



ALIGN SERVICES EMPLOYEE MANUAL

08/2024

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Our Values

At Align Services, we support individuals with disabilities, acquired brain injuries, and the elderly to live fulfilling lives. Align Services' supports are tailored to promote independence and self-advocacy.

We are dedicated to a set of core values that guide our actions and decisions. We embrace a systems-based approach, collaborating with individuals and community partners to provide comprehensive support. We empower individuals by ensuring they are aware of the choices available to them, fostering independence and self-determination. Striving for the highest quality in every aspect of our work, we continually seek to improve and deliver exceptional services. Prioritizing the wants and needs of our clients, we use their perspectives to guide our services and ensure their satisfaction. We embrace everyone's differences across all abilities, cultures, religions, and other areas of diversity that make each person who they are. We embrace new ideas and technologies to drive progress and enhance our ability to serve effectively. These core values ensure that we remain focused on our mission to enhance the lives of those we serve.

In addition to supporting individuals and families, we believe in taking action in order to raise public awareness about some of the most pressing issues facing those we support. We are committed to the well-being of the Laramie community and beyond, aiming to foster a sense of connection and support. Align Services employees and leaders are involved in community and provider associations to make a difference at an even greater level.

Collaboration

Align Services is in the business of changing and shaping lives. The work we do is aimed at providing a systems-based approach to supporting individuals around our community. We ensure that our clients are empowered by providing choice, opportunity, respect, and dignity in their daily lives.

Integrity

At Align Services, doing the right thing includes going above and beyond for the individuals we support. Not only do we expect this of all those employed by Align Services, but we also help those we support to learn, understand, and practice the value of integrity.

Opportunity

We believe everyone deserves to be informed of the options available to them in their everyday lives and make their own choices while maintaining health and safety. From whom provides waiver services to the brand of toothpaste they use, Align Services encourages and promotes informed choice for all individuals.

Vision

Inspire a society that embraces diversity, fosters inclusivity, and champions equity for all.

Mission

We empower individuals within our communities to lead fulfilling lives by facilitating their access to a diverse range of valuable resources.

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SECTION 1

INTRODUCTION

Align Services, llc will also be referred to as “Align Services” and/or “company” throughout this document.

This handbook has been prepared to inform and guide new employees, to update current employees of the policies and procedures of Align Services, and to establish the company’s expectations. It is not all-inclusive or intended to provide strict interpretations of our policies; rather, it offers an overview of the work environment.

This handbook is not a contract, expressed or implied, guaranteeing employment for any length of time and is not intended to induce an employee to accept employment with Align Services.

Align Services reserves the right to unilaterally revise, suspend, revoke, terminate or change any of its policies, in whole or in part, whether described within this handbook or elsewhere, in its sole discretion. If any discrepancy between this handbook and current company policy arises, refer to current company policy. Feel free to ask questions about any of the information within this handbook. This handbook supersedes and replaces any and all personnel policies and manuals previously distributed, made available or applicable to employees.

You are responsible for reading, understanding, and complying with the provisions of this manual. Our objective is to provide you with a work environment that is constructive to both personal and professional growth.

1.1 CHANGES IN POLICY

This manual supersedes all previous employee manuals and memos that may have been issued from time to time on subjects covered in this manual.

However, since our business and our organization are subject to change, we reserve the right to interpret, change, suspend, cancel, or dispute with or without notice all or any part of our policies, procedures, and benefits at any time. We will notify all employees of these changes. Changes will be effective on the dates determined by the executive director, and after those dates, all superseded policies will be null.

Only the Executive Director has the authority to change policies at any time. If you are uncertain about any policy or procedure, speak with your direct supervisor.

1.2 EMPLOYMENT APPLICATIONS

We rely upon the accuracy of information contained in the employment application, resume, cover letter, and the accuracy of other data presented throughout the hiring process and employment. Any misrepresentations, falsifications, or material omissions in any of this information or data may result in exclusion of the individual from further consideration for employment or, if the person has been

hired, termination of employment

1.3 EMPLOYMENT RELATIONSHIP

Employment at Align Services is at-will, and you are free to resign at any time, for any reason or no reason, with or without notice. Similarly, Align Services is free to conclude its relationship with any employee at any time for any reason or no reason, with or without notice.

SECTION 2

DEFINITIONS OF EMPLOYEES STATUS

“EMPLOYEES” DEFINED

An “employee” of Align Services is a person who regularly works for Align Services on a wage or salary basis. “Employees” may include exempt, non-exempt, regular full-time, regular part-time, and temporary persons, and others employed with the company who are subject to the control and direction of Align Services in the performance of their duties.

EXEMPT

Employees whose positions meet specific criteria established by the Fair Labor Standards Act (FLSA) and who are exempt from overtime pay requirements.

NON-EXEMPT

Employees whose positions do not meet FLSA criteria and who are paid an hourly wage and one and one-half their regular rate of pay for hours worked in excess of 36 hours per week.

REGULAR FULL-TIME

Employees who have completed the 90-day probationary period and who are regularly scheduled to work 36 or more hours per week. Generally, they are eligible for the company’s benefit package, if applicable, subject to the terms, conditions, and limitations of each benefit program.

REGULAR PART-TIME

Employees who have completed the 90-day probationary period and who are regularly scheduled to work less than 36 hours per week. Regular part-time employees are not eligible for benefits sponsored by the company.

TEMPORARY (FULL-TIME or PART-TIME)

Those whose performance is being evaluated to determine whether further employment in a specific position or with Align Services is appropriate or individuals who are hired as interim replacements to assist in the completion of a specific project or for vacation relief. Employment beyond any initially stated period does not in any way imply a change in employment status. Temporary

employees retain that status until they are notified of a change. They are not eligible for any of the company’s benefit programs.

SECTION 3
COMPANY MANAGEMENT
3.1 MANAGEMENT RIGHTS

Align Services is committed to continuously improving the services we provide. To achieve this, Align Services retains the full authority to manage, direct, and control its business operations. This includes the rights to plan, manage, and oversee the work of employees. Specifically, Align Services holds the right to hire, determine the size, structure, and composition of the workforce, establish working hours, assign job tasks, set up personnel, pay, and benefits systems, evaluate work performance, create work rules and standards, and discipline or terminate employees. Only the Executive Director or a designated representative is authorized to make any changes or exceptions to Align Services’ policies or procedures. Additionally, the Executive Director or a designated representative has the authority to terminate or reassign employees and to change an employee's status from full-time to part-time for any reason, with or without cause, as necessary or appropriate, with or without notice.

3.2 ORGANIZATIONAL CHART



3.3 LEADERSHIP

Executive Director/Founder/Case Manager – Michaela Rank
307-460-3562
michaela@alignservices.org

Assistant Director of Case Management/Case Manager – Emmalee Moore	307-703-0001
emmalee@alignservices.org	
Lead Case Manager/Billing Specialist – Curran Quast	307-460-8327
curran@alignservices.org	

3.4 CHAIN OF COMMAND

Align Services is small enough to operate as a team when issues or questions arise with work. All employees are expected to contact a member of the leadership team, mentor, or the team, unless there is a conflict with other policies (EEO, Harassment, or Retaliation). Decisions within the company follow the chain of command, with final decisions being determined by the Executive Director with input from the entire team.

