

Lifeworks

A nonprofit serving
people with disabilities

Lifeworks Services, Inc.

Employee Handbook
PERSONAL SUPPORT
AND RESPITE

Employee Handbook Table of Contents

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Lifeworks reimburses employees for business-related mileage. Costs of driving between the employee’s home and main place of work each day are personal commute expenses.

Introduction

This policy manual, which replaces all previous policy manuals and other oral or written statements of employment policy, is provided for informational purposes only and is not a contract between Lifeworks and its employees. Nothing in this manual changes the basic premise that employment with Lifeworks is at-will, meaning that you have the right to terminate your employment at any time, with or without cause or notice, and that Lifeworks and the family have the same right. No representative of Lifeworks or the family has the authority to enter into an agreement contrary to this or to create an employment contract for any set period of time. The rules and procedures contained in this manual are not a complete list and cannot cover all situations that may arise. Like any growing, developing organization, Lifeworks will add to and revise its procedures as necessary, with or without prior notice.

What Is Lifeworks?

Lifeworks is a nonprofit organization that helps people with disabilities live fuller lives that are integrated into the flow of community experience. Lifeworks provides the tools our clients need to pursue fulfilling work in the community, rewarding social and educational experiences, and increased independence.

Lifeworks promotes freedom, choice, and control through connecting people with employment opportunities, building skills and confidence, and finding the right combination of services, programs, and support to build the satisfying lives they desire. Lifeworks offers services including but not limited to: employment and pre-employment preparation; art, music, and performance classes; professional sensory environments and assistive technology support; opportunities to engage and give back to the community; and comprehensive fiscal support.

Lifeworks Mission

The Lifeworks mission is to serve our community and people with disabilities as we live and work together.

Lifeworks Vision

Our goal is to help people live more self-determined lives. We are passionately committed to fostering a greater understanding of people with disabilities so that they are heard, their interests are respected, and their contributions valued.

The People We Serve

Lifeworks supports individuals from childhood, through transition, and into adulthood helping accomplish short and long term goals through a life plan. Lifeworks helps clients and their families take advantage of the right combination of services and support to build the satisfying lives they desire.

Lifeworks currently serves over 2,300 children and adults with disabilities both through fiscal, in-home and day services.

Service Coordination

Lifeworks helps individuals navigate the system and find the right support at the right time. We focus on customer solutions that alleviate the biggest concerns for the individual and their family in the way of their choosing and within the resources available. We become a trusted advisor that will be there for the long term to help plan future transitions.

Personal Support and Respite Services

Personal Support:

Personal Supports is a federally approved DD Waiver plan and must follow MN Statute 245D regarding basic support services requirements.

Personal Support is defined by Minnesota's Department of Human Services (DHS) as a non-medical care, supervision and assistance provided in the home of the person or in the community to achieve increased independence, productivity and inclusion in the community. Personal support services relate to outcomes identified in the person's service plan when teaching and training is not necessary to attain these outcomes. Covered services include: least costly assistance to reasonably meet the needs of the person, non-medical care, and supervision.

Respite:

Respite is a federally approved BI, CAC, CADI or DD Waiver plans and must follow MN Statute 245D regarding basic support services requirements.

Respite is defined by MN's DHS as a short-term care services provided due to the absence or need for relief of the family member(s) or primary caregiver normally providing the care.

In-home or out-of-home respite settings must meet necessary provider licensure and qualifications. Respite may be provided in the participant's home or place of residence, or in a setting approved by MN's DHS or the case manager if unlicensed and is limited to 30 consecutive days per respite stay in accordance with the plan of care.

Homemaker:

Homemaker services are delivered when the participant is unable to manage the general cleaning and household activities, or the primary caregiver who is regularly responsible for these activities is unable to manage the household activities.

Lifeworks provides basic homemaker services only which include light household cleaning. These services must be authorized by the county.

Criteria for Providing Services:

Lifeworks is committed to serve all people who would benefit from our services based on the following criteria:

- Resides within our demographic service area
- Eligibility for funding
- Availability of services that match their needs

The program manager of service coordination will make all acceptance decisions based on the criteria above.

Time frame for starting services:

At Lifeworks our goal is to meet the needs and supports of the people we serve in a timely manner. Personal Supports and Respite services requires an Authorized Representative, employees to successfully complete the hiring process, and employees must be properly trained according to the MN Statute 245D and Lifeworks requirements.

Authorized Representative Responsibilities

The Authorized Representative has agreed to take on the responsibility of knowing and following the legal obligations as defined in the signed agreement with Lifeworks. The Authorized Representative is responsible for providing the support necessary to assist the person served (Client) in the use of the Services.

Board of Directors

Lifeworks is governed by a volunteer board of directors. Our current Board members can be found at www.lifeworks.org. It is the Board of Directors' role to:

- Govern with a proactive, long-term perspective.
- Consider the organization's reason for existence.
- Consider the good of the organization as a whole rather than its parts (concern with the big issues).
- Provide long-range planning, define the vision, and influence strategy.
- Focus on *ends* (outputs, impacts) of service rather than on *means* (methods) of delivering our services.
- Measure the ends against the means to assure the taxpayer that dollars are well spent.
- Evaluate executive performance.
- Attend meetings, do committee work, represent the organization to the community, and assist in resource development.

Contact Information for Administration and Program Locations

Lifeworks serves people throughout the Twin Cities metropolitan area, Hastings, and Mankato, Minnesota. Our current office is listed below. For directions, go to Lifeworks homepage, or go directly to mapquest.com.

<p>Administrative Office 2965 Lone Oak Drive, Suite 160 Eagan, MN 55121 Phone: 651-454-2732 Fax: 651-454-3174 www.lifeworks.org</p> <p>Service Coordination (located at Administrative Office) Phone: 651-454-2732 Fax: 651-454-2773</p> <p>Human Resources Phone: 651-454-2732 Fax: 651-365-3787 trainingdept@lifeworks.org</p> <p>Payroll Department Phone: 651-454-2732 Timecard Fax: 1-877-858-6957 General Fax: 651-365-3788</p>	<p>Whistleblower Hotline Phone: 1-877-767-7781 lifeworks@getintouch.com</p> <p>Forms found online at www.lifeworks.org (Customized Support)</p> <p>Hourly Time Card Payroll Calendar Direct Deposit Authorization Forms Reimbursement Request Forms Retirement Plan Information</p>
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Values-Based Decision-Making

To help you provide flexible, responsive, great customer service to your clients, we developed a guide based on Lifeworks values. There are framed copies in every Lifeworks facility.

When you are struggling with a decision, either on your own, or with a group, refer to this guide, or read the framed copy on the wall. Ask the list of questions, beginning with "Is this ethical?" If the answer is "no" to any of the questions, don't go any further. If you can answer "yes" to every question, and you have carefully considered everyone involved, then you can make the decision with confidence.

Ethical

Does this decision . . .
Show personal honesty and integrity?
Demonstrate our mission? - Follow our Code of Ethics?

Respectful

Does this decision . . .
Treat people with dignity?
See people as worthy of having the best?
Promote win/win solutions?

Responsive

Does this decision . . .
Provide information and opportunities to make choices?
Demonstrate respect for people's ideas and choices?
Identify expectations and deliver on commitments?

Resourceful

Does this decision . . .
Use our resources to support, not replace other resources?
Use resources wisely?

Code of Ethics

Ethics refers to a code of conduct based on moral duties and obligations which indicate how people should behave. It deals with the ability to distinguish right from wrong and the commitment to do what is right. The purpose of the Code of Ethics is to provide standards of ethical behavior for employees when that behavior directly relates to the mission of the organization.

Responsibility to the Individuals We Serve

- I shall treat the individuals we serve with the utmost dignity, free from ridicule.
- I shall not use my professional relationship with our clients to further my own interests.
- I shall interact with our clients in a manner which is respectful of their humanity and rights as persons.
- I shall be aware of my potential influence on clients and will not exploit their trust.
- I will not witness documents or co-sign any legal documents.
- I shall follow all state and federal laws and rules regulating services to our clients.
- I shall afford the same consideration to all individuals I provide service for regardless of whether I normally work with them or not.

