

Policies and Procedures

Orientation 2017

Learning Objectives

- To Understand The Purpose of the Agency's Policy and Procedure Manual
- To Gain An Overview Of The Agency's Policy's and Procedures
- To Learn and Understand The Agency's Most Essential Policies
- To Understand What To Do If A Policy Is Not Clear

Purpose of Policies and Procedures

Why they are important to learn and understand

Why Do We Need Policies?

To Keep Everyone Safe

To Provide Clear
Expectations

To Stay in Compliance

To Provide a Guide of
Best Business Practice



Overview of Policies and Procedures

What Does My Employee Handbook Contain

Table of Contents

- Introduction
- Conditions of Employment
- Benefits
- Compensation
- Hours of Operation
- Time Off
- Employee Development
- Termination of Employment
- Grievance
- HIPAA

Policy and Procedure Highlight

A Review of the Most Essential Policies

Alcohol and Drug Free Workplace – Policy 2.1

As part of our continuing effort to protect the health, safety and security of our employees and clients, Connections shall provide an alcohol and drug free workplace for all employees by:

PURPOSE

It is the desire of Employer to provide a safe and drug-and-alcohol free workplace. Using or being under the influence of drugs or alcohol while on the job may pose serious safety and health risks, is inconsistent with the behavior expected of Employees, and undermines Employer's ability to operate effectively and efficiently. In this connection, the unlawful manufacture, distribution, dispensing, possession, sale or use of a controlled substance or alcohol is prohibited on the job, in the workplace, or while engaged in business off Employer's premises. Such conduct is also prohibited during non-working hours to the extent that it impairs an Employee's ability to perform on the job or threatens the reputation or integrity of Employer.

Alcohol and Drug Free Workplace – Policy 2.1

PROHIBITED BEHAVIOR

The Employer explicitly prohibits:

- The use, possession, solicitation for, or sale of narcotics or other illegal drugs, alcohol, or prescription medication without a prescription on Employer or its customer premises or while performing any work assignment.
- Being impaired or under the influence of legal or illegal drugs, alcohol or other intoxicating agents away from Employer, if such impairment adversely affects the Employee's work performance, the safety of the Employee or of others, or puts at risk the Employer's reputation.
- Possession, use, solicitation for, or sale of legal or illegal drugs or alcohol away from Employer, if such activity or involvement adversely affects the Employee's work performance, the safety of the Employee or of others, or puts at risk the Employer's reputation.
- The presence of any detectable amount of prohibited substances in the Employee's system while at work, while on the premises of the Employer or its customers, or while conducting Employer business. "Prohibited substances" include illegal drugs, alcohol, or prescription drugs or other intoxicating agents not taken in accordance with a prescription given to the Employee.

Alcohol and Drug Free Workplace – Policy 2.1

TESTING

The Employer will conduct drug and alcohol testing under the following circumstances:

- Random Testing:** Employer or its customer's may request or require Employees in safety-sensitive positions to undergo drug and alcohol testing on a random selection basis. The Minnesota Drug and Alcohol Testing in the Workplace Act defines "safety-sensitive position" as "a job, including any supervisory or management position, in which an impairment caused by drug or alcohol usage would threaten the health or safety of any person." Employees will be selected at random for drug testing at any interval determined by the testing laboratory.
- Reasonable Suspicion:** Employer may ask an Employee to submit to a drug and alcohol test at any time it feels the Employee may be under the influence of drugs or alcohol, including, but not limited to, the following circumstances: violation of this policy, evidence of drugs or alcohol on or about the Employee's person or in the Employee's vicinity, unusual conduct on the Employee's part that suggests impairment or influence of drugs or alcohol, negative performance patterns, or excessive absenteeism.
- Post-Accident Testing:** Any Employee involved in an on-the-job accident or injury under circumstances that suggest possible use of drugs or alcohol in the accident or injury event will be asked to submit to a drug and alcohol test. "Involved in an on-the-job accident or injury" means not only the one who was injured, but also any Employee who potentially contributed to the accident or injury event in any way.
- Follow-Up Testing:** Employees who have tested positive will be subject to ongoing, unannounced, follow-up testing for a period of two years and will be terminated immediately if he/she tests positive a second time.