SECTION 4

EMPLOYMENT POLICIES

4.1 NON-DISCRIMINATION and ACCOMMODATIONS

Align Services is an Equal Opportunity Employer. In order to provide equal employment and advancement opportunities to all individuals, employment decisions at Align Services will be based on merit, qualifications, and abilities. Align Services does not discriminate in employment opportunities or practices because of race, color, religion, sex, sexual orientation, national origin, age, or disability.

Align Services will make reasonable accommodations for qualified individuals with known disabilities unless doing so would result in an undue hardship. This policy governs all aspects of employment, including selection, job assignment, compensation, discipline, termination, and access to benefits and training. Employees in need of an accommodation should make the request to their immediate supervisor or Executive Director.

Employees with questions or concerns about discrimination in the workplace are encouraged to bring these issues to the attention of their supervisor. Employees can raise concerns and make reports without fear of reprisal. Anyone found to be engaging in unlawful discrimination will be subject to disciplinary action, including termination of employment.

4.2 EMPLOYMENT OPPORTUNITIES

Job openings are posted on Align Services' website and Indeed.com. Resumes will be accepted at any time for professional positions or those that require advanced degrees or experience.

Employment history, reference checks, driving record, and education history will be verified prior

to offers of employment, as necessary, and proof will be required upon acceptance of employment, as necessary.

4.3 BACKGROUND CHECKS

Upon hire, all employees are required to undergo a motor vehicle check, and background check (DCI, FBI, DFS, and OIG). Any information not disclosed during the employment screening could result in disciplinary action up to termination or withdrawal of the job offer.

Background checks follow Medicaid Chapter 45 rules. All employees must submit, “a state and national fingerprinted criminal history record check which shows that the individual has not been convicted, plead guilty, no contest to, or does not have a pending deferred prosecution for:

- (A) An Offense Against the Person, including:
 - (I) Homicide (W.S. 6-2-101);
 - (II) Kidnapping (W.S. 6-2-201);
 - (III) Sexual assault (W.S. 6-2-301);
 - (IV) Robbery and blackmail (W.S. 6-2-401);
 - (V) Assault and battery (W.S. 6-2-501);
 - (VI) Human trafficking (W.S. 6-2-701); and
 - (VII) Similar laws of any other state or the United States relating to these crimes.
- (B) An Offense Against Morals, Decency and Family including:
 - (I) Bigamy (W.S. 6-4-401);
 - (II) Incest (W.S. 6-4-402);
 - (III) Abandoning or endangering children (W.S. 6-4-403);
 - (IV) Violation of order of protection (W.S. 6-4-404);
 - (V) Endangering children; controlled substances (W.S. 6-4-405); and
 - (VI) Similar laws of any other state or the United States relating to these crimes.

Employees will not be able to work alone with people we serve until background check results are received and the employee receives approval.

Additional background checks are required every five (5) years or should the company become aware of any issues that could disqualify an employee from continuing to provide services.

4.4 NEW EMPLOYEE ORIENTATION

Orientation is a formal welcoming process that is designed to make the new employee feel comfortable, inform them about Align Services, and prepare for their position. New employee orientation is conducted by a company representative, and includes an overview of the company history, an explanation of the company’s core values, vision, and mission; and company goals and objectives. In addition, the new employee will be given an overview of benefits, tax, and legal issues,

and complete any necessary paperwork.

Employees are presented with all codes, keys, and procedures needed to navigate within the workplace. The new employee's supervisor then introduces the new hire to staff throughout the company, reviews their job description and scope of position, explains the company's evaluation procedures, and helps the new employee get started on specific functions. Employees will be required to complete all training requirements prior to working alone with people we serve.

4.5 PROBATIONARY PERIOD FOR NEW EMPLOYEES

The probationary period for regular full-time and regular part-time employees lasts up to 90 days from date of hire. During this time, employees have the opportunity to evaluate Align Services as a place to work and management has its first opportunity to evaluate the employee. During this introductory period, both the employee and the company have the right to terminate employment without advance notice.

Upon satisfactory completion of the probationary period, a 90-day review will be given and benefits will begin as appropriate. All employees, regardless of classification or length of service, are expected to meet and maintain company standards for job performance and behavior (See Section 5, Standards of Conduct).

4.6 OFFICE HOURS AND WORK WEEKS

Align Services' office general office hours are from 8 a.m. to 4 p.m. Monday through Thursday, and 8 a.m. to 12 p.m. on Friday, except for Holidays (See Section 7.1, Holidays). The office is not always staffed due to the nature of our business and work requirements.

The standard workweek is 36 hours of work (see Section 6.3, Overtime). In the computation of various employee benefits, the employee workweek is considered to begin on Sunday (starting at 12:00 a.m.) through Saturday (ending at 11:59 p.m.).

4.7 LUNCH PERIODS

Non-exempt employees are allowed a 30-minute unpaid lunch break when working six or more hours in a day. Lunch breaks, including those of exempt employees, generally are taken at the employees' discretion between meetings, client visits, and other job duties. When providing direct support, meals should be eaten along with participants during mealtimes. If a break is needed, please notify your supervisor so participants are not left alone.

4.8 BREAK PERIODS

Employees can take breaks as needed throughout the workday within reason. Non-exempt employees should clock-out and clock-in for any breaks over 15-minutes, planned or unplanned.

Should breaks interfere with typical work duties and the performance of the employee, or are taken in excess, the employee will be subject to disciplinary action.

If employees have unexpected personal business to take care of, they must notify their direct supervisor to discuss time away from work and make provisions as necessary. Personal business should be conducted on the employee's own time and they should clock out during such time.

Employees who do not adhere to the break policy will be subject to disciplinary action, including termination.

4.9 PERSONNEL FILES

Employee personnel files include the following: job application (if applicable), résumé, records of participation in required training, salary history, records of disciplinary action and documents related to employee performance reviews, coaching, and mentoring. Employees are expected to inform the company of any change in name, address, home phone number, marital status, number of dependents, or emergency contact information.

Personnel files are the property of Align Services and access to the information is restricted. Management personnel of Align Services who have a legitimate reason to review the file are allowed to do so. Files are kept confidential to the extent possible.

Employees who wish to review their own file should contact their supervisor. With reasonable advance notice, the employee may review his/her personnel file in company's office and in the presence of their supervisor.

4.10 COMPANY PROPERTY

Company property, such as equipment, badges, vehicles, telephones, computers, and software, is not for private use. These devices are to be used strictly for company business and are not permitted off grounds unless authorized. Company property must be used in the manner for which it was intended. Upon termination, employees are required to surrender any company property they possess.

Company computers, internet, phones, and e-mails are a privileged resource, are provided for business use, and any personal use must be kept to a minimum and must not interfere with work responsibilities.

Phones may be provided for business use. Please keep personal calls to a minimum and conversations brief. Personal long-distance calls are not permitted on company phones or while non-exempt employees are clocked in.

Should employees lose office keys and need new copies made, employees must alert the Executive Director immediately and will be responsible for paying \$25 each time, for each key that needs to be replaced.

