOCUSED

**WELCOME TO FOCUSED**

**FOCUSED VALUES**

**CLIENT RELATIONS/RIGHTS**

**EMPLOYEE RELATIONS**

**WELCOME**

Welcome to Focused Behavior Solutions, LLC! We are pleased that you are joining us and we know that your contributions will assist us in remaining a leader in this community and in our industry.

You have joined a team of dedicated and enthusiastic people who have chosen to be a part of the health care delivery services in our community. Only by working as a team do we do our best in serving our clients-enjoying the growth of the agency as well as growing in career development.

This Handbook gives Focused some needed structure. As an employee, you will want to know what you can expect from us and what we expect from you. This Handbook will give you some of that information by outlining our current benefits, practices and policies.

Employee Handbooks are not always designed to handle unanticipated or unforeseen circumstances or problems that a changing company may encounter. As Focused continues to grow and as laws change, the need may arise to change or update the Handbook. The policies and procedures described in this Handbook do not create any rights or obligations that differ from or exceed those created by law. Focused reserves the right to modify, change, rescind, supplement, revise, or eliminate terms of the policies, benefits and procedures summarized herein, at any time, with or without notice. If, however, **Focused decides to exercise its right to change the employee Handbook, all employees will be given notice of the change(s) and the effective date of implementation.** Focused retains the discretion to decide whether these policies and procedures apply to a specific situation, and how they should be interpreted.

Everything in this Handbook concerns PEOPLE. Nothing that Focused does or hopes to do can be accomplished without the wholehearted support of our people working within the framework of our policies – carrying out their responsibilities in ways which will assure meeting our mutual objectives.

Please keep this Handbook as a guide and reference throughout your employment here. If you have questions as you read through this Handbook, please do not hesitate to discuss them with your supervisor or director. Your supervisor and director are very important sources of information and will be more than happy to assist you**!**

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**CLIENT RELATIONS/RIGHTS**

We must provide exceptional service and attention to each client and his or her family and let each one knows that we TRULY appreciate their business. Always remember that our clients have many choices in service providers and we should always thank them for choosing us. Clients are to never to be treated as if they are an interruption, no matter how busy you may be. A pleasant manner and helpful attitude are to be extended, whether in person, by telephone, by e-mail or by letter. It is therefore important that the quality of your work be your highest priority, with focus being on accuracy as well as respect for everyone you encounter.

**Client Rights**

Focused will not tolerate any type of point discrimination, abuse, or neglect including: degradation, intimidation, or harassment of clients by employees or of employees by clients verbal, mental, or physical abuse, corporal punishment failure to protect the privacy and confidentiality of client medical information.

**Cultural Sensitivities**

All people, including our clients and families, have values and must be respected. Values of clients and families might include:

* religious or spiritual beliefs
* lifestyle choices
* cultural behaviors
* family interactions
* other belief systems

Clients and families come from all over the world and from diverse backgrounds. They may have belief systems, languages, or accepted health treatments different from those usually accepted in our health culture. At times employees may not personally agree with the client or family about particular beliefs, lifestyles, or other choices, but they must remain nonjudgmental and show respect and value to these unique cultural behaviors and habits. This sensitivity to values and lifestyles has special meaning to the clients and families we serve. However, unlawful activity, signs, and symptoms of potential abuse last neglect of the clients or neglect of the client’s needs by family or caregivers should be reported immediately.

**EMPLOYEE RELATIONS**

Each of our employees is important and we are committed to attracting and retaining quality employees like you. To accomplish this, we are committed to maintaining a competitive wage and benefits program, as well as to making Focused a pleasant and rewarding place for you to work. We sincerely believe that our success is dependent upon a cooperative relationship between the company and our employees.

**\_\_\_\_\_\_ INITIAL**

# SECTION II: COMPLIANCE & RELATED PROCEDURES

**ORGANIZATION**

**COMPLIANCE WITH ALL APPLICABLE LAWS**

**AT-WILL EMPLOYMENT**

**INTRODUCTORY PERIOD**

**PERFORMANCE EVALUATIONS**

**EQUAL EMPLOYMENT, HARASSMENT AND DISCRIMINATION**

**NON-DISCRIMINATION OF INDIVIDUALS WITH DISABILITIES**

**GUIDELINES FOR PROFESSIONAL AND ETHICAL CONDUCT**

**ORGANIZATION**

**Administrative Staff**

Focused Behavior Solutions, LLC administrative staff include the Owner, Clinical Director positions (see appendix E) (described below), Program Supervisors/BCBA’s, and HR/Case Management Staff.

*Owner:* This position is responsible for overseeing all region home and clinic-based services, employees, and collaboration with other providers, funders, and organizations. In conjunction with the admin team this position involves provider enrollment and authorizations, payroll, and billing, interfacing with insurance companies, overseeing the processing of timesheets, entering time into the payroll system, processing new hire paperwork, and sending timesheets to billing, billing insurance for all services (clinical, outreach, training) through insurance and private pay contracts, and determining copays/coinsurance/deductibles and billing families for their portion of the bill, developing and implementing staff trainings and systems, marketing, business growth planning, and liaison. Lastly, ensuring employee wellness, motivation, and ongoing individual support. Additionally, the Clinical Director may take on the responsibilities of a Program Supervisor/BCBA (see description below).

*Clinical Director:* This position is responsible for overseeing self-regional home and clinic based services. In conjunction with other management team members, this position assists with recruiting and hiring for target geographical areas, ensuring that all clientele/families have adequate coverage for services, and ensuring overall quality of services. Provider Enrollment and Authorizations, payroll, and billing is also included. This entails provider enrollment in each third-party payer program, submitting and ensuring current authorizations for services for families, and interfacing with insurance companies, overseeing the processing of timesheets, entering time into the payroll system, processing new hire paperwork, and sending timesheets to billing, billing insurance for all services (clinical, outreach, training) through insurance and private pay contracts, and determining copays/coinsurance/deductibles and billing families for their portion of the bill. Lastly, ensuring employee wellness, motivation, and ongoing individual support. Additionally, the Clinical Director may take on the responsibilities of a Program Supervisor/BCBA (see description below).

*HR*: This position is responsible for client and staff files, evaluations, compliance reports, communications, recruiting and hiring assistance. submitting and ensuring current authorizations for services for families, and interfacing with insurance companies, overseeing the processing of timesheets, entering time into the payroll system, auditing session notes and signatures, processing new hire paperwork, and sending timesheets to billing, and determining copays/coinsurance/deductibles and billing families for their portion of the bill.

**Clinical Staff**

All Clinical staff are the face of Focused Behavior Solutions in the community. As such, they are responsible for fielding any questions directed to them as an employee. If they cannot answer the question, they should let the individual know that they will attempt to determine the answer and get back to them in a prompt manner.

*Program Supervisor/BCBA*: These individuals are responsible for programming, assisting administrative staff with each family, conducting assessments, and monitoring progress. Supervisors are responsible for interfacing with families to assess the family and child needs. They are responsible for conducting team meetings, assessing response to intervention, and ensuring that the child continues to acquire skills. In addition, the supervisor is responsible for assessing the function of problem behavior, developing a behavior intervention plan based on function, and developing a program to teach alternative, socially acceptable replacement behaviors. The supervisor is responsible for team training and for being available to the Behavior Therapists/RBT’s for any child-specific or individual team related questions as well as for interfacing with recruiting staff to introduce new providers to families to ensure a good fit and monitoring behavior therapists/RBT’s.

*Behavior Therapists/RBT’s:* They are responsible for conducting sessions as outlined in the treatment plan, collecting data, and communicating with the rest of the team in a positive manner. BT/RBT’s vary in their roles on the team and come from a variety of backgrounds. The work under the direct supervision of the Program Supervisor and are directed to send any questions about programming/coverage/child needs to their supervisor or director. These individuals are responsible for attending team meetings.

*Senior RBT’s*:

In addition to the Behavior Therapist/RBT position, the Senior RBT must complete and pass the following activities:

* Attendance at an Interventionist Trainer Workshop
* Passes Interventionist Trainer Evaluation.
* Passes follow up Trainer Overlap Form when assessing trainee at 10 and 20 hours.
* Deemed an effective Behavior Interventionist trainer.
* Knowledgeable of all administrative procedures (i.e. vacation requests, license forms, etc.).
* Demonstrates some knowledge of the progression of programs and SD’s for programs.
* Writes detailed clinic notes that encompass all behavioral and programmatic recommendations.
* Continues to receive 5’s and above on all administrative feedback forms and consistently fulfills all senior tutor duties detailed on Senior Monthly Checklist for 4 consecutive weeks prior to end of probationary period.
* Turns in completed Senior Monthly Checklist to Supervisor consistently

All clinical staff, regardless of position or role, are required to successfully complete a general training to ensure that all providers have a basic knowledge and understanding of behavioral principles and an evidence-based approach. Providers may be required to complete additional training requirements consistent with the role that they fill and related to insurance requirements. Following training, all new hires are trained on individual child programming by consultants/supervisors overseeing a client’s care on an ongoing basis.

**COMPLIANCE WITH ALL APPLICABLE LAWS**

Focused will fully comply with all applicable state and federal laws relating to employment, including but not limited to medical, family or military leave; equal opportunity; safety; health; and laws which govern benefits and payroll. If you have any questions about a particular policy or its interpretation, please contact your immediate supervisor or the director/owner. Similarly, we expect our employees to comply with all laws applicable to their jobs and responsibilities. We also expect our employees to comply with Focused policies as a condition of their continued employment.

**AT-WILL EMPLOYMENT**

All employees of Focused are employed on an at-will basis. This means employees have the right to terminate their employment at any time, for any reason, and Focused can also terminate the employment at any time with or without cause and with or without notice. This Handbook does not constitute a contract between Focused and the employee. All policy statements, procedures, manuals or documents as well as statements by an employee or representative shall not in any way modify this at-will status. Some restrictions/exemptions apply based on state.

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**INTRODUCTORY/PROBATIONARY PERIOD**

**(SEE EVALUATION ATTACHMENT)**

For every new employee, the Introductory Period of employment is an important stage for both you and Focused. During this time, you can learn about Focused, your job, and your new surroundings. The Introductory Period is the first thirty (30) days of your employment. Probationary period is the first (90) days of your employment.

During the Introductory Period, your supervisor will review your job performance, attendance, attitude, overall interest in your job, and other factors. Your supervisor will also evaluate your overall performance and make a decision concerning your continued employment. After you complete your Introductory Period, your supervisor will continue to review your overall job performance. Completion of the Introductory Period does not change your at-will employment status.

If for any reason you are absent from work during your Introductory Period, it is required that you submit a doctor’s excuse to your supervisor. If, as a result of an illness or injury, you are absent from work for more than three days during your Introductory Period, Focused may choose to extend your Introductory Period as necessary to give you an opportunity to demonstrate your ability to perform your essential job functions. In addition, if after the first 30-days of employment and based on your performance, your supervisor feels that you need additional training or more time for development to meet performance expectations, the Introductory Period may be extended to accomplish that goal. In either case, the length of the extension will be at your supervisor’s discretion.

This Probationary Period of 30 Days begins when the provider completes training and signs and dates an employment agreement with Focused (herein referred to as “date of hire”). If the provider fails to complete these steps in the training process by the designated times given, their employment with Focused will then be reviewed by their supervisor.

Clinical staff will be reviewed at 30, 60, and 90 days following hire. Supervisor evaluations and integrity checklists will be implemented, and goals will be developed and tracked.

## PERFORMANCE REVIEWS AND EVALUATIONS

To ensure that each employee performs their job to the best of their ability, it is important that they be recognized for good performance and that they receive appropriate suggestions for improvement when necessary. All employees’ performance will be reviewed on the following schedule:

* All new employees will have a review completed that assesses their first 90-days of employment. This review should be written and can be a very brief summary of the employee’s strengths, as well as any suggestions for improvement that may have been observed by the supervisor. This evaluation will be conducted after the employee has been at Focused for approximately 90-days and the review will be made a part of the employee’s personnel file.

* All employees who have been employed for one full year should receive a formal written performance appraisal that will be made a part of their personnel file. This performance review will usually occur on or around the employee’s anniversary date of employment or at a date agreed upon with their supervisor during the last performance review.

All employees should receive a written evaluation of their performance at least once annually, which is generally conducted around the employee’s anniversary date. Some managers or supervisors may choose to evaluate more frequently, which is their prerogative to do so. However, those on-going evaluations may or may not be written. If, however, the manager provides a written evaluation, the employee is requested to sign it and be given a copy. The original must be sent to the Human Resources department, as it will become a part of the employee’s personnel file.

A performance review/evaluation is not a contract or a commitment to provide a salary or other form of compensation adjustment, a promotion, a bonus, or even continued employment. Performance evaluations will be based on your overall performance in relation to your job responsibilities, the quality of your work, and meeting goals established by management. They will also take into account your conduct, demeanor (attitude), appropriate interaction with co-workers, clients and/or clients, and records of attendance and tardiness.

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**EQUAL EMPLOYMENT, HARASSMENT, AND DISCRIMINATION**

Federal, state, and local governments have enacted laws that protect the civil rights of employees and applicants for employment. Many of these laws prohibit discrimination in recruitment, employment, termination, promotions, compensation or any other such employment practice on the basis of a protected class. Focused provides equal employment opportunities to all employees and applicants for employment without regard to race, color, religion, sex, national origin, age, disability, sexual preference, or status as a veteran or a disabled veteran in accordance with applicable federal laws. In addition, Focused complies with all applicable federal, state and local laws governing nondiscrimination in employment in every facility. This policy applies to all terms and conditions of employment, including, but not limited to: recruitment, hiring, promotions, terminations, layoffs, transfers, benefits, compensation, and training. Improper interference in the ability of any Focused employee to perform their expected job duties will not be tolerated.

As used in this policy, the term “sexual harassment” refers to unwelcomed sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature when such conduct has the purpose or effect of unreasonably interfering with an employee’s work performance, or creates an intimidating, hostile or offensive work environment. Such actions are prohibited whenever:

* Submission to such conduct is made either, explicitly or implicitly, a term or condition of employment; or
* Submission to or rejection of such conduct is used as a basis for employment decisions affecting an individual’s employment, promotional advancement, or compensation; or
* Such conduct has the purpose or effect of creating an intimidating, hostile, offensive, or otherwise intolerable working environment; or
* Conduct on the part of one employee subjects another employee to offensive comments, lewd or offensive jokes, innuendos, and other sexually oriented or offensive statements or actions that would create a hostile working environment.

Examples of the types of conduct expressly prohibited by this policy include, but are not limited to, the following:

* Repeated requests for dates or other social encounters.
* Mandating sexual favors in return for promotions, salary increases, etc.
* Sexually suggestive touching or brushing against another’s body.
* Foul, vulgar, or obscene language; or language which includes “slurs” offensive to one’s race or national origin; gender bashing; negative or offensive religious references; or offensive mocking of one’s speaking or language patterns.
* Suggestive or sexually-explicit posters, screensavers, calendars, photographs, graffiti, cartoons, etc.
* Leering, staring, or stalking.
* Questions about one’s sex life.
* Offensive email or voice-mail messages.
* Sexually oriented or explicit remarks, including written or oral references to sexual conduct, gossip regarding one’s sex life, sexual activities, deficiencies, or prowess.
* Conduct that would be deemed as insensitive and/or offensive to another employee due to age, race, color, disability, veteran status, gender, sexual orientation, nationality, religious affiliations, and disabled veterans (in accordance with all federal laws).
* Any other conduct, statements, or behavior deemed inappropriate by Focused management.

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**DISCIPLINARY ACTION** (SEE ATTACHMENT)

In the event that the investigation reveals that sexual harassment, discrimination, or other inappropriate or unprofessional conduct (even if not unlawful) has occurred, further action will be taken, including disciplinary action, such as but not limited to reprimand, change in work assignment, loss of privileges, mandatory training or suspension and/or immediate termination, and such other possible actions described in the Employee Handbook. In addition, if during the process of investigating a complaint, the plaintiff is found to have fabricated, exaggerated, misrepresented or falsified facts of the complaint or circumstances which led to the complaint, disciplinary action can be taken against the plaintiff for filing a false grievance.

**Disciplinary Action Process**

There are three stages of disciplinary action which apply to all Focused employees. These actions are outlined below.

**A. Verbal Warning: First offense**

This warning documents the discussion between you and your supervisor, what issues were discussed and how the issues were resolved. This document is to be signed and dated by both parties and placed in employees file.

**B. Written Warning: Second offense**

This warning documents the breach of company policy and procedures. This warning is to be considered serious and, if not immediately corrected by the employee, could result in termination. This document is to be signed and dated and will be placed in the employee’s permanent file. A development plan will be instated to assist in correcting problem performance. This may include loss of a case.

**C. Termination: Third offense, Final step**

This occurs when all other disciplinary action has failed or falls into the immediate termination causes listed below:

\* Breach of confidence \* Abuse to child

\* Stealing from FBS and/or a client \* Falsifying data

\* Improper/failure to record data \* Insubordination

The termination cause(s) will be documented, signed, dated and placed in employee’s permanent file.

These policies and procedures are in place as much for your benefit as for ours. Having a clear understanding of what is expected of you is a necessary function of performing your job.

**\_\_\_\_\_\_ INITIAL**

**NON-DISCRIMINATION OF INDIVIDUALS WITH DISABILITIES**

The Americans with Disabilities Act (ADA) requires employers to reasonably accommodate qualified individuals with disabilities. Focused will comply with all federal and state laws concerning the employment of persons with disabilities. Focused will not discriminate against qualified individuals with disabilities in regard to application procedures, hiring, advancement, discharge, compensation, training or other terms, conditions and privileges of employment. Focused will reasonably accommodate qualified individuals with a disability so that they can perform the essential functions of a job. An individual who can be reasonably accommodated for a job without undue hardship will be given the same consideration for that position as any other applicant.