- I shall demonstrate a genuine interest in all our clients and dedicate myself to their best interests and empowerment.
- I shall provide the opportunity for reasonable risk in growth experiences for the individuals I serve.
- I shall not discriminate against or refuse services to any person on the basis of race, gender, creed, color, religion, national origin, age, public assistance status, marital status, sexual orientation, veteran status, physical or mental disabilities, or any other category protected by law.

Confidentiality (see Privacy Policy)

- I shall respect the privacy of individuals and hold in confidence all information obtained in the course of professional service. Therefore, I will not disclose information regarding clients to anyone except:
 1. As mandated by law;
 2. To prevent a clear and present danger to a person or persons;
 3. If there is an authorization for release of information previously obtained in writing and then only the information as indicated on the authorization.
- I recognize that confidentiality and privacy requirements apply also to colleagues who do not work directly with the said clients.
- I shall be responsible to store or dispose of client records in ways that maintain confidentiality.
- I shall possess a professional attitude which upholds the confidentiality of clients, colleagues, and the organization.
- I shall, upon my termination of employment, maintain the same level of honor regarding confidentiality as during my employment.

Responsibility to Colleagues

- I shall respect the rights and views of fellow colleagues and treat them with fairness, courtesy and good faith.
- I shall be aware of my potential influence on colleagues and will not exploit their trust.
- I shall not engage in or condone any form of harassment of or discrimination against colleagues.
- I shall extend respect and cooperation to colleagues within and external to the organization.
- If I have the responsibility for employing or evaluating the performance of other staff, I shall do so in a responsible, fair, considerate and equitable manner which provides the opportunity for growth.
- I shall respect the confidences of my colleagues.
- If I know firsthand that a colleague has violated ethical or legal standards, I shall take whatever action is needed to prevent any further violations from occurring, including speaking with my colleague and/or reporting the violation to a Human Resources Representative.
- If it is reported to me that a colleague has violated ethical or legal standards, I shall ensure that the report is communicated to my colleague's Service Coordinator.

Professional Responsibility

- I have a total commitment to provide the highest quality of service to those individuals I serve.
- I have a continuing commitment to assess my own personal strengths, biases and effectiveness.
- I shall strive to become and remain proficient in the performance of the work for which I was hired.
- I shall act in accordance with the highest standards of integrity.
- I shall seek assistance and advice on problems outside the recognized bounds of my competence.

Responsibility to Lifeworks

- I shall work to improve the effectiveness and efficiency of services provided by Lifeworks.
- I shall not fundraise for my personal causes unless approved by human resources.
- I shall act to prevent and eliminate discrimination in work assignments and in personnel policies or practices.
- I shall use the resources of Lifeworks only for the purposes for which they were intended and follow guidelines set forth in our facility module.
- I shall fulfill any and all commitments made by me to Lifeworks.
- I shall maintain respect for Lifeworks policies, procedures and management decisions and will take the initiative toward improving them when it will better serve the best interests of our clients.
- I shall support the integrity and reputation of Lifeworks.
- I shall resign if I cannot maintain respect for Lifeworks policies, procedures, and management decisions and support the integrity and reputation of Lifeworks.

Conflict of Interest

Purpose

This Conflict of Interest Policy (the "Policy") is designed to help directors, Board committee members, officers, employees and contractors of Lifeworks identify situations that present potential conflicts of interest, to provide a mechanism for addressing conflicts, and to provide Lifeworks with a procedure which, if observed, may allow a transaction to be treated as valid and binding even though a director, Board committee member, officer, employee or contractor has or may have a Conflict of Interest with respect to the transaction.

Policy

1. Conflicts Prohibited Unless Approved. No Responsible Person shall engage in any activity that constitutes a Conflict of Interest except to the extent the Conflict of Interest has been duly disclosed, reviewed and allowed in accordance with the Procedures specified in this Policy.
2. Conflict of Interest. For purposes of this Policy, the following circumstances shall be deemed to create Conflicts of Interest:
 - a. Outside Interests.

- i. A Contract or Transaction between Lifeworks and a Responsible Person or Family Member.
 - ii. A Contract or Transaction between Lifeworks and an entity in which a Responsible Person or Family Member has a Material Financial Interest or of which such person is a director, officer, agent, partner, associate, trustee, personal representative, receiver, guardian, custodian, conservator or other legal representative.
- b. Outside Activities.
 - i. A Responsible Person competing with Lifeworks in the rendering of services or in any other contract or transaction with a third party.
 - ii. Responsible Person's having a Material Financial Interest in; or serving as a director, officer, employee, agent, partner, associate, trustee, personal representative, receiver, guardian, custodian, conservator or other legal representative of, or consultant to; an entity or individual that competes with Lifeworks in the provision of services or in any other Contract or Transaction with a third party.
- c. Gifts, Gratuities and Entertainment. A Responsible Person accepting gifts, entertainment or other favors from any individual or entity that:
 - i. does or is seeking to do business with, or is a competitor of Lifeworks; or
 - ii. has received, is receiving or is seeking to receive a loan or grant, or to secure other financial commitments from Lifeworks; or
 - iii. is a charitable organization operating in Minnesota, under circumstances where it might be inferred that such action was intended to influence or possibly would influence the Responsible Person in the performance of his or her duties. This does not preclude the acceptance of items or entertainment of nominal value which are not related to any particular transaction or activity of Lifeworks. The term "nominal value" means a value less than \$100 for items or entertainment which could not be refused without discourtesy. No personal gift of money should ever be accepted.

Procedure

1. **Obligation of Disclosure.** Each Responsible Person shall promptly and in accordance with this Policy disclose any Conflict he or she has with respect to a Contract or Transaction. The disclosure shall be made as soon as the Conflict is known to the Responsible Person. Unless permitted by the resolution of the Conflict (per section 4 of this Procedure), the Responsible Person shall refrain from any action that may affect Lifeworks' participation in the relevant Contract or Transaction. In the event it is not entirely clear that a Conflict of Interest exists, the Responsible Person should err on the side of full disclosure. All disclosures shall be sufficiently complete so that those responsible for resolving a Conflict will have access to all relevant facts.
2. For Conflicts of Interest involving members of the Board of Directors or Board committees contact Human Resources.
3. For Conflicts of Interest involving any other Responsible Person:
 - a. the disclosure should be made to the Vice President – Finance, who shall review the disclosure with the Executive Team and report the matter to the Audit and Investment Committee along with the recommendation of the Executive Team for resolution of the Conflict.

- b. the Audit and Investment Committee will be deemed to have resolved the Conflict in accordance with such recommendation unless within ten (10) business day after disclosure of the Conflict and recommendation, at least one member of such committee notifies the Vice President - Finance of a desire for the committee to take up further consideration of the matter.
4. Resolutions of Conflicts of Interest:
- a. The authority described above as having responsibility for resolution of a Conflict (either the Audit and Investment Committee or the full Board, as the case may be – herein called the “Conflicts Authority”) shall determine whether the subject Contract or Transaction may be authorized as just, fair and reasonable for Lifeworks. Such determination may be made by a resolution of the Conflicts Authority or may be deemed in the manner described in subsections 3.b.1.b and 3.b.2.b of this Procedure, above.
 - b. The decision of the Conflicts Authority on these matters will rest in its sole discretion and shall be based on concern for the welfare of Lifeworks and the advancement of its mission.
 - c. The Responsible Person shall, unless otherwise permitted by the resolution of the Conflicts Authority, refrain from engagement in the Contract or Transaction giving rise to the Conflict of Interest.

Rights & Responsibilities

Each Responsible Person shall exercise care not to disclose confidential information acquired in connection with such status or information the disclosure of which might be adverse to the interests of Lifeworks. Furthermore, a Responsible Person shall not disclose or use information relating to the business of Lifeworks for the personal profit or advantage of the Responsible Person or a Family Member.

