

	Transformations, LLC	Human Resources Policies and Procedures Manual
--	-----------------------------	---

SECTION 1 --- INTRODUCTION.....	2
MANAGEMENT RIGHTS	2
ABOUT THIS POLICIES AND PROCEDURES MANUAL	2
STATEMENT ON SEXUAL AND OTHER PROHIBITED HARASSMENT	3
STATEMENT ON ALCOHOL AND DRUGS	5
WORKPLACE VIOLENCE PREVENTION	6
CONFIDENTIALITY AND RELEASE OF CLIENT RECORDS.....	7
SECTION 2 --- EMPLOYMENT STATUS.....	9
EMPLOYMENT PROCESS	9
EMPLOYMENT QUALIFICATIONS	9
EXCLUSION FROM EMPLOYMENT.....	11
SUPERVISION REQUIREMENTS	12
AT-WILL EMPLOYMENT	13
EQUAL EMPLOYMENT OPPORTUNITY	13
AMERICANS WITH DISABILITIES ACT	13
INITIAL EMPLOYMENT REVIEW PERIOD	15
RESIGNATION.....	16
PERSONNEL RECORDS	16
TIMEKEEPING	18
SECTION 4 --- WORK RULES	19
STANDARDS OF EMPLOYEE/INDEPENDENT CONTRACTOR CONDUCT	19
ATTENDANCE AND ABSENTEEISM	22
CORRECTIVE ACTION	22
EMPLOYEE/INDEPENDENT CONTRACTOR COMPLAINT RESOLUTION PROCEDURE.....	25
SAFETY IN THE WORKPLACE.....	25
TRANSFORMATIONS' MATERIALS	26
SOLICITATION	26
SECURITY INSPECTIONS	26
COMMUNICATION SYSTEMS AND TECHNOLOGY	27
TRANSMITTAL OF CONFIDENTIAL CLIENT RECORDS	27
HR POLICY & PROCEDURE MANUAL ACKNOWLEDGEMENT FORM.....	29

SECTION 1 --- INTRODUCTION

Management Rights

Policy Statement:

Transformations is an association of Kentucky behavioral health professionals who share the common goal of providing emotional, social, mental, and spiritual support to at-risk children and their families.

General Provisions:

Transformations has the exclusive right to exercise the customary functions of management, which include, but are not limited to:

- Manage and control the premises and equipment;
- Select, hire, promote, administer corrective action, suspend, dismiss, assign, and supervise employees/independent contractors;
- Determine and change starting times, quitting times and shifts, and days of work;
- Determine the size, composition and qualifications of work forces;
- Establish, change, and abolish policies, practices, rules and regulations;
- Determine and modify job descriptions, job classifications and job evaluations;
- Change methods of operation and assign duties to employees/independent contractors as necessary to provide adequate services;
- Carry out all usual and customary functions of management;
- Establish and manage the rate of compensation and wages;
- Amend or modify benefit plans; and
- Communicate with employees/independent contractors without third party intervention.

About This Policies and Procedures Manual

Policy Statement:

This manual provides the managers and supervisors of Transformations with a single reference for all policies, procedures, and employee/independent contractor benefits relating to human resource management. Using this manual will insure that managers and supervisors are provided with consistent and objective courses of action in dealing with employees/independent contractors; that the manager's responses and conduct are within Transformations' guidelines, providing substantial protection from charges of inconsistent or subjective judgment.

Transformations will from time-to-time exercise its right, as necessary, to make unilateral changes in the policies and procedures and their application. Each Federal Contract facility will post a copy of the Federal Wage Determination on the Staff Bulletin Board. If any reference to policy, practice or benefits in this Policy Manual differs from that specified in the Federal Service Contract Act, the language of the Federal Service Contract Act will prevail.

General Provisions:

- The terms “Transformations, LLC”, “Transformations” or “Agency” as used throughout this Policies and Procedures Manual are used interchangeably.
- The term “client”, as used in this Policies and Procedures Manual includes all clients of one of Transformations’ various programs, unless otherwise noted.
- The term Immediate Supervisor as it is used throughout this document refers to the individual who has primary responsibility for hiring and managing the employee/independent contractor.
- All policies and procedures in other Transformations’ manuals or documents, relating to topics covered in this manual, must be consistent with the policies stated herein. Any statements that are not consistent or are contrary to this manual are invalid and the policies/procedures listed in the manual supersede any language used elsewhere.
- In no way does this manual or any Employee Handbook constitute or imply an employment contract for any specific duration between Transformations, its subsidiaries, or its employees/independent contractors.
- An employee/independent contractor will have no legal recourse against Transformations or its subsidiaries if a Transformations manager or supervisor fails to follow any procedure, policy or guideline documented in this manual unless specifically provided for by law.
- Transformations, in its sole discretion, reserves the right to terminate, change, interpret, withdraw, or add to any of the plans, benefits, policies, and procedures contained in the Human Resources Policies and Procedures Manual, including requirements for employee/independent contractor contributions, at any time without prior notice to or consultation with any employee/independent contractor.
- Both revised and existing Human Resource policies and procedures in this manual supersede all previous policies and procedures applicable to Transformations facilities and employees/independent contractors. If policies and procedures conflict with statutory requirements, such portion of those policies and procedures will not apply. In these instances, individuals will abide by the rules of the appropriate statutes.

Statement on Sexual and Other Prohibited Harassment

Policy Statement:

It is the policy of Transformations that all employees/independent contractors should be able to enjoy a work environment free from all forms of illegal discrimination and harassment.

Harassment (sexual or other prohibited harassment) is a form of misconduct that undermines the integrity of the employment relationship. Prohibited harassment includes, but is not limited to, conduct such as slurs, jokes, intimidation, or other verbal or physical attack upon a person

because of race, color, religion, sex, national origin, age, disability, veteran status or any other characteristic protected by law.

All employees/independent contractors are responsible for conducting themselves in a professional manner which provides respect to others. Any behavior or action, which is unduly coercive, intimidating, harassing or sexual in nature, is inappropriate and strictly prohibited. This guideline applies to all business or related interactions (to include verbal, written, and electronic exchanges) between employees/independent contractors, applicants, supervisors and managers, clients, vendors, volunteers, visitors, etc.

All employees/independent contractors are urged to exercise common sense and respect for others.