Affirmative Action – Policy 2.3

See Policy for Further Details

Prohibits Discrimination
because of...

Race

Color or Creed

Religion

Ancestry

National Origin

Gender

Sexual Orientation

Socioeconomic Status

Disability

Age

Marital Status

Prohibits Discrimination in
employment practices
including, but not limited to

Hiring

Demotion

Promotion

Transfer

Recruitment

Selection

Layoff

Disciplinary Action

Termination

Pay

Selection for Training

Affirmative Action – Policy 2.3

This statement reaffirms Connections' policy of providing Equal Opportunity to all employees and applicants for employment in accordance with all applicable Equal Employment Opportunity Affirmative Action laws, directives, and regulations. Connections will not discriminate against any employee or applicant for employment because of race, color or creed, religion, ancestry, national origin, gender, sexual orientation, socio-economic status, disability, age or marital status.

Connections will take Affirmative Action to ensure that all employment practices are free of such discrimination. Such employment practices include, but are not limited to, the following: hiring, demotion, promotion, transfer, recruitment or recruitment advertising, selection, layoff, disciplinary action, termination, rates of pay or other forms of compensation, and selection for training, including internships. Connections prohibits the harassment of any employee or job applicant on the basis of their protected class status. The organization will commit the necessary time and resources, both financial and human, to achieve the goals of Equal Opportunity and Affirmative Action.

Connections does appoint a designated coordinator as the Equal Employment Opportunity Coordinator (EEO) to manage the Equal Employment Opportunity Program. The responsibilities will include monitoring all Equal Employment Opportunity activities and reporting the effectiveness of this Affirmative Action Program, as required by Federal, State and Local agencies. If any employee or applicant for employment believes he/she has been discriminated against, please contact the EEO Coordinator.

Corporate Compliance Plan

Plan Covers The Following Topics
See full policy for details

- Corporate Compliance Officer
- Risk Management Assessment
- Corporate Code of Ethics
- No-Reprisal Reporting System (Whistle Blower)
- Investigations Process
- Violations Procedure
- Search Warrants, Subpoenas, Investigations and Other Legal Actions
- Legal Conformance/Responsibility

**If you would like to read or have the full policy, please see the front desk to request a copy. **

Corporate Compliance Plan

Organizational Code of Ethics:

Since Connections employs staff from a variety of disciplines, it is the expectation of the organization that every employee will act and operate in a manner consistent with the Code of Ethics of his/her respective discipline. In the event that an employee is not legally, ethically or otherwise bound by a specific Code Of Ethics, Connections will expect that he/she will provide services in strict accordance with Connections' "Code of Ethics" which states;

"The essential values and ethical behaviors required include a thorough understanding of Connection's mission and values, placing personal commitment to Connections purpose above self-interest ,obedience of and commitment to the law, respect for the value and dignity of all individuals, truthfulness, fairness, striving to apply resources responsibility, and striving for excellence in all work performed."

In business, marketing and human resources practices, Connections employees will be guided by the following corporate philosophy; Honesty, integrity, respect and fairness constitute the key components of all of our dealings with persons served, counties, parents, guardians, vendors, community partners, employees and our community in general. We will attempt to treat all persons served, employees, community partners, and any other interested stakeholders with dignity and respect and in a way that will create good will relationships in our local community. To the greatest extent possible, we will recruit and promote from within and will attempt to offer our employees every affordable option for professional growth and development. No business code of ethics/conduct can cover every conceivable scenario that might arise in the course of business conduct and marketing. Therefore, Connections' employees are instructed to abide by this Code of Ethics and the principles therein and to seek assistance and clarification from the Executive Director or the Corporate Compliance Officer in the event that any situation or scenario arises that might challenge the application of these principles. Only senior management level employees may serve as witness to any written documents.