Upon becoming a Responsible Person and at least annually thereafter, each Responsible Person shall complete Conflict of Interest Information Form (1) acknowledging that he or she has read this Policy and agrees to comply with it and (2) identifying any relationships, positions or circumstances in which the Responsible Person is involved that he or she believes could contribute to a Conflict of Interest arising. Such relationships, positions or circumstances may include (but are not limited to) serving as an owner, director, officer, employee or consultant to a nonprofit or for-profit organization that: (1) provides or is intending to provide goods or services to Lifeworks, (2) purchases or intends to purchase goods or services from Lifeworks, or (3) competes or intends to compete with Lifeworks. Any such information regarding business interests of a Responsible Person or a Family Member shall be treated as confidential and shall generally be made available only to those responsible for addressing Conflicts of Interest (per the preceding section entitled “Procedure”) and legal counsel, except to the extent additional disclosure is necessary in connection with the implementation of this Policy.

This Policy shall be reviewed annually by each member of the Board of Directors. Any changes to the Policy shall be communicated immediately to all Responsible Persons.

Whistleblower Policy

General

Lifeworks requires all employees (including management) to observe high standards of business and personal ethics in the conduct of their duties and responsibilities. As employees we must practice honesty and integrity in fulfilling our responsibilities and comply with all applicable laws and regulations.

Reporting Responsibility

It is the policy of Lifeworks that all Lifeworks employees, volunteer, management, officers and board members are responsible for complying with all applicable laws and regulations and to report violations or suspected violations in accordance with this Whistleblower Policy. Employees are encouraged to direct questions to their Authorized Representative or management if they are unsure about how to proceed or whether specific conduct violates the law or Lifeworks policies. Any employee of Lifeworks can bring their concerns directly to the CEO/President or the Board of Directors.

No Retaliation

No employee who in good faith reports a violation of applicable laws and regulations shall suffer harassment, retaliation or adverse employment consequences as a result of making such a report. An employee who retaliates against someone who has reported a violation in good faith is subject to discipline up to and including termination of employment. This does not mean that employees are free to make statements or disclosures knowing they are false or that they are in reckless disregard of the truth.

Lifeworks uses an independent whistleblower hot line company called In Touch that is available 24 hours a day to take your confidential and anonymous phone call.

There will be two ways to leave anonymous messages:

- The toll free number is **1-877-767-7781**. When calling the number you will be assigned an automated system generated five-digit case number that you must remember (you may want to be prepared to write down the case number because after the call there is no way to recover the case number). In Touch will transcribe your message, delete it from their system and send the message to Lifeworks. To check on the status of your call, wait four to five business day and call the above number and enter your five digit case number.
- Send an email to Lifeworks@getintouch.com. In Touch will remove the origination address and forward just the content of the message to Lifeworks.

The compliance department will investigate and resolve all complaints and concerns and will advise management and the President/CEO of the resolution.

Reporting Procedure

Lifeworks has an open door policy and suggests that employees share their questions, concerns, suggestions or complaints with someone who can address them properly. In most cases, an employee's supervisor is in the best person to address an area of concern. However, if you are not comfortable speaking with your supervisor or you are not satisfied with your supervisor's response, you are encouraged to speak with the compliance department or anyone in management. Supervisors and managers are required to report suspected violations of state or federal law, or Lifeworks policies to the Lifeworks

compliance department, who has specific responsibility to investigate all reported violations. For suspected fraud, contact the compliance department. You may also report questions, concerns, or complaints to the Lifeworks Whistleblower Hot line at 1-877-369-0179. The compliance department will investigate and resolve all complaints and concerns and will advise management and the President/CEO of the resolution.

Legal Compliance: Fraud, Waste and Abuse Issues

The successful business operation and reputation of Lifeworks is built upon the principles of fair dealing and ethical conduct by our employees. Our reputation for integrity and excellence requires careful observance of the spirit and letter of all applicable laws and regulations, as well as a scrupulous regard for the highest standards of conduct and personal integrity.

It is the policy of Lifeworks to conduct business in accordance with the letter, spirit, and intent of the law and to refrain from any illegal, dishonest, or unethical conduct. Lifeworks expects its employees, as well as its directors, officers, vendors and contractors, to conduct business in accordance with this policy.

The Deficit Reduction Act of 2005 requires certain agencies, including Lifeworks that receive money from the federal government to notify all employees, Board members, and vendors of their fraud, waste, and abuse and whistleblower policies. In addition to general legal compliance, we must ensure at all times that our conduct does not violate fraud, waste, and abuse laws, including the federal and state False Claims Act, as well as section 1902(a)(68)(A) of the Social Security Act. These laws help prevent and detect fraud, waste and abuse in the public health care programs that support our services, and benefit the public and the people we serve by ensuring that public programs pay for legitimate and quality health and social services. Briefly, these laws prohibit:

- Submitting false or misleading claims to the government or to a third party or other payor. For example, this would include submitting claims for services that were not actually provided, claims which characterize the service differently than the service actually provided, or claims which do not otherwise comply with applicable billing rules.
- Making false representations to any person or entity to obtain payment for any service or to gain or retain participation in a program. All communications with government and third party or other payers must be truthful and accurate. Lifeworks receives government money, all time cards, time studies and attendance records must be filled out accurately.
- Failing to properly document services provided.
- Offering anything, in cash or in kind, to obtain or encourage referrals. Any arrangement, contract, gift, or social engagement with anyone who may be a referral source (such as a case manager) must be approved by the president of Lifeworks or vice president of services.
- Offering anything, in cash or in kind, to any individual we serve or potential client to influence the individual to attend a program or otherwise receive services from Lifeworks.

The penalties for violating these laws, even unintentionally, are extremely high for both the individual and for Lifeworks. More detailed guidance on these laws can be found in other policies in this manual, as well as in operational policies for specific areas they affect.

In general, the use of good judgment, based on high ethical principles, will guide you with respect to lines of acceptable conduct. If a situation arises in which it is difficult to determine the proper course of action, the matter should be discussed openly with your immediate supervisor for advice and consultation, and, if necessary, with the vice president of services. Please see our Whistleblower Policy in the Lifeworks Employee Handbook for more information on your reporting obligations and how to make a report. Compliance with this policy of business ethics and conduct is the responsibility of every Lifeworks employee. Disregarding or failing to comply with this policy of business ethics and conduct could lead to disciplinary action, up to and including possible termination of employment.

Fraud

Minnesota Statutes provide that “theft of public funds,” no matter what the amount, is a Felony. That means, falsely submitting even one dollar or one 15 minute time unit is considered fraud. Lifeworks employees work closely with the Minnesota Medicaid Fraud Unit to help ensure the integrity of all programs. Examples of fraud include, but are not limited to, knowingly submitting timecards for services not provided, submitting time when the Client was in the hospital or care facility and income sharing with the Authorized Representative or family. Possible penalties for felony level fraud include, but are not limited to, disqualification from working at a MA/MC funded job for five years, repayment of stolen funds, and/or jail time.

Privacy Policy

Definition

Individuals have privacy rights under the Minnesota Government Data Practices Act (MGDPA), the federal Health Insurance Portability and Accountability Act (HIPAA), the federal Health Information Technology for Economic and Clinical Health Act (HITECH) and other state and federal laws, rules, and regulations. These laws protect an individual’s privacy but also allow Lifeworks to share information about them to others if the law requires or permits it.

In situations when both the federal and the state laws apply, but appear to be conflicting, Lifeworks will comply with the more stringent of the two with regards to the particular use, disclosure, and/or type of protected health information.

The Protected Health Information (PHI) covered by these laws includes health information including financial, demographic, and lifestyle related information which is accessed, created, modified, received, or maintained by Lifeworks or Lifeworks Personnel in any form or media, whether electronic, oral or paper, and which independently or collectively could be used to individually identify a person. PHI includes health information such as diagnosis and treatment plans; and demographic information such as name, address, phone number, client ID, social security, other identification number, and date of birth.