Sexual harassment is defined as unwanted sexual advances, or visual, verbal, or physical conduct of a sexual nature. This definition includes many forms of offensive behavior and includes gender-based harassment of a person of the same sex or opposite sex as the harasser. The following is a partial list of sexual harassment examples:

- Unwanted sexual advances.
- Offering employment benefits in exchange for sexual favors.
- Making or threatening reprisals after a negative response to sexual advances.
- Visual conduct that includes leering, making sexual gestures, or displaying of sexually suggestive objects or pictures, cartoons or posters.
- Verbal conduct that includes making or using derogatory comments, epithets, slurs, or jokes.
- Verbal sexual advances or propositions.
- Verbal abuse of a sexual nature, graphic verbal commentaries about an individual's body, sexually degrading words used to describe an individual, or suggestive or obscene letters, notes, or invitations.
- Physical conduct that includes touching, assaulting, or impeding or blocking movements.
- Unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature constitute sexual harassment when (a) submission to such conduct is made, either explicitly or implicitly, a term or condition of an individual's employment, (b) submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual, or (c) such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating intimidating, hostile, or offensive working environment.

Sexual harassment can consist of physical, verbal or non-verbal conduct. There are several types of sexual harassment including:

- Quid Pro Quo – Giving something in return for getting something.

- Hostile Environment – Defined by the Equal Employment Opportunity Commission (EEOC) as “having the purpose or effect of unreasonably interfering with an individual’s work performance or creating an intimidating, hostile, or offensive work environment”.

An employee/independent contractor(s) who believes he/she is being sexually harassed is urged to say "No" clearly and firmly. In the event of a question, complaint, or allegation regarding fair employment practices or unwelcome/harassing behavior, any employee/independent contractor is encouraged to speak with his or her immediate supervisor as soon as possible.

In the event the employee/independent contractor is not comfortable discussing the matter with the supervisor, the employee/independent contractor is then encouraged to contact any member of Transformations management. When the supervisor becomes aware of an incident of harassment, the matter should be discussed with the Director of Operations or his/her designee. The matter will be investigated in a discreet and confidential manner. Even if the complainant is believed to have filed a false claim, Transformations will investigate and determine the appropriate action to take.

Transformations management will consider the facts of the case and take immediate corrective action as deemed appropriate in the best interest of the Transformations and the person(s) involved. Such action may include counseling, written warning, transfer, demotion, termination, or other action as deemed appropriate.

Transformations prohibits any form of retaliation against employee/independent contractor(s) for bringing bona fide complaints or providing information about a harassment investigation. However, if the investigation discovers that the original complaint or information disclosed was maliciously false, the employee/independent contractor who gave the false information may be subject to corrective action up to and including termination. Employees/independent contractors, supervisors, and managers are cautioned to consider allegations of harassment a serious matter, which should be resolved discreetly and confidentially in order to minimize work disruption and potential liability.

Statement on Alcohol and Drugs

Policy Statement:

Transformations provides a safe and productive work environment for all employees/independent contractors.

Using, possessing, selling, manufacturing, transferring, purchasing, dispensation, or being under the influence of drugs, narcotics or alcohol by employees/independent contractors at any time on Transformations premises or while on Transformations business is prohibited. Employees/independent contractors will only be allowed to distribute drugs and/or narcotics to residents/clients if the distribution of such drugs or narcotics is part of their job responsibilities and the distribution of the drugs and narcotics is part of a Director of Operations approved medical regimen for the client/resident. Employees/independent contractors must not report for duty or be on Transformations property while under the influence of, or while in the possession of, any drug, narcotic or alcohol. Further, employees/independent contractors will not possess alcoholic beverages in the workplace or consume alcoholic beverages in association with the workplace or during business hours unless attending an approved company event where alcohol has been provided by the employer. In that event, the employee/independent

contractor is expected to maintain sobriety and appropriate professional work behavior at all times.

Employees/independent contractors involved in work-related accidents, which require off-site medical treatment or result in property damage may be tested for controlled substances and alcohol. Any employee/independent contractor who refuses to be tested or violates this policy is subject to corrective action up to and including termination and/or the requirement that the employee/independent contractor satisfactorily complete a drug and/or alcohol rehabilitation program.

Procedure:

1. For purpose of this policy, the term drug or narcotic, whenever it appears in the policy and procedure statement, includes inhalants and any controlled substance not prescribed for the employee/independent contractor's use by a physician.
2. Violation of this alcohol and drug policy may result in corrective action, up to and including termination of employment.

Workplace Violence Prevention

Policy Statement:

Transformations is committed to providing a safe environment for the customers, employees/independent contractors and visitors. In order to provide a safe workplace, we maintain a zero tolerance for violence.

Violence, which takes place at the workplace or as a result of employment, includes acts and threats, implied or actual, made directly or indirectly, that creates or could create internal or external stress, productivity impairments, or physical and/or psychological harm to the employees/independent contractors, customers, clients, visitors or Transformations property. This includes forms of intimidation, harassment and/or coercion.

Procedure:

1. For purpose of this policy, Transformations prohibits all persons from possession or use of firearms, knives, explosives or any other prohibited weapon of any kind while acting in the course of employment, while on company owned, leased or controlled property, while operating company owned, leased or controlled vehicles, or at company sponsored functions regardless of whether the person is licensed to carry the weapon. This includes pepper spray and other self-defense chemical agents.
2. Transformations reserves the right to conduct searches of any person, vehicle or object that is on or enters onto company property any time it (the Company) has reasonable suspicion that this policy has been violated and such inspection is reasonably necessary in the investigation of such violation(s). Pursuant to this provision, Transformations is authorized to search lockers, desks, purses, briefcases, baggage, toolboxes, lunch sacks, clothing, vehicles parked on Transformations property, and any other item in which a weapon may be hidden. Transformations reserves the right to conduct searches on its property or authorize searches by law enforcement on its property without the employee/independent contractor being present. Searches may be conducted by Transformations management or local authorities.

3. If any prohibited materials are found during the search, the employee/independent contractor is to be placed immediately on administrative suspension without pay. The immediate supervisor will contact the Director of Operations or his/her designee to determine the appropriate corrective action and legal requirements.
4. Failure to abide by all terms and conditions of this policy may result in corrective action up to and including termination
5. Transformations encourages employees/independent contractors to immediately report any perceived, potential or real incident(s) that may involve a violation of this policy to his/her immediate supervisor. Every report must be taken seriously and immediately investigated.