Corporate Compliance Plan

- As a related matter, situations and circumstances occasionally arise that may represent a potential conflict of interest. As a general principle, no employee of Connections will make any decision on behalf of the company that would represent, result in or give the appearance of personal gain or benefit, however slight. In such cases, employees are required to discuss the situation with the Executive Director or Corporate Compliance Officer prior to making any decision that would represent a commitment of the company's assets, obligate the company in any way and/or have the potential to give the appearance of impropriety or conflict of interest. Any and all contractual relationship must have the expressed written approval of the Executive Director.
- With respect to the exchange of gifts, money and gratuities, personal fundraising, and personal property, it is important to be aware of, understand, and abide by all MN Statutes related to Vulnerable Adult Abuse/Neglect issues (626.5572 DEFINITIONS for Maltreatment). Personal fundraising is not permitted and any exchange of gifts, money, and gratuities is not permitted unless otherwise allowed via MN State Statute regulations. However, all conduct shall remain at a professional level at all times and employees must abide at all times by the policies related to Employee Conduct and the expectations regarding boundaries as instructed in orientation and other boundaries-related trainings throughout the year. Personal property is the responsibility of each individual employee and Connections is not responsible for lost or damaged personal property.



Corporate Compliance Officer

Christine Schulz
Director of Operations

Confidentiality – Policy 2.7

- All information about employees and persons served at Connections is considered private and confidential and is released or discussed only in accordance with the Health Insurance Portability and Accountability Act of 1996 (HIPAA) and the Minnesota Data Practices Act.
- All confidential information regarding persons served and employees will be locked during non-business hours.

Introductory Period – Policy 2.12

- All new employees and employees that transfer to a different position will need to complete a 60 day introductory period. This is a time of learning and evaluation and continued employment after introduction is dependent upon acceptable job performance during that period.
- If the criteria of the introductory period is not met or there is cause for additional disciplinary procedures, the employee will be terminated.
- No extensions may occur unless otherwise authorized by the Executive Director.

Safety Rules – Policy 2.13

- Report all accidents and near misses to your supervisor.
- If you cannot correct an unsafe condition or practice, then report it immediately to any agency supervisor or member of Senior Management.
- Do not operate equipment a) that is defective or b) before trained.
- Wear all prescribed personal protective equipment.
- Obey safety rules, government regulation, signs, markings, and training.
- Use proper lifting techniques.
- Avoid horseplay, distracting others, running, pushing, throwing, etc.
- Use the correct tool and equipment for the job.
- Practice good housekeeping.
- Illegal drugs and intoxicants are prohibited and cause for termination.
- Follow the no smoking policy.
- Perform tasks without endangering customers or visitors.
- Wear clothes and jewelry that will avoid injury.
- Encourage involvement on the Safety Committee.
- Maintain access to firefighting equipment and emergency exits.

Employee Conduct – Policy 2.15

See Policy for Further Details

Appropriate workplace conduct standards will be expected at all times including company-sponsored events, functions and travel.



Employee Conduct – Policy 2.15

While it is impossible to list all forms of behavior that may be considered unacceptable in the workplace the following are examples of conduct that may result in disciplinary action:

- Use, possession, sale or distribution of alcohol or illegal drugs while at work, during any Connections-sponsored function, on Connections property or operating company vehicles.
- Theft or inappropriate removal of any possession or property of Connections, other employees or clients.
- Falsification of timekeeping records or any other employment or company document.
- Fighting or threatening violence in the workplace.
- Boisterous or disruptive conduct in the workplace.
- Negligence or improper conduct leading to damage of property or injury to people in the workplace.
- Insubordination or other disrespectful conduct.
- Violation of any Connections rules or policies.
- Violation of the agency's Code of Ethics.
- Smoking or using any tobacco products in prohibited areas.
- Sexual or other unlawful discriminatory conduct.
- Possession of dangerous or unauthorized materials such as explosives, firearms, knives, etc. in the workplace.
- Unauthorized use of company equipment or property.
- Inappropriate actions outside of the workplace that may reflect poorly or cause damages to Connections.

Harassment – Policy 2.16

See Policy for More Detail

Prohibits Harassment on the basis of...

Sex

Race

Color

Religion

Disability

Any Other Protected Category

Harassment is defined as...