For the purposes of this policy Lifeworks Personnel is defined as paid and unpaid staff (including employees and contractors), volunteers, student interns and other persons who work for or on behalf of Lifeworks who have access to PHI.

PHI also applies to health care data regarding Lifeworks staff that is gathered as part of our health insurance plans (medical, dental and life).

As Applies to Clients Served by Lifeworks

It is Lifeworks responsibility to inform the individual or guardian of the individual's privacy rights by supplying them with a copy of the Notice of Privacy Practices (NPP) (formerly titled Your Data Privacy Rights.) Lifeworks Personnel shall inform the individual and/or guardian of these rights at the time of a new referral. The guardian, or the individual if they are their own guardian, is asked to sign this notice to acknowledge receiving it and return a signed copy to Lifeworks for our records. It is then the guardian's responsibility to inform the individual of his or her privacy rights. If Lifeworks Privacy Policies change, including its need for access to, use of, or sharing of PHI, Lifeworks will provide the individual with a revised NPP and inform the individual of his or her privacy rights under the new policy.

Individuals have the right to request restrictions on uses and disclosures of their PHI. They may also ask Lifeworks to correct PHI they feel is incorrect or incomplete. Individuals also have the right to ask Lifeworks for a list of the people or organizations with which Lifeworks and our Business Associates have shared their PHI. These privacy rights are explained in the NPP. All requests for exercising these privacy rights, or to file a complaint about privacy rights, must be made in writing and sent to:

Lifeworks Services, Inc.
Compliance Department
Lifeworks Services
2965 Lone Oak Drive, Suite 160
Eagan, MN 55121

Lifeworks is required to obtain authorization prior to all uses and disclosures of PHI. Required and permitted uses and disclosures are described in the NPP. Authorization to use and disclose PHI for these purposes is obtained by a signed Release of Information (ROI) Authorization form. Refer to the NPP and ROI form for more detailed examples of permitted uses and disclosures.

Summary data about the organization is classified as public and must be provided when it is requested by the public. Summary data is information such as the number of individuals we serve, what types of diagnoses or disabilities the agency serves, etc. Case histories may be shared with other professional or advisory groups for the purpose of receiving professional advice as long as the subject individual is not identified.

Lifeworks Personnel will require a specific authorization from the individual prior to disclosure and/or use of his/her PHI for any purposes not listed above, including:

- Marketing & Communications activities
- Fundraising (more than demographic information)
- Research (not related to our operations)
- Psychotherapy notes
- Previous service providers
- Persons or Agencies not involved in the individual's care
- Persons or Agencies whose work does not require the PHI

Lifeworks Personnel must contact the compliance department when PHI is needed or requested for any of these purposes.

A Publicity Release Authorization form signed by the guardian, or the individual if acting as his or her own guardian, is needed to authorize Lifeworks to use the name and likeness of an individual for educational, marketing, and fundraising communications via any of the following delivery methods: video tape, DVD, and CD-ROM, broadcast and print media, advertising, the internet, and business applicable social media channels.

Occasionally consultants or vendors (e.g. transportation providers, computer consultants, etc.) may require the use of PHI to provide a service to Lifeworks or to individuals served by Lifeworks. Lifeworks must either obtain a signed authorization from the individual whose PHI will be shared, or have a Business Associate Agreement signed by the vendor.

PHI should be accessed and used only by Lifeworks Personnel whose work requires the PHI and are authorized or permitted access to the PHI. Share PHI only when there is an appropriate signed authorization (one of the forms described above) and limit the content of the PHI to the minimum extent necessary to accomplish the purpose of the use or disclosure.

Lifeworks Personnel may not engage in any intimidating or retaliatory acts against persons who file complaints or otherwise exercise their privacy rights under the Privacy Policies. Lifeworks Personnel may not make conditional any treatment, payment, enrollment, or eligibility for benefits on the provision of an authorization to disclose PHI.

Lifeworks may apply disciplinary action to any Lifeworks Personnel who violate the Lifeworks Privacy Policies, please see the handbook section on disciplinary action.

All Lifeworks Personnel are expected to report any suspected breach of unsecured PHI and violation of the Lifeworks Privacy Policies, to their direct supervisor and/or to the compliance department. The direct supervisor, in turn, will promptly notify the compliance department of the report. A "breach" is an impermissible use of or disclosure of PHI under HIPAA that compromises the security or privacy of the PHI such that the use or disclosure poses a significant risk of financial, reputational, or other harm to the affected individual.

See Lifeworks Privacy Policies for more detailed information located in document templates, operations and compliance.

Security Policy

Lifeworks has HIPAA related policies. HIPAA regulations cover both privacy and security. Privacy and security are distinct, but related.

- The HIPAA **Privacy Rule** focuses on the rights of an individual to control the use of his or her personal information. Protected health information (PHI) should not be divulged or used by others against their wishes. See Lifeworks Privacy Policies for more detailed information.
- The HIPAA **Security Rule** focuses on administrative, technical and physical safeguards specifically as they relate to electronic PHI (ePHI). Protection of ePHI data from unauthorized access, whether external or internal, stored or in transit, is all essential to the Security Rule.

The Lifeworks HIPAA Security Rule Policies specifically focus on protecting the confidentiality, integrity, and availability of electronic protected health information (ePHI).

- Confidentiality is the assurance that ePHI data is shared only among authorized persons or organizations.
- Integrity is the assurance that ePHI data is not changed in an unauthorized way. Most important to HIPAA, data integrity ensures that Lifeworks can rely on the accuracy of the data.
- Availability is the assurance that systems responsible for delivering, storing and processing ePHI data are accessible when needed, by those who need them under both routine and emergency circumstances.

See Lifeworks HIPAA Security Rule Policies for more detailed information located in document templates, operations and compliance.

Equal Employment Opportunity and Affirmative Action

Lifeworks is committed to providing equal opportunity in all phases of employment and employee relations.

Nondiscrimination and Equal Employment Opportunity

Lifeworks requires that all employment practices be equal without regard to factors that are non-job-related. These factors include, but are not limited to, conditions such as race, gender, creed, color, religion, national origin, age, public assistance status, marital status, sexual orientation, veteran status, physical or mental disabilities, information about genes, gene products, or inherited characteristics that may derive from the individual or a family member or any other category protected by law. This policy commits the organization to providing equal employment opportunity in all phases of employment and employee relations, including, but not limited to, recruitment, selection, placement, transfers, training and development, promotion, demotion, compensation, benefits, layoffs, and terminations, and all conditions or privileges of employment.

Affirmative Action

Lifeworks will not discriminate against or harass any employee or applicant for employment because of race, gender, creed, color, religion, national origin, age, public assistance status, marital status, sexual orientation, veteran status, physical or mental disabilities, information about genes, gene products or inherited characteristics that may derive from the individual or a family member or any other category protected by law.

Americans with Disabilities Act and Reasonable Accommodation

Lifeworks will comply with the Americans with Disabilities Act (ADA) requiring reasonable accommodation to the known physical or mental limitations of an otherwise qualified individual with a disability who is an employee or job applicant unless the accommodation creates or involves undue hardship to the organization. Questions, concerns, and requests for accommodation should be made to the vice president of human resources.

Genetic Information Nondiscrimination Act

Lifeworks will comply with the Genetic Information Nondiscrimination Act (GINA) which prohibits employers from using genetic information to affect the hiring of an individual or

to affect the terms, conditions, privileges, benefits or termination of employment unless Lifeworks can prove this information is job related and consistent with business necessity.

Concerns and Complaint Reporting

Any applicant or employee who feels he has been treated in any way that violates this policy should contact his immediate supervisor or human resources. Allegations of discrimination will be investigated promptly. No adverse action will be taken against any applicant or employee reporting a possible violation of this policy.