All employees are required to comply with safety standards. Applicants who pose a direct threat to the health or safety of other individuals in the workplace—when such threat cannot be eliminated by reasonable accommodations—will not be hired. Current employees who pose a direct threat to the health or safety of the other individuals in the workplace will be placed on appropriate leave until an organizational decision has been made in regard to the employee’s immediate employment situation. The Director is responsible for implementing this policy, including resolution of reasonable accommodation, safety and undue hardship issues.

DISABILITIES AND REASONABLE ACCOMMODATIONS:

As used in this policy, “Disability” means a physical or mental impairment that substantially limits one or more major life activities of the individual; a record of such an impairment; or being regarded as having such an impairment. Major life activities include the following:

* In general—Major life activities include, but are not limited to, caring for oneself, performing manual tasks, seeing, hearing, eating, sleeping, walking, standing, lifting, bending, speaking, breathing, learning, reading, concentrating, thinking, communicating and working.
* Major bodily functions—A major life activity also includes the operation of a major bodily function, including, but not limited to, functions of the immune system, normal cell growth, digestive, bowel, bladder, neurological, brain, respiratory, circulatory, endocrine and reproductive functions.

If an employee needs a reasonable accommodation to be made in effort to perform their essential job functions, they are required to discuss their needs with the Director.

## GUIDELINES FOR APPROPRIATE, PROFESSIONAL CONDUCT

As an integral member of Focused, employees are expected to accept certain responsibilities, adhere to acceptable business principles in matters of personal conduct, and exhibit a high degree of personal integrity at all times. This not only involves sincere respect for the rights and feelings of others, but also demands that both in your business and in your personal life you refrain from any behavior that might be harmful to you, your co-workers, Focused, or that might be viewed unfavorably by current or potential clients, clients, and their families, or by the public at large. It is a goal of Focused is to provide and maintain a pleasant and productive work environment. We believe that professional behavior encourages mutual respect, promotes civil and congenial relationships among employees, and promotes a working environment that is free from all forms of harassment, intimidation and violence. Each employee is expected to follow all rules and policies of conduct that are in place to protect the interests and safety of all employees and the organization.

Unprofessional behavior in the workplace, such as sexually-related conversations, inappropriate touching of another employee (i.e., touching, hugging, massaging and sitting on laps), and any other behavior of a sexual nature is prohibited. Conversations which are racially or ethnically offensive or participation in activities which would imply racial discrimination or discrimination of any nature is not acceptable and will not be tolerated.

Theft or inappropriate removal or possession of property other than what belongs to the employee is illegal and will not be tolerated.

Whether you are on or off duty, your conduct reflects Focused. You are, consequently, encouraged to observe the highest standards of professionalism at all times.

It would be difficult to attempt to include all unacceptable and unprofessional conduct; however, Focused wants to establish some very general guidelines for purposes of clarification of this policy. All employees have the right to conduct their work without disorderly or undue interference from other employees. Therefore, this list is inclusive but not limited to the examples provided:

* Fraudulent activity of any kind.
* Falsifying employment or other Focused records.
* Dishonesty or misrepresentation of facts or circumstances.
* Violating Focused nondiscrimination and/or sexual harassment policy.
* Establishing a pattern of excessive absenteeism or tardiness.
* Soliciting or accepting extravagant gratuities from customers or clients
* Engaging in excessive, unnecessary, or unauthorized use of Focused supplies or property, particularly for personal purposes.
* Habitual tardiness or early departures that disrespect the time and efforts of co-workers.
* Participation in gossip or the spread of rumors, or initiating malicious, false or harmful statements about others.
* Sabotaging or undermining another’s work.
* Failure to compromise or cooperate.
* Reporting to work and/or being on company premises while intoxicated or under the influence of non-prescribed drugs.
* Illegally manufacturing, possessing, using, selling, distributing, or transporting drugs or other illegal substances, while on or off duty, or while operating employer-owned vehicles or equipment.
* Bringing or using alcoholic beverages on Focused property or using alcoholic beverages while engaged in Focused business not on Focused’s premises, except where authorized.
* Fighting or using obscene, abusive, or threatening language or gestures, or in any way threatening violence in the workplace.
* Use of intimidation tactics or making threats.
* Negligence or improper conduct leading to damage of employer, client, or co-worker’s property.
* Purposeful misuse or destruction of company property.
* Stealing property from co-workers, clients, or Focused. Theft of identity or use of personal, confidential information of customers and Focused employees for purposes of theft and/or personal gain.
* Violation or disregard for safety, health, and/or security regulations; activity that would be physically harmful to others (horseplay or practical jokes).
* Engaging in insubordination, belligerent behavior, and unwillingness to follow supervisory directives.
* Violation of personnel policies.
* Sexual, unwelcomed, or unlawful harassment of another employee or stalking a co-worker.
* Failing to maintain the confidentiality of business interests of Focused or the clients and failure to maintain the confidentiality of employee information and/or engaging in conduct and activities that in any way compromises the integrity of the position held.
* Discussion of one’s compensation and employment agreement with another Focused employee.
* Publicly disclosing another’s private information.

## DISRESPECTFUL CONDUCT AND INSUBORDINATION

Regardless of the position we hold at Focused, we all have duties to perform and everyone, including your supervisor, must follow directions from someone. Employees must not refuse to follow directives given by their supervisor or a member of management. Insubordination is disrespectful behavior; therefore, failure to follow directives, or failure to complete a task assigned by management is considered to be indicative of insubordination. This is not acceptable conduct and will be construed as insubordination, resulting in disciplinary action up to and including termination.

Use of profanity and/or a raised voice in an argument is considered to be disrespectful. Therefore, disrespectful conduct toward another employee or a client is inappropriate and will not be tolerated. Disrespectful behavior or inappropriate communication with a member of Focused management staff is prohibited and will result in appropriate disciplinary action up to and including dismissal.

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## POOR PERFORMANCE

Focused expects all employees to make every effort to learn and know their job, and to perform in a manner that meets the expectations of their supervisor. A satisfactory performance level is required by all employees. Employees who fail to maintain a satisfactory level of performance will be subject to disciplinary action. If the employee’s performance, work habits, overall attitude, conduct, or demeanor becomes unsatisfactory in the judgment of Focused management, based on violations either of the above or of other Focused policies, rules, or regulations, the employee will be subject to disciplinary action, up to and including dismissal.

## ETHICS

Focused expects all staff, whether it is our Directors, Supervisors, Therapists, or Administrative Employees, to conduct business in accordance with the letter and spirit of relevant laws and refrain from dishonest or unethical conduct. Employees shall, during both working and non-working hours, act in a manner which will inspire trust in their integrity, impartiality, and devotion to the best interests of Focused, its clients, their families, and employees.

WE ADHERE TO BACB CODE OF CONDUCT which can be found here: <https://bacb.com/wp-content/uploads/170706-compliance-code-english.pdf>

# SECTION III: GENERAL POLICIES AND PROCEDURES

**GENERAL POLICIES AND PROCEDURES**

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## GENERAL POLICIES AND PROCEDURES

This section of the Employee Handbook discusses the employee’s responsibilities to Focused and provides guidelines for achievement of success in your role as an employee. These are basic work rules and provide you with an indication of what is and is not acceptable performance and conduct. We believe you can perform with confidence in the execution of your duties if you fully understand what is expected of you. Our most important guideline is to always use “good sense or good judgment”. If you are unsure, you are encouraged to ask your supervisor or director. Violation of these policies and procedures can result in disciplinary action, up to and including termination.

## EMPLOYMENT STATUS

Focused has established the following categories for both non-exempt and exempt employees:

**Regular Full-Time Employee:** Full-time employees are those who work an average of at least 32-billable hours a week (RBT), 25 billable hours a week (BCaBA, BCBA)

**Regular Part-Time Employees:** Part-time employees are those who work less than thirty-two (32) billable hours in a work week.

 **Temporary Employee:** Temporary employees may be hired as substitutes, or to assist in heavy workloads. Pay for temporary employees will be commensurate with the level for the position being filled. Temporary employees will not be entitled to paid time off, holiday pay, leaves-of-absence, group insurance, or other benefits provided by Focused.

If a temporary employee is retained on a part or full-time basis, the time served as a temporary employee will be considered part of the employee's Introductory Period. However, it should be noted that the decision to hire the temporary employee does not have to occur within the Introductory Period or prior to the Introductory Period expiring.

## EMPLOYEE CLASSIFICATIONS

Focused employees are designated as either “Exempt” or “Non-exempt” according to federal law and the Fair Labor Standards Act (FLSA) of 1938. As with all state and federal statues, Focused follows these guidelines when classifying our employees.

Classifications, job titles, exemption status, job descriptions, essential job responsibilities, etc., are extremely important to the valuation, pricing, and compensation of each position within Focused. These appropriate classifications and exemption statuses, along with the job descriptions, keep Focused in compliance with state and federal laws. There are a number of both state and federal compliance issues that must be considered when any of these items are changed. Therefore, there cannot be ANY CHANGES made regarding the items stated above without discussion with and approval of the director.

## PAY

Pay is the 15th of each month for previous months hours. The Company is required by law to make certain deductions from your paycheck each pay period. Such deductions typically include federal and state taxes and Social Security (FICA) taxes. Depending on the state in which you are employed and the benefits you choose, there may be additional deductions. All deductions and the amount of the deductions are listed on your pay stub. These deductions are totaled each year for you on your Form W-2, Wage and Tax Statement.

Salaried Employees:

It is the policy of the Company that exempt (salaried) employees' pay will not be “docked,” or subject to deductions, in violation of salary pay rules issued by the United States Department of Labor and any corresponding rules issued by the state government, as applicable. However, the Company may make deductions from employees' salaries in a way that is permitted under federal and state wage and hour rules. Employees will be reimbursed in full for any isolated, inadvertent, or improper deductions, as defined by law. Thus, exempt employees may be subject to the following salary deductions, except where prohibited by state law, but only for the following reasons:

• Absences of one or more full days for personal reasons, other than sickness or disability; or

• Absences of one or more full days due to sickness or disability, if there is a plan, policy, or practice providing replacement compensation for such absences; or

• Absences of one or more full days before eligibility under such a plan, policy, or practice or after replacement compensation for such absences has been exhausted; or

• Suspensions of one or more full days for violations of safety rules of major significance; or

• Suspensions of one or more full days for violations of written workplace conduct rules, such as rules against sexual harassment and workplace violence; or

• Payment of actual time worked in the first and last weeks of employment, resulting in a proportional rate of an employee's full salary; or

• Any unpaid leave taken under the Family and Medical Leave Act; or

• Negative paid-time-off balances, in whole-day increments only. If questions or concerns about any pay deductions arise, employees may discuss and resolve them with your Director.

\*Salaries may be subject for refrigeration based on more than two months averaged billable hours.

## HOURS OF OPERATION/AFTER-HOURS CARE

The principle business office is open from 9:00am to 5:00pm, Monday through Friday, except for designated holidays. We do not have 24/7 phone availability; however, clients and families are able to leave confidential voice mail messages on Focused telephone after normal business hours and/or call the telephone number listed for emergencies. Messages are checked and returned as quickly as possible.

## YOUR SUPERVISOR

Your supervisor has accepted the responsibility of guiding you in the completion of your work and as a result, needs to hear your questions, suggestions, and constructive ideas. Mutual understanding is important to doing the best job possible. Cooperative attitudes lead to productive teamwork. If you have questions regarding any aspect of your assignment, job duties, or any policy or practice of Focused please consult your supervisor for a complete explanation.

Your supervisor is also your first line of contact with regards to questions, policies, and company guidelines. They are also there to listen to any concerns you may have. You should always utilize your supervisor as your primary contact for any necessary clarifications. When working on an assignment in a patients' home or school, you may be asked to offer specific suggestions or comments regarding his or her program. Prior to discussing any suggestions with a patient, your recommendations must first be approved by your supervisor.

**Supervision Policy**

All direct therapy providers are required to receive supervision and therefore are required to:

1) Attend consistently supervision meetings with their supervisor.

3) Effectively communicate with their supervisor, respond appropriately to feedback, and maintain and/or improve performance accordingly.

4) Ensure that you are obtaining the supervision as required on the cases they work on or for obtaining their own certifications and licenses according to their specific contract with their own supervisor.

For BCBA/BCaBA candidates:

All supervisors who are employees of Focused will be contracted through Focused to provide individual supervision to those employees who seek certifications or licensure.

Supervisees will schedule supervision with their supervisors when seeking to obtain independent licensing or certification. Your Supervisor has accepted the responsibility of guiding you in the completion of your work and as a result, needs to hear your questions, suggestions, and constructive ideas. Mutual understanding is important to doing the best job possible. Cooperative attitudes lead to productive teamwork. If you have questions regarding any aspect of your assignment, job duties, or any policy or practice of Focused, please consult your supervisor for a complete explanation. Following clinical recommendations provided both in written formats and verbally by your supervisors to you as the provider on your cases are always required. Supervision will be provided directly to you individually face-to-face, via HIPAA compliant Face Time, phone, encrypted email, and during weekly group supervisions at our center location if available.

## STAFF MEETINGS

Staff meetings will be held as needed. All employees are expected to attend all meetings, unless prior arrangements have been made with your supervisor’s approval. In that event, you will be required to schedule a time during the week of the meeting to review the details of the meeting with your supervisor.

Clinical Training occur once a month for two hours. These will be focused on continuing education to help you succeed and stay up to date with current research. Clinical Trainings are required. Eighteen hours of continuing education hours are required for RBT’s every year.

## WORK SCHEDULE

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## Employees must submit a “Permanent Availability Schedule” to the supervisor or director at the start of employment. The purpose of the “Permanent Availability Schedule” is to allow us to know how much our employees are willing and available to work. We will know how many new referrals we can accept and coordinate with our staff availability.

## If the employee needs to change their “Permanent Availability Schedule”, they must do so in writing 30 days before the proposed change. This will allow the employee or supervisor/director to adjust the schedule with the families, replace the therapist, and train a new therapist if needed. For the most part, employees can handle their “session schedule” with each client/family they provide therapy to but the schedule must be submitted to Rethink within the first week of starting on the case. The submission of the session schedule to the parent is considered a commitment or agreement on the part of the employee to complete all of the hours with at least 90% adherence; therefore making changes to days and times is extremely discouraged. Employees will be responsible for completing all of the sessions and total hours they have agreed to fulfill in their session schedule. Each child must receive all the hours and sessions they are billed for per month for private pay or out-of-pocket, authorized by the insurance, school district, or other agencies to the specific time frame outlined by the funding source. Employee will be responsible for managing schedule with the parents and supervisor to fulfill the hours and keep in communication with both at all times.

If sessions are missed, the employee will reschedule the sessions with the parents and contact their immediate supervisor to inform them of the changes and any other issues. Employees may also ask other therapists to cover sessions as long as that substitute provider has been trained with the client or is an

experienced therapist of more than 6 months working for Focused and has observed or shadowed for one session. The substitute must also read the child’s treatment plan and be aware of behavior interventions and their ABA program curriculum. Again, if the employee’s schedule needs to change due to unexpected problems, the employee must call their supervisor and contact the parent at least 2 hours before session should begin.

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## COMMUNICATIONS

Open communication between Focused Behavior Solutions staff and parents/guardians is an important part of what makes a great program. It is critical that parents/guardians and employees should be respectful and courteous to each other. Open communication between parents and employees is essential to the establishment of a successful program for the child/client. If there are any problems or concerns, please contact the BCBA or BCaBA Supervisor immediately.

Please understand that all information shared is HIPPA protected, it is essential that every Focused employee respects and maintains each client’s right to confidentiality regarding his or her treatment and all personal information.

There are numerous ways to stay connected directly and indirectly. The methods provided below are the primary ways to stay connected. Inter-staff communications need to be responded to within one business day.

E-mail

Emails need to be checked periodically and replies need to be in full. Staff and parents are given staff emails upon start.

Phone Calls/Texts

Parents may contact Focused Behavior Solutions office at any time; however, parents are told not to contact staff before 7 am and not after 8 pm unless it’s an emergency. Focused also realizes that during therapy times, staff may not be available. Staff will respond with a corresponding text or phone call immediately when becoming available. If more consistent texts or phone call Focused need to be arranged, these will need to be made in advance.

# ARRIVAL AND DEPARTURE

1. A parent or legal guardian is required to be present to minor clients and available in the home throughout the therapy session(s).
2. If child is not home at the therapy time when the therapist arrives, the therapist must wait 15 minutes and then can leave, unless prior text/call has been received. The child will be considered absent and the session will not be rescheduled. If more than 20% of scheduled sessions are missed, within a 3-month period, we reserve the right to disenroll the child from the program and offer the slot to someone else.
3. The therapist will call or text the family if they are going to be arriving more than 5 minutes late.
4. The universal standard for therapy, be it the insurance standards or the professional standards of various organizations like the APA, ASHA, etc., is that a therapy "hour" is 45- 50 minutes of direct contact with the patient with the remaining 10-15 minutes devoted to required record keeping and other administrative requirements. Typically, for a 3 hour in-home therapy session, our staff take ~10 minutes to arrange the materials prior to commencing direct therapy with the child and ~15 minutes at the end to record data, tidy the setting, and discuss the session with the parent.
5. Parents must sign each therapist’s timesheet to confirm the number of service hours provided at the end of each session. Parents are responsible for ensuring accuracy of hours. Please refer to Rethink’s Parent Signature Verification How-to.

## LUNCH AND REST BREAKS

If your work schedule permits and it is permitted by your supervisor/manager, you can take a paid break of up to 10 minutes in each four-hour shift. Where the nature of the work allows employees to take intermittent rest periods equivalent to ten minutes for each 4 hours worked, scheduled rest periods are not required. If you are working more than 5 hours a day you are allowed at least a 30-minute unpaid lunch break. Since employee are to handle their own schedules please make sure you are scheduling a lunch break of at least 30-minutes no more than 5 hours after the start of your

work shift. Focused will also allow reasonable break times for a nursing mother for the purpose of expressing breast milk for her baby. Please notify your supervisor/director to discuss in more detail.