Words, conduct, or actions directed at a specific person that annoys, alarms, or causes a lot of emotional distress for no legitimate purpose

Harassment Procedure

See Policy for Further Details

Any person who feels he/she is being harassed or believes they have witnessed the harassment of someone else should:

1. Report the incident to a member of leadership
2. Management will take the appropriate steps to investigate
3. If not satisfied, report to Executive Director
4. Non-reprisal reporting system
5. Violation of this policy is subject to disciplinary action up to and including immediate termination

Conflict of Interest – Policy 2.21

See Policy for Further Details

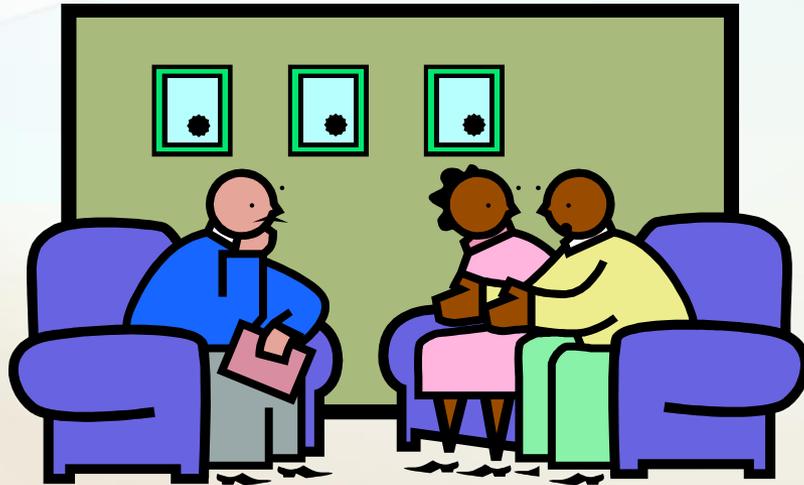
Connections employees have an obligation to conduct business within guidelines that prohibit actual or potential conflicts of interest. Actual or potential conflicts of interest occur when an employee is in a position to influence a decision that may result in a personal gain for that employee, relative or another organization outside of Connections. Outside employment or business dealings will present a conflict of interest if they have an adverse impact on Connections or if the employment/business relationship is with a direct or potential competitor.

1. Connections employees may hold outside employment with another non-competing organization as long as the employee satisfactorily performs all job responsibilities with Connections. Direct care employees who hold outside employment in direct care must obtain approval from the Executive Director. Approval will not be unreasonably withheld by Executive Director if outside direct care services does not interference or hinder employees ability to perform his/her job with Connections.
2. Employees must immediately report any potential conflicts of interest resulting in their business relationships with outside organizations so that safeguards can be established for all parties.
3. Connections employees who engage in transactions/relationships with outside organizations resulting in unusual gain to the organization or employee at the expense of Connections will be subject to disciplinary action up to and including termination.
4. Employees holding a leadership position in the organization must receive prior approval by the Executive Director in order to obtain any outside employment

Employee Assistance Program – Policy 3.1

See Policy for Further Details

Confidential Counseling
Available for...