Diversity

We appreciate that each person, team, business, and community we serve is unique and we will acknowledge and work respectfully with whatever differences we have in lifestyle or values, resources or abilities, culture or language, perspective or belief. Areas of opportunity for diversity in the workplace are listed include:

Services - Understand and effectively respond to the diverse values, backgrounds, experiences, interests, and choices of the people we serve.

Community Partnerships - Seek collaborative activities which give Lifeworks an opportunity to exchange skills and ideas with others, as well as give employees and clients experiences with diverse populations.

Governance - Develop a diverse board of directors.

Business and Administration - Ensure that our business practices are respectful to individuals from diverse backgrounds and that our facilities are welcoming to the community.

Human Resources - Be recognized for our sensitivity to diversity in recruiting, selection, orientation, and on-going support of employees. Offer regular activities that promote diversity awareness and respectful interactions. A collection of books on diverse topics can be found in the Lifeworks library. Call human resources with ideas, questions, and suggestions.

Harassment and Discrimination Policy

Purpose of Policy

It is a policy of Lifeworks that all employees have a right to work in an environment free from unlawful discrimination and harassment. The mission of Lifeworks is best accomplished in an atmosphere of professionalism which in turn is supported by mutual respect and trust. Lifeworks expects all employees to work toward this goal. Harassment based on a person's race, color, national origin, sex, disability, age, marital status, status with regard to public assistance, or any other legally protected class status is strictly prohibited by Lifeworks.

Definitions of Sexual and Other Forms of Harassment

Harassment prohibited under this policy consists of:

- unwelcome conduct based on a person's race, color, creed, religion, national origin, sex, sexual orientation, disability, age, marital status, status with regard to public assistance, or any other protected class status
 - when submission to such conduct is:
 - a condition of one's employment; or
 - a basis for an employment decision;
 - or
 - when such conduct has the purpose or effect of:
 - interfering with one's job performance; or
 - creating an intimidating, hostile, or offensive work environment.

Some examples of conduct that could be considered harassment include the following types of action when they are taken based on protected class status:

- unwelcome abusive, intimidating, insulting, or degrading remarks;
- displaying objects, cartoons, pictures, or stories which may be perceived as offensive or demeaning; or
- threats, demands, or suggestions that an employee's work status, advancement, or other terms and conditions of employment are contingent upon the toleration of or acquiescence to unwelcome harassment.

One form of prohibited harassment is sexual harassment. Sexual harassment includes:

- unwelcome sexual advances, requests for sexual favors, sexually motivated physical contact, or other verbal or physical conduct or communication of a sexual nature
 - when submission to such conduct is:
 - a condition of one's employment; or
 - a basis for an employment decision;
 - or
 - when such conduct has the purpose or effect of: interfering with job performance; or creating an intimidating, hostile, or offensive work environment.

Some examples of conduct that may be sexual harassment under this policy include:

- unwelcome abusive, intimidating, insulting, or degrading remarks or conduct of a sexual nature;
- use of offensive or demeaning words of a sexual nature, telling suggestive jokes or stories, and conversations about sexual exploits, sexual preferences, and desires;
- displaying sexually suggestive objects, cartoons, pictures, or stories which may be perceived as offensive or demeaning;
- threats, demands, or suggestions that an employee's work status, advancement, or other terms and conditions of employment are contingent upon the employee's toleration of or acquiescence to unwelcome sexual advances;
- unwelcome sexual flirtations, propositions, or invitations to social engagements; or
- unwelcome and objectionable physical contact or physical proximity.

Lifeworks prohibits harassment based on a protected class status in any form, including verbal, physical, and visual harassment.

Scope of Policy

This policy prohibits harassment against any employee, client, or volunteer of Lifeworks by a member of the same sex or a member of the opposite sex.

In addition, this policy prohibits sexual harassment and any other form of harassment by any individual, including supervisors and/or managers, employees, coworkers, and third parties such as volunteers, clients, contractors, or vendors who deal with Lifeworks employees or clients.

Reporting Harassment

If at any time you feel that you are being harassed, or you believe that another Lifeworks employee, or client, or volunteer is being harassed, you should immediately contact the human resources at Lifeworks administration.

Lifeworks wants to resolve any problems, but it can do so only if it is aware of them. Lifeworks encourages any individual who believes he or she is being harassed, or who has the belief that another Lifeworks employee, client, or volunteer is being harassed, to report any and all incidents of perceived harassment. Lifeworks will investigate harassment complaints as appropriate, and take other appropriate action. Any person who is found to have violated this policy on harassment and non-discrimination will be subject to appropriate corrective action, which may include discipline up to and including termination of employment.

Confidentiality

Every effort will be made to ensure confidentiality to the extent possible.

No Retaliation

Retaliation against any individual for making a complaint under this policy, for opposing harassment, or for participating in an investigation of any claim regarding harassment or inappropriate behavior is strictly prohibited.

If you feel that you have experienced such retaliation, you should immediately report any such retaliation to human resources at Lifeworks administration.

Employee Responsibilities

All employees are responsible for maintaining a working environment free of harassment and discrimination. Any individual who is found to have engaged in behavior prohibited by this policy will be subject to corrective action, which may include discipline up to and including termination.

It is the responsibility of ALL employees to:

- Read and abide by this policy. If you have any questions about the policy, please contact human resources at Lifeworks administration. Refrain from engaging in acts of harassment or acts that can be construed as harassment.
- Immediately report any acts of harassment or acts that can be construed as harassment.
- Cooperate with any investigation regarding harassment or inappropriate conduct.
- Maintain the confidentiality of any complaint or information received or provided in the course of an investigation, only disclosing information to those Lifeworks Personnel or representatives with a need to know the complaint or information. Refrain from speculation and from drawing conclusions or gossiping about the

subject matter or individuals involved in claims of harassment or the investigation of such claims.

- Refrain from taking any adverse or retaliatory action against any individual who has made a claim of harassment, opposed harassment, or participated in the investigation of any claim regarding harassment or inappropriate behavior.

Drug and Alcohol Free Workplace Policy

Purpose and Scope of Coverage

Lifeworks employees serve vulnerable minors adults and represent the agency in a variety of public and private settings. Safety problems can be created when employees use or abuse controlled substances including, but not limited to, marijuana, cocaine, opiates, amphetamines and phencyclidine (PCP) or alcohol. In order to ensure the highest level of judgment and job performance, and provide a safe workplace, Lifeworks has established the following policy on drugs and alcohol for employees.

Policy

All employees are expected to report for work free from the effects of illegal drugs and alcohol. Employees also must notify their Authorized Representative of the use of prescribed medications or over-the-counter medications that may affect the individual's ability to work with vulnerable people or operate motor vehicles or equipment or in any other way adversely affect the employee's ability to function while on the job and provide services or care.

The use, possession, sale, manufacture, distribution, transportation, or being under the influence of, drugs or alcohol while working is strictly prohibited. All employees are expected to report to Lifeworks any observations of suspected alcohol and drug possession, use or distribution thereof, including but not limited to the odor of alcohol on the breath, observations of impaired motor skills, speech, unusual behavior or appearance of other employees. Persons operating vehicles while performing job duties or working with vulnerable individuals shall not be under the influence of alcohol while on the job nor report to work under the influence of alcohol.

Employees who engage in any of the prohibited conduct listed above are in violation of this policy and may be subject to discipline up to and including termination at Lifeworks sole discretion. Employees needing help with drug or alcohol dependency are encouraged to seek assistance through our Employee Assistance Program, which is available to employees. Their number is 1-888-628-4824.

Reservation of Rights

This policy supersedes and revokes any other Lifeworks practice or policy relating to the use of drugs and alcohol in the workplace and drug and/or alcohol testing. Lifeworks reserves the right to interpret and administer this policy at any time, and at its sole discretion, amend, supplement, modify, revoke, rescind or change this policy, in whole or in part, with or without notice and with or without consideration. This policy is not an express or implied contract of employment nor is it to be interpreted as such.