Confidentiality and Release of Client Records

Policy Statement:

Transformations will maintain the confidentiality of client records, data submissions, and communications in accordance with applicable sections of Chapter 42 and 45 of the code of federal regulations (CFR)

Procedure:

1. All Client records will be kept confidential and not shared with outside agencies or personnel.
2. Each client and his or her guardian will be informed of this agency's confidentiality policy and expectations of the employee in regards to the policy.
3. Exceptions to this confidentiality policy are as follows:
 - a. A client may request to release information:
 - i. It is Transformations policy to release information regarding a client only with the specific written permission of the client, if over age 18 years or an emancipated minor, or the parent/guardian, if under age 18 years. However, if an underage client request that records be sent to another provider for purposes of treatment that does not require or involve parental consent, the authorization by the client to release the records shall be sufficient.
 - ii. A signed, dated and witnessed Release of Information form stating the specific person or facility to whom the release is addressed, identification of the client, the specific information to be released, the specific party to whom the information is to be given, the purpose of the disclosure, and the time limitations specific to the release is mandatory and must be entered into the client record before any client related information may be released to anyone. The agency will follow established procedures in releasing to and obtaining from other facilities information on clients.
 - iii. If a request for information is received with a Release of Information that does not meet the criteria specified in the policy, Medical Records staff will contact the requestor explaining what criteria the release lacks and/or send a copy of Transformations Release of Information for them to complete.

- iv. Information released must be marked Confidential and dated.
 - v. Items in the client record that were obtained from courts, schools, etc. that were completed prior to the clients acceptance to Transformations are not to be released. Parties requesting such information are referred to the primary source to obtain these items.
 - vi. Clients have a right to one free copy of their records which will be provided upon request in accordance with the guardians as stated in Section i.
 - vii. The signed form will be entered into the client record prior to any information being released.
- b. A client report of abuse: This includes suspected abuse to the child or to another adult.
- c. A client at risk of harm to self.
- d. A client at risk of harm to others.
- e. Court ordered disclosure via subpoena:
- i. All subpoenas received by Transformations requesting a client's records will be process by the Clinical Supervisor.
 - ii. All subpoenas must be ordered and signed by a Judge.
 - iii. The requesting attorney may be contacted and informed that Transformations will send certified copies of the record in lieu of a staff/employee making a personal appearance in court.
 - iv. The Clinical Supervisor, or their designee, will prepare copies of the records and have them certified by a Notary Public.
 - v. The copies will be mailed via certified mail, delivered to the court by an employee of Transformations, or picked up by the requesting attorney's office.
- f. Requests for access to the agency's records by:
- i. A representative of the United States Department of Health and Human Services
 - ii. The United States Attorney General's Office
 - iii. The state Auditor's Office
 - iv. The Office of the Inspector General
 - v. DMHMR and DCBS as Contractors of services
- g. The IMPACT Plus Central Office has the right to inspect medical and other records on site or can require written or electronic documentation for review as determined to be appropriate by the department.
4. All documentation generated as a result of this policy will be filed in the corresponding client's chart.
- a. When surveyors/auditors have access to clients records they will complete and sign the Log of Inspection of Records form which is available in each client record.

SECTION 2 --- EMPLOYMENT STATUS

Employment Process

Policy Statement:

Transformations welcome the submittal of resumes and requests for information regarding the agency.

Procedure:

Transformations will retain resumes received until the time that management determines a need or desire to extend contracts to more providers. At this time, the management staff will review the information and evaluate the qualifications based on Medicaid/Impact Plus guidelines or other governing guidelines. The interview will focus on the individual's experience working with children, and families with complex treatment needs. Case studies or other methods may be used to evaluate the provider's insight, knowledge, and experience. The interview process may cover various tasks set forth to demonstrate skill development and readiness. Applicants under consideration must meet standards set forth by Impact Plus and be individually approved for the service to be provided. The applicant must provide all requested information prior to final consideration.

The applicant will be offered a contract to review, if Impact Plus approves them (not management staff).

Employment Qualifications

Policy Statement:

Transformations' contracted employees/independent contractors will be qualified to provide services.

Procedure:

A. An employee/independent contractor who provides **targeted case management** will meet the following requirements:

1. Have a Bachelor of Arts or Sciences degree in a behavioral science from a college or university. A behavioral science includes:
 - a. Psychology
 - b. Sociology
 - c. Social work
 - d. Special education
 - e. Human services, if the curriculum includes thirty (30) hours of course work on the understanding of individual, family and social behavior, and the Department approves the transcript identifying the course work.
2. Have completed the equivalent of one (1) year of full-time employment working directly with children after completion of educational requirements. A master's degree in a behavioral science may substitute for the one (1) year of experience.
3. Have completed a case management training program provided by DMHMRS within six (6) months of the date of employment.

B. An employee/independent contractor who provides **therapeutic child support services** will either meet:

1. The following minimum qualifications for a professional providing a therapeutic support service:
 - a. Has a bachelor's degree from a college or university or is a registered nurse licensed in accordance with KRS 314.041
 - b. Has the equivalent of one (1) year full-time experience working with children who have behavioral health needs. A master's degree from a college or university will substitute for the required experience
 - c. Has sixty (60) hours of training in children's behavioral health or three (3) college level children; or
2. The following requirements for a paraprofessional providing a therapeutic support service:
 - a. Has a high school or general equivalency diploma
 - b. Has the equivalent of:
 - i. One (1) year of full-time documented supervised experience working with individuals who have behavioral health needs, six (6) months of which will be with children under age twenty-one (21) in a human service program; or
 - ii. One (1) year of education from a college or university and six (6) months experience with children under age twenty-one (21) in a human service program.

C. A **behavioral health professional** will meet the criterion for practice as one or more of the following:

1. A psychiatrist;
2. A physician licensed in Kentucky to practice medicine or osteopathy, or a medical officer of the government of the United States while engaged in the practice of official duties;
3. A psychologist licensed and practicing in accordance with KRS 319.050;
4. A certified psychologist with autonomous functioning or licensed psychological practitioner certified and practicing in accordance with KRS 319.056;
5. A clinical social worker licensed and practicing in accordance with KRS 335.100;
6. An advanced registered nurse practitioner licensed and practicing in accordance with KRS 314.042;
7. A marriage and family therapist licensed and practicing in accordance with KRS 335.300;
8. A professional clinical counselor licensed and practicing in accordance with KRS 335.500;

	Transformations, LLC	Human Resources Policies and Procedures Manual
--	-----------------------------	---

9. A professional art therapist certified and practicing in accordance with KRS 309.130;
10. An alcohol and drug counselor certified and practicing in accordance with KRS 309.080 to 309.089.

D. A **behavioral health professional under clinical supervision** will meet the criterion of one or more of the following:

1. A psychologist certified and practicing in accordance with KRS 319.056;
2. A licensed psychological associate licensed and practicing in accordance with KRS 319.064;
3. A marriage and family therapist associate permitted and practicing in accordance with KRS 335.300;
4. A social worker certified and practicing in accordance with KRS 335.080;
5. A professional counselor associate licensed and practicing in accordance with KRS 335.500.

Exclusion from Employment

Policy Statement:

Transformations will not contract for services with persons excluded by KRS 3:3030.