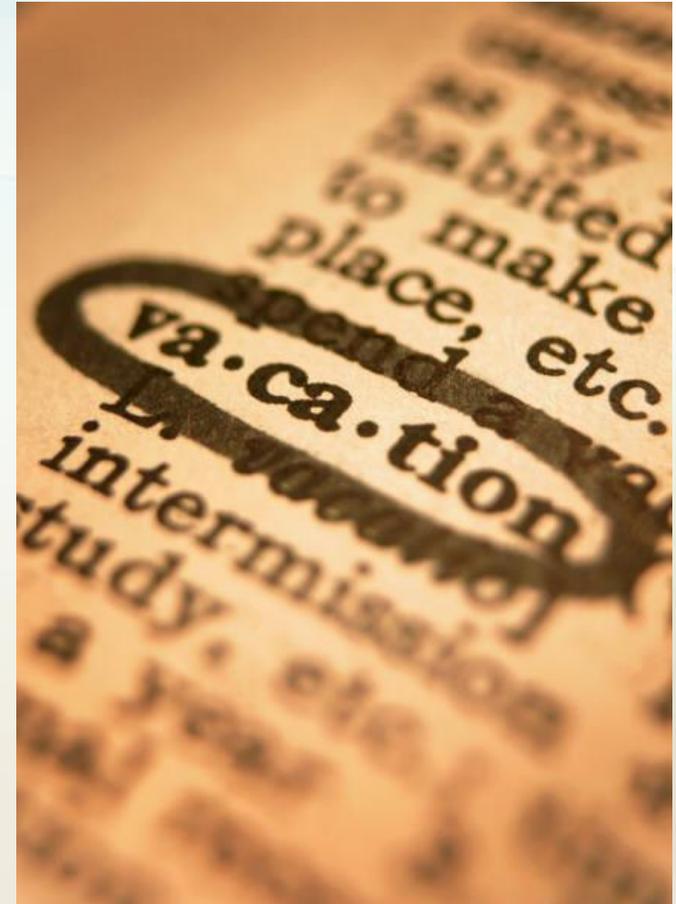
Employee Assistance Program (EAP)
All Employees Are Eligible

Relationship Issues
Drug and Alcohol Abuse
Educational Workshops
Financial Counseling
Legal Counseling
Emotional Health
Workplace Issues

Time Off – Policy 6.1

See Policy for Further Details

The amount of Paid Time Off (PTO) an employee earns in a particular month is based on the years of service the employee has been credited. At no time may an employee be able to exceed 40 hours/week combining PTO and regular work hours. All PTO hours have to be used in order to receive unpaid leave.



PTO – Policy 3.2

See Policy for Further Details

	Full-Time Employees	Part-Time Employees
After 60 day intro period:	4.5 hours per pay period	2.25 hours per pay period
One year anniversary:	6 hours per pay period	3 hours per pay period
Three year anniversary:	7 hours per pay period	3.5 hours per pay period
Five year anniversary:	8 hours per pay period	4 hours per pay period
Seven year anniversary:	10 hours per pay period	5 hours per pay period

Time Off – Policy 6.1

See Policy for Further Details

PTO hours will be paid at the employees current rate of pay. The employee must receive approval in advance of the time off date. The employees balance may not exceed more hours than an employee can earn in a year at any time. PTO requests may be denied when the good of the program/agency warrants. PTO requests will be granted on a first come first serve basis and should be submitted to the employee's supervisor 30 days in advance by using a leave request form.

- PTO hours may not accrue while an employee is on a leave of absence.
- PTO cannot be used until it appears on the employees pay stub.
- PTO hours must be used in order to maintain regularly scheduled hours when taking time off.
- PTO hours may not be used in excess of regularly scheduled hours.

Time Off – Policy 6.1

See Policy for Further Details

When an employee is absent on a day that leave has been previously denied without a note from a Physician, the absence will not be eligible for PTO use and therefore, unpaid & unexcused.

Upon resignation of employment, an employee must leave in good standing, give sufficient notice as required in Section 8.1, and voluntarily resign in order to be paid any available PTO. Employees terminated from employment by Connections will forfeit any earned and unused PTO. PTO may not be used during the final two weeks of a voluntary resignation, except in extreme situations approved by the Executive Director.

Performance Evaluations – Policy 7.3

See Policy for Further Details

Performance Evaluations Do

- Occur annually in June for those hired by Dec 31 of the previous year unless otherwise determined by Senior Management
- Measure the job performance of the employee throughout the year
- Include goals established by both the supervisor and employee for professional development
- Determine merit increases when approved by senior management
- Include a Self-Assessment

Performance Evaluations Do Not

- Occur formally upon completion of 60 day probationary period
- Automatically include an increase of pay
- Replace supervision meetings with your supervisor throughout the year

Grievance – Policy 9.1

See Policy for Further Details

It is the intent for employees' questions and concerns to be resolved fairly and promptly.