Additionally, this policy does not in any way affect or change the status of any at-will employee. At-will employees continue to be free to terminate their employment or resign

from employment at any time and Lifeworks continues to be free to terminate any employee, with or without cause, with or without notice, for any lawful reason or for no reason at all. Nothing in this policy is a promise or guarantee or should be construed as a promise or guarantee that Lifeworks will follow in any particular circumstances any particular course of action, disciplinary, rehabilitative or otherwise.

Pay and Benefits

Employee Classification

All positions under this program are identified as nonexempt according to regulations established by the Fair Labor Standards Act (FLSA) and the State Wage and Hour Regulations. The Fair Labor Standards Act provides minimum wage, overtime pay, record-keeping, and child labor standards. Some positions are exempt from the requirements of the Act. Job descriptions identify FLSA status and employees are notified that their position is nonexempt in a letter confirming their employment.

Lifeworks will determine your rate of pay and the number of hours you work according to the individual's authorized service.

Definition of the Work Week

The work week, for payroll purposes, begins on Sunday at 12:00 a.m. and ends on Saturday at 11:59:59 p.m. The specific hours for employees may vary.

Work Schedule

The Service Coordinator along with the assistance of the individual's Authorized Representative will develop a schedule for employees. Your employment schedule is contingent on the level of supports and funding the client is authorized by the Minnesota Department of Human Services. The amount of scheduled hours cannot be guaranteed.

All hours worked must be pre-approved by the Authorized Representative. Employees are not allowed to work for a client while they are in a hospital or care facility.

Overtime

Employees may not work more than 40 hours per week of combined direct service hours and training hours.

Time Submission Procedure

All employee time must be submitted through the on-line portal or on a timecard by 8:00PM Monday before the pay date, **except where noted for a holiday week**. An employee's actual hours worked should be recorded on a timecard form. Both the employee and Authorized Representative must sign the time card record as verification that the hours recorded are correct. The Authorized Representative is responsible for verifying the timecard accuracy, and for submitting the time to Lifeworks. All time is reported and paid in 15 minute increments as follows:

- 15 minutes = 0.25
- 30 minutes = 0.50
- 45 minutes = 0.75

On-line portal instructions are available by emailing payroll@lifeworks.org. Blank timecard forms and instructions can be downloaded from the Lifeworks website, www.lifeworks.org or mailed to you when requested.

Instructions for using the two week time cards

- Timecards are required every two weeks regardless if you have or have not worked. If you have not worked, please report zero hours.
- Use a new, blank time card each pay period or week. Time card forms may be downloaded from Lifeworks website, www.lifeworks.org or sent to you by mail when requested.
- Please be sure to fill out all the information blanks on the time card. You must provide the correct employee and client ID numbers, job title (as stated on your hiring letter), the pay period or weekly beginning and end dates, daily and weekly totals and your signature. A line must be drawn through any day you **DO NOT** work. Write neatly and within the spaces provided.
- Pay period or weekly beginning and end dates should always start with a Sunday date and end with a Saturday date. (see back of Payroll Calendar)
- Record daily time in 15 minute increments:
 - 15 minutes =0.25
 - 30 minutes = 0.50
 - 45 minutes – 0.75
- Time cards must be signed and dated by both the employee and the Authorized Representative.
- The Authorized Representative shall submit your time card to Lifeworks by 8:00 p.m. on the Monday of pay week. Time cards received after this deadline **may not** be processed until the next pay period.

Payment of wages

Employees are paid every other Friday for 26 pay periods a year. If Friday is a bank holiday, the pay date will be the last previous business day. The paycheck covers the days worked in the two weeks prior to the week in which you receive your paycheck.

Time submission is due at Lifeworks by 8:00 pm on Monday every two weeks, **except where noted on a holiday week.**

Lifeworks mails out paychecks every two weeks on Thursday. Employees should receive them on Friday; however we cannot guarantee delivery through the U.S. Mail. Employees may not pick up their regularly scheduled paycheck from the administrative office. All payroll checks must be mailed unless an arrangement has been made with the payroll staff for an adjustment check to be issued at a later date. Direct deposit advice slips are posted on the Greenshades portal only and are not mailed. Paystubs are posted on the website; <https://lifeworks.greenemployee.com>. Please access the website and print copies as needed.

Employees are encouraged to elect direct deposit, as Lifeworks cannot control the post office delivery time. Direct deposit will allow an employee to receive pay into their account on the pay date. A new direct deposit request requires one to two pay periods to complete the set up through our bank. A written request for the cancelation of a direct

deposit is required. If a direct deposit transaction is rejected by the bank due to the closure of an account, Lifeworks will charge a \$25.00 fee for the service of replacing the payment when written notice had not been previously sent. Please contact the payroll department at 651-454-2732 or email payroll@lifeworks.org for further information or assistance.

Payroll deductions

Payroll deductions for all employees are the standard deductions: FICA, state and federal withholding tax.

If you are an employee who participates in Lifeworks health insurance benefits, and you do not work within the two week pay schedule, Lifeworks reserves the right to deduct the missed premium(s) from all future checks until paid in full.

Wage Attachments

In the event that a wage attachment (e.g. garnishment) is issued against an employee's salary through the proper judicial process, Lifeworks will withhold such portion of his/her salary as the law requires. An employee will be informed of the deduction by the payroll department before it becomes effective with the next paycheck.

Expense Reimbursement

Lifeworks reimburses only pre-authorized expenses incurred by the employee and approved by Lifeworks Services, Inc.

Authorized Representative must submit expense reimbursements within 60 days of the date of the expense is incurred. Expenses which could qualify for reimbursement are: mileage and required training.

Mileage may be reimbursed up to a pre-approved limit only when the expense is incurred while providing paid support, while driving personal vehicle and the client must be present. Mileage cannot be reimbursed for travel to/from medical appointments or when out of the state of Minnesota.

Proper documentation for mileage reimbursement is as follows:

- Date of travel
- Destination
- Total number of miles driven
- Cost: total number of miles driven multiplied by the approved rate.
- Signature of driver is required

Lifeworks reimburses employees for business-related mileage. Costs of driving between the employee's home and main place of work each day are personal commute expenses.

Proper document for reimbursement of required training is as follows:

- Date of training
- Description of training
- Amount/cost
- Documentation must be the receipt for payment and the certification showing completion.

Authorized Representative's signature is required on all Reimbursement Requests.

Reimbursement Requests which are missing proper documentation will be mailed back to Authorized Representative if pending for proper documentation for more than three weeks.

W-2 Forms

The request must be made in writing and must include a \$10.00 fee payable to Lifeworks.

Stop Payment Authorization

If a replacement check is requested, please contact the payroll department. Lifeworks charges a \$25.00 fee for this service.

Pay Stub Request

Paystubs are posted on the Greenshades website. Please access the website and print copies as needed. Please visit the website at: <https://www.greenshadesonline.com/> .

Wage Over-Payment

Lifeworks will notify an employee through a mailed letter if we discover that wages have been over paid. The over-payment will be recovered on future payroll date, as defined in the letter.

Change of name or address

If you would like to change your name, you must submit a copy of your updated social security card and a new W-4 form with your new name.

If you would like to change your address, you must contact Lifeworks human resources department. The request must be made in writing in order to be processed.

Vacation and Sick leave

Lifeworks considers vacation and sick leave as unpaid time off. If you have questions about these benefits, contact the Lifeworks Human Resources Manager.

Check with the family regarding how you are to notify them of absences.

Family and Medical Leave Policy

This Family and Medical Leave policy generally applies only to employees at Lifeworks locations where fifty or more employees are employed within seventy-five miles of the site. If you have questions about whether or not you are eligible for this leave, please contact the human resources at 651-454-2732.