Procedure:

A contracted provider or person employed by Transformations will not have been convicted of the following:

1. A felony offense
2. Have been convicted of a misdemeanor offense involving an illegal substance within the five years previous to becoming a contractors or person employed by a subcontractor to provide services
3. Have been convicted of or entered a plea of guilty to a sex crime as defined in KRS 17.165
4. Have been convicted or entered a plea of guilty as a violent offender defined in KRS 17.165, or
5. Have had an incident of abuse or neglect of a child or adult substantiated by the Cabinet for Family and Children after having been provided an opportunity to appeal the substantiation to an administrative or judicial body:
 - a. For which the individual waived the right to appeal the substantiation;
 - b. or for which an administrative body upheld the substantiated incident

Supervision Requirements

Policy Statement:

Supervision requirements are according to Impact Plus guidelines. Service Coordinators are required to attend weekly supervision under direction of an approved Behavioral Health Professional or Service Coordinator with two years' experience and Medicaid approval. Individuals licensed or approved as Service Coordination Supervisors are not required to attend weekly supervision. It is suggested they attend supervision a minimum of one time per month.

Therapeutic Child Supports are required to attend weekly supervision under direction of a Behavioral Health Professional who is licensed, or under supervision of a licensed Behavioral Health Professional. Behavioral Health Professionals are expected to attend a Transformations supervision/ meeting a minimum of one time per month. All Behavioral Health Professionals and Behavioral Health Professionals under Clinical Supervision are required to maintain their individual professional requirements.

Procedure:

1. Supervision times are arranged with the workers direct supervisor.
2. The supervisee is responsible to present client cases and engage in the supervision experience.
3. Supervisors are responsible to document supervision sessions according to regulations and to retain the documentation in Transformations files.
The written supervision record will:
 - A. Be current, readily retrievable, organized, complete, and legible in accordance with sound supervision record keeping practice.
 - B. Be maintained in an employee/independent contractor's personnel file or in a separate supervision log.
 - C. Be kept in a locked file and treated as confidential in accordance with KRS194A.060, 434.840 to 434.860, 422.317 and 42 C.F.R. 431.300 to 431.307.
 - D. Include a written description of the face-to-face supervision meeting that is dated and signed for each session that includes:
 - a. A description of the encounter that specifies the topics discussed and the specific action to be taken.
 - b. An update for a previous issue discussed that required follow-up.
 - c. A plan for additional training needs that may be identified.
4. All supervisees are responsible to provide documentation of participation in approved (internal and external) supervision. A current copy of the Approved Supervision Contract must be provided to Transformations and kept on file at all times.
5. The worker is responsible to maintain compliance and arrange for compliance in the event of an absence from scheduled supervision sessions.
6. Per state regulations: 907 KAR.3.030 Section 5.12 a, Transformations will provide training in Impact Plus Services.
7. Failure to comply with requirements may result in the following consequences:
 - a. services may be ineligible for billing

- b. suspension of contract
- c. termination of contract

At-Will Employment

Policy Statement:

Unless otherwise provided in writing, employment with Transformations is considered to be at-will, so that either party may terminate the relationship at any time for any reason, with or without cause or notice. Any modification of the at-will employment relationship, oral or written, can only be accomplished by a written document signed by the Director of Operations.

This policy may not be modified by any statements contained in this manual or any other company documents, whether singly or combined, create an expressed or implied contract of employment for a definite period of time. For example, statements of specific grounds for termination set forth in this manual or in any other Transformations documents are examples only, not all-inclusive lists, and are not intended to restrict company's right to terminate at-will.

Equal Employment Opportunity

Policy Statement:

It is the policy of Transformations, as an equal opportunity employer, to ensure that all applicants and employees/independent contractors are entitled to equal employment opportunity. Transformations will not discriminate against any employee/independent contractor or applicant for employment because of race, color, religion, sex, national origin, age (as provided by the Age Discrimination in Employment Act), disability, veteran status or any other characteristic protected by law.

As part of this policy, Transformations will:

1. Recruit, hire, and train without regard to race, color, religion, sex, national origin, age, disability, veteran status or any other characteristic protected by law.
2. Base employment decisions on the principle of furthering equal employment opportunity.
3. Promote employees/independent contractors based on job performance; and
4. All personnel actions, such as compensation, benefits, transfers, layoffs, and return from layoffs will be administered without regard to race, color, religion, sex, national origin, age, disability, veteran status, or any other characteristic protected by law.

Each job applicant, and all present employees/independent contractors, will receive fair and equitable consideration in all matters pertaining to employment. Applicants will be considered for employment based upon criteria related to the job they are expected to perform. Employees/independent contractors will receive equal treatment in the conditions and privileges of employment.

Americans with Disabilities Act

Policy Statement:

Transformations is committed to complying fully with the Americans with Disabilities Act (ADA) and ensuring equal opportunity in employment for qualified persons with disabilities. All employment practices and activities are conducted on a non-discriminatory basis. Transformations will not retaliate against anyone who asserts their rights provided by the Americans with Disabilities Act (ADA) or any state human rights law.

Transformations is also committed to not discriminate against any qualified employee/independent contractor or applicant because they are related to or employed by a person with a disability. Transformations will follow any state or local law that provides individuals with disabilities greater protection than the ADA.

Procedure:

1. Before the selection process begins, the immediate supervisor should ensure that a job description, including the essential functions of the job, is up-to-date and available as an interview tool. All employment decisions are to be made based upon job-related criteria and without regard to physical or mental disabilities of qualified individuals. Evaluation inquiries must focus on the ability of the individual to perform the job. Inquiries must not focus on the nature or severity of disabilities, physical limitations, prior illnesses, or prior worker compensation claims.
2. Reasonable accommodation is available to all disabled employees/independent contractors, where their disability affects the performance of job functions. All employment decisions are based on the merits of the situation in accordance with defined criteria, not the disability of the individual.
3. Applicants and/or employees/independent contractors may initially make their request for reasonable accommodation verbally to the immediate supervisor who will then request that the individual provide a written request detailing the specific accommodation request. Employees/independent contractors working at Transformations Facilities will direct their initial requests to the Director of Operations. All written requests for reasonable accommodation will be forwarded to the Director of Operations for consideration. The Director of Operations or his/her designee will issue a response to the request within 10 (ten) business days.
4. The Americans with Disabilities Act requires an employer to provide reasonable accommodation to qualified individuals with disabilities who are employees/independent contractors or applicants for employment, unless to do so would cause undue hardship. Accommodation is defined as "any change in the work environment or in the way things are customarily done..." such as the job application process, work environment, employment benefits and privileges. An employer must consider each accommodation request and determine: (one) whether the accommodation is needed, (two) if needed, whether the accommodation would be effective, and (three) if effective, whether providing the reasonable accommodation would impose an undue hardship.
5. Types of reasonable accommodations may include, but are not limited to:
 - a. Job restructuring;
 - b. Leaves of absence (NOTE: The immediate supervisor should determine an employee/independent contractor's rights under each statute – ADA and FMLA – separately, and then consider whether the two statutes overlap.
 - c. Modified workplace policies;
 - d. Reassignment (Reassignment is considered as a last resort and is considered only after it has been determined that: (one) there are no effective accommodations that will enable the employee/independent contractor to perform the essential functions of his/her current position; or (two) all other reasonable accommodations would impose an undue hardship).