4.11 EMPLOYEE PERFORMANCE REVIEW AND PLANNING SESSIONS

Supervisors will conduct 1:1 performance reviews and planning sessions with all regular full-time and regular part-time employees after the 90-day probationary period, then quarterly thereafter. Supervisors may conduct informal performance reviews and planning sessions more often if they choose or are needed.

Performance reviews and planning sessions are designed for the supervisor and the employee to discuss his/her current job tasks, encourage and recognize attributes, and discuss positive, purposeful approaches for meeting work-related goals. Together, employee and supervisor discuss ways in which the employee can accomplish goals or learn new skills. The planning sessions are designed for the employee and his/her supervisor to make and agree on new goals, skills, and areas for improvement.

Align Services directly links wage and salary increases with performance. Your performance review and planning sessions will have a direct effect on any changes in your compensation. For this reason, among others, it is important to prepare for these reviews carefully, and participate in them fully. All performance reviews are based on merit, achievement, and other factors that may include but are not limited to:

- Quality of work
- Attitude
- Knowledge of work
- Job skills
- Attendance and punctuality
- Teamwork and cooperation
- Compliance with company policy, Wyoming Department of Health and CMS rules and policies
- Past performance reviews
- Improvement
- Acceptance of responsibility and constructive feedback

New employees will be reviewed at the end of their probationary periods (see Section 4.5, Probationary Period for New Employees). After the initial review, the employee will be reviewed according to the regular, semi-annual schedule.

4.12 CORRECTIVE ACTION

Align Services holds each of its employees to certain work rules and standards of conduct (see Section 5). When an employee deviates from these rules and standards, Align Services expects the employee's supervisor to take corrective action.

Corrective action at Align Services is progressive. That is, the action taken in response to a rule infraction or violation of standards typically follows a pattern increasing in seriousness until the

infraction or violation is corrected.

The usual sequence of corrective actions includes an oral warning, a written warning, and finally termination of employment. In deciding which initial corrective action would be appropriate, a supervisor will consider the seriousness of the infraction, the circumstances surrounding the matter, and the employee's previous record.

Though committed to a progressive approach to corrective action, Align Services considers certain rule infractions and violations of standards as grounds for immediate termination of employment. These include but are not limited to:

- Theft in any form
- Being on company property during non-business hours (barring job duties)
- The use of company equipment and/or company vehicles without prior authorization by their supervisor
- Untruthfulness about personal work history, skills, or training
- Misrepresentations of Align Services to a customer, a prospective customer, the public, or an employee
- Abuse or neglect of a vulnerable individual
- Theft or inappropriate removal or possession of property
- Falsification of timekeeping records (See Section 6.2, Timekeeping);
- Working under the influence of alcohol or illegal drugs (See Section 5.7, Substance Abuse)
- Possession, distribution, sale, transfer, or use of alcohol or illegal drugs in the workplace (See Section 5.7, Substance Abuse)
- Fighting or threatening violence in the workplace
- Boisterous or disruptive activity in the workplace
- Negligence or improper conduct leading to damage of company-owned or client-owned property
- Insubordination or other disrespectful conduct
- Violation of safety or health rules
- Smoking in the workplace
- Sexual or other unlawful or unwelcome harassment (See Section 5.3, Harassment, Including Sexual Harassment)
- Excessive absenteeism or any absence without notice (See also, Section 5.1 Attendance/Punctuality and 5.2, Absence without Notice)
- Unauthorized use of telephones, or other company-owned equipment (See Section 5.4, Cell Phone Use)
- Using company equipment for purposes other than business (i.e. playing games on computers or personal Internet usage)
- Unauthorized disclosure of confidential business information
- Violation of personnel policies

4.13 EMPLOYMENT TERMINATION

Termination of employment is an inevitable part of personnel activity within any organization, and many of the reasons for termination are routine. Below are a few examples of some of the most common circumstances under which employment is terminated:

- Resignation – voluntary employment termination initiated by an employee.
- Termination – involuntary employment termination initiated by Align Services.
- Layoff – involuntary employment termination initiated by Align Services for non-disciplinary reasons.

Since employment with Align Services is based on mutual consent, both the employee and Align Services have the right to terminate employment at will, with or without cause during the Introductory/Probationary Period for New Employees (See Section 4.5, Introductory/Probationary Period for New Employees).

Employment with Align Services is on an at-will basis and may be terminated voluntarily or involuntarily at any time. Upon termination, an employee is required:

- To continue to work until the last scheduled day of employment
- To turn in all reports and paperwork required to be completed by the employee when due and no later than the last day of work
- To return all files, documents, equipment, keys, software, or other property belonging to the company that are in the employee's possession, custody or control, and turn in all passwords to his/her supervisor
- To participate in an exit interview

No final settlement of an employee's pay will be made until all items are returned in appropriate condition. The cost of replacing non-returned items will be deducted from the employee's final paycheck. Furthermore, any outstanding financial obligations owed to Align Services will also be deducted from the employee's final check.

4.14 VOLUNTARY TERMINATION

Align Services recognizes that personal situations may arise which require a voluntary termination of employment. Should this occur, the company requests that the employee give a minimum of two (2) weeks' notice.

When a case manager intends to terminate his/her employment with Align Services he/she shall give Align Services at least 35 days written notice to appropriately transition caseloads and ensure continuity of care, per CMS rules and policies.

This request does not alter an employee's at-will relationship with Align Services. All rights and privileges of employment with the company terminate upon the date of separation. As further

discussed in Section 4.13, terminating employees are required to return all company property assigned to them. Failure to do so may result in the withholding of their final paycheck.

4.15 FINAL PAYCHECK

Employees who terminate employment with Align Services will be given their final paycheck according to the payday schedule, via direct deposit.

4.16 IMMIGRATION LAW COMPLIANCE

Align Services employs only United States citizens and those non-U.S. citizens authorized to work in the United States in compliance with the Immigration Reform and Control Act of 1986.

Each new employee, as a condition of employment, must complete the Employment Eligibility Verification Form I-9 and present documentation establishing identity and employment eligibility. Former employees who are rehired must also complete the form if they have not completed an I-9 with Align Services within the past three years or if their previous I-9 is no longer retained or valid.

SECTION 5

STANDARDS OF CONDUCT

The work rules and standards of conduct for Align Services are important, and the company regards them seriously. All employees are required to become familiar with these rules and standards. In addition, employees are expected to follow the rules and standards in doing their own jobs and conducting the company's business as well as adhering to a standard of professional conduct and integrity. This ensures that the work environment is safe, comfortable, and productive. Employees should be respectful, courteous, and mindful of others' feelings and needs. General cooperation between co-workers and supervisors is expected. Please note that any employee who deviates from these rules and standards will be subject to corrective action, up to and including termination of employment (see Section 4.12, Corrective Action).

All employees, regardless of classification or length of service, are expected to meet and maintain company standards for job performance and behavior

5.1 ATTENDANCE/PUNCTUALITY

Align Services expects that every employee will be regular and punctual in attendance. This means being in the office or at their designated starting location, ready to work at their starting time each day. Absenteeism and tardiness place a burden on other employees, business operations, and disrupts

participants' routines. An employee who arrives 10 minutes after their scheduled arrival time is considered tardy. Align Services recognizes that situations arise which hinder punctuality; regardless, should undue tardiness become apparent, disciplinary action may be required. Supervisors should be notified in advance if employees will be late and their expected arrival time. If employees will be late to their next direct support participant, they will notify the next participant as soon as possible of their expected arrival time.