Eligible employees of Lifeworks are entitled under the Family and Medical Leave Act (FMLA) to take up to twelve weeks' unpaid leave during any twelve-month period (except that an eligible employee of a covered service member may be entitled to a combined total of 26 work weeks of leave during a 12-month period to care for the service member) for the birth, adoption, or foster care placement of a child; to care for a child, disabled

adult son or daughter, spouse, or parent with a serious health condition; or because of the employee's own serious health condition.

Employees returning from FMLA Leave will be able to return, at the discretion of management, either to their previous position or an equivalent position. The employee on FMLA Leave will not be eligible for reinstatement, however, if he or she would have been subject to a work force reduction or lay-off during the leave period.

To be eligible for FMLA Leave, employees must have been employed at Lifeworks for at least twelve months and have worked at least 1250 hours at Lifeworks in the twelve months preceding the Leave.

The twelve weeks of leave will be calculated on a rolling year basis measured backwards from the time the employee uses leave.

FMLA Leave should be scheduled with the employee's Authorized Representative as far in advance as possible. If leave is foreseeable, at least thirty (30) days advance notice should be given.

If employees are eligible for both unpaid FMLA Leave and any paid leave (such as vacation or sick leave), they are required to use such paid leave concurrent with their unpaid FMLA Leave, except that employees on leaves due to birth or adoption need not use their accrued sick leave or vacation during the first six weeks of their leave if they choose not to. Further, employees receiving workers' compensation benefits during their FMLA leave are not required to, and may not elect to, use other paid leave concurrent with FMLA leave during the period they are receiving workers' compensation benefits.

If FMLA Leave is taken due to the serious health condition of the employee or family member, medical certification will be required. Certification will be required before the leave begins or soon afterward, while on leave if necessary, and upon return to work. Lifeworks may, at its own discretion and expense, require a second opinion.

Unless the employee makes special arrangements and is granted permission, FMLA Leave for the birth or adoption of a child or for foster care placement must be taken all at one time. FMLA Leave taken because of the employee's or another's serious health condition may be taken intermittently, all at one time, or in the form of a reduced work schedule, depending upon what is medically necessary. Leave taken by part-time employees in the form of a reduced schedule will be pro-rated to the number of hours worked during the last twelve months.

FMLA Leave can also be taken to care for a spouse, son, daughter, parent, or next of kin who is a member of the Regular Armed Forces, National Guard and Reserves who suffered a serious injury or illness (described below) in the line of duty on active duty.

Definition of Serious Injury or Illness

A serious injury or illness as it pertains to covered service members means an injury or illness incurred by the service member in the line of duty on active duty in the Regular Armed Forces, National Guard and Reserves that may render the member medically unfit to perform the duties of the member's office, grade, rank or rating.

While on leave, health insurance benefits, if any, will continue in the same manner as prior to leave. Employee co-payments must be made in a timely manner to avoid jeopardizing continued coverage.

Liability Insurance

Lifeworks has liability insurance to protect the organization, its employees, and volunteers against lawsuits by persons other than employees on charges of malpractice and negligence.

Statutory Insurance Requirements

Lifeworks recommends that all employees have liability limits of \$100,000 per person, \$300,000 per occurrence, \$50,000 per vehicle/property or a combined single limit of \$300,000.

Thrift Retirement Plan

As a Lifeworks employee you are eligible to make elective deferrals from your paychecks into the Thrift Retirement Plan (the "Plan"). The Plan offers a convenient way for you to save money for your retirement through payroll deductions. Lifeworks does not contribute matching contributions to the Plan on your behalf. A copy of the Summary Plan Description ("SPD") describing the essential features of the Plan is posted on Lifeworks web site. If you would like a printed copy of the SPD, please call Lifeworks Benefits at 651-365-3719 and one will be sent to you. If you are interested in enrolling in the Plan, you should contact Lifeworks Benefits at 651-365-3719 to received help to enroll in the Plan. You may start making contributions into the Plan at any time.

Employee Assistance Program

Lincoln Financial Employee Connect

1-888-628-4824

www.guidanceresources.com

Username: LFGSupport

Password: LFGSupport1

Lincoln Financial EAP provides no-cost, confidential assistance for employees and their family members. EAP services can help employees identify solutions to assist with life, work and family concerns. A professionally trained clinician assists with problem identification, analysis and short-term resolution. In addition, an EAP counselor can provide a referral for services within your health insurance benefits or to community resources/self help groups. Referrals are also available to specialized resources for elder or child care, legal or debt management questions. The information discussed with the EAP is kept confidential in accordance with federal and state laws.

Employee Requirements and Expectations

Expectation of Employees

Service Coordinators with the assistance of the Authorized Representative are responsible for communicating performance expectations to employees, observing and documenting employee performance, providing performance feedback, and coaching. Employees are responsible for work assignments specified in their job descriptions and for informing the Authorized Representative if expectations are unclear or if they need additional resources to complete assignments.

You are an employee of Lifeworks, however, the Authorized Representative gives you work direction, approves your work schedule and provides training on the care and services you will be providing to the person with disabilities.

Professional Conduct for Lifeworks Employees

Your personal appearance says a lot about your professionalism. Interpretation of appropriateness of appearance shall be at the discretion of the Authorized Representative.

New Hire Paperwork

New employees must complete the Employee Packet that Lifeworks provides. Included in the packet is an Application for Employment, Support Staff Job Description, I-9, W-4, Employee/Client Relationship, Authority to Release Information, Employee Handbook Acknowledgement and Driver's Certification or Exclusion forms.

When Lifeworks receives all the required forms, and your background studies are complete, Lifeworks will notify your Authorized Representative when you can begin working. Your Authorized Representative will contact you regarding your work schedule. You will not be paid for any time worked prior to being notified.

Background Study

A background check can take several weeks to complete. If an employee has a criminal history that disqualifies them from providing direct care services, the employee will not be hired. If they are a current employee and Lifeworks receives new disqualifying information about their background, their employment may be terminated immediately upon notification. Lifeworks follows MN Statutes 245A-D regarding background checks

Performance Reviews

The Authorized Representative will complete a performance review and review with the employee annually. The employee and Authorized Representative should have on-going conversations to ensure the employee is meeting the job expectations.

Notice of Rights Regarding Personnel Records

Minnesota law gives you certain rights and remedies relating to your personnel record. For example, you have the right to review your personnel record both during your employment and after it ends. A request to review your personnel file must be made in writing to human resources. The file of a current employee will be made available at Lifeworks corporate office during normal business hours. Lifeworks reserves the right to deny a request to review a personnel file if the request is not made in good faith.

An employee who disputes information in their personnel file may submit a written statement, not to exceed five pages, which will be placed in the personnel file. Lifeworks will not retaliate against anyone who asserts their rights under the law. Penalties may be assessed for a violation of Minnesota statutes relating to personnel records review. A claim asserting a violation of personnel records laws must generally be brought within one year of actual or constructive discovery of the violation.

For a detailed explanation of your rights and remedies, see Minn. Stat. 181.960 – 965. This notice is provided pursuant to Minn. Stat. 181.96

Lifeworks maintains personnel records for employee which are confidential. Only those with direct need to know are permitted to access these records. Access is limited to relevant information only and is monitored by human resources. All requests for information from personnel records should be made in writing and sent to human resources. Employee medical information is maintained in a separate file.

Verification of Employment and Wages

Verification of employment will be given only by human resources and/or the payroll department. A phone reference will include the employee's title and the dates of employment at Lifeworks. Salary information is verified only in writing and upon the employee's written request or authorization. It is the policy of Lifeworks to not forecast employment.

Disciplinary Action

It is the policy of Lifeworks to apply disciplinary action to prevent the recurrence of past problems in the workplace and to deter problems from occurring in the future. Disciplinary action may include verbal and written warnings, suspension and/or termination. In those instances when a single offense or incident is deemed to be serious, immediate suspension or termination may be warranted.

Examples of activities that may result in disciplinary action are:

Misconduct

Misconduct is defined as behavior which is contrary to regulations or norms which the organization could reasonably expect to be followed.