6. Undue hardship means significant difficulty or expense. It focuses on the resources and circumstances of the employer in relationship to the cost or difficulty of providing a specific accommodation. An employer must assess on a case-by-case basis whether a particular reasonable accommodation would cause undue hardship. A determination of undue hardship should be based on several factors, including:
 - a. The nature and cost of the accommodation needed;
 - b. The overall financial resources of the facility making the reasonable accommodation;
 - c. The effect on expenses and resources of the facility;
 - d. The overall financial resources, size, number of employees/independent contractors, and type and location of facilities of the employer (if the facility involved in the reasonable accommodation is part of a larger entity);
 - e. The type of operation of the employer, including the structure and functions of the workforce, the geographic separateness, and the administrative or fiscal relationship of the facility involved in making the accommodation to the employer; and,
 - f. The impact of the accommodation on the operation of the facility.

Initial Employment Review Period

Policy Statement:

The first 90 calendar days of employment are known as the initial employment review period. During this time the supervisor(s) will be determining the employee/independent contractor's abilities to meet the requirements of the job.

Procedure:

1. Typically, somewhere before the end of the 90-day review period, the supervisor will make a formal written evaluation of the new employee/independent contractor's performance.
2. If the performance is satisfactory, the initial employment review period will end.
3. If the performance is not satisfactory, the employee/independent contractor will be terminated or, at Transformations' discretion, the employee/independent contractor may be placed in another job or the review period may be extended.
 - If the employee/independent contractor is placed in another job, a new 90-day initial employment review period will be started and the evaluation process will be repeated.
4. Transformations retains the right to terminate an unsuitable employee/independent contractor at any time and in no instance should an employee/independent contractor assume that they have a permanent position with Transformations simply because the initial employment review period was positive or for any other reason.

Resignation

Policy Statement:

Employees/independent contractors wishing to resign in good standing, and be eligible for rehire or other considerations, will submit advance written notice of resignation to their immediate supervisor, stating:

- Reason for terminating
- Date notice is submitted
- Last day of work

Procedure:

1. Employees/independent contractors are required to give notice, in writing, no later than 20 working days in advance.
 - If less notice is given, termination may be immediate.
 - Failure to provide the required notice will result in the employee forfeiting accrued benefits and training fees paid by Transformations during the last year of employment.
 - Employees/independent contractors are responsible for completing and returning all assigned or agreed upon client documentation and/or discharge forms. Employees/independent contractors are also responsible for items issued to them by Transformations or in their possession or control (e.g. keys). Employees must return all Transformations documentation or property immediately upon request or upon termination of employment. Where permitted by applicable laws, Transformations may withhold from the employee's check or final paycheck the cost of any items that are not returned when required. Transformations may also take all action deemed appropriate to recover or protect its property.

Personnel Records

Policy Statement:

The Director of Operations maintains a personnel file on each facility employee/independent contractor. All other personnel records are maintained at the corporate headquarters for Transformations. Personnel files are treated as confidential, and are housed in a locked office or file cabinet. Each file is the property of Transformations. The information in the file is considered personal and confidential. Transformations takes precautions to insure that each employee/independent contractor's right to privacy is protected.

The completed I-9 forms, per federal requirements are kept completely separate from the employee personnel file record. All benefit/medical information is stored in the Confidential/Restricted file folder.

Procedure:

The personnel file may include at a minimum:

Employees

1. Initial application form or Resume

	Transformations, LLC	Human Resources Policies and Procedures Manual
--	-----------------------------	---

2. Experience, training and education verification
3. Employee Status Change Forms
4. Signed Job Description
5. Signed and dated Statement on Alcohol and Drugs – Consent and Release Form
(*required for employment*)
6. Ethics & Policy & Procedure Agreement
7. Employee Performance Reviews
8. Commendations
9. Corrective actions
10. Leave Requests
11. Supervisor/Director notes concerning job performance

Independent Contractors

1. Information form
2. Resume (with month and year employment date spans)
3. Copy of transcripts (if no Professional License)
4. Photo copy of diploma (if no Professional License)
5. Written description of work with children indicating three years of work in an agency
6. Proof of professional license with date of expiration: _____
7. Board approved Clinical Supervision letter for BHP under clinical supervision
8. Proof of professional liability insurance with Transformations rider
9. Proof of valid driver's license
10. TB skin test and renewal date: _____
11. Records check with the Administrative Office of the Courts
12. Records check with The Cabinet for Families and Children
13. Completed Client Contract Summary
14. Three releases for references
15. Three letters of recommendation
16. Statement of Disclosure
17. Impact Approval Letter
18. Contract
19. Rate Sheet
20. Ethics & Policy & Procedure Agreement
21. Key Agreement
22. Business Associate Agreement
23. Initial Impact Plus Agreement & Sub-provider Agreement with initials of contractor
24. Supervision Agreement

25. Driver Agreement

26. Auto insurance for business if transporting

Access

Access to personnel files is restricted to those employees/independent contractors who have a legitimate need to carry out the performance of his/her duties. Normally, this is the employee/independent contractor's immediate supervisor or a member of the corporate staff.

Each employee/independent contractor of Transformations may review their personnel file. To review his/her personnel file, the employee/independent contractor must submit a written request to his/her immediate supervisor. Employees/independent contractors may challenge information in their personnel files that they believe is inaccurate. If the supervisor confirms that the information in the file is correct, the employee/independent contractor may then elect to follow the Employee/independent contractor Complaint Resolution Procedure.

Outside Inquiries

Any request from someone outside the facility to view an employee/independent contractor's or former employee/independent contractor's personnel file must be accompanied by written permission from the employee/independent contractor. Such requests need to be forwarded to the immediate supervisor or Director of Operations upon receipt.

Telephone Inquiries Regarding Verification of Employment

All requests to verify employment are directed to the Director of Operations. Transformations verifies only dates of employment via telephone. Requests for additional information must be submitted in writing to the Director of Operations, and will be limited to dates of employment, last work location, positions held and salary information.

Timekeeping

Employees should accurately record the time they begin and end their work. They should also record the beginning and ending time of any split shift or departure from work for personal reasons.