## OFFICE MAINTENANCE AND SECURITY OF INFORMATION

Focused expects employees to maintain the office in a neat, professional, and acceptable manner. Each employee is expected to maintain his/her own area, and all employees are expected to maintain the common areas. All papers, books, and other documents should be filed away neatly and kept out of the open area. It is also important to note that all areas of Focused are subject to for any reason. No prior notification is necessary to search the premises, and nothing within the offices should be deemed or considered private property.

At some time during a day, most employees will work with confidential information. This information will most likely pertain to our clients or our employees. Therefore, as employees work with confidential information, they should be aware that the security of that information is their responsibility. It is required that paperwork be kept secured or covered while on a desk, and if you must be away from your work station, be sure that all information is secured until you return. The security of employees’ and clients’ confidential information and treatment records should be secured when not in use. This is required in compliance with federal and state privacy laws.

## KEYS

Employees who need keys to the office, locked cabinets, or other secured storage will be issued keys by a supervisor. Keys must be safeguarded. If employment is terminated, either voluntarily or involuntarily, Focused requires all keys be returned prior to the issuance of the last paycheck. Focused prohibits making duplicate sets of keys or letting someone outside the office borrow a key for any reason. In the event you lose a key, immediately notify your supervisor. If the loss of a key results in the necessity to re-key the office, the employee may be required to pay that cost.

## OUTSIDE EMPLOYMENT

Non-exempt employees are not help to non-compete agreements. Outside employment must not interfere with an employee’s performance and must not prove to be detrimental to the interests and business operations of Focused. Outside employment must not involve a conflict of interest, such as a client’s family. If you have any questions about this, please reach out to your supervisor or director.

## SOCIAL NETWORKING POLICY

Focused takes no position on your decision to start or maintain a blog or participate in other social networking activities. However, it is the right and duty of Focused to protect itself from unauthorized disclosure of information. Focused’ social networking policy includes rules and guidelines for company-authorized social networking and personal social networking and applies to all employees and management staff.

#### GENERAL PROVISIONS

Blogging or other forms of social media or technology include but are not limited to video or wiki postings, sites such as Facebook and Twitter, chat rooms, personal blogs or other similar forms of online journals, diaries or personal newsletters not affiliated with Focused.

**Employees may not publicly discuss clients/clients or anything regarding the care provided (for example: clients’ families, clients’ living conditions, services provided, etc.) Employees are expected to protect the privacy of Focused and its employees and clients and are prohibited from disclosing Focused trade secrets or any other proprietary and non-public information to which employees may have access. Such information includes but is not limited to client information, services provided, employee information, financial information and strategic business plans.**

#### EMPLOYER MONITORING

Employees are cautioned that they should have no expectation of privacy while using the Internet. Your postings can be reviewed by anyone, including Focused management and ownership. Focused reserves the right to monitor comments or discussions about Focused, its employees, clients and the industry, including services and competitors, posted on the Internet by anyone, including employees and non-employees.

Employees are encouraged to consider who might read what is written on social media sites and how it may reflect Focused prior to posting it.

#### REPORTING VIOLATIONS

Focused requests and strongly urges employees to report any violations and/or possible or perceived violations to their supervisor or director. Violations include discussions of Focused clients as well as any discussion of Focused proprietary information and any unlawful activity related to blogging or social networking.

#### DISCIPLINE FOR VIOLATIONS

Focused investigates and responds to all reports of violations of the social networking policy and other related policies. Violation of Focused social networking policy will result in disciplinary action up to and including immediate termination. Discipline or termination will be determined based on the nature and factors of any blog or social networking post. Focused reserves the right to take legal action where necessary against employees who engage in prohibited or unlawful conduct.

#### AUTHORIZED SOCIAL NETWORKING

Authorized social networking and blogging is used to convey information about Focused by promoting and raising awareness of Focused in the marketplace and in the industry, search for potential new markets, communicate with employees, physicians, active and potential clients and their families, to issue or respond to breaking news or negative publicity, and discuss corporate activities and events.

When social networking, blogging or using other forms of web-based forums, Focused must ensure that use of these communications maintains our identity, integrity and reputation while minimizing actual or potential legal risks, whether used inside or outside the workplace.

#### RULES AND GUIDELINES

The following rules and guidelines apply to social networking and blogging when authorized by Focused and done on company time. The rules and guidelines apply to all Focused-related blogs and social networking entries.

Only authorized employees can prepare and modify content for Focused’s blog or Facebook page. Focused has definite goals and purposes for the development of this form of communication and sharing of information; therefore, the content must be relevant, add value and meet at least one of the specified goals or purposes. If uncertain about any information, material or conversation, discuss the content with your supervisor prior to posting.

Any copyrighted information where written reprint information has not been obtained in advance cannot be posted.

#### PERSONAL BLOGS

Focused respects the right of employees to write blogs and use social networking sites as a medium of self-expression and public conversation and does not discriminate against employees who use these media for personal interests and affiliations or other lawful purposes. Employees are expected to follow the guidelines and policies set forth to provide a clear line between you as the individual and you as a employee. Employees cannot use employer-owned equipment, including computers, company-licensed software or other electronic equipment, nor facilities or company time, to conduct personal blogging or social networking activities. Therefore, all personal blogging or social networking needs to be done outside of Focused hours unless authorized by the director.

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## PERSONAL MAIL

All mail delivered to Focused is presumed to be related to our business and will be opened by the office and routed to you. Employees are not allowed to receive mail at Focused unless related to your job. All outgoing mail should have the sender’s initials so that in the case the mail gets returned, it can be given to the appropriate sender.

## CHILDREN IN THE WORKPLACE

Employees are welcome to bring their children to the office for indirect work, trainings (childcare may be provided at times, etc., provided that there is awareness and planning to minimize distraction as there may be more than one employee working in the same area. Children’s toys and materials are available and are property of Focused. Children may not be taken to a client’s home for any reason.

While children are in the workplace, they must be directly supervised by the parent/employee at all times. This does not mean that the parent/employee can neglect their job responsibilities in order to supervise their child. If the frequency, length or nature of visits becomes problematic, the employee will be advised of the situation.

## REPORTING WORKPLACE INJURIES AND ACCIDENTS

All accidents should be reported. Even minor accidents which do not involve serious injury should be reported. Any accident involving a client MUST be reported immediately to your supervisor and an incident form needs to be filled out on Focused’ website within 24 hours. Only through a full knowledge of such incidents can Focused become a safer, healthier place to work for everyone. Please be sure to report any unsafe conditions, defective equipment, or other hazards to your supervisor. Each employee is expected to assist Focused in maintaining safe working conditions. Safety is a state of mind, and requires constant vigilance and common sense. Safety is everyone's responsibility.

## SLEEPING AND INATTENTION

To protect the safety of all employees and to properly serve our clients, everyone needs to be fully alert while on the job. Drowsiness, fatigue, and inattention can be significant factors in accidents and/or the ability to react to a situation as quickly as we should. Focused cannot tolerate sleeping or inattention in the workplace or in the homes of our clients. We value self-care: please reach out to your supervisor or director if you are abnormally fatigued/under stress.

## TIME KEEPING

**Billable verses Non-Billable Hours**

Trainings and administration time/non-billable hours are paid *at least* minimum wage based on Employee Agreement. These hours should be kept a very minimum and are only provided as authorized.

Administration time or non-billable time is considered time outside what is billable services to that specific client.

Each child is provided different billable services according to Focused contracts with third party payers. You are responsible for knowing and providing only those services to your clients that have been authorized for payment. Administration time or nonbillable time includes services that Focused cannot get paid for and is an additional expense to the company.

As a general rule, non-billable hours (or administration time) are not to be used for other than for staff meetings/supervisions where clients are not receiving or accessing our services. All documentation and therapy preparation should take place during billable service time with the client.

Focused has provided several tools to help providers use their time wisely in sessions and be most productive. However, your supervisor may allot you non-billable/administrative hours at their discretion.

**Non-billable hours** are reviewed each pay period. Non-billable timesheets are required to be completed in full for all administration time completed and are to be submitted to the director for review every pay period.

**Billable or Direct Treatment** time is the actual time the client is receiving authorized services and payment can be received. To reiterate, billable time for each client varies and is based on the type of third-party payment (insurance plan) as well as your supervisor’s clinical recommendations with some restrictions. Your supervisor will outline for you what services are billable and non-billable for each client you work with. Rethink will have authorized hours attached to the client profile as well. Again, it is your responsibility to keep track of the service hours you provide and how many and what services are authorized for that client to receive and stay within those provisions.

|  |  |
| --- | --- |
| 1. Direct contact with the client
2. Direct intervention services with the client at home, in the community or school
3. Model prompting levels, redirection and other interventions in the FBA plan
4. Model for family on how to provide structure
5. Records data and charts progress during sessions
6. Parent training (frequency is to be determined by BCBA Supervisor and prescribed in the FBA plan)
 | 1. Prepare session materials
2. Travel Time
3. Telephone calls to parents, teachers
 |

**Submitting Required Billing**

All staff are to keep an appointment calendar on Rethink of all billable and non-billable hours

Employees should also use a timesheet that include the scheduled session you have on a weekly basis with each client. Again, the sessions you complete with the client are billable and will be billed to

the client or their insurance. Therefore, it is imperative that the employee make sure that their calendar is up-to-date meaning the sessions they completed are in the calendar as well as how they spent administration time for each client. If the client canceled their session or the employee canceled or re-scheduled, all of that is noted in Rethink.

**Employee payroll is contingent on their Rethink and timesheet maintenance and verification.**

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## OVERTIME

The purpose of this policy is to comply with federal and state overtime provisions and to control labor costs by managing the expense of overtime pay to non-exempt employees.

Focused will pay time and one half to non-exempt employees who exceed 40 hours of work time in a workweek. However, paid leave such as holidays, sick or vacation days will not apply toward time worked for purposes of calculating overtime payment.

Employees are required to obtain approval from managers prior to the use of overtime to complete their work assignments. Employees who anticipate the need for overtime to complete the week’s work must notify their supervisor in advance and obtain written approval prior to working hours that extend beyond their normal schedule. Employees failing to obtain approval prior to working hours that extend beyond their normal 40-hour workweek will be subject to disciplinary action, up to and including termination.

## INCLEMENT WEATHER

Occasionally weather, particularly ice and snow storms, make driving impossible and necessitate closing for the safety of the staff. In preparation for these occasions, should they arise, the following applies:

* Focused follows local school district closing calls. Any decision to close the office will be made by the owner/supervisor a minimum of two hours prior to 8am. The director and supervisors will activate the call tree between 6:00am and 6:30am. (FIGURE OUT THE CALL TREE SYSTEM)

* Employees are responsible for ensuring that Focused has current working means of communicating with them if the decision tree is activated.

It is each employee’s responsibility to determine if it is safe for her/him to drive to work. If the office is open but you believe conditions are unsafe to drive, we encourage you to use your judgment in determining whether or not to come to work. You may utilize your PTO time in the event that the office is open but you do not come in.

**DISASTER PLAN**

When calling 911, report the incident and give your name and the name of our company and the address and phone number in which you are currently located as well as the location you are nearest to.

You may also want to provide our main office headquarters phone number: (208)-217-5529.

In the event of a disaster or emergency staff of Focused will make sure all staff and clients are escorted out of the building/home or to a designated safe area in the safest way possible.

• For individuals whom are visually impaired explain the nature of the emergency. Offer to guide them to safety. As you walk, explain your destination, where you are, any obstacles, which way you are going to turn, the number of steps, etc. Upon reaching safety, orient the individual to their surroundings. Ask if further assistance is needed.

• For individuals whom have a hearing impairment gain their attention by turning lights on and off, tap on shoulder, wave your hands, etc. Indicate through gestures, or in writing what is happening and what to do.

• For individuals whom are mobility impaired ask them instructions on how to be helped to safety (i.e. transferring them from the wheelchair to be carried if necessary).

• Escort children to nearest exit during an evacuation. Make sure children our away from harm and each provider is responsible to the evaluation of the child they are working with during the session. Office staff and other providers/stakeholders on the premises are responsible for all other children or individuals (not receiving therapy at the time such has siblings or parents of children receiving therapy).

**Type of Emergency**

**Earthquake**: Protect yourself by getting underneath a sturdy table or desk. Survey resulting damage, take action to safely leave the building and assist others. Notify all in the building to evacuate using the nearest exit. Check all areas of the building. Call 911 if emergency assistance is needed.

**Fire**: Call 911. Evacuate the building. Do not open door if hot or if smoke is present. Contain fire by closing doors. Move persons with limited mobility to safe area. Use fire extinguisher if deemed effective.

**Flood**: Call facilities management. Do not walk into standing water! Report all information to your supervisor. Move to safety and await instructions from supervisor or police.

**Medical emergency**: Call 911. Give the location of the emergency; follow directions from the 911 operator. Stay with the victim until help arrives.

**Power outage**: Call facilities management and ask if there is any information about the cause or duration of the outage. If the power is off for longer than 15 minutes, or if it is dark outside when the power goes off, initiate closing procedures immediately. Check all areas of the building for patrons who need help; take flashlights to assist people to leave if the building/home is dark. Stay nearby to await restoration of power or until notified by management that the building/home will remain closed.

**Tornado Watch**: monitor weather reporting stations online. Warning: announce that the warring is posted and instruct everyone to move away from windows. If a tornado warning is used for the city, ask patrons to move away from windows and exterior doors, and move as low in the building/home as possible.

**Zombie Apocalypse**: Do not get bit! Do not split up! Do not use fire! Remove yourself if possible from overcrowded areas immediately.

## PERSONNEL FILES

Focused maintains a personnel file on each employee. These files contain documentation regarding all aspects of the employee’s tenure with Focused, including but not limited to documents such as performance appraisals, beneficiary designation forms, disciplinary warning notices, letters of commendation, changes of personal information, etc. An employee may review their personnel file on an annual basis.

It is an employee’s right to request a copy of any document in their personnel file which they have signed; however, if an employee’s signature does not appear on a document in their personnel file, they will not be permitted a copy of that document, as those documents are deemed to be the property of Focused. This would include any disciplinary documentation which an employee has refused to sign.

Personnel files may be reviewed by the employee, the employee’s supervisor, or director. All files must be reviewed within the confines of the Human Resources department with a member of the Human Resources staff present – no personnel files will leave the Human Resources area except at the request of director.

## UPDATING PERSONAL INFORMATION

To ensure that the personnel file is up-to-date at all times, notify the director of any changes in your name, home address, marital status, number of dependents, beneficiary designations, scholastic achievements, individuals to notify in case of an emergency, and so forth. It is the employee’s responsibility to keep the personal information in their personnel file current at all times. **Staff can upload documents as needed to their Rethink staff profile.**

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## REFERENCE INQUIRIES AND EMPLOYMENT VERIFICATIONS

From time to time, Focused may receive inquiries from third parties regarding employees, such as a bank verifying employment for an employee applying for a personal or mortgage loan.

All requests for reference information or employment verification should be directed to the director. Normally, Focused will respond only to written inquiries. If a telephone reference inquiry is received, the director will typically only verify whether an individual is employed or no longer employed and will inform the caller that he/she must submit a written request for additional information. Generally, information will be released only after a written release has been received from the employee or former employee, whichever the case may be.

However, Focused reserves the right to release employment information it deems appropriate at its discretion without authorization. That information may include but is not limited to: the date of hire; the date of termination; the position title held; and the verification of a base salary by confirmation, only if a figure or amount is provided.

##

## INFECTION CONTROL AND ILLNESS

Seasonal influenza, commonly called "the flu," is caused by influenza viruses, which infect the respiratory tract (i.e., the nose, throat, lungs).

#### PREVENTION

1. All employees are encouraged to practice frequent hand washing or use of alcohol-based hand cleaner, and perform frequent disinfecting of telephones and computer keyboards and any shared equipment using disinfectant wipes. Focused will provide alcohol-based hand sanitizer and disinfectant wipes for such use, as well as soap and water for proper hand washing.
2. Employees should cover nose and mouth with tissues when coughing or sneezing and should immediately dispose of tissue properly.
3. Therapists treating clients in the home or school settings will follow Focused infection control procedures regarding careful and frequent hand washing, and cleaning equipment after each client session.

#### SYMPTOMATIC EMPLOYEES (OFFICE and FIELD)

1. Employees/students must report flu or other infectious illnesses to their supervisor – if multiple staff and clients are sick an infection log will be started.
2. While employee/student privacy will be respected, co-workers and clients’ families will be notified of exposure on a “need to know” basis.
3. Employees/students who have symptoms of flu, a flu-like illness, or respiratory illness should be excluded from work until symptoms have resolved. They must be free from fever for at least 24 hours before returning to work. Employees/students may be required to see their physician and follow physician advice regarding returning to work.
4. If the illness is not considered to be contagious (example: ear infection, allergies) the employee/student should follow physician advice regarding returning to work.
5. If the employee/student is treated with antibiotics (example: strep throat, etc.) they should follow physician advice regarding returning to work after starting on prescribed medication.
6. With all febrile illnesses (bacterial or viral), employees/students should be free from fever for 24 hours before returning to work in the office or field setting.
7. Employees/students will be asked to go home if they become symptomatic during the work day.
8. Employees/students who have been exposed to flu may continue to work but should carefully monitor for fever and flu-like symptoms.
9. Employees/students who are high risk for complications\* should consult with their physician regarding testing for flu or other illnesses and possible treatment with antiviral medication.