Violation of Lifeworks Code of Ethics, Policies, or Procedures

The code of ethics and Lifeworks policies are outlined in this handbook.

Breach of Privacy Policies

Impermissible use of or disclosure of Protected Health Information.

Illegal Activities

Activities which violate federal, state or local law, and which occur during, or are associated with, the conduct of Lifeworks business.

Endangering or Abusing Lifeworks Property or Threatening the Physical Well-being of Employees or Clients

Any unsafe, reckless, destructive or violent action which could harm employees or clients or result in the destruction of Lifeworks property.

Falsification of Records

This includes, but is not limited to, falsifying data on employment forms, time cards, medical records or reports, expense reports, and other job-related documents.

Grievance Procedure

Lifeworks recognizes that its employees sometimes have problems which result in grievances, complaints, or misunderstandings. It is important that these problems, regardless of severity, be addressed and resolved. It is Lifeworks policy that problems are fairly and rapidly considered, that communication channels remain open, and that policies and procedures are fair and consistent in application. Assistance is available from human resources at any time during the problem resolution process.

- When an employee believes that he or she has a legitimate grievance to be resolved, the employee should discuss the problem with whomever he has a grievance and attempt to resolve the problem.
- If the problem cannot be resolved in this manner, the aggrieved employee should prepare a written statement that states the facts of the situation and present this statement to the Authorized Representative or a Lifeworks Service Coordinator within a 30-day period. Together they will attempt to resolve the situation with the aggrieved employee.
- If the grievance is not resolved through this process, the situation should be brought to the Vice President of Fiscal Services who will work to resolve the issue. If necessary the situation will be brought to the human resources. Lifeworks will attempt to resolve the grievance within 30 days.

Employee Termination

Employment with Lifeworks is at will; meaning that you have the right to terminate your employment at any time, with or without cause or notice, and Lifeworks has that same right.

If the client you are working with has been demitted from Lifeworks or [passes](#) away you will be terminated.

If it has been over 9 months since you last worked for Lifeworks, we may choose to terminate your employment. However, if the family plans to have you work in the next three months and notifies Human Resources, we will not terminate you.

If you were terminated you are required to fill out a new employee packet and complete a new background study before returning to work.

Your last day worked that Lifeworks has on record will serve as your termination date.

Health and Safety

The health and safety of employees is a priority for Lifeworks. Our objective is to prevent and reduce the occurrence of disabling injuries. All employees are an integral part of the health and safety program and need to understand and follow safety rules and procedures.

Employee Injuries

Employees who have a work-related injury or disease should report it immediately to their supervisor and human resources. A First Report of Injury form must also be filled out and sent to human resources. This form can be found on Lifeworks web site www.lifeworks.org

Non-Work-Related Injury

HR may require an employee injured on non-work time to undergo a fitness-for-duty exam if the injury limits the employee's ability to perform the essential functions of their job. The exam would be limited to determining the employee's ability to perform the essential functions of their job.

Cell Phone and Text Messaging Guidelines

Lifeworks expects all employees to observe good safety habits when using cell phones and discourages all uses while driving, this includes text messaging. Employees must also use discretion in where and when they have conversations, answer emails, or text messages, particularly if the information is sensitive or should remain confidential. If taking pictures of clients see HIPAA Privacy Policy regulations and guidelines.

Transportation

If you have been approved by Lifeworks and the Authorized Representative and you are transporting people in your car you must abide by the following:

- Check with your insurance company to see if your policy covers this type of use.
- You are responsible for the supervision and safety of your passengers.
- Be sure you are familiar with the people you are transporting. Review the person's CSSP and CSSP Addendum, equipment used and become familiar with the best approach to use to meet their needs.
- Both you and your passengers must wear a seatbelt and/or child safety restraints as required by Minnesota law. You will need to provide assistants if the individual is unable to correctly fasten.
- Staff will be prepared for emergencies to ensure safety. In case of an emergency have the following with you:
 - Name and phone number of person(s) to call in case of emergency
 - First aid kit with a first aid manual (available from the human resources department)
 - Proof of insurance card and vehicle registration
- In the event of a severe weather emergency, staff will take the following actions:
 - Monitor weather conditions. Listen to local television or radio or a weather radio for weather warnings and watches.
 - Follow directions for the need to change plans and activities, or seek emergency shelter.

- Inform passengers why plans and activities have changed. Assist passengers remain calm.
- All staff is required to follow all traffic safety laws while operating the program vehicle. This includes maintaining a valid driver's license, wearing seatbelts, and obeying traffic signs.
- If being reimbursed for transportation, document each date you provide transportation and the total mileage on a reimbursement form.

Employee Training

Staff Orientation and Training

All employees of Lifeworks complete an orientation with the family. Orientation includes required training, Lifeworks policies and procedures, and health and safety. The training the employees does with the Authorized Representative to learn specifically how to support the individual must be recorded on the employee's training record.

245d Training

Personal Support and Respite are programs licensed by the State of MN and therefore, employees must complete training requirements on an annual basis. As a learning organization, Lifeworks believes that it is important for all employees to have opportunities to acquire knowledge and develop new skills. Lifeworks will provide training that is required by 245D for all paid staff working with clients with Personal Support and Respite funding.

New employees must complete new employee training within 60 days of their hire date. All employees must complete annual training that meets licensing requirements and is developed by Lifeworks Services. Employees will be paid their hourly wage for the time to complete assigned training during their employment with Lifeworks.

Employees may not work more than 40 hours per week of combined direct service hours and training hours. The Authorized Representative is responsible for ensuring employees' work schedules allow for time to complete training. Employees may complete the training on their own, but their time is paid and included in the weekly total number of hours worked.

Employees must read and understand three policies within 72 hours of working with people with disabilities. They are:

1. Maltreatments of Vulnerable Adults and Minors Reporting Policy and Procedure
2. Lifeworks Grievance Policy and Procedure
3. Lifeworks Temporary Service Suspension and Termination Policy and Procedure

These policies are also posted on the personal support and respite page of the website as well as included in training resources described below.

New employees may work with clients with supervision after they review these policies and may not work alone until all 10 hours of training, including training specific to working with the individual, is complete.

Training is available to employees one of two ways:

1. On-line training through the College of Direct Support
2. Paper training documents you must request from Lifeworks.

Online access is the preferable method whenever possible and will be available to employees when they are officially hired. Online training is the most efficient and cost-effective method of training for the learner, as well as the most efficient delivery and tracking method for the Lifeworks Training Department. Employees will receive information with their hiring letter directing them to start training online or instructions to request a paper training packet

Employees may request paper copy training documents to complete the required training, by calling Lifeworks at 651-454-2732.

Training specific to the individual training requires "in-person observation" of employees' skills by a licensed or certified professional.

If required to support the individual, CPR and medication administration certification requires "in-person observation" of employees' skills by a licensed or certified professional. This means that employees will have to attend an external class with an instructor who will observe their skills. There are a variety of community resources available to complete these trainings. The Service Coordinator will discuss these requirements with the Authorized Representative on an annual basis. If the external training is required to support the individual, the Authorized Representative will receive information from the training department about registering employees for trainings at vendors approved to bill Lifeworks Services. These training requirements are based on the needs of the individual receiving services and not all employees will have to complete CPR or medication administration certification.

If an employee has worked for another provider since January 2014, you may have completed required trainings to meet 245D requirements. If employees have completed any of these trainings with any other provider, the employee must send a copy of their training records from the other agencies to the training department at Lifeworks Services.

Send all completed training documents, including documentation from other providers and completed quizzes from Lifeworks, to:

Lifeworks Services, Inc.
HR Training Department
2965 Lone Oak Drive, Ste. 160
Eagan, MN 55121

Or fax to 651-365-3787
(Include cover page with employee contact information)

Or attach scanned documents to an email addressed to
trainingdept@lifeworks.org

Questions regarding training for Personal Support and Respite Programs: Call 651-454-2732 or email trainingdept@lifeworks.org