If you are unable to report for work for any reason, notify your supervisor before your regular starting time. You are responsible for speaking directly with your supervisor about your absence. The company does not tolerate absenteeism without excuse. Employees who are chronically absent may be subject to disciplinary action. Employees who need to leave early, for illness or otherwise, should inform a supervisor before departure. Unauthorized departures may result in disciplinary action, up to and including termination.

If there comes a time when you see that you will need to work some hours other than those that make up your usual work week, notify your supervisor at least three working days in advance. Each request for special work hours will be considered separately, considering the employee's needs and the needs of Align Services. Such requests may or may not be granted.

The company maintains working hours of 8 a.m. to 4 p.m. Monday through Thursday and 8 a.m. to 12 p.m. on Fridays, but individual employee hours may vary depending on work location, job responsibilities, and services requested/required by participants. Supervisors will provide employees with their work schedule. Should an employee have any questions regarding his/her work schedule, the employee should contact the supervisor.

5.2 ABSENCE WITHOUT NOTICE

When you are unable to work owing to illness or an accident, please notify your supervisor. This will allow supervisors to arrange for temporary coverage of your duties and helps other employees to continue work in your absence. If you do not report for work and your supervisor is not notified of your status, it will be assumed after two consecutive days of absence that you have resigned, and you will be removed from the payroll.

If you become ill while at work or must leave the office for some other reason before the end of the workday, be sure to inform your supervisor of the situation.

5.3 HARASSMENT, INCLUDING SEXUAL HARASSMENT

Align Services is committed to providing a work environment that is free of discrimination and unlawful harassment. Actions, words, jokes, or comments based on an individual's sex, race, ethnicity, age, religion, disability, or any other legally protected characteristic will not be tolerated.

If you believe you have been the victim of harassment, or know of another employee who has, report it immediately. Employees can raise concerns and make reports without fear of reprisal.

Any supervisor who becomes aware of possible harassment should promptly advise their supervisor who will handle the matter in a timely and confidential manner.

All employees are required to complete a yearly Harassment Prevention Training.

5.4 PERSONAL CELL PHONE USE

Align Services' provided cell phones are intended for the use of serving our clients and in conducting the company's business.

Personal cell phone during business hours is discouraged except for emergencies. All personal telephone calls on personal phones should be kept brief to avoid disruption of job duties, as should texting also be kept brief.

To respect the rights of all employees and avoid miscommunication in the office, employees must inform family members and friends to limit personal telephone calls during working hours.

If an employee is found to be deviating from this policy, he/she will be subject to disciplinary action (See Section 4.12, Corrective Action).

Company cell phones assigned to employees remain the property of Align Services. Company cell phones must be password, fingerprint, or pin code protected to guard participant personal information and must be locked when not in use. Employees who require a cell phone for business use must ensure all company email accounts, business apps, business accounts, and participant/guardian contact information are only available on their company cell phone.

Company cell phones come with apps used by Align Services pre-downloaded. Employees then need to log in with their user ID and password. Any apps not already downloaded need prior approval from the employee's supervisor before downloading can occur. Company iPhones are connected to Align Services Apple ID and should never be connected with the employee's personal Apple ID.

Company cell phones come with Otterbox cases. Should any damage occur to the case, supervisors should be notified immediately for a replacement. Insurance is carried on cell phones to cover any damage that may occur to the phone directly. Cell phones should be kept safe and secure at all times. Employees should turn on "Do Not Disturb" outside of regular business hours. Should an employee take an extended leave, their cell phone should be turned over to their supervisor so all calls and texts can be answered. Voicemail messages must alert callers of the alternate contact and automatic replies to text messages turned on as well.

Company cell phones must be kept charged at 50% or higher so that there is no disruption to the delivery of services.

5.5 PUBLIC IMAGE

A professional appearance is important anytime that you meet clients or potential clients. Employees

should be well groomed and dressed appropriately for our business and for their position.

The following items are considered inappropriate working attire for Align Services:

- Revealing shirts
- Short mini skirts
- Sheer clothing
- T-shirts with inappropriate or offensive gestures or advertising
- Sweatpants
- Sport shorts
- Short shorts

Attire for meetings with guardians, participants, and providers should err on the side of professional rather than casual.

All hair colors are acceptable but keep professionalism in mind.

Consult your supervisor if you have any questions about appropriate business attire.

5.6 SOCIAL MEDIA POLICY

Social media is a fun way to keep in touch with friends and family. Align Services urges employees to be cautious when mixing business and personal lives. Employees should take extra care to protect both Align Services and themselves when using social media. Employees should also use common sense: when in doubt, do not post.

Align Services advises all employees to keep appropriate boundaries and do not friend or follow participants, guardians, or their family members on social media. Should employees decide to friend or follow participants, guardians, or family members on social media, employees assume all responsibility and risk associated with this decision. Align Services advises employees to be transparent and clearly state their views and opinions are their own and not those of Align Services.

Employees should never post pictures of participants on their social media. This is a HIPAA violation and will result in disciplinary action up to termination.

5.7 SUBSTANCE ABUSE

Align Services is committed to providing a safe and productive workplace for its employees. In keeping with this commitment, the following rules regarding alcohol and drug use have been established for all staff members, regardless of rank or position, including both regular and temporary employees. The rules apply during working hours to all employees of the company, while they are on company premises, or elsewhere on company business.

The manufacture, distribution, possession, sale, or purchase of controlled substances of abuse on company property is prohibited.

Being under the influence of illegal drugs, alcohol, or substances of abuse on company property is prohibited.

Working while under the influence of prescription drugs, illegal drugs, or alcohol that impair performance is prohibited.

So that there is no question about what these rules signify, please note the following definitions:

Company property: All company owned or leased property used by employees.

Controlled substance of abuse: Any substance listed in Schedules I-V of Section 202 of the Controlled Substance Act, as amended.

Drug: Any chemical substance that produces physical, mental, emotional, or behavioral change in the user.

Drug paraphernalia: Equipment, a product, or material that is used or intended for use in concealing an illegal drug, or otherwise introducing into the human body an illegal drug or controlled substance.

Illegal drug: a. Any drug or derivative thereof whose use, possession, sale, transfer, attempted sale or transfer, manufacture, or storage is illegal or regulated under any federal, state, or local law or regulation. b. Any drug, including – but not limited to – a prescription drug, used for any reason other than that prescribed by a physician. c. Inhalants used illegally.

Under the influence: A state of not having the normal use of mental or physical faculties resulting from the voluntary introduction into the body of an alcoholic beverage, drug, or substance of abuse.

Consistent with the rules listed above, any of the following actions constitutes a violation of the company's policy on drugs and may subject an employee to disciplinary action, up to and including immediate termination:

- Using, selling, purchasing, transferring, manufacturing, or storing an illegal drug or drug paraphernalia, or attempting to or assisting another to do so, while in the course of employment.
- Working or reporting to work, conducting company business or being on company property while under the influence of an illegal drug or alcohol, or in an impaired condition.