**\*Persons at high-risk for complications include individuals with the following conditions:**

* Chronic respiratory disease, neuromuscular, neurological, or metabolic disease including diabetes
* Immunosuppressant conditions, including those caused by medications (i.e.: chemotherapy), or by HIV
* Pregnant women
* Persons younger than 19 on long-term aspirin therapy

#### THERAPISTS

Therapists/students who become ill with seasonal flu, or other contagious/infectious illnesses must refrain from client care until symptoms subside, and they have been free from fever for at least 24 hours. Therapists/students must notify the supervisor/director of their illness at the onset, and they will notify client families of the possible exposure to the client by the treating therapist/student using the suggested script below:

“Your child may have been exposed to the flu by his/her treating therapist on month/day. While it is unlikely that your child will become ill from this exposure, please keep a close eye on him/her for the following symptoms: fever, cough, runny nose, and lack of energy. If your child develops these symptoms please notify your physician for further instruction, or if your child seems very ill or in distress take him/her to the emergency room or call 911. Please notify Focused if your child does become ill. Your treating therapist will not resume care until all of his/her symptoms have resolved.”

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#### CLIENTS

1. Therapists/Supervisors will avoid treating clients who are symptomatic for flu-like illness or who have a fever. Client illness will be reported to the Supervisor/Director.
2. Clients must be free from fever for at least 24 hours before resuming treatment by Focused personnel.
3. ALL personnel assigned to the affected client will be notified.

#### PROTOCOL FOR OTHER INFECTIOUS DISEASES

When there is knowledge or an awareness that an infectious disease (other than the flu) has impacted the health and well-being of a Focused office employee, therapist, or if one of our clients; has been diagnosed with an infectious disease, the same protocol for notification and treatment of that client that has been described in this policy will be followed.

## EXTENDED/EVENT TRAVEL FOR WORK

Travel requiring an overnight stay shall be properly authorized, reported, and reimbursed, or paid for in advance of the trip being made, depending on the circumstances of travel and the most practical way to address the expenditures involved. It is the traveler’s responsibility to report his or her actual travel expenses in a responsible and ethical manner, in accordance with the regulations set forth within this Policy.

#### APPROVAL OF TRAVEL AND EXPENSES

All aspects of travel expenditures must be approved BEFORE travel occurs. When submitting expenses for lodging, a minimum of two proposals with all related costs should be submitted to the Owner or other designated employee for approval. The most economically feasible of the two proposals will be approved.

A full-day meal allowance should not exceed $40.00 per day, whether the meals are paid for with the corporate credit card or by the traveler and submitted for payment by reimbursement. The employee will pay the difference for any meal expenditure that exceeds the daily allowable amount. Any personal items, gifts, or souvenirs purchased while traveling on behalf of Focused will not be paid for or reimbursed by Focused. These personal items are the responsibility of the employee and the expenditure will be theirs alone. Any other activities which fall outside of the specific purpose for the travel event and are not related to the direct business of Focused are the responsibility of the traveler and will not be reimbursed by Focused.

#### TRANSPORTATION EXPENSES

Transportation expenses shall be paid by corporate credit card or reimbursed based on the most economical mode of transportation and the most commonly traveled route consistent with the authorized purpose of the trip. All transportation arrangements (outside of the use of the employee’s personal vehicle), will be arranged by the director.

Transportation tickets should be procured in advance in order to obtain any discounts offered by the carrier or negotiated by Focused. Such tickets should be purchased directly from the carrier, or if out-of-state travel is necessary, the director will locate the most feasible discounted rates found on websites (such as Expedia or Orbitz). Coach class or any discounted class airfare will be used in the booking flights.

### AUTOMOBILE TRAVEL

##### PRIVATE VEHICLES AND MILEAGE REIMBURSEMENT RATES

The employee is required to have current automobile insurance coverage on file prior to using their vehicle for company purposes. Focused pays the IRS mileage reimbursement rate and can be counted from client to client NOT counting commute (home to first client, last client to home). Travel appointments in ReThink must be used to track hours and send reports to the director for payroll and reimbursement. Audits between client times and travel will be randomly conducted EVERY pay period.

## CORPORATE CREDIT CARDS

Regular, full-time management staff may request a corporate credit card. However, each individual making such a request must have approval from the Owner/Director prior to a corporate credit card being issued. To be eligible for a corporate credit card, an employee must travel in the course of his/her duties, purchase goods and services for use by the employer, or incur other regular frequent business expenses of a kind appropriately paid by credit card. ALL CHARGES must have approval from ownership prior to any charges being made.

Upon receipt of being issued a Focused company credit card, it is required that you sit with a member of the Finance Department to review and sign off that you have discussed, understand, and will comply with the policy regarding corporate credit cards.

## EMPLOYMENT TERMINATIONS

Termination of employment is an inevitable part of personnel activity within any organization, and many of the reasons for termination are routine. Below are examples of some of the most common circumstances under which employment is terminated. Please note that this is not an exhaustive list of termination options. Other factors such as death, disability, retirement, or other life events may require that the employee and Focused cease their employment relationship.

|  |  |
| --- | --- |
| **RESIGNATION**    | Voluntary employment termination initiated by an employee.  |
| **DISCHARGE or DISMISSAL**   | Involuntary employment termination initiated by Focused |
| **JOB ABANDONMENT**   | A termination that results when an employee is absent from work for three (3) consecutive days without notifying his/her immediate Supervisor/Director by 8:00 AM. The employee’s failure to report to work or to notify Management is considered unequivocal abandonment from continuing an employment relationship with Focused.  |
| **LAY-OFF or JOB ELIMINATION** Involuntary employment termination initiated by the organization for non-disciplinary reasons, usually relating to the economic situation of Focused |

## RESIGNATIONS

Occasionally, personal affairs and life adjustments result in an employee’s decision to change jobs or leave their place of employment. In such cases, employees are expected to give their supervisor at least a two week notice in writing. Departing management staff is required to provide as much notice as possible; a two-month notice is requested. This advance notice will allow Focused time to adjust working schedules and secure a replacement. This act of courtesy will be entered favorably on your employment record. Employees who leave in good standing are given favorable consideration, if they wish to return to work at Focused at a later time.

There may be times, due to the nature of the work and responsibilities of the departing employee or because of the position held by that employee, the supervisor may choose to accept the resignation, but release the employee immediately. This is the prerogative of the supervisor; however, the courtesy of the employee’s notice may be honored and the employee may be paid for the two weeks given as notice. This will be done at the discretion of the supervisor/ownership. Any additional notice given will be paid at the discretion of Focused ownership.

#### RESIGNATION and EXIT INTERVIEW PROCEDURE

When providing a resignation to your supervisor, an employee should send a copy of the resignation notice to the Human Resources department. This will allow for an exit interview to be scheduled with the departing employee. If the supervisor chooses to release the employee immediately, the supervisor must notify the supervisor/director of their intent to do so, in order for an exit interview to be scheduled in a timely manner. All employees giving a resignation should complete an exit interview, whether in person, by phone, or simply completing the Exit Interview Form and submitting it to the supervisor/director.

## EXIT INTERVIEWS

## (SEE ATTACHED FORM)

Exit interviews provide Focused ownership and management with a level of insight for identifying any trends requiring attention or any opportunities for improving Focused’ ability to respond to employee issues, in order to retain good employees. All employees who depart Focused on a voluntary basis are strongly encouraged to participate in the Exit Interview process. The Exit Interview is analogous to an organizational performance appraisal. It allows us to know, from the employee’s perspective, what we do right and what we can do better. Therefore, if we can understand the employee’s decision to leave Focused then we can address opportunities for improvement and become a better, stronger organization for our clients and our employees.

# SECTION IV: EMPLOYEE CONDUCT

**CONFLICT OF INTEREST**

**CONFIDENTIAL INFORMATION**

**COMPENSATION AND CASELOAD CONFIDENTIALITY**

**THE HEALTH INSURANCE PORTABILITY AND ACCOUNTABILITY ACT (HIPAA)**

**ELECTRONIC COMMUNICATIONS**

 **USE OF VEHICLES**

**PROFESSIONAL LICENSES AND RELATED DOCUMENTATION**

**PERSONAL APPEARANCE**

**SOLICITATION**

**SMOKING AND USE OF TOBACCO**

**HANDLING OF CASH/PAYMENT FOR SERVICES**

**GIFTS OR GRATUITIES**

**MISUSE OR UNAUTHORIZED USE OF COMPANY PROPERTY**

**THEFT**

**GAMBLING**

**DRUG-FREE/ALCOHOL-FREE WORKPLACE**

**FRAUD, DISHONESTY, OR FALSE STATEMENTS**

**PERFORMANCE REVIEWS AND EVALUATIONS**

**FEDERAL FALSE CLAIMS ACT (FCA)**

**PROGRAM FRAUD CIVIL REMEDIES ACT OF 1986**

## CONFLICT OF INTEREST

Focused employees should avoid any situation which involves or may involve a conflict between their personal interest and the interests of Focused. Employees have an obligation to conduct business within guidelines that prohibit actual or potential conflicts of interest. This policy establishes the framework within which the ownership and management of Focused wishes the business to operate. The purpose of these guidelines is to provide general direction so that employees can seek further clarification on issues related to the subject of acceptable standards of operation.

1. To ensure ethical and impartial business practices, Focused employees are prohibited from investing or holding a financial interest, directly or indirectly, in any business entity, transaction, or business endeavor which does business, or seeks to do business with, or is a competitor, of Focused. Any association with an outside enterprise that would create a conflict between the employee’s duty to uphold Focused business interest and the individual’s private or personal interest is prohibited.

1. An actual or potential conflict of interest occurs when an employee is in a position to influence a decision that may result in a personal gain for that employee, or for a relative, as a result of business dealings for Focused. For the purposes of this policy, a relative is any person who is related by blood or marriage, or whose relationship with the employee is similar to that of persons who are related by blood or marriage. Personal gain may result not only in cases where an employee or relative has a significant ownership in a firm which competes with Focused, but also when an employee or relative receives any kickback, bribe, substantial gift, or special consideration as a result of any transaction or business dealings involving Focused.

1. No employee shall enter into any understanding or agreement – whether expressed or implied, formal or informal, written or oral – with a competitor, which may divulge any of the following aspects of the competitive strategy of Focused:

Profits, financial information, service offerings, terms or conditions of treatment, market share, confidential client/client information, referral source information, confidential personnel information, or any other sensitive information that could adversely impact the growth and profitability of Focused and restrict its competitive initiative objectives.

No “presumption of guilt” is created by the mere existence of a relationship with outside firms. However, if employees have any influence on transactions involving purchases, contracts, or leases, it is imperative that they disclose to a member of senior management, or the owner of Focused, as soon as possible, the existence of any actual or potential conflict of interest so that safeguards can be established to protect all parties.

## CONFIDENTIAL INFORMATION

Employees may, by virtue of their employment, obtain access to sensitive, confidential, restricted and proprietary information about Focused not generally known or made available to the public or competitors and which Focused has made reasonable efforts to keep confidential. This includes but is not limited to: financial records, customer or vendor records and files, referral or mailing lists, personnel information, credit card numbers, plans, calculations, concepts, design sheets, design data, system design, computer programs, software, firmware, hardware, manuals, drawings, processes, specifications, instructions, research, test procedures and results, equipment, identity and description of computerized records, marketing and sales plans, financial information, costs, pricing information, and all other concepts or ideas involving or reasonably related to the business or prospective business of the Employer, or information received by the Employer as to which there is a bona fide obligation, contractual or otherwise, on the Employer's part not to disclose same and not generally available to the public; and similar information whether stored electronically or as documents.

Confidential Information also includes Intellectual Property, meaning all inventions, discoveries, concepts, and ideas, and the expressions of all concepts and ideas, whether or not copyrightable, and whether or not patentable, including but not limited to articles, processes, methods, formulas, systems, and techniques, as well as improvements thereof and knowledge related thereto. All Confidential Information which an Employee is exposed to, conceives or develops, either alone or with others shall be the exclusive property of the Employer.

Under no circumstance is any employee authorized to give information to any third party about another employee. Employees shall not, without the prior written consent of the Company, use, disclose, divulge, or publish to others any such confidential information acquired in the course of their employment. The disclosure or use of any confidential information, which includes, but is not limited to: visit rates, costs, profits, service offerings, terms or conditions of treatment, business volume, market share, referrals, and personnel or any other Confidential or proprietary information of Focused is strictly prohibited.

CLIENT and EMPLOYEE INFORMATION

It is the policy of Focused to ensure that the operations, activities, and business affairs of the company, our clients/clients, their families and Focused employees are kept confidential to the greatest extent possible. If, during their employment, employees acquire confidential or proprietary operational or business information about Focused, our clients/clients, their families or Focused employees, such information is to be handled in strict confidence, and should not to be discussed with anyone. Such confidential information shall be used solely by employees in the performance of their job duties for Focused and shall not be used in any other manner whatsoever during their employment.

##### EMPLOYEES’ RESPONSIBILITY

Employees are responsible for their disclosure and/or use of confidential information. The misuse, unauthorized access to, or mishandling of confidential information, particularly personnel and client information, is strictly prohibited. Such confidential information is the exclusive property of Focused and under no circumstances whatsoever shall employees have any rights to use, disclose or publish to others such confidential information subsequent to the termination of their employment.

##### BREACH OF CONFIDENTIALITY AND POLICY COMPLIANCE

Because of the nature of our work, we cannot tolerate any breaches of our security measures, or of our confidential business relationships. In accordance with the Health Insurance Portability and Accountability Act (HIPAA), information that you acquire about clients and their medical conditions while working for Focused is to remain strictly confidential. Any topic concerning the personal lives of clients must be held in the strictest of confidence. BestNotes, ACE Software, and your business email are HIPAA compliant, with daily backups onto the system clouds. Please utilize these for client file viewings as much as possible to keep compliant.

Never leave information where it can be observed by the casual visitor or other clients. All employees must comply with our Confidentiality of Client Information policy. Information about Focused’s employees, their families, finances, or other private matters must also be held in the strictest of confidence. Confidential information should only be provided on a “need to know” basis, and with prior approval from your supervisor.

Any violation of this policy will subject the employee to appropriate disciplinary action up to and including immediate termination. In addition, disciplinary action will be taken, not only against individuals who authorize or participate directly in a violation of this policy, but against:

1. Any employee who may have deliberately failed to report a violation of the policy;

1. Any employee who may have deliberately withheld relevant and material information concerning a violation of this policy.

**UNAUTHORIZED USE OR DISCLOSURE OF CONFIDENTIAL INFORMATION MAY RESULT IN DISCIPLINE, UP TO AND INCLUDING IMMEDIATE TERMINATION, PROSECUTION, OR OTHER AVAILABLE ACTION.**

Upon termination of employment, employees must deliver to Focused any and all confidential information whether stored electronically or as a document, including but not limited to: all copies of such documents prepared or produced in connection with their employment with Focused that pertain to Focused's business or the employee's services, whether made or compiled by the employee or furnished to the employee in connection with such services to Focused. In addition, at termination, employees must return all Focused's non-confidential property, documents, or electronic information. This policy does not limit the common law and statutory rights of Focused.

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## COMPENSATION AND CASELOAD CONFIDENTIALITY

Personal employee information is considered confidential and, as such, should be shared only as required and with those who have a need to have access to such information. The rate of compensation you receive whether that be in the form of pay per visit, pay per hour worked, the number of clients in a specific caseload, or salaries of exempt personnel is expected to be kept confidential, and Focused requests that you refrain from disclosing this information to co-workers.

If an employee becomes aware of a breach in maintaining the confidentiality of compensation information, the employee should report the incident to their immediate supervisor or to the director. The director has the responsibility to investigate the incident and take corrective action. Please be aware that a standard of reasonableness will apply in these circumstances; however, if there is no discussion of compensation there will be no reason to investigate.

## THE HEALTH INSURANCE PORTABILITY AND ACCOUNTABILITY ACT (HIPAA)

In 1996, Congress enacted a law to protect client’s rights to privacy and confidentiality as a result of healthcare professionals’ increased use of electronic media to transmit/store information. Focused operates with the intention of complying with all aspects of federal law under the Health Insurance Portability and Accountability Act (HIPAA). All employees should refer to company policies regarding HIPAA to learn and understand all procedures and follow the company compliance statement.

HIPAA requires all healthcare providers, payers, and clearinghouses to comply with strict regulations regarding client privacy. As a result, healthcare professionals must implement reasonable safeguards. State and Federal Law mandates that client information is to be held in strictest confidence (including client information that is personal: diagnosis, family information, client status, client observations, and family observations). Reproducing client information is not allowed unless management grants prior permission. This includes but is not limited to: client notes, evaluations, charts, or any information contained therein.

## ELECTRONIC COMMUNICATIONS

This policy contains guidelines for the use, access, monitoring and disclosure of Electronic Communications created, sent, received, transmitted, or stored by employees using any Focused-provided communication system or equipment and employee-provided systems or equipment used either in the workplace or during working time. "Electronic Communications" include: messages, images or any other information contained in e-mail, voice mail, fax machines, computers, personal digital assistants (PDAs), pagers, telephones, cellular and mobile phones, Intranet, or Internet systems (Systems), among other things.

##### ACCEPTABLE USES OF ELECTRONIC COMMUNICATIONS AT WORK

Employees may use Electronic Communications to communicate internally with co-workers or externally with clients, their families or others necessary to perform the essential functions of the job. Focused provides employees with access to our Systems to facilitate these business communications and to enhance productivity.

##### MANAGEMENT’S RIGHT TO ACCESS ELECTRONIC COMMUNICATIONS

All Electronic Communications contained in Company Systems are Company records, and are therefore property of Focused. Although each employee may have an individual password to access these Systems, the Systems belong to Focused and the contents of the Systems and Electronic Communications conducted on the Systems are accessible by Focused at all times for any business purpose. These systems will be subject to periodic unannounced inspections and should be treated like other shared filing systems. The contents of Focused Systems will also be monitored by and disclosed to Focused without further notice to employees. Thus, employees should not assume that Electronic Communications are confidential or private. Back-up copies of Electronic Communications in our Systems will be maintained and referenced.