Procedure:

Any grievance shall clearly state, in writing:

1. Employee's question or complaint
2. The matter of fact upon which the complaint is based
3. The policy or procedure provisions which the employee believes are controlling the situation

Grievance (Cont'd) – Policy 9.0

See Policy for Further Details

- Employee shall bring grievance to supervisor first
- Follow chain of command (organizational chart) if supervisor is involved
- Employee can expect a response within 5 days from person to whom grievance is presented
- If not satisfied, employee may again submit the issue in writing to the next level on the organizational chart, up to and including the Executive Director and Board of Directors
- Executive Director and Board of Directors shall have final authority and will respond within 30 days.

Policy and Procedure Post Test

1. Why do we need policies and procedures
 - a. To keep everyone safe
 - b. To provide clear expectations
 - c. To stay in compliance
 - d. To provide a guide of best business practice
 - e. All of the above

2. Drug and/or alcohol testing could take place under which of the following circumstances:
 - a. Annually
 - b. Being involved in an accident that is the fault of the employee while working
 - c. Whenever the agency feels like it
 - d. None of the above
 - e. All of the above

3. Affirmative Action prohibits the following
 - a. Alcohol and drugs in the workplace
 - b. Discrimination
 - c. Promotion
 - d. An employee from filing a grievance

Policy and Procedure Post Test (cont'd)

4. The Corporate Compliance Plan Includes all of the following, except
 - a. Corporate Code of Ethics
 - b. Non-Reprisal Reporting System
 - c. Risk Management Assessment
 - d. Performance Review

5. The Employee Conduct Policy would apply to which of the following
 - a. An employee's conduct at a Connections' sponsored event
 - b. An employee violating the agency's Code of Ethics
 - c. An employee's actions outside of the workplace that may reflect poorly or cause damages to Connection
 - d. A & B
 - e. All of the above

6. All of the following are true about the agency's Harassment policy except
 - a. If you are being harassed according to the policy definition, you should report your situation to a member of the leadership team
 - b. If an employee violates the agency's Harassment Policy, he/she is subject to disciplinary action up to and including termination
 - c. If you are being harassed in the workplace, you should threaten the employee harassing you if he/she doesn't quit
 - d. Harassment is defined as words, conduct, or actions directed at a specific person that annoys, alarms, or causes a lot of emotional distress for no legitimate purpose

Policy and Procedure Post Test (cont'd)

7. Connections' Conflict of Interest Policy addresses employees seeking outside employment. Which of the following are correct about this policy
 - a. Must obtain prior approval from supervisor/E.D.
 - b. May not interfere with job responsibilities
 - c. Must be satisfactorily performing in current position
 - d. May not hold leadership position here or in another competing agency
 - e. All of the above

8. The agency's Employee Assistance Program (EAP) is
 - a. Confidential
 - b. Available to all employees
 - c. Available to full-time employees
 - d. A & B
 - e. A & C

9. When requesting time off, the following statement is not accurate
 - a. Employees should provide a 30 day notice to his/her supervisor when requesting time off
 - b. An employee should assume time off is granted if a 30 day notice is given
 - c. Time off is given on a first come first served basis
 - d. An employee who accrues PTO must use any available PTO when taking time off

Policy and Procedure Post Test (cont'd)

10. All of the following statements are true about the agency's Performance Evaluations, except
 - a. Occur annually during the month of employees hire date
 - b. Measure the job performance of the employee throughout the year
 - c. Automatically include an increase of pay
 - d. Include goals established by both the supervisor and employee for professional development
 - e. Include a self-evaluation

11. A grievance may be submitted under the following circumstances
 - a. An employee has a problem that cannot be resolved between he/she and the supervisor
 - b. An employee does not like his/her supervisor
 - c. An employee put in a request for time off 1 week prior and it did not get approved
 - d. An employee wants a different supervisor because his/her supervisor dresses weird

12. The grievance procedure includes the following steps
 - a. Employee shall bring grievance to supervisor first
 - b. Follow chain of command (organizational chart) if supervisor is involved
 - c. Employee can expect a response within 5 days from person to whom grievance is presented
 - d. If not satisfied, employee may again submit the issue in writing to the next level on the organizational chart, up to and including the Executive Director and Board of Directors
 - e. Executive Director and Board of Directors shall have final authority and will respond within 30 days.
 - f. All of the above