All Align Services employees are subject to drug and/or alcohol testing. Testing will be completed when there is reasonable suspicion that an employee is under the influence; or when an accident occurs during the course of business. Should an employee refuse to comply with testing, tests positive, or otherwise violates this policy, they will be subject to disciplinary action up to and including termination.

5.8 TOBACCO PRODUCTS

The use of tobacco products is not permitted anywhere on the company's premises except in

authorized and designated locations. The designated smoking areas are located behind the building at the office. Smoking is not allowed while providing services to participants or on participant property. Employees must follow all rules posted in designated smoking areas and adhere to all policies associated with this policy (See Sections 4.8, Break Periods and 12, Safety).

SECTION 6

WAGE AND SALARY POLICIES

6.1 WAGE OR SALARY INCREASES

Each employee's hourly wage or annual salary will be reviewed at least once each year. The employee's review date will usually be conducted on or about the anniversary date of employment or the date of the previous compensation review. Such reviews may be conducted more frequently for a newly created position, based on a recent promotion, or depending on the job description.

Increases will be determined based on job performance, adherence to company policies and procedures, and ability to meet or exceed duties per job description and achieve performance goals (See Section 4.11, Performance Review/Planning Sessions).

Although Align Service's salary ranges and hourly wage schedules will be adjusted on an ongoing basis, the company does not grant "cost of living" increases. Performance is the key to wage increases.

6.2 TIMEKEEPING

Accurately recording time worked is the responsibility of every non-exempt employee. Time worked is the time actually spent performing assigned duties.

Align Services does not pay for extended breaks or time spent on personal matters. Employees are required to clock out to take care of these things.

Altering, falsifying, tampering with time records, or recording time on another team member's time record will result in disciplinary action, up to and including termination of employment.

Authorized personnel will review time records each week. Any changes to an employee's time record must be approved by his/her supervisor. Questions regarding the timekeeping system or timecards should be directed to the employee's supervisor.

Timecards – Non-exempt employees will be issued a log-in to the designated timekeeping system (Sling app, or getsling.com) to clock in and out for their shift. Should a problem occur, or changes need to be made, employees should contact their supervisor as soon as possible to make corrections, or make a note on their timecard for their supervisor to correct.

The designated app, Sling, is used to follow federal mandates for Electronic Visit Verification

(EVV). Supervisors will be able to see when and where employees clocked in and out. Location will not be tracked outside of these times or while providing services.

The standard workweek is 36 hours of work (see Section 6.3, Overtime). In the computation of various employee benefits, the employee workweek is considered to begin on Sunday (starting at 12:00 a.m.) through Saturday (ending at 11:59 p.m.).

6.3 OVERTIME

Overtime compensation is paid to non-exempt employees in accordance with federal and state wage and hour restrictions. Overtime is payable for all hours worked over 36 per week at a rate of one and one-half times the non-exempt employee's regular hourly rate. Time off on personal time, holidays, or any leave of absence will not be considered hours worked when calculating overtime. In addition, vacation time does not constitute hours worked.

All overtime work performed by an hourly employee must receive the supervisor's prior authorization before any time over 36 hours in a work week is worked. Overtime worked without prior authorization from the supervisor may result in disciplinary action.

6.4 PAYDAYS

All employees are paid on the 15th and last day of each month via direct deposit. Exempt employees can choose to be paid twice per month or once per month, on the last business day of the month. If a regularly scheduled payday falls on a weekend, employees will receive pay on the business day before the original payday. If the pay date lands on a holiday, employees will receive pay on the closest business day before the holiday. The paycheck will reflect work performed for a two-week period, or the previous month for employees paid once per month. Paychecks include salary or wages earned less any mandatory or elected deductions. Mandatory deductions include federal or state withholding tax and other withholdings. Elected deductions are deductions authorized by the employee, and may include, for example, contributions to benefit plans, if offered. Notify a supervisor if the paycheck appears to be inaccurate. Advances on paychecks are not permitted. Information regarding final paychecks can be found under the termination section (see Section 4.13, Employment Termination) of this handbook. Any change in name, address, telephone number, marital status, or number of exemptions claimed by an employee must be reported to your supervisor immediately.

Payroll is currently completed through Gusto. Employees will receive log-in information and complete payroll forms electronically through this vendor. Employees will be able to view paystubs and other information regarding payroll via log-in to Gusto.

6.5 SOCIAL SECURITY/MEDICARE

Align Services withholds income tax from all employees' earnings and participates in FICA (Social Security) and Medicare withholding and matching programs as required by law.

SECTION 7

BENEFITS AND TIME OFF

If direct support employees will be absent from work due to illness or for personal care, they must notify their supervisor as far in advance as possible so their shift can be covered.

If direct support employees need to attend personal appointments or meetings that do not relate to their job duties, they must notify their supervisor as far in advance as possible so their shift can be covered.

If employees need time off for vacation, they must notify their supervisor as far in advance as possible so their shift can be covered or so back-up case managers can be in effect.

Case Managers taking time off should ensure meetings, home visits, service observations, etc. are rescheduled as needed or ensure time off does not interfere with already scheduled job duties (i.e. home visits, service observations, meetings, etc.) if avoidable.

All requests for time off must be submitted through the timekeeping app, Sling.

Chronic absenteeism could lead to disciplinary action up to and including termination.

7.1 HOLIDAYS

Align Services observes the following holidays and will not have offices open on these days:

- New Year's Day
- Martin Luther King, Jr. Day
- Monday after Easter
- Memorial Day
- Juneteenth
- Independence Day
- Labor Day
- Thanksgiving Day
- Christmas Eve
- Christmas Day

No case management services will take place on these holidays. Direct Support services will be provided to participants on holidays, when needed. If it is necessary for a participant to receive

services on a holiday, employees providing that service will be paid at 1.5 times their hourly rate of pay.

7.2 BIRTHDAYS

If a non-exempt employees regularly scheduled workday falls on their birthday, they will receive the day off with pay for the number of hours they were scheduled to work, or the number of hours the office is scheduled to be open that day for those with flexible schedules. If their birthday falls on a Saturday, they will have the Friday before off, if it falls on a Sunday, they will have the Monday after off.

7.3 JURY DUTY/MILITARY LEAVE

The company understands that occasionally employees are called to serve on a jury. Employees who are selected for jury duty must provide a copy of their jury summons to a supervisor. Time taken for jury duty is granted on an unpaid basis. Should a case manager be chosen for jury duty, their back up case manager will take over their caseload until the employee can return to their regular hours and job duties.

Employees called to active military duty, military reserve or National Guard service may be eligible to receive time off under the Uniformed Services Employment and Reemployment Rights Act of 1994. To receive time off, employees must provide notice and a copy of their report orders to an immediate supervisor. Military leave is granted on an unpaid basis. Upon return with an honorable discharge, an employee may be entitled to reinstatement and any applicable job benefits they would have received if present, to the extent provided by law. Should a case manager be called for military duty, their back up case manager will take over their caseload until the employee can return to their regular hours and job duties.