Focused’s right to use, access, monitor and disclose Electronic Communications without further notice applies equally to employee-provided systems or equipment used either in the workplace or during working time.

##### PERSONAL USE OF FOCUSED’S SYSTEMS

Focused Systems are provided to assist employees in the performance of their jobs. Focused reserves the right, and employees agree to permit Focused to use, access, monitor, and disclose all Electronic Communications on our Systems, without regard to content. Since employees' personal communications and information can be accessed without advance notice, employees should not use our Systems for communication or information that employees would not want discussed with or known to third parties. For example, employees should not use the Systems for: gossip; personal information about themselves or others; for forwarding messages under circumstances likely to embarrass themselves or others; or for emotional responses to business correspondence or work situations. Employees also should not use these Systems for such purposes as soliciting for commercial ventures, religious or personal causes, outside organizations, or other similar, non-job related situations.

Focused employees should not use their Focused business email address to send personal communications. Any emails sent from a Focused email address contain the Focused domain name in the second half of every email correspondence. Third parties may associate comments and emails of employees about private matters with the employer based on the use of an email address with a business domain in the name. Therefore, it is requested that all employees utilize their personal email accounts to send personal communications via email.

Although incidental and occasional personal use of our Systems that does not interfere or conflict with Focuseds’ business is permitted, personal communications in our Systems are treated the same as all other Electronic Communications, and will be used, accessed, monitored, and disclosed by Focused at any time, without further notice.

**Employees may not install any software on any Company-provided System or copy software from any Company-provided System without the prior written permission.**

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## PERSONAL PHONE CALLS

Focused recognizes that occasionally an employee may need to receive or make a personal call. However, these calls should be for emergencies only. Excessive time spent on personal calls takes time away from Focused business and the employee’s responsibilities. Frequent and/or excessive violation of this policy will result in appropriate disciplinary action up to and including termination.

##### FORBIDDEN USES OF FOCUSED SYSTEMS

Employees may not use our Systems in a manner that violates our Zero-tolerance of Harassment and Discrimination Policy, Equal Employment Opportunity Policy, or any other company policies. In this regard, employees may not use our Systems in any way that may be perceived as insulting, disruptive, obscene, offensive, or harmful to morale. Examples of forbidden transmissions include, among other things, sexually-explicit messages, images, cartoons, or jokes; propositions or love letters; ethnic or racial slurs; or any other message or images that may be construed to be in violation of our Zero tolerance of Harassment and Discrimination Policy.

In addition, employees may not use our Systems:

* to access, receive, forward or download information from the Internet for personal use;
* to carry any defamatory, discriminatory or obscene material;
* in a manner that violates the terms of any telecommunications license or any laws governing data flow including but not limited to laws dealing with data collection, protection, privacy, confidentiality and security;
* in connection with any attempt to penetrate computer or network security of any Company or other system, or to gain unauthorized access or attempted access to any other person's Electronic Communications systems or equipment;
* in connection with any infringement of another person's intellectual property rights, including but not limited to copyrights;
* to communicate about other’s personal affairs or other business unrelated to work; and,
* in connection with the violation or attempted violation of any law.

##### ELECTRONIC FORGERY

Electronic forgery is defined as misrepresenting, disguising, or concealing your identity or another's identity in any way while using Electronic Communications; making changes to Electronic Communications without clearly indicating that you have made such changes; or using another person's account without prior written approval of the account owner, and without identifying that you are the author. Electronic forgery is not allowed for any purposes and may result in immediate termination.

##### ELECTRONIC PROPERTY RIGHTS

Employees must always respect copyrights and trademarks of third parties and their ownership claims in images, text, video and audio material, software, information, and inventions. Employees should not copy, use, or transfer proprietary materials of others without appropriate authorization. Downloaded software and other copyrighted material may be subject to licensing obligations or restrictions. Even when software is labeled "freeware" or “shareware", there may be retained licensing restrictions that prohibit or limit the usage or commercialization of such items. If questions arise in this regard, contact the director. Focused will cooperate with the copyright holder and legal officials in all copyright matters.

##### SYSTEM INTEGRITY, SECURITY, ENCRYPTION AND POLICY VIOLATIONS

All Systems passwords and encryption keys must be available to Focused management. Employees may not install password or encryption programs without the written permission of the director, and without turning over encryption keys to their supervisor. Further, employees are prohibited from the unauthorized use of passwords and encryption keys belonging to other employees to gain access to the other employee's messages, information, or communications.

Policy violations may result in disciplinary action up to and including immediate termination, as well as possible civil liabilities and criminal prosecution. Where Focused deems it appropriate, we may advise legal officials or other appropriate third parties of any violations.

Focused will cooperate with investigations conducted by legal officials or appropriate third parties.

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## USE OF VEHICLES

* Must possess a valid United States driver’s license issued by the Department of Motor Vehicles from the state or the state in which you previously resided
* Must be courteous at all times, respecting the rights of other drivers and pedestrians.
* Cell phones should not be used while driving (for texting or for speaking); however, if it is absolutely necessary to communicate by use of your mobile phone while driving, you are requested to pull over to the side of the road to complete your communication.
* Must agree to wear seat belts at all times
* No drinking of alcoholic beverages and/or use of controlled substances shall be allowed in a Focused company vehicle at any time.
* The driver must not be under the influence of controlled substances and/or alcohol at any time.
* All traffic violations and citations are the sole responsibility of the driver.
* Must conform to all traffic laws (including speed limits), signals, and road markings; and make proper allowance for adverse weather and traffic conditions.
* Report any change in license status immediately (i.e. if your license has been suspended or revoked) to the director within one working day of any such change. If the license is suspended or revoked, operating privileges will be terminated accordingly.
* In the event you are in an accident while driving your vehicle, if there are no injuries, call your immediate supervisor and then the police. If there are injuries, call the police and then your immediate supervisor.
* Follow the ACCIDENT PROCEDURE for gathering information.

**ACCIDENT PROCEDURE: (at the scene)**

**Do not admit fault.**

1. Acquire information from the other driver(s):
	* Name
	* Date of Birth
	* Driver’s License Number/State
	* Address
	* Insurance Company/Policy Number, if known
	* License Plate Number
	* Make/Model/Year of Vehicle
	* Damage to Vehicle (what is visible)
	* Injury to Driver, if any
	* Date, Time, Road (location) and Weather Conditions

1. Acquire information from Passengers or Witnesses:
	* Names
	* Numbers (best contact numbers)
	* Injuries to Passengers

1. Acquire information from the Investigating Officer:
	* Officer’s Name
	* Badge Number
	* Phone Number
	* Report Number

The Director will conduct random checks with the DMV for driving records and require that employee present proof of insurance at the appropriate renewal period.

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## PROFESSIONAL LICENSES AND RELATED DOCUMENTATION

All Focused employees must complete and maintain current up-to-date records and must supply all required documents necessary to work to the Human Resources department. To keep your personnel records up to date and to ensure that Focused has the ability to contact employees, employees must notify the director promptly of any change of name, address, phone number, marital status, number of dependents, or other applicable information. If you do not have a phone, please provide us with the phone number of your nearest contact.

It is imperative that up-to-date records be maintained in your employee file. A current copy of the employee’s professional certification/license is required to be on file at all times. Professional licenses will be verified on an annual basis, or more often if necessary. Employees are also required to read, test, and sign off on all required quizzes annually. Clinical staff members as well as those with direct client contact must provide documentation for proof of current CPR is also required at the time of employment as well renewal at the time of expiration (CPR is valid for 2 years). These records are confidential and only authorized management may access them. Any unauthorized access of an employee’s personnel records by another employee is grounds for disciplinary action, up to and including termination.

##### FAILURE TO MAINTAIN OR RENEW REQUIRED LICENSES

Failure to renew or keep current any license required by Focused or any federal or state regulatory agency for the performance of your job may result in termination. For the period that a certification or license has expired, the therapist is strictly prohibited from conducting client visits and will be put on temporary leave. In the event that it may be necessary, clients may be temporarily or permanently re-staffed as deemed necessary by the supervisor or director.

##### NOTIFICATION OF REQUIRED DOCUMENTATION

Employees will be notified of upcoming documentation requirements to the best of her ability via email from the Director. Employees will be given approximately two weeks to return the documentation to the director via mail, fax, email, or in person. It is imperative to provide the requested documentation to the director in effort to prohibit any disruption of work duties. If the employee has submitted for their professional license but has not yet received the current copy, proof of renewal will be accepted for the two weeks after the license has expired. However, proof of the renewal must be on file prior to the expiration of the license.

## PERSONAL APPEARANCE

Focused professional atmosphere is maintained, in part, by the image we present to our clients and their families. We expect all employees to present a neat, well-groomed appearance, and a courteous disposition. These qualities go further than any other factors in making a favorable impression on the public and your co-workers. Both office and field staff should avoid extremes in attire. Flashy, provocative, skimpy, or revealing outfits are unacceptable.

It is the discretion of your immediate supervisor and/or the director to determine if your attire is appropriate, and to determine if any disciplinary action should be taken.

Clothing should be clean with no inappropriate logos. Keep client considerations in mind (high energy four year old=probably no skirts and heels 😊)

Remember that we are not wanting to stand out when we are with clients- its much more appropriate to come off as a peer or friend than a “support” or “therapist”- so yes, if you want to wear “holey jeans” and your converse shoes, that is ok!

If office and/or field staff chooses to wear personal clothing, the following applies:

* Skirts, including blue jean skirts, are permissible. However, extremely short skirts are NOT appropriate.
* Pants, capris and blue jeans are allowed.
* Sleeves on dresses, shirts, or blouses must be a minimum of 2” wide from the collar to the end of the sleeve. Sleeveless clothing that does not fit that requirement is only acceptable with appropriate covering.
* T-shirts are allowed, but with no inappropriate slogans, writing or advertisements.
* Tank tops and sleeveless shirts, blouses, or dresses are not permitted.
* Inappropriate tattoos and face tatoos should be covered.
* Flip-flops are not permitted.

Good personal hygiene and a clean appearance are required at all times, and particularly when you are in contact with a client. Due to the demands of client care:

* Hair should be kept clean and groomed.
* Jewelry should be conservative.
* Make-up should be appropriate for the professional environment.
* Cologne/perfume should be worn lightly, or not at all.
* Nails should be kept trimmed

Employees are expected to observe our Personal Appearance Policy at all times while at work. Employees who report to work in unacceptable attire or appearance may be requested to leave work and return in acceptable attire or appearance and are subject to other disciplinary action up to and including termination. For hourly, non-exempt employees, time spent traveling to and from home to change clothing is considered off the clock and will not be compensated.

## SOLICITATION

Employees are not to solicit or be solicited during their working time when performance of job duties is expected. This does not include time before or after work hours, or during breaks or lunch periods. Employees are not to distribute advertising materials, handbills or other literature without express consent of the supervisor. Focused prohibits solicitation and distribution by non-employees on Company premises at all times.

## SMOKING AND USE OF TOBACCO

To maintain a safe and comfortable working environment and to ensure compliance with applicable laws, smoking and all forms of tobacco products in Focused offices is prohibited. Smoking areas are strictly regulated and employees should familiarize themselves with the areas where smoking is permitted. Smoking and tobacco use is not allowed in the presence of a Focused client or their family members. Smoking and tobacco use on the property of a client is prohibited, as well. Use of tobacco in any form is permitted only in designated outdoor areas.

## HANDLING OF CASH/PAYMENT FOR SERVICES

Employees who handle cash or other payment for services as part of their job duties will be held accountable for shortages. Employees who have frequent mishandlings may also be disciplined for such shortages, up to and including immediate termination.

## GIFTS OR GRATUITIES

A “gift” is considered to be a present, gratuity, property, or service. Employees are not allowed to give or accept any gift or any service from any client, employee, vendor, or referral source. In no way should a Focused employee encourage or solicit a gift or gratuity or accept a gift with the expectation of something being given or received in return.

## MISUSE OR UNAUTHORIZED USE OF PROPERTY

We have made a tremendous investment in facilities and equipment to better serve our clients and to make your job easier. Deliberate, reckless, or careless damage to Focuseds’, client’s, or client's family’s property will not be tolerated. You will be financially liable for the repair and/or replacement of any equipment or property. If appropriate, damage to property will be reported to law enforcement agencies.

## THEFT

Stealing or attempting to steal Focused’s property or property belonging to co-workers, clients, or client’s family members, either by commission or omission, is strictly prohibited. To protect you, your co-workers, and Focused, we reserve the right to inspect all purses, briefcases, packages, lockers, desks, cabinets, vehicles, and any other containers or items on Company property, if the need arises. If you wish to remove any Company property from the premises, you must obtain written permission in advance from your supervisor.

## GAMBLING

Focused employees are not to engage in any form of gambling on Focused premises.

## DRUG-FREE/ALCOHOL-FREE WORKPLACE

Focuseds’ objective is to maintain a safe, healthy working environment for all employees, thereby reducing the incidence of accidental injury to persons or property and to minimize any possibility for inappropriate behavior on the part of Focused representatives. Focused recognizes its obligation to take such action as considered necessary to ensure the safe and efficient operation of our business.

It is the policy of Focused to create a drugfree/alcohol-free workplace in keeping with the spirit and intent of the Drug-Free Workplace Act of 1988. The use of any controlled substances is inconsistent with the behavior expected of Focused employees. Arriving at work under the influence of illicit alcohol or illegal drugs is strictly prohibited and will be cause for immediate termination, due to the impairment of the employee to perform their job responsibilities.

Focused will not tolerate substance abuse of any kind, including illicit drugs, prescription medications and alcohol. Employees who test positive for the presence of drugs or alcohol on company time may be subject to immediate termination. Substances that may affect an individual’s mood, senses, responses, motor functions, or alter or affect a person’s perception, performance or behavior when used is a potential safety hazard to the individual and his/her co-workers.

As a condition of consideration for initial and continued employment, Focused prohibits employees from reporting to work or performing their duties while under the influence of any unlawful drugs, nonmedically prescribed controlled substances, or alcohol. Employees are also prohibited from using, possessing, manufacturing, distributing, or making arrangements to distribute unlawful drugs, nonmedically prescribed controlled substances, or alcohol while at work, in a company vehicle, off-site at training or other meetings wherein the employee is representing Focused, on company premises (including being in a personal vehicle on site at a Focused facility), or while on a client’s property. These guidelines apply to both lunch and break periods, as well.

For the safety or all employees and clients and to enforce this policy, Focused may, at any time where lawful, require, as a condition of employment, any employee to submit to a physical examination and/or urine, breath, blood or other test to determine the presence of drugs or alcohol in the employee’s system.

The possible occasions for drug and alcohol testing include, but are not limited to:

* When an applicant applies for employment;
* Company-wide, department-wide, or position-wide random testing;
* Individual testing when Focused has a reasonable suspicion that an employee has violated Focused’s Alcohol and Drug Policy;
* When an employee suffers an on-the-job reportable injury or is involved in an accident on company property or while driving a company vehicle.

Violation of these rules, including:

* A test indicating the presence of unlawful drugs, non-medically prescribed controlled substances, or alcohol in an employee’s system;
* Refusal to cooperate with Focused in any test, search or investigation, or failure to execute any paperwork necessary for examinations or tests;
* Possession of, distribution of, consumption of, or attempted consumption of unlawful drugs, non-medically prescribed controlled substances, alcohol, or drug paraphernalia;
* Tampering with, attempting to tamper with, or adulterating a test sample, or
* Unlawful conduct on or off duty involving alcohol or drug use, may result in disciplinary action, up to and including immediate termination.

Employees who refuse to submit to a test, or test positive for unlawful drugs, non-medically prescribed controlled substances, or alcohol may be disciplined and/or terminated, and disqualified for employment benefits, unemployment compensation or worker’s compensation. Although the proper use of medication is not prohibited, employees should consult with the employee’s supervisor when he/she is taking medication that may affect safety or performance. Any prescription medication brought onto Focused property or taken while an employee is operating a Company vehicle must be retained in its original container, labeled with the name of the employee and the prescribing physician. Employees are advised against taking another person’s medication. Focused treats the abuse of prescription medication as unlawful drug use.

## FRAUD, DISHONESTY OR FALSE STATEMENTS

Focused takes fraud very seriously. No employee may falsify or make any misrepresentations on or about any application, resume, document establishing identity or work status, medical history record, insurance form, work-related documentation (including those of visits with clients), paperwork, time sheet, time card, or any other document. If you observe such a violation, please report it to your immediate supervisor or Administrator immediately. Falsification of documents will result in termination.

**DATING IN THE WORKPLACE**

Focused does not permit immediate supervisors to date or be romantically linked to their subordinates that work directly under their supervision. In the event that a relationship of this capacity is found to exist, disciplinary action up to and including termination may occur.

**REPORTING HARASSMENT AND/OR DISCRIMINATION**

Each member of Focused staff is responsible for creating an atmosphere free of discrimination and harassment, sexual or otherwise. Further, employees are responsible for respecting the rights of their co-workers. If an employee experiences any type of harassment or discrimination based on their sex, race, national origin, disability, or another factor, or if any employee believes they have been treated in an unlawful, discriminatory manner the following procedure should be followed:

* If a situation is created wherein the sexual harassment is severe, such as touching, groping, or physical assault, the offended employee should go directly to the Human Resources department to report the incident. If appropriate, law enforcement authorities will be notified and an investigation will begin.

The offended employee should adhere to the following protocol:

1. Report the incident of discrimination or harassing conduct immediately to their Supervisor, or Director. The complaint will be kept confidential to the maximum extent possible.