Employee overtime work must always be approved by the immediate supervisor before it is performed.

Altering, falsifying, tampering with time records, or recording time on another employee/independent contractor's time record may result in corrective action, up to and including termination of employment.

The Director of Operations is responsible for checking and verifying time records before submitting for payroll processing.

SECTION 4 --- WORK RULES

Standards of Employee/Independent Contractor Conduct

Policy Statement:

All employees and independent contractors must comply with the following standards of employee/independent contractor conduct. As a condition of employment, each employee/independent contractor signs a statement acknowledging he/she has read and understands the standards and his/her agreement to abide by them.

The word "client" as used in this policy includes anyone receiving the services provided by a Transformations program.

Standards:

1. Employees/independent contractors will immediately report to their immediate supervisor or another member of management any illegal, corrupt or unethical behavior (intentional or not) which could affect a client, the integrity of Transformations and/or agencies with whom Transformations maintains contracts or business relationships.
2. Employees/independent contractors will serve each client with appropriate concern for the client's welfare. Employees/independent contractors will be diligent in their responsibility to record and make available for review any and all case information which could contribute to sound decisions affecting a client.
3. Employees/independent contractors will conduct themselves professionally and in a manner that creates and maintains respect for the clients.
4. Employees/independent contractors will uphold the ethical rules governing their professions, including complying with applicable laws and licensing authority rules.
5. Employees/independent contractors will complete and deliver within 72 hours all required client activity and billing notes.
6. Employees/independent contractors will complete and deliver any "Change In Service Delivery" form prior to the needed change in schedule.
7. Employees/independent contractors will not engage in any conduct that is criminal in nature or which would bring discredit on Transformations. Employee/independent contractor conduct must be above reproach. It is expected that employees/independent contractors will obey, not only the letter of the law, but also the spirit of the law while engaged in personal or official activities.

Employees/independent contractors who are charged with, arrested for, or convicted of any felony or misdemeanor, must immediately inform and provide a written report to the Director of Operations. Failure to inform the specified parties within the expressed timelines may result in corrective action up to and including termination.

8. Employees/independent contractors will not use or possess illegal drugs or narcotics. They will not abuse any drugs or narcotics. The presence in any detectable amount of any illegal drug in an employee/independent contractor while performing company business, while on company premises or in a company vehicle will be sufficient grounds for immediate termination.

Use of alcoholic beverages or being under the influence of alcohol while on duty, present in the facility, in a company vehicle or immediately before reporting for duty is prohibited and can be sufficient grounds for immediate termination. "Under the influence", for purposes of this policy, means that the employee/independent contractor is affected by the alcohol in any detectable manner. The symptoms are not confined to those consistent with misbehavior, or to obvious impairment of physical or mental ability, such as slurred speech or difficulty in maintaining balance.

9. Employees/independent contractors will not have an inappropriate contact or relationship with their supervisor or subordinate employee/independent contractor. This includes but is not limited to emotional, sexual, financial or physical relationships.
10. Employees/independent contractors will not allow themselves to show partiality toward, or become emotionally, physically, sexually, or financially involved with clients, former clients, or the families of clients or former clients.
11. Employees/independent contractors will not engage in, or allow another person to engage in, sexual behavior with a client or former client. Regardless of whether force is used or threatened, there can be no sex between employees/independent contractors and clients or former clients or the families of clients or former clients.
12. Employees/independent contractors will not use profane, obscene, or otherwise abusive language when communicating with clients, former clients, employees/independent contractors or others. Employees/independent contractors will conduct themselves in a manner that is not demeaning or humiliating to clients, former clients, fellow employees/independent contractors or others.
13. Employees/independent contractors will not enter into any business relationship with clients, former clients or the families of clients or former clients (such as, but not limited to selling, buying or trading property) or employ them in any capacity.
14. Employees/independent contractors will not offer or give a client or former client or any member of his or her family, or to any person known to be associated with a client or former client, any article, favor, or service, which is not authorized in the performance of the employee/independent contractor's duties. Employees/independent contractors will not accept for themselves or any member of their family any tangible or non-tangible gift, paid employment, personal service, or favor from a client, former client or from anyone known to be associated with a client or former client or from a family member of a client or former client.

This prohibition includes becoming involved with families or associates of any client or former client. All employees/independent contractors are required to report to the immediate supervisor any violation or attempted violation of this standard.

15. Employees/independent contractors will not receive cash, checks or a loan from any client or family of a client.
16. Employees/independent contractors will not let a client use the employee/independent contractor's motor vehicle, nor will the employee/independent contractor use a client's motor vehicle.
17. Employees/independent contractors will not discriminate against any client, employee/independent contractor, or prospective employee/independent contractor on the basis of race, color, religion, sex, national origin, age disability, veteran's status or any other characteristic protected by law.
18. Employees/independent contractors will not engage in critical discussion of staff members, clients or former clients in the presence of clients or former clients.
19. Employees/independent contractors will not endanger the wellbeing of themselves or others.
20. Employees/independent contractors will not possess lethal weapons or weapons which may inflict personal injury in the facility or while on duty. These include pepper spray and other self-defense chemical agents. Employees/independent contractors are forbidden from storing lethal weapons or weapons which may inflict personal harm, including the self-defense items listed above in vehicles parked on Transformations property or on property adjacent to a Transformations facility.
21. Employees/independent contractors are required to cooperate fully with any investigative authority including Transformations personnel. Full cooperation includes truthfully responding to all questions and providing a signed affidavit if requested.
22. Any and all information which in any way relates to Transformations, its directors, officers, employees/independent contractors, clients and affiliates is confidential and proprietary. All employees/independent contractors are charged with the responsibility of maintaining the confidentiality of all such information and will not seek information beyond what is needed to perform their responsibilities, nor will they reveal any such information to anyone except those within Transformations with a need to know such information in order to perform their assigned duties.
23. Employees/independent contractors may not release any information to the news media or anyone outside Transformations about Transformations activities. Employees/independent contractors must always direct such inquiries to the immediate supervisor who will contact the corporate office. No public statement, either oral or written, may be given without the prior approval of the Director of Operations of Transformations or his/her designee.

Any employee/independent contractor found violating the Employee/independent contractor Standards of Conduct is subject to corrective action, up to and including termination. If a government investigation finds the employee/independent contractor in violation of the Employee/independent contractor Standards of Conduct and refuses to allow the

employee/independent contractor approval to work with clients, the employee/independent contractor will be terminated.

Attendance and Absenteeism

Policy Statement:

Transformations employees/independent contractors provide essential services and absence and tardiness can detract from the quality of services and can cause undue hardship for our clients. Therefore, Transformations must be able to count on regular and dependable attendance of employees/independent contractors.