7.4 TRAINING AND PROFESSIONAL DEVELOPMENT

Align Services recognizes the value of professional development and personal growth for employees. Therefore, Align Services encourages its employees who are interested in continuing education and job specific training to research these further and get approval from supervisors before signing up for the seminars or courses. Employees will be reimbursed or will have their registration fees paid for by Align Services on a case-by-case basis for these learning opportunities. Travel, lodging, meals, etc. will not be covered by Align Services for training that is not required by the company.

Various trainings are offered throughout the year by the Wyoming Department of Health and other agencies. Should an employee want to attend a training that may pertain to their job duties, the training must be approved in advance by the supervisor. Trainings attended by employees but not approved by their supervisor will not be paid. Those approved will receive pay at their hourly rate if non-exempt.

7.5 OUT OF TOWN TRAVEL

Out-of-town travel is sometimes a necessary part of an employees' job duties to either visit participants who live outside of Laramie, attend trainings, or assist a participant to attend a fun event. Out-of-town travel must be approved at least a week in advance by the employees' supervisor in case funds are needed in advance. If travel will require reimbursement to the employee or if business monies are spent during travel, receipts and change must be turned in to the supervisor as soon as possible after the trip.

Case Managers who are required to visit clients who live out of town must keep track of mileage through the Everlance App and submit their report monthly for reimbursement at the IRS designated rate. Mileage is paid leaving Laramie, any travel within the other town, and stops upon return to Laramie.

Should an employee be out of town for more than 5 hours, they will be reimbursed for one meal up to \$15, with receipts.

7.6 GAS STIPEND

Employees who provide transportation with personal vehicles as part of their position will be provided a gas stipend of \$50 each month to cover required in town travel. Employees should keep in mind that stipends are counted towards taxable income by the IRS.

7.7 INSURANCE

Align Services offers dental and vision insurance via Delta Dental and VSP, respectively, of which all costs for the employee are covered by the company. Dental coverage can expand to families, but the additional cost is covered by the employee. VSP is only offered to employees at this time.

7.8 PAID TIME OFF (PTO)

Align Services offers 96 hours of PTO per year to full-time hourly employees, 45 hours per year to part-time hourly employees. PTO may be used at the employee's discretion for any reason they may need to take time off and would like to use PTO. PTO requests must be submitted through the timekeeping app, Sling. PTO hours reset every January 1st. Time not used prior to December 31st 11:59pm will not roll over. PTO hours will not be paid out upon termination of employment. Align has a "use it or lose it" policy. This encourages employees to take time off and help prevent burn out.

Hourly employees will earn PTO starting on the first day of the sixth month of employment. PTO will be prorated based on when this would occur (i.e. an employee is hired February 1st, their sixth month of employment is August 1st, 40 hours of PTO would be available to use through December 31st).

The maximum amount of PTO an employee may take at one time is 36 hours in a 30 day period.

Employees may request to use PTO to get them to 36 hours in a work week if 36 hours were not worked.

7.9 LEAVE WITHOUT PAY

Leave without pay will be approved for a reasonable cause and for not more than three (3) consecutive days. When leave is needed, employees must alert their supervisor as soon as possible so that shifts can be covered, and back-up case managers can be notified.

If an employee does not return from leave without pay after three (3) consecutive days without prior approval from their supervisor, Align Services will recognize this as the employee's resignation from the company.

SECTION 8

EMPLOYEE COMMUNICATIONS

8.1 STAFF MEETINGS

Staff meetings will be held on a monthly basis. These meetings allow employees to be informed of recent company activities, changes in the workplace, training, and employee recognition. This is also a time for employees to ask questions and learn from each other. Employees are expected to keep in contact with their supervisor regarding any pertinent events. Employees should not wait until the monthly meeting to bring up important questions or topics that should be addressed immediately. The monthly case manager meeting will also be a time for case managers to complete updates with their back-up case manager and receive case consultations from the team.

8.2 BULLETIN BOARDS

Bulletin boards provide employees access to important posted information and announcements. The employee is responsible for reading necessary information posted on the bulletin boards. Information will also be emailed to employees who work off-site.

8.3 PROCEDURE FOR HANDLING COMPLAINTS

Under normal working conditions, employees who have a job-related problem, question or complaint should first discuss it with their immediate supervisor. At this level, employees usually reach the simplest, quickest, and most satisfactory solution. Should an employee feel their issue was not resolved or handled appropriately, please contact the Executive Director.

SECTION 9

CASE MANAGEMENT

9.1 CONFLICT OF INTEREST

The Wyoming Department of Health, Division of Healthcare Financing (DHCF) follows a conflict-free case management model. Per the DHCF Conflict-Free Confirmation Statement:

“Case managers shall not serve participants to whom they are related by blood or marriage within the third-degree. Relationship “within the third-degree” includes spouse, parent, mother-in-law, father-in-law, step-parent, children, son-in-law, daughter-in-law, step-child, step-sibling, siblings, brother-in-law, sister-in-law, grandparent, grandchild, uncle, aunt, niece, nephew, great-grandchild, and great-grandparent.

Case managers shall not serve participants if they are related to the participant’s guardian or legal representative within the third degree.

Case managers shall not be authorized to make financial or health-related decisions on behalf of the participant, including but not limited to serving as a participant’s guardian, representative payee, power of attorney, conservator, or other similar position.

Case managers shall not live in the same residence as the participant for whom they provide case management services, nor live in the same residence of any provider on the plan of a participant they serve.

Case management agencies shall not provide services to a participant if any owner, operator, or managing employee is related to the participant within the third degree.

Case management agencies shall not hire individual case managers to provide services that would conflict with this policy if the individual case manager provided those services on an independent basis.

The case management agency and any managing employee shall not own, operate, be employed by, or have a financial interest in or a financial relationship with any other waiver service provider if that interest or relationship would create or be a conflict of interest.

A case manager or case management agency may be certified in other waiver services, but shall not provide case management services to any participant for whom they are providing any other waiver services, including self-directed services.

Participants residing in rural areas may request a waiver of this requirement if there are no other available case management providers. The Division, the proposed case manager, and the participant will work with a third party to review and determine that there are no other available case management providers.”

Align Services’ Case Managers agree that, as a conflict free case manager, their documentation of case management services shall be completed in EMWS as required by the Division, and will be

factual and accurate. Clicking “submit” is considered their electronic signature. Once submitted for payment, documentation shall not be altered.

9.2 PROFESSIONAL REQUIREMENTS

Before being certified by the Wyoming Department of Health, DHCF as a case manager, all case managers must undergo a background check. Any information not disclosed during the employment screening could result in disciplinary action up to termination or withdrawal of the job offer (see Section 4.3 Background Checks).

All case managers are expected to maintain current CPR/First Aid and renew before expiration of current certification. Lapses in recertification put the employee at risk for suspension from case management job duties until recertification is complete.

All case managers are expected to complete a minimum of eight (8) hours of continuing education credits (CEUs). These are earned by attending Wyoming Department of Health trainings, WIND trainings, webinars, and can include other trainings, conferences, webinars, etc. that pertain to case management services. Employees should contact their supervisor if they are unsure if a training would count towards CEU credits.