3. Upon being informed of an allegation of harassment or discrimination, Focused will investigate of the matter.

4. If it is determined that an employee is guilty of harassing or discriminating against another individual, appropriate disciplinary action will be taken against the offending employee, up to and including termination of employment.

5. The offended employee will be notified of the outcome of the investigation and Focused will advise the employee whether corrective action or preventative action against further incidents has been taken.

Focused prohibits any form of retaliation against any employee for filing a bona fide complaint under this policy or for assisting in a complaint investigation. However, if, after investigating any complaint of harassment or discrimination, Focused determines that the complaint is not legitimate and was not made in good faith or that an employee has provided false information regarding the complaint, disciplinary action may be taken against the individual who filed the complaint or who gave false information.

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**GENERAL COMPLAINT RESOLUTION**

Misunderstandings or conflicts can arise in any organization. To ensure effective working relations, it is important that such matters be resolved before serious problems develop. Most incidents resolve themselves naturally; however, if a situation persists that an employee believes is detrimental to themselves or to Focused, the employee should bring the complaint to the attention of the appropriate parties by following the procedure as outlined below:

* First, discuss the problem with the direct party as per the BACB ethical code if possible, otherwise direct to your immediate Supervisor or Director.
* To resolve the problem, the facts will be considered and a brief investigation may occur if necessary, in order to understand all perspectives of the problem. A response (written or verbal) to your complaint will be received within ten working days of filing the complaint.
* If you are not satisfied with the decision and wish to pursue the problem or complaint further, you may prepare a written summary of your concerns and request the matter be reviewed by the Director. After full examination of the facts (which may include a review of the written summary of your statement, discussions with all individuals concerned, and further investigation, if necessary), you will normally be advised of their decision within fifteen working days. The decision made by the Director is final.
* Focused does not tolerate any form of retaliation against employees. The procedure should not be construed, however, as preventing, limiting, or delaying Focused from taking disciplinary action against any individual, up to and including termination, in circumstances (such as those involving problems of overall performance, conduct, attitude, or demeanor) where Focused management deems disciplinary action is appropriate.
* For Nebraska Medicaid: Complaint procedures regarding HIPAA, ADA, or ACA may be found at <http://dhhs.ne.gov/Documents/ADA%20and%20ACA%20Complaint%20Procedure.pdf>

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**INVESTIGATIONS**

Investigations will be handled through the Director. The Director is charged with investigating complaints of sexual harassment and discriminatory issues for Focused and may be contacted to initiate an investigation. Focused will reserve the right to retain the services of an outside investigator, if necessary. This policy and the complaint process outlined in this Handbook does not preclude the filing of a charge with the Equal Employment Opportunity Commission or any other federal agency.

**DISPUTE RESOLUTION**

Focused recognizes that there may be a circumstance wherein an employee is simply not satisfied with the final resolution of his or her problem. To promote the just, speedy and inexpensive resolution of any unresolved legal dispute between Focused and an employee, any dispute of a legal nature (i.e., a dispute arising under federal, state or local law) will be submitted to mediation before any party may instigate a lawsuit, or an arbitration proceeding. The parties will agree on a mutually acceptable neutral third party mediator. In the event the parties cannot agree on a mediator, the parties will seek judicial assistance for the appointment of a neutral mediator.

In addition to the above, employees who believe that they may have been subjected to sexual harassment or unlawful discrimination, may file a formal complaint with the local office of the EEOC. It should be understood that using Focused complaint process does not prohibit an employee from filing a complaint with any agency, nor does this preclude the filing of a charge with any federal agency.

## FEDERAL FALSE CLAIMS ACT (FCA)

The purpose of the Federal False Claims Act (FCA) is to combat fraud and abuse in government health care programs. False claims laws do so by making it possible for the government to bring civil actions to recover damages and penalties when healthcare providers submit false claims. Specifically, the FCA imposes civil penalties on people and companies who knowingly submit a false claim or statement to a federally funded program, or otherwise conspire to defraud the government, in order to receive payment.

The centers for Medicare & Medicaid Services (CMS) have specific definitions for several specific key terms. They are as follows:

* An “entity” includes a governmental agency, organization, unit, corporation, partnership, provider, or other business arrangement (including any Medicaid managed care organization), whether for-profit or not-for-profit, which receives or makes payments, under a State Plan approved under Title XIX or under any waiver of such plan, totaling at least $5 million annually.
* An “employee” is any officer, manager, or employee of the entity.
* A “contractor” or “agent” includes any contractor, subcontractor, agent, or other person which or who on behalf of the entity, furnishes or authorizes the furnishing of Medicaid healthcare items or services, performs billing or coding functions, or is involved in monitoring of healthcare provided by the entity.
* “Fraud” is the intentional deception or misrepresentation that an individual knows to be false (or does not believe to be true) and makes, knowing that the deception could result in an unauthorized benefit to himself or another person.
* “Abuse” is incidents or practices of providers that are inconsistent with sound medical practice and may result in unnecessary costs, improper payment, or the payment for services that either fail to meet professionally recognized standards of care or are MEDICALLY UNNECESSARY.
* “Knowingly” is defined as a person, with respect to information, that has actual knowledge that a claim is false, knowingly ignores facts which may reveal false information or disregards the need to check the truth or accuracy of the information extends to any payment requested of the federal government (note: no proof of specific intent to defraud is required).

More specifically, the FCA applies to billing and claims sent from Focused to any government payer program, including Medicare and Medicaid. The FCA also includes ANY PERSON WHO:

* Knowingly presents, or causes to be presented, a false or fraudulent claim for payment or approval
* Knowingly makes, uses, or causes to be made or used, a false record or statement to get a false or fraudulent claim paid or approved
* Conspires to defraud by getting a false or fraudulent claim allowed or paid; or
* Knowingly makes, uses, or causes to be made or used, a false record or statement to conceal, avoid or decrease an obligation to pay or transmit money or property to the government. Under the Federal False Claims Act, any person or entity that knowingly submits a false or fraudulent claim for payment of United States Government funds is liable for significant penalties and fines. The fines include a penalty of up to three times the Government’s damages, civil penalties ranging from $5,500 to $11,000 per false claim, and the costs of the civil action against the entity that submitted the false claims.

The Attorney General of the United States is required to diligently investigate violations of the FCA, and may bring a civil action against a person. Before filing suit, the Attorney General may issue an investigative demand requiring production of documents and written answers and oral testimony. Some examples of what constitutes healthcare fraud include:

* Billing for services or goods not provided;
* Falsifying certificates of medical necessity and billing for services not medically necessary;
* Continuing to see a client for therapy when they do not qualify for services any longer;
* Billing separately for services that should be a single service (unbundling);
* Falsifying treatment plans or medical records to maximize payments;
* Failing to report overpayments;
* Duplicate billing;
* Misuse of provider ID numbers, which results in improper billing and payments

## PROGRAM FRAUD CIVIL REMEDIES ACT OF 1986

The Program Fraud Civil Remedies Act (PFCRA) of 1986 is a law that is similar to the FCA. Persons or companies that commit fraud against the federal government, by false claim or statement, can be assessed monetary penalties in addition to the penalties of the FCA as a result of this law. The PFCRA penalties of $5,000 per false claim or statement are applicable if a person or company submits a claim to the federal government that:

* The person or company knows or has reason to know is false, fictitious, or fraudulent;
* Includes or is supported by written statements containing false, fictitious, or fraudulent information;
* Includes or is supported by written statements that omit a material fact, which causes the statements to be false, fictitious, or fraudulent, and the person submitting the statement has a duty to include the omitted fact;
* Is payment of property or services that are not provided as claimed;
* If a person or company provides written back-up or materials relating to the claim in which the person or company asserts a material fact that is false, fictitious, or fraudulent;
* Omits a fact that the individual had a duty to include, the commission causes the statement to be false, fictitious, or fraudulent, and the statement contains a certification of accuracy.

A violation of the PFCRA results in a maximum civil penalty of $5,000 per claim plus an assessment of up to twice the amount of each false or fraudulent claim.

##### MEDICAID FRAUD PREVENTION LAW

It is a crime in Nebraska to bill the Medicaid program fraudulently. Anyone who provides services to a Medicaid beneficiary and seeks or accepts payment for unnecessary or improper services is subject to POSSIBLE IMPRISONMENT AND/OR CRIMINAL FINES under the state law.

The Medicaid Fraud Prevention Law is very similar to the FCA. One specific point of interest, however, is that a person may also be liable if he/she presents a claim for payment under the Medicaid program for a product or service that was rendered by an unlicensed provider or that has not been approved by a healthcare practitioner. Moreover, the law specifies that the civil penalty is greater for unlawful acts that result in injury to an elderly person, a disabled person, or someone younger than 18 years of age. “

##### “QUI TAM” OR WHISTLEBLOWER SUITS

The FCA also includes provisions intended to protect individuals who report suspected fraud. Any person with direct and independent knowledge, otherwise known as “original source” knowledge, of false claims to the government may initiate a formal complaint or “qui tam” lawsuit on behalf of the government. The plaintiff must notify the US Department of Justice of all information regarding the fraudulent activity. If the USDJ accepts the case and fraud is proven, the qui tam plaintiff is entitled to a portion of the funds recovered by the government. The FCA also protects individuals who assist in an investigation, provide testimony, or participate in the government’s handling of a false claim. If the USDJ declines to accept the case, the individual may still proceed with their suit on his or her own, without the government’s assistance, and at his or her own expense.

A private legal action under the FCA must be brought within six years from the date that the false claim was submitted to the government. However, a government-initiated claim may be brought up to ten years after the false claim, depending on the circumstances.

If an employee is discharged, demoted, suspended, threatened, harassed, or discriminated against in his employment as a result of whistleblowing, they are entitled to reinstatement of their position with the same seniority status, two times the amount of back pay, interest on the back pay, and compensation for any special damages as a result of the discrimination, such as litigation costs and reasonable attorney’s fees.

If the civil action is frivolous, clearly vexatious, or brought primarily for harassment, the plaintiff may have to pay the defendant its fees and costs. If the plaintiff planned or initiated the violation, the share of the proceeds may be reduced and, if found guilty of a crime associated with the violation, no share will be awarded to the plaintiff.

##### FOCUSED’S POLICIES AND PROCEDURES AND ACTION PLAN AGAINST FRAUD POLICY

Focused is committed to fostering a culture of compliance and an environment in which employees, managers, and contractors are educated and knowledgeable about their role in reporting concerns and problems in relation to compliance and ethics. Focused expects employees to uphold the highest standards of honesty and integrity in all areas of practice. All Focused employees, contractors, and agents are expected to immediately report any suspicion of fraud, waste, or abuse in connection with health care services. Any of the following may be contacted to report suspected fraud and abuse within Focused:

* Your immediate supervisor;
* Your Director (if the concern relates to your immediate supervisor);
* Owner

All employees who suspect fraud and/or abuse have an obligation to bring any potential report to the attention of one of the above listed supervisors. While the original report may be performed orally, it will be requested that the suspected action be documented in writing using the Fraud, Waste, and Abuse form (FWA). Your identity will be kept confidential throughout the process within the confines of Focused. If, for any reason, you feel that you cannot confidentially report your claim internally, you may choose to file your claim with the Health and Human Services Officer of the Inspector General hotline at 1-800-447-8477. It is strongly encouraged that internal lines of investigation be utilized prior to contacting external resources. This expectation is intended to allow Focused to investigate and correct any issue pertaining to false claims or other aspects of organizational compliance.

In compliance with the FCA and related laws, Focused assures that no person will be subject to retaliation as a result of reporting credible misconduct. No employee will be discharged, demoted, suspended, threatened, harassed, or in any other fashion discriminated against in the terms and conditions of employment by Focused solely because of actions taken to report potential fraud and abuse or other lawful acts by the employee in connection with internal reporting of compliance issues or an action filed or to be filed under the FCA.

##### PROCEDURE

Internal as well as external reporting mechanisms are available to any employee or agent who suspects fraud and abuse within Focused. It is Focused policy that an employee, contractor, or agent of Focused who has knowledge of the submission of a false claim reports the suspicion to one of the above stated supervisors. Actual fraud as well as failure to report actual fraud will be treated equally. An employee and/or contractor who fail to report properly, when that person knows of conduct constituting a violation under the FCA or related legal provision, will be personally liable and is subject to discipline up to and including termination of employment.

Listed below are some of the ways that Focused strives to monitor compliance to prevent fraud and abuse:

* Session Notes for each service
* Verification of parent/caregiver signatures during ongoing chart audits (performed in-house)
* Reports run monthly on clients at random to determine length of visits.
* Case conferences performed with clients every month to speak with parents of EVERY client to determine:
* Therapists are coming as scheduled
* Therapists stay a minimum of 30 minutes for EACH session
* Random auditing of signatures in client files sent to parents to verify
* Random auditing of daily notes to ensure appropriate documentation is being performed
* Director, Clinical Supervisor or Lead Therapist reads every evaluation submitted to ensure appropriate medical necessity for therapy
* Verification of all certified/licensed employees is performed at time of hire and annually to ensure all employees maintain appropriate certifications
* Applicants or current employees who have been excluded from federal or state programs are not hired or retained
* Orders for treatment from any physician who has been excluded from federal or state programs are not accepted
* Checks and balances system in place for Billing Department to verify accuracy of dates of service billed
* All potential violations of the DRA will be investigated thoroughly and actions will be taken in a timely manner to resolve the identified problem.
* All employees are expected to read and sign a statement that they will comply with the Focused Code of Ethical Conduct (BACB)

**POLICY UPDATE (10/22/2018): Session Notes are due EVERY FRIDAY. Internal Audits will be emailed weekly and in case of missing session notes staff will complete notes within 24 hours. Staff verification should be marked every session, no exceptions. This should be by the minute. Any parent verifications not completed will be emailed for bulk signature on a monthly basis. Session notes not completed within warned time period may face disciplinary action and/or termination.**

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# SECTION V: EMPLOYEE BENEFITS

**BENEFITS OVERVIEW**

**BENEFIT ELIGIBILITY**

**MEDICAL COVERAGE**

**DENTAL COVERAGE**

**VISION COVERAGE**

**DISABILITY COVERAGE**

**RETIREMENT SAVINGS ACCOUNT**

**WORKER’S COMPENSATION**

**COBRA COMPLIANCE AND COVERAGE**

**TRAINING AND EDUCATIONAL ASSISTANCE**

## BENEFITS OVERVIEW

As a part of your total compensation package, Focused offers group health, dental, vision, and other supplemental benefits to our regular, full-time administrative staff, therapists, and eligible dependents. The owner/director determines the contribution to the group health plan annually prior to the new plan year which begins each February. Employees are required to pay their portion for health insurance premiums and all other insurance costs through payroll deductions.

Employees will receive a *Benefits Decision Guide* during Open Enrollment and New Hire Orientation which provides highlights of our group coverage, rates, and eligibility requirements. For more detailed information regarding our group benefits, you may contact the Benefits Administrator to receive a Summary Plan Description (SPD) which describes the covered services, benefit levels, exclusions, and limitations of the plan’s coverage. The SPD may also be referred to as the Certificate of Coverage or the Summary Plan Document in which you are entitled to receive as a participant of a group benefits plan in accordance with the *Employee Retirement Income Security Act (ERISA)*.

All employees must complete the enrollment process during the specified enrollment period to either accept or decline the offered coverage. A newly eligible employee must enroll within 31 days of becoming eligible or during the annual open enrollment period which is scheduled each January. It is the responsibility of the employee to promptly report changes which affect benefit eligibility, such as the number of dependents and marital status, to the Benefits Administrator within 31 days of your status change (also known as a “Qualifying Life Event”).

Changes to medical benefits and other supplemental benefits are only permitted at Open

Enrollment or in the event of an official “change of status” as defined under the *Health Insurance Portability and Accountability Act (HIPAA) of 1996*. Benefit changes, as a result of an official “change of status” must take place within 31 days of the qualifying event.

Completed enrollment applications must be sent directly to the Benefits Administrator at the address listed below:

Focused Behavior Solutions, LLC

ATTN: Rachel Pope

1521 East Illinois Ave. Ste 107

Spokane, WA

Upon separation of employment, an employee currently participating in Focused’s Group Health Coverage, would cease to have coverage on the last day of the month in which the employee was voluntarily or involuntarily terminated. *(For more information, please refer to the COBRA Compliance and Coverage Section)*.

## BENEFIT ELIGIBILITY

Focused offers group health, dental, vision, and disability benefits to full-time administrative staff, and therapists. Benefit eligibility is based on the following criteria:

**HEALTH/DENTAL/VISION/HEALTH SAVINGS ACCOUNT**

*Administrative employees must work a minimum of 32 hours per week*

|  |  |
| --- | --- |
| EMPLOYEE CLASS | ELIGIBILITY (1st of the month after….) |
| **Salaried Exempt**  | **Completing 30 days of employment at required billable hours** |
| **Hourly Administrative Staff**  | **Completing 90 days of employment**  |
| **Therapist/Field Staff**  | **Completing 90 days of maintaining an average of 32 hours per week for at least 30 days** |

## MEDICAL COVERAGE

Medical coverage is one of the most important benefits that Focused can provide. Medical benefits provide significant support for and protection against potentially large financial expenses as well as covering preventive care. Focused is committed to keeping employees healthy and productive by offering healthcare coverage. For this reason, Focused provides medical coverage options for employees to choose from. Detailed information about these plans is available from the Human Resources department and will be presented during new hire orientation and over annual open enrollment period.

## DENTAL COVERAGE

Proper dental care plays an important role in your overall good health. Our dental plans are designed to encourage preventative treatment, allowing employees to achieve oral health while striving to minimize dental costs. Focused employees have the option to participate in dental plans which are selected each year.

## VISION COVERAGE

Eye care health is an indicator of overall health. Regular eye exams can detect diseases like glaucoma, diabetes, and blindness. Each year at open enrollment, Focused employees have the option to participate in a vision plan.