The objective of monitoring absences is to focus on the absence and not the reason for the absence. In order to maintain a fair and reasonable work environment, and in recognition of the important contributions of each employee/independent contractor, it is imperative that the absenteeism policy be applied equitably to all employees/independent contractors.

Employees/independent contractors whose absenteeism and/or tardiness becomes unacceptable will be subject to corrective action, up to and including termination.

Procedure:

1. All employees/independent contractors are expected to be on time every scheduled work day/appointment.
2. If an employee/independent contractor is going to be late or absent from work; an employee must notify their immediate supervisor prior to their start time; an independent contractor must contact their appointment prior to the appointment. Calling or leaving a message in the office is not sufficient notice.
3. Excessive tardiness or absenteeism, as determined by Transformations, is cause for corrective action, up to and including termination.

Corrective Action

Policy Statement:

Supervisors are responsible for identifying employees/independent contractors whose performance and/or behavior is unsatisfactory, formally apprising them of their unsatisfactory performance and/or behavior, and informing them that failure to improve may lead to disciplinary action, up to and including termination.

- Supervisors will counsel employees/independent contractors whose performance and/or behavior is unsatisfactory as frequently as reasonable to help them improve their performance and/or behavior.
- If the unsatisfactory employee/independent contractor fails to improve performance or behavior as specified during the employee/independent contractor counseling process, they may be demoted or terminated from at the discretion of Transformations management.

The following Corrective Action procedure will apply to all employees/independent contractors except for employees/independent contractors who are in their initial employment introductory period. The corrective actions outlined below may be used by Transformations management singularly or in combination based on the circumstances of the corrective action.

Procedure:

Oral Reminder: The purpose of the Oral Reminder is to correct performance or a behavior problem by bringing it to the employee/independent contractor's attention in a supportive but serious manner. This approach is appropriate after previous counseling has failed. A supervisor's discussion with the employee/independent contractor should include the specific offense, a specific statement of expected performance, and any explanation given by the employee/independent contractor. Advise the employee/independent contractor that a note regarding this oral reminder will be placed in his/her personnel file. Finally, the supervisor should indicate his/her confidence in the employee/independent contractor's ability to perform properly in the future.

Written Warning: The Written Warning involves a formal conversation between the supervisor and an employee/independent contractor about a performance or a behavior problem. This step is appropriate for either repeated infractions or a more serious infraction of Transformations rules governing employee/independent contractor conduct, or repeated failure to improve performance. Following the conversation, the supervisor writes a memo to the employee/independent contractor summarizing the conversation and the need to improve. The written reminder will be given to the employee/independent contractor no later than five business days following the conversation. A copy will be placed in the employee/independent contractor's personnel file. The memo should contain the following information:

1. The date of the conversation;
2. The specific rule violation or performance problem that occurred;
3. A reference to the earlier conversation about the problem;
4. A statement of the specific change in the employee/independent contractor's performance or behavior that is expected:
 - Include the time allowed for the improvement; and
 - State the consequences of not meeting the required performance or behavioral changes within the allotted time;
5. Any comments or statements the employee/independent contractor made during the conversation;
6. A statement indicating confidence in the employee/independent contractor's ability to perform properly in the future and
7. The employee/independent contractor should sign and date the document. If the employee/independent contractor refuses to sign the document, the supervisor will note the refusal on the form and request another member of management to witness the refusal.

Disciplinary Suspension: Disciplinary Suspension consists of a conversation between the supervisor and the employee/independent contractor about a discipline problem; following the conversation the employee/independent contractor may be suspended from seeing clients for a period of time approved by the Director of Operations. The agency will find appropriate coverage during the suspension period. This is an extremely serious step, since

if the employee/independent contractor returns to work after the disciplinary suspension and does not satisfactorily improve his/her performance and/or behavior, he or she may be terminated.

Normally the disciplinary suspension is used only after an oral reminder and a written warning have been given to the employee/independent contractor and no satisfactory change in performance and/or behavior has resulted. However, Transformations management reserves the right to utilize whatever level of the Corrective Action process deemed appropriate for the behavior and/or performance issue.

When the employee/independent contractor returns from the disciplinary suspension, the supervisor should write a memo summarizing the incident(s) leading up to the disciplinary suspension. The memo should be written to, not about, the employee/independent contractor and it should contain the following information:

1. The date of the disciplinary suspension conversation;
2. The specific rule violation or performance problem that occurred;
3. The dates and nature of earlier conversations about the problem(s);
4. A statement about the specific change in the employee/independent contractor's performance or behavior that is expected:
 - Include the time allowed for improvement; and
 - State the consequences of not meeting the required performance or behavioral changes within the allotted time;
5. The duration of the suspension and
6. A statement indicating that any further discipline problems will result in the employee/independent contractor's termination.

The memo should be given to the employee/independent contractor no later than when he/she returns from the leave. The signature of employee/independent contractor is required.

Termination: Termination may occur at any time during the Corrective Action process at the discretion of Transformations management. Employees/independent contractors may contest the termination or demotion by following the Complaint Resolution Procedure.

Multiple Violations

An employee/independent contractor on Disciplinary Suspension may be terminated if new or continued performance and/or behavior problems arise.

Repeating Discipline actions

When a significant amount of time passes between the times a supervisor gives an oral reminder or written warning and a repetition of the same problem occurs, the supervisor can repeat the action(s) he/she took previously. The basis for repeating the action(s) is the supervisor's judgment that a second oral reminder or written warning would be more effective in changing the employee/independent contractor's performance and/or behavior than Disciplinary Suspension or Termination.

Use of Corrective Actions

When an employee/independent contractor commits an extremely serious offense, immediate supervisors may elect to utilize the corrective action he/she deems appropriate for the offense. If the offense is of such a magnitude that the person's continued employment cannot be tolerated, the employee/independent contractor may be suspended without pay or able to see clients until a final determination can be made about the person's continued employment. The agency will find appropriate coverage during the suspension period.

Use of the Complaint Resolution Procedure

If an employee/independent contractor intends to file a complaint concerning his/her demotion or termination, it must be in writing and given to the immediate supervisor or designee within 48 hours following the notice of demotion or termination.

Employee/Independent Contractor Complaint Resolution Procedure

Policy Statement:

Employees/independent contractors of Transformations may file a written complaint relative to termination, suspension or demotion. Directors and exempt Executive Staff serve at the discretion of the Director of Operations and are exempt from the complaint resolution process.