Case managers will go through an annual recertification process with the DHCF. This includes reviewing documentation and follow-up. Case managers are expected to document accurately, factually, objectively, and as soon as the services provided have ended. Documentation should be objective and factual. (see the Comprehensive and Supports Waivers Provider Documentation Standards document). Case manager accounts in EMWS count as their electronic when they submit monthly documentation, indicating that all documentation is accurate and factual.

9.3 THE FALSE CLAIMS ACT AND ACCURATE DOCUMENTATION

The False Claims Act (“FCA”) was put in place in order to protect the Federal Government from being overcharged or sold inferior goods or services. When a client receives services and the bill is being paid by Medicare or Medicaid, CMS and the Department of Justice view this transaction as providing services to the government because it is a service that is provided in connection with a government program. FCA helps combat: fraud-receiving benefits through misrepresentation or concealment of pertinent information; waste-sustaining excessive and unnecessary costs due to mismanagement, poor practices, or poor controls; abuse-using government resources in excess or inappropriately.

The FCA prohibits knowingly:

- Submitting for reimbursement a claim known to be false
- Making or using a false record

- Engaging in a conspiracy to defraud by the improper submission of a false claim and concealing, improperly avoiding or decreasing an 'obligation' to pay money to the government

If the documentation of that service fails to accurately describe the actual service rendered, the billing will be inaccurate, and a False Claim may arise.

It is important that all claims and requests for reimbursement from federal health care programs and all documentation supporting such claims or requests must be complete and accurate and must reflect reasonable and necessary services.

The FCA includes several key provisions:

- **Qui tam:** This provision allows people who are not affiliated with the government, known as "relators", to file actions on behalf of the government. This is often called "whistleblowing".
- **Penalties:** Individuals who violate the FCA can be fined up to three times the government's loss, plus a civil penalty of \$5,500 to \$11,000 for each false claim.
- **Whistleblower rewards:** If the government wins or settles, the relator can receive between 15% and 25% of the government's award. If the relator wins without the government's involvement, they may recover up to 30% of the award.

Some examples of potential false claims include:

- Billing for services that were not provided
- Billing for medically unnecessary services
- Upcoding, which is billing for Medicare or Medicaid using a billing code that provides a higher payment rate

9.4 SCHEDULES AND WORKING FROM HOME

Case managers have a flexible work schedule due to the nature of their role, as the need of clients do not always take place during typical business hours. Full-time, hourly case managers are required to work 36 hours per week, but these hours may take place any time between Sunday 12am to Saturday 11:59pm (see Section 6.2 Timekeeping). Working hours should be a balance between personal responsibilities and preference/need of clients on caseloads.

Working from home is permitted upon approval by supervisors. Each case manager will have a designated, locked filing cabinet for hard copies of paperwork. These must remain locked when not in use.

Employees must keep in mind that although documentation may be completed at home, they must adhere to HIPAA compliance standards.

In addition, case managers must keep in mind the confidential nature of their role. Phone calls and Zoom calls must be completed in a private location where others in the home are unable to hear. This also includes paperwork which contains confidential information, will not be left out for others to see. If working in a public location (i.e. café), case managers must keep confidentiality in mind, prevent others from being able to hear phone/zoom calls, and never leave laptops or confidential paperwork unattended.

9.5 LAPTOPS/TABLETS FOR BUSINESS USE

Case Managers will be issued a tablet or laptop to use for business purposes only. Employees will be provided with a screen protector and tablet sleeve or bag to keep the device in at all times when not in use. Employees are expected to handle their device with care and respect. Employees are expected to notify their supervisor immediately should an issue occur with the tablet or laptop, or if the device is damaged. Employees will not allow others to use company issued devices unless it is to benefit clients and with the designated case manager present.

Tablets/laptops may be used to complete documentation, clock in and out, assist clients to look up information or plan activities, assist clients to apply for jobs, complete paperwork, or other tasks as assigned or approved by your supervisor. Documents and participant information should not be saved to the employee's personal computer but to the company assigned laptop and the company NAS (Network Attached Storage), Synology Drive. Computers should be locked when not in use and be password, fingerprint, face, or PIN protected. Employees must notify their supervisor if they are locked out so that a password reset can be completed. Employees should never install apps or software without prior approval from their supervisor. Tablets/laptops are synced and backed up with the office NAS. All documents, programs, and apps installed are monitored periodically. Employees must surrender their device upon request by their supervisor.

Tablets/laptops should not be used for personal purposes. Employees should not set up their personal email address on their device; do not link third party apps or services such as Dropbox or other storage; or media streaming services (i.e. Netflix). Employees should not sign into personal social media accounts on their device, or take photos or videos with the device. Employees must not jailbreak their device, hack, or tamper with it or allow others access to or use of the device. Employees must not use their device for any illegal activities. Employees must keep in mind that although documentation may be completed at home, they must adhere to HIPAA compliance standards.

Employees are required to bring their tablets/laptops to each staff meeting so that updates can be completed, software can be installed, or additional training on tablet/laptop use can be done. Should an employee lose or damage the tablet due to misuse, they will be expected to replace the tablet in full (up to \$1,000) or pay for repairs. Tablets issued to employees come with specialized

pens. Should the pen become lost or damaged due to misuse, employees will be expected to replace the pen (up to \$125.00). Repairs needed due to usual wear and tear will be the company's responsibility.

Synology Drive must be downloaded to the tablet/laptop so that participant information can be synced immediately with the office NAS (Network Attached Storage) device. No participants' personal information should be saved directly to the device.

Laptops/tablets will have Microsoft 365 downloaded under the employee's assigned account. This may allow supervisors remote access to or monitoring of device usage.

9.6 COMPANY CELL PHONES

See Section 5.4 for general information regarding cell phone use. Case Managers will be issued company cell phones. If a case manager will be unavailable to answer phone calls or texts for an extended period of time, the voicemail message must notify the caller of their absence, date of return, and who to contact and number to contact for more immediate assistance. If able, an automatic text message reply must be set up in this fashion as well.

All phone messages must be returned within 1 business day, even if it is to let the caller know you received the message and need some time to find information/assistance requested. Case management is not a 24 hour service. When returning phone calls and text messages, case managers should do so within typical working days/hours to maintain appropriate boundaries (see Section 9.9 Boundaries).

9.7 INCIDENT REPORTS (IR)

Incidents are any activity that is not typical of the participant or provider. If a participant experiences a minor incident that does not qualify as a reportable incident under the Comprehensive or Supports Waiver critical incident reporting criteria, and it occurred while the case manager was present, case managers will document the event, and notify the necessary parties. Determined by the severity of the incident, the case manager and/or provider will notify supervisors, other providers (as appropriate), and guardians (as appropriate). In addition, doctors or therapists may be notified depending on the situation. Any reporting or documenting of incidents must occur only after the individual's health and safety have been assured.

Case Managers must follow-up with providers and participants in a timely manner when incidents occur, especially those that are considered critical incidents. Critical Incidents require face-to-face follow-up with the participant within 72 hours of the incident (See appendix A for a list of critical and non-critical incidents). Critical incidents should be reported to the DHCF online reporting form

in the Provider Portal. Case Managers should save a copy of the incident for their records. These reports can also be reported and accessed under each individual's case in EMWS.