Premium contributions for vision will be deducted from your paycheck on a pre-tax basis. Your tier of coverage will determine your weekly premium. Please see our Benefits Administrator for plan-specific information.

## DISABILITY COVERAGE

Disability coverage is an important part of the overall benefits package that Focused provides to its employees. When you are disabled, this benefit replaces a portion of your income, helping to ease the burden of meeting your everyday financial obligations.

#### LONG TERM DISABILITY

Focused pays the full cost of your Long Term Disability coverage. The LTD plan covers 60% of your current monthly salary if you suffer from a disabling accident or illness on or off the job. The monthly benefit amounts are described in the plan details currently in effect. Benefit payments will begin after you have been unable to work for 90 days (elimination period) due to disability.

#### SHORT TERM DISABILITY

You may purchase Short Term Disability coverage on a voluntary basis. Short-Term Disability (STD) insurance pays 60% of your base salary, if you become temporarily disabled, meaning that you are not able to work for a short period of time due to sickness or injury (excluding on-the-job injuries, which are covered by workers compensation insurance).

For additional information on Disability Coverage, please contact the Focused Benefits Administrator/Director.

## WORKER’S COMPENSATION

## (SEE ATTACHED INCIDENT FORM)

Focused provides worker’s compensation insurance to protect our employees from injuries or illnesses resulting from a work-related incident. Your work states Worker’s Compensation Commission has established a 24-hour toll free number for reporting any unsafe conditions in the workplace that may violate occupational health and safety laws. Employers are prohibited by law from suspending, terminating, or discriminating against any employee because he/she in good faith reports an alleged occupational health or safety violation. Worker’s Compensation benefits pay for medical treatment and part of any income you may lose while recovering. Specific benefits are prescribed by law depending on the circumstances of each case. To be assured of maximum coverage, work-related accidents must be reported immediately to your supervisor.

## COBRA COMPLIANCE AND COVERAGE

Federal law, in the form of ERISA and the Internal Revenue Code, requires Focused to offer most terminating employees the opportunity to continue their membership in Focused’s group health plan at the employee’s expense, in most circumstances, for up to eighteen months.

#### ELIGIBILITY

Continuation coverage under COBRA will be offered to each qualified beneficiary. This includes the covered employee and the covered employee’s spouse and dependent children if they are covered under the health plan. In addition, COBRA provides qualified beneficiaries with the same continuation rights if their work hours are reduced and the reduction in hours makes them ineligible for coverage under the employer’s group health plan.

#### ACCEPTANCE OF COBRA

If covered by the group health plan at the time of their termination, the employee will be provided the opportunity to participate in COBRA. Upon the date of their termination, the group health care provider will be notified. At that time, the COBRA Administrator will generate a COBRA letter that will be sent by mail to the employee. The employee must accept or decline coverage. In either case, the employee must indicate their decision in writing.

#### COBRA COVERAGE MAY END

If the employee accepts COBRA coverage, payment of the premium will be the responsibility of the employee in order for health care coverage to continue. The premium is subject to change if the rates charged to Focused increase or decrease. Continuous coverage may end, however, if any of the following events occur:

1. failure to make timely payments of all premiums;
2. assumption of coverage under another group health plan, which does not exclude or limit coverage to the employee on account of preexisting medical condition unless the preexisting condition does not apply due to the Health Insurance Portability and Accountability Act; or
3. Focused termination of its group health plans. If the employee enrolls in Medicare, the employee will no longer be eligible for continued coverage, however, the spouse and dependent children may be entitled to extend their continuation coverage.

Our COBRA Administrator will contact the employee concerning these options at the time of termination. The COBRA Administrator will contact the designated qualified beneficiaries in the event of death of the employee or the employee’s enrollment in Medicare.

However, in the event of the employee becoming divorced or legally separated, or one of the employee’s dependents ceases to be eligible for coverage under our group health insurance plan, the employee and/or their dependent is responsible for contacting the Human Resources department and the Benefits Administrator to discuss continuation/conversion rights. The employee and the employee’s qualified beneficiaries are also responsible for notifying the Human Resources department within sixty (60) days of qualifying for social security disability benefits.

# SECTION VI: TIME AWAY FROM WORK

**CALLING IN SICK AND EMERGENCY ABSENCES**

**MILITARY LEAVE**

**PERSONAL LEAVE OF ABSENCE**

**FAMILY AND MEDICAL LEAVE ACT (FMLA)**

**JURY DUTY**

**WITNESS SUMMONS**

**VOTING**

**PTO ACCRUED**

**PAID HOLIDAYS**

##

## ATTENDANCE AND PUNCTUALITY

Focused office hours are Monday through Friday, 9:00am to 5:00 pm. All Focused employees are required to report to work at the time of their scheduled shift, visit, or appointment. Due to the nature of home care, unforeseen circumstances can, and do, occur at times. However, it is the employee’s responsibility to inform their supervisor or client/family that a situation has arisen. For therapists, attempts to reschedule the visit must be made with the family. All attempts must be documented in Rethink. PLEASE try to cover your shift if possible.

Focused expects all employees to assume diligent responsibility for their attendance and promptness.

Recognizing that illnesses and injuries may occur, however, Focused has established a Sick and Personal Days policy to compensate part and full-time regular employees for certain time lost for legitimate medical or personal reasons, including time off to secure treatment for a disability or severe illness. Any leave of absence must be approved by the employee’s immediate supervisor.

If an employee is unable to work because of illness, they must notify their immediate supervisor or director by 8:00 am on each day of the absence, unless the employee has been granted an authorized medical leave, in which case different notification procedures apply. If you attempt to contact your immediate supervisor but cannot reach him/her, it may be necessary to leave a voice message/text/email. When leaving a voicemail message, it is required that you leave a call-back number where you can be reached in the event of an emergency. Contacting a co-worker is not acceptable and will not be considered as appropriate notification.

If, after two (3) consecutive days, an employee has failed to notify their supervisor by 8:00 am each morning that they will not be in attendance, the employee may be terminated on the basis of job abandonment, and the termination of employment will be considered voluntary. Failure to properly notify your supervisor by the designated time will result in an unexcused absence, and could result in additional disciplinary action, up to and including termination.

When an employee fails to report to work as scheduled, it makes it more difficult for us to serve our clients. Every employee plays an important role in our operation, and his/her tardiness places an unnecessary burden on fellow employees, our clients and on Focused. Excessive tardiness or leaving early will result in disciplinary action.

## EXCESSIVE ABSENTEEISM

Excessive absenteeism is considered three (3) absences or more per month. Excessive absenteeism can cause Focused an undue hardship, and violations of this policy may result in disciplinary action up to and including termination. This policy will be practiced in accordance with applicable federal and state laws.

If an employee is absent for more than three (3) consecutive workdays, a statement from a physician may be required before the employee will be permitted to return to work. In such instances, Focused also reserves the right to require the employee to submit to an examination by a physician designated by Focused at its discretion. Focused may require the employee to be examined by a company-designated physician at its discretion, such as where abuse is suspected (e.g., where an employee’s record indicates a pattern of short absences and/or frequent, unscheduled absences before or after holidays and weekends).

## CALLING IN SICK AND EMERGENCY ABSENCES

Focused realizes that there will be times when an employee becomes ill or has an emergency absence for which they cannot plan. In those cases, the employee should follow the guidelines listed below:

If an employee is unable to work because of illness, they must notify their immediate supervisor/director by no later than 8:00 am on each day of the absence (unless the employee has been granted an authorized medical leave, in which case different notification procedures apply).

Notification must be in the form of a telephone call in order for the employee to speak directly with their supervisor. Texts and/or emails can be followed. There should be an explanation of the circumstances in order for the employee’s supervisor to understand the necessity for the absence and when the employee feels they may be able to return to work.

If the employee attempts to contact their immediate supervisor, or director but cannot reach him/her, it may be necessary to leave a voice message. When leaving a voicemail message, it is required that you leave a call-back number where you can be reached in the event of an emergency. Contacting a co-worker is not acceptable and will not be considered as appropriate notification of an absence due to illness or an emergency absence. Since many employees are in charge of their schedule with their client/family, please call them asap to infom them that you will not be arriving.

## MILITARY LEAVE

Employees who are inducted into the U.S. Armed Forces or who are reserve members of the U.S. Armed Forces/National Guard or state militia groups will be granted Military Leaves of Absence for military service, training, or other obligations in compliance with state and federal laws. Focused allows employees who require time off from work to fulfill military duties to meet those commitments in accordance with the Uniformed Services Employment and Reemployment Rights Act (USERRA). Employees with such commitments are expected to provide their immediate supervisor and/or the director with a copy of their orders as soon as those orders have been received.

## FAMILY AND MEDICAL LEAVE ACT (FMLA)

Focused has adopted this policy to implement the terms of the Family and Medical Leave Act of 1993 (FMLA). Eligible employees are entitled to family and medical leave on the terms and conditions stated in this policy, the regulations issued by the Department of Labor under the FMLA and in Focused’s other applicable leave policies.

The Family and Medical Leave Act of 1993 (FMLA) provides that eligible employees must be given a total of up to 12 weeks of unpaid, job-protected leave per year for the following absences:

* Incapacity due to pregnancy, prenatal medical care or child birth;
* The birth, adoption, or foster care placement of a child;
* The care of a spouse, child, or parent with a serious health condition; or
* The employee's own serious health condition which makes the employee unable to perform the employee’s job;
* To address certain qualifying exigencies for a spouse, son, daughter, or parent on call to active duty status in the National Guard or Reserves in support of a contingency operation;
* To care for a covered service member who is a current member of the Armed Forces, including a member of the National Guard or Reserves, who has a serious injury or illness incurred in the line of duty on active duty.

An eligible employee is entitled to a total of 26-weeks of unpaid leave during a single 12-month period to care for a parent, son, daughter, spouse or next of kin who is a Covered Service Member, regardless of whether the employee has taken leave for another FMLA qualifying reason in the past 12-months. Any leave taken under one or more of these circumstances will be counted against the employee’s total entitlement to FMLA leave for that leave year.

For purposes of this policy, the following definitions apply:

* 1. Eligible Employee: an individual who has been employed by Focused for at least 90-days

* 1. FMLA Leave: leave that qualifies under the Family and Medical Leave Act of 1993, as amended by the National Defense Authorization Act of 2008, Pub. L. 110-181, and the Department of Labor’s regulations and is designated by Focused vas so qualifying.

#### PAID LEAVE BENEFIT COORDINATION with FMLA LEAVE

FMLA leave under this policy is generally unpaid leave. If, however, the employee is eligible for any paid leave under any other benefit programs such as accrued vacation, unused sick or personal days, or long-term/short-term disability, the employee will be required to exhaust the paid leave upon the commencement of, and concurrently with, FMLA leave (unless the employee’s own serious health condition has caused the leave and the employee is receiving workers’ compensation benefits). Paid leave will run concurrently with and be counted toward the employee’s total 12-week or 26-week period of FMLA leave.

#### INTERMITTENT or REDUCED SCHEDULED LEAVE

FMLA leave may be taken intermittently or on a reduced work schedule basis. If FMLA leave is taken intermittently or on a reduced schedule basis, then Focused may require the employee to transfer temporarily to an available alternative position with an equivalent pay rate and benefits, including a part-time position, to better accommodate recurring periods of leave due to foreseeable medical treatment.

#### EMPLOYEE NOTICE REQUIREMENT

Employees are required to provide Focused with sufficient information to make us aware that the employee needs FMLA-qualifying leave, and the anticipated timing and duration of the leave. Sufficient information may include the following: that the employee is unable to perform his or her job functions; that the employee’s family member is unable to perform his or her daily activities; that the employee or his or her family member must be hospitalized or undergo continuing treatment; or the circumstances supporting the need for military family leave. When an employee seeks leave due to a FMLA-qualifying reason for which Focused has previously provided FMLA-protected leave, the employee must specifically reference the qualifying reason for the leave and the need for FMLA leave.

If the need for leave is foreseeable, the employee is required to provide such notice to the Human Resources Department at least 30 days before the commencement of the leave, unless impracticable to do so under the circumstances. In this case, notice must be given as soon as possible, generally the same or the next business day. The employee also must follow any Focused policy requiring advance notice, reasons for leave and anticipated start and duration of the leave. Failure to provide advance notice to Focused when the need for leave is foreseeable may result in delay or denial of FMLA leave. If the leave is not foreseeable, the employee must provide notice to the Human Resources Department of need for leave as soon as possible, and must follow the normal call-in procedures, as set forth in the Focused Employee Handbook. Failure to follow call-in procedures, absent unusual circumstances, will result in delay or denial of the leave.

#### APPLICATION and MEDICAL CERTIFICATION

A leave to care for the employee’s own serious health condition, or the serious health condition of a covered family member, must be supported by a medical certification completed by the health care provider for the employee or the covered family member. A qualifying exigency leave or a leave to care for a Covered Service Member with a serious injury or illness must also be supported by a certification.

#### DENIAL OF LEAVE

A representative from the Human Resources department (not the employee’s direct supervisor) may contact the employee’s health care provider to clarify or authenticate the medical certification submitted for leave for the employee’s own serious health condition or the serious health condition of a family member. If Focused has reason to doubt the validity of a medical certification, the employee will be required to obtain a second or third opinion at Focused’s expense. Failure to comply with these certification requirements will result in the delay, denial or termination of leave.

#### CONTINUATION OF GROUP HEALTH BENEFITS

Focused will maintain the employee’s coverage under a group health plan during the period of FMLA leave under the same terms and conditions as though the employee were actively working. During the leave, the employee will be required to continue to make all premium payments that he/she otherwise would have had to make if actively employed. Where feasible, Focused will advise the employee concerning the necessary arrangements for such payments prior to the commencement of the leave. If the employee fails to return to work following the expiration of FMLA leave for a reason other than a serious health condition or circumstances beyond the employee’s control, Focused will be entitled to the repayment by the employee of any premiums paid by Focused during the leave. Failure to make timely premium payments may result in the termination of coverage.

An employee on FMLA leave should deliver payment of the employee’s portion of such premium to the Human Resources department prior to the first day of each month by making a check payable to Focused. The premium payment should be mailed to:

Focused Behavior Solutions, LLC

1521 East Illinois Ave. Ste 107

Spokane WA 99207

Failure to make prompt payment of the employee’s portion of such premium may result in the loss of medical insurance coverage for the duration of the FMLA leave. However, upon the employee’s return to work, the medical insurance will be restored as of the date that the employee returns. If the employee does not return from FMLA leave, or returns to work but does not remain an active employee for at least 30 days, Focusedmay seek to recover the amount paid for such insurance premiums from the employee. An employee on FMLA leave shall be responsible for the payment of the full premium for all other insurance, pensions and other benefits. Failure of the employee to pay the entire premium for such items shall result in their lapse for the duration of the FMLA leave. If the employee returns from FMLA leave, all such insurance, pension and other benefits shall be restored without any break in service. An employee shall not accrue any credit toward vacation or other benefits based upon time worked for the time that he or she is on FMLA leave.

#### RETURN TO WORK/FITNESS–FOR-DUTY CERTIFICATION

Consistent with Focused practice, before returning to work following a medical leave due to the employee’s serious health condition, the employee will be required to present a Fitness-For-Duty Certification from his/her health care provider that the employee is medically able to resume work and to perform the essential functions of his or her job.

## JURY DUTY

Focused encourages our employees to accept his/her civic responsibilities. As a good corporate citizen, we are pleased to assist you in the performance of your civic duties.

 If you receive a call to jury duty, please notify your supervisor immediately so that necessary arrangements can be made in your absence. While on jury duty, Focused will pay the difference between your basic rate of pay and any pay from the jury duty for up to three (3) days each year. Employees with jury duty must provide their supervisor and director with a copy of the notice of jury duty.

Employees who are released from jury service before the end of their regularly scheduled shift or who are not selected to serve on a jury panel are expected to call their supervisor as soon as possible and report to work if requested.

## WITNESS SUMMONS

If you are subpoenaed to appear as a witness, please notify your supervisor immediately so we can make necessary arrangements in your absence. We do not pay employees who are subpoenaed to appear as witnesses for third parties. Employees who are subpoenaed to appear as a witness must provide their supervisor and the director with a copy of the subpoena.

Employees who are released from their subpoena before the end of their regularly scheduled shift are expected to call their supervisor as soon as possible, and report to work if requested.

## VOTING

Focused encourages all employees to fulfill their civic responsibility and to vote in all official public elections. Generally, Focused working hours are such that employees will have ample time to cast their vote before or after business hours. However, if an employee finds there is insufficient time to get to the polls to vote, the matter should be discussed with their immediate supervisor so that arrangements can be made for you to have the necessary time to get to the polls. Focused complies with all applicable voting-laws of the municipalities in which we have offices located.

## PAID TIME OFF

#### SICK and PERSONAL TIME

Focused understands that our employees need the ability to attend to personal and family business. We also recognize that when an individual is sick, they need time to recover; therefore, these days have been provided for those purposes. Sick and personal days (PTO) cannot be carried over from one year to the next. Sick and personal days cannot be bought and, if an employee leaves Focused, no compensation will be paid for sick and personal days which remain unused.

#### ELIGIBILITY

PTO accrual equals 1 hour for every 20 hours worked. This applies to full time employees. Every employee qualifies for sick PTO accrual.

#### USE OF SICK and PERSONAL DAYS

Once an employee has exhausted the number of days allotted for sick and personal business, in order to be paid for time away from the work environment, the employee may use any accrued time for vacation, if they have vacation accruals available. If no vacation accruals are available, the employee will not be paid for any time away from the work environment.

#### REQUESTING PTO TIME

The employee must complete Time Off form on GUSTO and submit it to their director for approval prior to the PTO being taken. If the day(s) used are due to sudden illness, the form must be completed immediately upon the employee returning to the office.