Procedure:

A complaint may be filed utilizing the following procedure:

1. A written statement should include the specific management action (termination, suspension or demotion) that is the basis for the complaint and an explanation of why the employee/independent contractor disagrees with that action. This statement is submitted to the Director of Operations.
2. The Director of Operations investigates the matter and may elect to schedule a meeting with the employee/independent contractor within 10 working days, excluding weekends and holidays. A written decision is usually given to the employee/independent contractor within 10 days of finalizing the investigation excluding weekends and holidays.
3. The Director of Operations is the final authority in all employee/independent contractor appeals.
4. In all stages, the complaint is forwarded to the appropriate staff without alteration, interference, or delay. Employees/independent contractors filing a complaint will not be subjected to any adverse action as a result of the filing of a legitimate complaint.

Safety in the Workplace

Policy Statement:

To assist in providing a safe and healthful work environment for employees/independent contractors, residents, and visitors, Transformations has established a workplace safety program. This program is a top priority for Transformations and its success depends on the alertness and personal commitment of all. Transformations reserves the right to test any employee/independent contractor for alcohol and/or drug usage in the event of a vehicle accident while conducting business for Transformations or the occurrence of any work related injury.

Transformations provides information to employees/independent contractors about workplace safety and health issues through regular internal communication channels such as supervisor-

employee/independent contractor meetings, bulletin board postings, memos, or other written communications.

Each employee/independent contractor is expected to obey safety rules and to exercise caution in all work activities. Employees/independent contractors must immediately report any unsafe condition to the appropriate supervisor. Employees/independent contractors who violate safety standards, who cause hazardous or dangerous situations, or who fail to report or, remedy (where appropriate) such situations, may be subject to corrective action, up to and including termination of employment.

Transformations' Materials

Policy Statement:

All manuals, forms, proposals, contracts and programs (written or video), computer software (either purchased or developed in-house), and electronically stored data on computer hard drives, diskettes, DVD, CD-ROM or tapes are the property of Transformations and are proprietary. Such materials may not be removed from the Transformations' facility or website without corporate knowledge and approval. Removal is grounds for immediate dismissal as well as possible criminal and/or civil prosecution.

Employees/independent contractors must return all Transformations property immediately upon request or upon termination of employment. Transformations may also take all action deemed appropriate to recover or protect its property.

Solicitation

Policy Statement:

No employee/independent contractor is permitted to conduct any type of solicitation of Transformations clients or their families. For example, canvassing, soliciting products, collecting funds, soliciting pledges, circulating petitions, soliciting memberships in any organization, or any other such activity undertaken for any purpose is not permitted, and may result in corrective action up to and including termination.

Security Inspections

Policy Statement:

Transformations wishes to maintain a work environment that is free of illegal drugs, alcohol, illegal firearms, explosives, or other improper materials. To this end, Transformations prohibits the possession, transfer, sale, or use of such materials on its premises. Transformations requires the cooperation of all employees/independent contractors in administering this policy.

Desks, lockers, and other storage devices may be provided for the convenience of employees/independent contractors but remains the sole property of Transformations. Accordingly, they, as well as any articles found within them, can be inspected by any agent or representative of Transformations at any time, either with or without prior notice.

Transformations likewise wishes to discourage theft or unauthorized possession of the property of employees/independent contractors, Transformations, visitors, and patients. To facilitate enforcement of this policy, Transformations or its representative may inspect not only desks and lockers but also persons entering and/or leaving the premises and any packages or other belongings. Any employee/independent contractor who wishes to avoid

inspection of any articles or materials should not bring such items onto Transformations' premises.

Communication Systems and Technology

Policy Statement:

If Transformations provides employees/independent contractors with the necessary communication systems and technology to perform their job duties and these may be accessed by Transformations employees/independent contractors in the ordinary course of business. Access or use of these communication systems and technology by Transformations employees/independent contractors outside the ordinary course of business is prohibited unless approved by the employee/independent contractor's supervisor.

For employees, all Transformations-supplied communication systems and technology, including postal mail systems, telephone and cellular phone systems and accounts, computers, disks, drives and servers, software programs, Internet access, electronic mail ("e-mail"), text messaging services and Company-related work records belong to Transformations and not the employee.

Transmittal of Confidential Client Records

Policy Statement:

It is Transformations' policy to use reasonable care and precaution in the transmission of confidential client records and other information.

Procedure:

1. Any confidential client records transmitted by mail will be marked as confidential and reasonable effort will be used to address the envelope to the identified person or agency to which the release is intended.
2. Due to client confidentiality, records will only be faxed when the information is needed by another healthcare provider, state or federal utilization review board, or state legal guardians for immediate client need. Reasonable care will be used to insure the accuracy of the recipient of the fax.
 - a. All faxed documents should be accompanied by a cover sheet that includes the date of transmission, the sending facility's name, address, phone number, fax number, the receiving facility's name and fax number, the authorized receiver's name, number of copies sent and a statement regarding destruction of misdialed faxes.
 - b. If a fax transmission is not received by the intended recipient due to misdialing, the unintended recipient will be asked to return the fax to Transformations through the mail or to destroy the faxed document.
3. Electronic transmission of client information is permitted in accordance with HIPA standards of practice.
 - a. All providers are required to maintain a confidential phone for voice mail and verbal communications with and regarding clients.

	Transformations, LLC	Human Resources Policies and Procedures Manual
--	-----------------------------	---

- b. All providers are required to maintain a private email address which is only accessible by the intended provider.
- c. Transformations will use reasonable resources to secure the agency website information and transmissions.

	Transformations, LLC	Human Resources Policies and Procedures Manual
--	-----------------------------	---

HR Policy & Procedure Manual Acknowledgement Form

This manual provides managers and supervisors of Transformations with a single reference for all policies, procedures, and employee/independent contractor benefits relating to human resource management. Using this manual will insure that managers and supervisors are provided with consistent and objective courses of action in dealing with employees/independent contractors; that their responses and conduct are within Transformations guidelines, providing substantial protection from charges of inconsistent or subjective judgment.

I have received the handbook, and I understand that it is my responsibility to read and comply with the policies contained in this handbook and any revisions made to it. I understand that I may suggest supplementary policies and procedures to address local conditions; however, I cannot implement these suggestions until I have received written approval from the Director of Operations and/or Director of Operations of Transformations.

I understand that as an employee/independent contractor of Transformations I must return all Transformations property immediately upon request or upon termination of employment. Transformations may take all action deemed appropriate to recover or protect its property.

I acknowledge that if I improperly use or disclose trade secrets or confidential business information, I will be subject to corrective action, up to and including termination of employment and legal action.

Furthermore, I acknowledge that this manual is neither a contract of employment nor a legal document. I acknowledge that employment contracts must be in writing, limited to a specified period of time and can only be created by the Director of Operations of Transformations.

Employee/Independent Contractor's Name (printed)

Employee/Independent Contractor's Signature

DATE