#### SCHEDULING

Scheduling of vacations should be done as soon as the employee knows when they want time off. The first employee(s) to schedule vacation will have their choice of days away from the office. Priority will be given to the employee who schedules first. In the case where two employees within the same department request the same dates for vacation and make that request at thesame time, priority will be given to the employee with service seniority.

Focused reserves the right to deny requests for vacations if the time away would impose a hardship on the clinical or operational requirements of Focused. Approval of time off is not guaranteed, as Focused must maintain sufficient staff to operate. Therefore, it may not be possible to grant all requests for a particular time period.

## PAID HOLIDAYS

All regular, full-time employees who have completed their Introductory Period will receive the following days off with pay whenever the holiday falls on a regularly scheduled workday:

####  New Year's Day  Memorial Day  Independence Day  Labor Day  Thanksgiving Day

####   Christmas Day  New Year’s Eve

Holidays are normally celebrated on the legally observed day. Temporary employees are not eligible for holiday pay.

As employees are in charge of client schedules, please determine a good schedule for both you and the family during the holidays. Focused values the need for family time and makes efforts to make this possible.

If a designated holiday falls within a scheduled Vacation period, and the employee qualifies for holiday pay, the holiday is not considered paid time off and the employee’s paid time off balance will not be decreased by those holiday hours.

Employees may take religious holidays, not designated as an agency holiday, as PPD time, Vacation time or without pay. A minimum of one week advance prior approval must be obtained from your immediate supervisor.

# HANDBOOK ACKNOWLEDGEMENT

This Handbook highlights your opportunities and responsibilities as an employee of Focused. It is a guide to your employment here. By always keeping the contents of the Handbook in mind, you can be a productive, successful employee at Focused. As with any growing organization, the policies and procedures may change due to business developments and necessity; therefore, Focused reserves the right to change or modify any of the policies and procedures contained herein. Any changes or modifications made will be communicated to every employee at the time those changes or modifications are to become effective. Also, there are undoubtedly some company policies that are not incorporated into this Handbook. However, employees are expected to familiarize themselves with those policies as well as abide by them.

 We are sincerely appreciative of the fact that you chose Focused as your employer!

**Policies and Procedures Acknowledgment**

By signing this form I agree that I have read the Focused Behavior Solutions, LLC Policies and Procedures Handbook thoroughly. I have been given the opportunity to review with my supervisor, understand these procedures, and will comply with them.

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

Printed Name

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

Signature

# ATTACHED FORMS

**DISCIPLINE FORM**

**Record of Counseling/Warning/Corrective Action**

Name: Date:

Department: Position:

The following has taken place with the above employee:

[ ]  Counseling [ ]  Warning [ ]  Final Warning

[ ]  Correction action [ ]  Suspension [ ]  Termination of employment

[ ]  Taken off case

Regarding:

[ ]  Absence [ ]  Procedure violation [ ]  Failure to follow instructions

[ ]  Tardiness [ ]  Ethics violation [ ]  Unsafe action or safety violation

[ ]  Policy violation [ ]  Insubordination [ ]  Unsatisfactory performance

[ ]  Other

**Facts/Incident**

**Possible consequences and/or corrective action**

**Employee’s comments**

**Receipt**

Director/Supervisor Signature Date

I acknowledge that I have reviewed this report:

Employee Signature Date

Witness Signature Date

**EMPLOYEE EXIT FORM**

Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Position: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Supervisor: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Termination Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

What is the reason for leaving?\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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What did you like most about your job?\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

What did you like least about your job?\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Do you feel training opportunities were available to you? Yes( ) No( ) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

DO you think your supervisor was fair and reasonable? If not, explain: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

 Do you believe you were given access to and realistic consideration for promotional opportunities with the company? Yes( ) No( )\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

 Did you feel your contributions were appreciated by your supervisor and others? Yes( ) No( ) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Did you have the appropriated equipment and resources necessary to perform your job? Yes( ) No( ) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Was your salary satisfactory for the job you were performing? Yes( ) No( ) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Were you satisfied with the employee benefits provided? Yes( ) No( ) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Was the physical working environment comfortable and conductive to productivity? Yes( ) No( ) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Was the job realistically presented to you when you were hired ? Yes( ) No( ) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Suggestions for any improvements: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Are there any changes which could have been made to prevent you from leaving? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Exit Checklist: (items to be returned to employer prior to final paycheck)

 ( )Keys

( )Company materials

 ( )Credit cards

( ) iPad/Surface

Recommend Rehire ( )yes ( )no.

I acknowledge that, during my employment with Focused Behavior Solutions, LLC, I received client protected health information and proprietary information of the company in performing my job duties. I acknowledge that I have an ongoing duty after my employment with Focused ends to protect from disclosure or improper use any protected health information or company proprietary information that I acquired during my employment. I understand and acknowledge that I must return all protected health information, and any other confidential or proprietary information of Focused when I separate from employment with Focused. I understand that my failure to return such information or my post-employment violation of the restrictions on disclosure may result in Focused reporting my actions to the relevant authorities, or pursuing available legal remedies reasonable and necessary to protect the confidential and proprietary information of the company and its clients.

Employee Signature:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Interviewer Signature:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Date :\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**iPAD/SURFACE USE AGREEMENT**

Surface Pro’s are provided to direct staff employees of Focused Behavior Solutions to aid in meeting the requirements of staff’s position. Requirements include data recording, timesheets and authorization code input, using applications that may facilitate programming for clients, and use of company email. Surfaces are expected to have set lock codes to protect the information contained therein.

Employees are expected to take care of the Surface. If damage occurs during a session, by a client, an incident report should be completed and supervisor notified within 24 hours. Employee will not be held responsible for this damage. If damage occurs outside of treatment session, the employee must complete an incident report within 24 hours for repair/replacement.

As property of Focused Behavior Solutions, LLC, it is subject to search and to check the condition of the Surface at the discretion of the employer. All employees are expected to comply with a request to do so. Failure to do so may result in disciplinary action up to and including termination.

The Surface remains property of Focused Behavior Solutions and must be returned when employment ends. If the Surface is not returned, the employee will be subject to replace it at the retail price of $300.00.

My signature below represents my consent to abide by this agreement.

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

Employee Signature - Receive tables Date

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

Employee Printed Name Supervisor Signature - Receive

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

Serial Number of Surface

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

Employee Signature - Return tablet Date

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

Supervisor Signature - Return tablet

**BEHAVIOR TECH/RBT EVALUATION**

Employee Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (check applicable):

Evaluator: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ 30-day

Date of evaluation: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ 90- day

 Annual

 Rating Scale

5 = Consistently exceeds expectations of job.

4 = Usually exceeds expectations of job.

3 = Meets jobs requirements.

2 = Occasionally meets job requirements.

1 = Never meets jobs requirements.

N/A = not applicable to job requirement at this time.

JOB RESPONSIBILITIES: 1 2 3 4 5 N/A

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| 1. Fill out session notes & summarize session effectively with caregiver every session.
 |  |  |  |  |   |  |
| 1. Arrives to work ready and organized before each session.
 |  |  |  |  |  |  |
| 1. No cell phone use during session
 |  |  |  |  |  |  |
| 1. Follows HIPAA and confidentiality policy.
 |  |  |  |  |  |  |
| 1. Fully attends to client/student throughout entire (including free time).
 |  |  |  |  |  |  |
| 1. Instuctional Delivery; establishes attention before giving instruction.
 |  |  |  |  |  |  |
| 1. Instuctional Delivery; Instructions clear and discriminable and varied.
 |  |  |  |  |  |  |
| 1. Instuctional Delivery; Inter-trial intervals were appropriate length.
 |  |  |  |  |  |  |
| 1. Instuctional Delivery; Prompts used reliable evoke the correct response.
 |  |  |  |  |  |  |
| 1. Instuctional Delivery; Therapist used all opportunities for incidental teaching.
 |  |  |  |  |  |  |
| 1. Instuctional Delivery; Re-presents program stimuli multiple times during teaching.
 |  |  |  |  |  |  |
| 1. Error correction; error correction procedure followed when necessary.
 |  |  |  |  |  |  |
| 1. Error correction; ensures teach, transfer, test trials are done when needed.
 |  |  |  |  |  |  |
| 1. Error correction; re-states SD (instructions) w/ 0 second time delay after error/no response & uses errorless teaching with appropriate time delay.
 |  |  |  |  |  |  |
| 1. Reinforcement/motivation system; delivers immediately & controls reinforcer.
 |  |  |  |  |  |  |
| 1. Reinforcement/motivation system; reinforcers were delivered contingent upon correct responses, attending, & lack of inappropriate behavior.
 |  |  |  |  |  |  |
| 1. Reinforcement/motivation system; therapist voice & demeanor were clearly reinforcing.
 |  |  |  |  |  |  |
| 1. Reinforcement/motivation system; pairs social reinforcement w/tangible items.
 |  |  |  |  |  |  |
| 1. Reinforcement/motivation system; appropriate ratio of easy (mastered/maintenance) v. difficult task (60/40).
 |  |  |  |  |  |  |
| 1. Bx Reduction Mgmt; tx of behavior(s) as specified in Tx plan/programs.
 |  |  |  |  |  |  |
| 1. Bx Reduction Mgmt; maintains composure during bx reduction procedures.
 |  |  |  |  |  |  |
| 1. Bx Reduction Mgmt; accurately records Bx data.
 |  |  |  |  |  |  |
| 1. Bx Reduction Mgmt; interrupted activities to gain instructional control & re-establish program when client/student was attending.
 |  |  |  |  |  |  |
| 1. Bx reduction Mgmt; redirected &/or ignored behaviors that have no specific intervention(s).
 |  |  |  |  |  |  |
| 1. Bx Reduction Mgmt; represents target stimuli multiple times during teaching.
 |  |  |  |  |  |  |
| 1. Data Collection; follows treatment plan & programs.
 |  |  |  |  |  |  |
| 1. Data Collection; takes data based on 85% of program at every session.
 |  |  |  |  |  |  |
| 1. Data Collection; graphed data or treatment grid.
 |  |  |  |  |  |  |
| 1. Data Collection; measurement of client/student responses is reliable (85% or above).
 |  |  |  |  |  |  |
| 1. Data Collection; stimuli presented from stimulus list.
 |  |  |  |  |  |  |
| 1. Data Collection; data recorded immediately after occurrence of target bx.
 |  |  |  |  |  |  |
| 1. Data Collection; data taken during “free play” or NET.
 |  |  |  |  |  |  |
| 1. Attends team meetings.
 |  |  |  |  |  |  |
| 1. Arrives to work on time and is prudent in use of leave and adheres to leave policies.
 |  |  |  |  |  |  |
| 1. Positively represents the Company in the work place and public environment; exhibits professional demeanor, including appropriate dress, grooming, hygiene and language.
 |  |  |  |  |  |  |
| 1. Effective Communicator. Expresses self clearly, both orally and in writing, including conveying and receiving messages clearly.
 |  |  |  |  |  |  |
| 1. Demonstrates an interest in learning; keeps current in field (i.e., participates in ongoing professional development).
 |  |  |  |  |  |  |
| 1. Performs additional duties as required. Willingness to take on new projects.
 |  |  |  |  |  |  |
| **TOTALS:** |  |  |  |  |  |  |

Evaluator Comments: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Employee Comments: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Evaluator Signature:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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

**EMPLOYEE PERFORMANCE EVALUATION**

|  |  |
| --- | --- |
| Employee Name  | Date of Hire  |
| Reviewer | Review Period  |

It is the policy of Focused to conduct formal performance evaluations on staff employees six (6) months after date of hire and then at least once annually. The Performance Evaluation is to reflect a positive and collaborative approach. Performance evaluation is a continuing process undertaken by both the employee and the supervisor, and the six- (6) month or annual written review is to formally reflect the interchanges that have taken place throughout the review period. The purpose of performance evaluations is to support attainment of the college’s goals and objectives. In order to do this, the supervisor and employee review the employee’s performance and development needs. The performance evaluation is also a time to identify and acknowledge an employee’s successes and achievements. Del Mar Center for Behavioral Health accomplishes its goals and objectives by establishing a working environment which supports quality work performance, encourages and supports personal and job-related development, and improves communication between supervisor and employee.

**Focused Behavior Solutions Goals:**

Expand Focused caring approach to client success.

Create and enhance a systemic approach to partnerships and community building.

Build on Focused’s multi-faceted diversity.

Strengthen Focuseds comprehensive identity.

Innovate to sustain Focuseds success.

**To achieve the agency’s goals, Focused Behavior Solutions, LLC will:**

* Encourage and support students by offering the best opportunities for occupational and workforce training, certificates, associate degrees, transfer credit, skill development and continuous learning.
* Respond quickly to community needs by promoting and maintaining program quality and relevant learning for development.
* Encourage and support staff in their roles and offer opportunities for growth, professional development and recognition.
* Meet change through innovation and technology.
* Foster communication, cooperation and collaboration within our community and between and among other institutions and the community.
* Ensure that Focused is welcoming, friendly and service oriented to attract and retain students.
* Provide affordable and accessible services.
* Respect and promote diversity.
* Develop, improve, and maintain physical resources at Focused to facilitate learning.
* Maintain fiscal integrity and responsibility.
* Provide accountability through an ongoing system of evaluation, analysis and adjustment.

**In supporting these goals, employees and immediate supervisors will:**

* Conduct an annual review to assess goals and objectives, achievement levels and improvements.
* Establish individual performance goals and objectives aligned with Focused’s strategic direction.

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| --- | --- | --- | --- | --- |
| **E = Exceeds Expectations**  | **M = Meets Expectations**  | **I = Needs Improvemen**t  | **N = Does Not Meet** **Expectations**  | **N/A = Not Applicable**  |

**CARING RATING**

|  |  |
| --- | --- |
| 1. Establishes and maintains effective working relationships.  |   |
| 2. Acts in a professional manner in dealing with co-workers and the public.  |   |
| 3. Exhibits clear verbal and written communications.  |   |
| 4. Listens to and considers other viewpoints and new ideas.  |   |
| 5. Demonstrates patience, consideration, and respect for others.  |   |
| **Comments:**  |   |
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**CIVILITY**

|  |  |
| --- | --- |
| 1. Is flexible and open to change.  |   |
| 2. Is open to feedback and accepts constructive criticism.  |   |
| 3. Is responsive, consistent and fair.  |   |
| **Comments:**  |   |
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**EXCELLENCE**

|  |  |
| --- | --- |
| 1. Gets the job done.  |   |
| 2. Maintains high standards and quality of work.  |   |
| 3. Aligns work with Del Mar Center for Behavioral Health Strategic Direction.  |   |
| **Comments:**  |   |
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**HOPE**

|  |  |
| --- | --- |
| 1. Encourages and supports clients, peers, and supervisor.  |   |
| **Comments:**  |   |
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|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **E = Exceeds Expectations**  | **M = Meets Expectations**  | **I = Needs Improvemen**t  | **N = Does Not Meet** **Expectations**  | **N/A = Not Applicable**  |

**INTEGRITY RATING**

|  |  |
| --- | --- |
| 1. Takes responsibility and accepts accountability.  |   |
| 2. Works within assigned authority.  |   |
| 3. Uses resources (time, human, financial, supplies, and equipment) appropriately.  |   |
| 4. Adheres to established policies and procedures.  |   |
| **Comments:**  |   |
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**LEADERSHIP**

|  |  |
| --- | --- |
| 1. Initiates improvements/innovations in work performed.  |   |
| **Comments:**  |   |
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**DIVERSITY**

|  |  |
| --- | --- |
| 1. Creates or supports an inclusive environment.  |   |
| 2. Works effectively with diverse groups.  |   |
| **Comments:**  |   |
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**RESULTS**

|  |  |
| --- | --- |
| 1. Accomplishes required tasks in a timely manner.  |   |
| 2. Plans ahead and prioritizes tasks.  |   |
| 3. Produces work that is accurate, complete, and meets expectations.  |   |
| 4. Makes informed decisions.  |   |
| 5. Accepts responsibility and takes corrective action.  |   |
| **Comments:**  |   |
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|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **E = Exceeds Expectations**  | **M = Meets Expectations**  | **I = Needs Improvemen**t  | **N = Does Not Meet** **Expectations**  | **N/A = Not Applicable**  |

**COMMUNITY BUILDING RATING**

|  |  |
| --- | --- |
| 1. Responds quickly, accurately, and appropriately to internal and external inquiries.  |   |
| 2. Participates in efforts that positively affect the internal and external communities.  |   |
| 3. Practices responsible citizenship, i.e. volunteers for activities, being a good neighbor and/or contributes to improving the campus community.  |   |
| **Comments:**  |   |
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**SUPERVISOR COMMENTS:**

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**EMPLOYEE COMMENTS:**

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**CURRENT YEAR GOALS AND PROFESSIONAL DEVELOPMENT:**

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**NEXT YEAR GOALS:**

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**SIGNATURES:**

|  |  |  |  |
| --- | --- | --- | --- |
| Employee Signature/Date  |   | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  | \_\_\_\_\_\_\_\_\_\_\_  |
| Supervisor Signature/Date  |   | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  | \_\_\_\_\_\_\_\_\_\_\_  |

**INCIDENT REPORT**

|  |
| --- |
| **Name of Client \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_****Name of Employee \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_****Position\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_****Location/Address \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_****Date of the incident\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Time: \_\_\_\_\_\_\_\_\_** **Date of the report \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_** **What Incident/Accident Occurred:**  |
|  |

**Describe (duration, response):**

**Police called \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Medical assessment/ER visit \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Crisis line called \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Mental Health Professional recommendation:**

**Parents/guardians notified: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Others present at time of accident: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Submitted by: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

 **signature position**

**Parent Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**After incident review and follow up: cc: Focused Director (rachelpope@focusedbehaviorsolutions.com)**