If participants are in services while the Case Manager is present, the case manager will assist in deescalating techniques, First Aid/CPR, or other areas as needed. Case Managers will encourage providers to follow their agency's policies and procedures for internal incident reports.

Incident reports are reviewed at least monthly by case managers and analyzed for trends. If there seems to be a trend of incidents that are out of the ordinary, preventable, etc., case managers will request a team meeting for the participant.

9.8 MANDATORY REPORTING

All Wyoming citizens are mandatory reporters if they witness or suspect abuse, neglect, or exploitation of a vulnerable adult or child. If abuse, neglect, or exploitation is suspected, case managers must notify the participant's local Department of Family Services (DFS) office. In the case of witnessed abuse, neglect, or exploitation, case managers must also notify the local Police Department Non-Emergency line or, in the case of an emergency, call 9-1-1. If the case manager is the person to contact DFS or the police, an incident report on the Wyoming Provider Portal or in EMWS must be filed.

Case Managers should be familiar with their local DFS numbers and reporting process:

- Department of Family Services
 - a. Follow the automated message prompts to speak to a receptionist or to the appropriate department (Adult Protective Services, APS or Child Protective Services, CPS). Employees should identify themselves and tell them they need to report an incident involving a vulnerable individual. Document the case worker's name, the date, and time on the incident report form as well as in your case manager documentation. Should you get an answering machine, identify yourself, provide your contact information, and leave a message regarding the incident including the participant's name and address. Document the date and time you left the message.
- Police Department Non-Emergency Line
 - a. Employees should identify themselves and tell them they need to report an incident involving a vulnerable individual. Document the officer's name, the incident number, the date, and time on the incident report form. Should you get an answering machine, identify yourself, provide your contact information, and leave a message regarding the incident including the participant's name and address. Document the date and time you left the message.

See Appendix B for signs and symptoms of abuse or exploitation.

See Appendix C for reporting instructions.

See Appendix D for information about what happens after a DFS report is made.

9.9 BOUNDARIES

Align Services advises all employees to maintain professional boundaries with participants, guardians, and their families. Employees are not expected to answer phone calls or texts outside of their working hours. Employees have the choice of giving their personal cell phone number to participants, guardians, or their families and assume all risk and responsibility in this case. Align Services advises employees to not friend or follow participants, guardians, or their families or allow them to follow themselves on social media. Should employees choose to be linked on social media with participants and/or their families, employees assume all risk, responsibility, and liability (see Section 5.6 Social Media).

9.10 NON-BILLABLE TIME WITH CLIENTS

Case managers are encouraged to build positive relationships with participants. This is often done during monthly home visits, service observations, and meetings. This can include participating in non-billable time with clients. Non-billable time includes going out to eat, to the movies, to a sporting event, etc. Anything social in nature rather than business is considered non-billable time and should not be documented in EMWS. Should case managers choose to spend non-billable time with participants, case managers are responsible for all costs incurred during the activity. Case managers will not be paid for these types of activities that take place outside of their scheduled work hours. Case managers should keep appropriate professional boundaries in mind.

9.11 ON-CALL

On-call is on hold as of 3/2021.

SECTION 10

OTHER ITEMS

10.1 PERSONAL VEHICLES

At this time, Align Services requires case managers to use their personal vehicles to get to and from home visits, observations, and meetings. Employees are expected to have up to date vehicle insurance and turn in renewals as they occur. Should an employee's insurance lapse, vehicle

breakdown, or should a vehicle be needed for an out-of-town trip, employees should notify their supervisor as soon as possible so other arrangements can be made.

Employees will not provide transportation to participants. Align Services' insurance does not cover transporting participants. The company's insurance only covers employees. Should employees decide to transport participants, the employee assumes all risk and liabilities.

Align Services expects all employees to wear seat belts at all times vehicles are in motion.

10.2 PARKING

Employees may park their cars wherever parking is available at the Laramie office. When parking at participant homes, employees should not park in or block driveways, and should park in the street or other designated parking spots. When conducting observations or meetings at other local businesses, employees should park in designated parking areas.

10.3 DONATIONS/FUNDRAISING

Align Services accepts all kinds of donations as long as they are in good condition. All donations must be routed to the Executive Director for processing and providing receipts, if requested.

Fundraising efforts on behalf of Align Services must be approved by the Executive Director prior to initiating and work with the company throughout the process.

10.4 MAIL

Employees should ensure any business-related mail to be routed to the Laramie office, where it will then be distributed to the appropriate employee. Employees should not use their home address for business purposes.

10.5 GIFTS, MONEY, AND GRATUITIES

Align Services employees will not accept money or gratuities for services being provided.

From time to time, participants or their guardians may want to give an employee a gift. Align Services will follow the National Association of Social Workers standards in regards to gifts: Standard 1.06(a) advises social workers to "avoid conflicts of interest that interfere with the exercise of professional discretion and impartial judgment." Standard 1.06(b) instructs social workers not to "take unfair advantage of any professional relationship." Standard 1.06(c) says that social workers should set "clear, appropriate, and culturally sensitive boundaries"

Employees will not accept gifts that are meant to sway their services/support, that would cross appropriate professional boundaries, if the gift is meaningful to the client and they may regret giving the gift later, or if the gift is inappropriate given the nature of professional relationship/role.

Employees must keep in mind the social and cultural aspects of gift giving. In addition, employees must also keep in mind the economic impact on the participant. To navigate specific gift giving situations, please reach out to your supervisor for guidance.

10.6 ANTI-SOLICIATION POLICY

Align Services follows an anti-solicitation policy to recruit new participants. Solicitation is the attempt to influence a person to receive services from a particular provider, accepting/giving gifts or incentives/making promises to persuade an individual to Align or a particular provider's services, or approaching individuals who look like they would benefit from Align's services to discuss such services.

10.7 FRAUD, WASTE, AND ABUSE OF MEDICAID FUNDS

Align Services Executive Director and Assistance Director of Case Management are responsible for monitoring service delivery and documentation and communicating with Align's Billing Specialist to monitor for fraud of services. Should an employee have any evidence of wrongdoing or suspected wrongdoing by another employee, reach out to the above mentioned individuals. Align Services provides ongoing training and education regarding detection and prevention of fraud, waste, and abuse of Medicaid funds within the company and case managers' role in monitoring this during service delivery and documentation for participants.

10.8 REVIEWS AND INSPECTIONS

Periodically, Align may be visited from outside agencies for inspections and reviews of business practices. Employees are expected to treat visitors with respect, answer questions honestly, and if an answer is unknown, let them know you will contact someone with the answer, or provide the person's contact information.

10.9 SUPPLIES AND EXPENDITURES

Staff meetings will include discussing needs for employee job duties or the office. Requests for supplies can be made at any time outside of these meetings as well. There is no guarantee items will be approved. Only authorized persons may purchase supplies in the name of Align Services. No employee whose regular duties do not include purchasing shall incur any expense on behalf of Align Services.

10.10 EXPENSE REIMBURSEMENT

Expenses incurred by an employee must have prior approval by a supervisor. Reimbursements under \$25.00 will be included in the employee's next regular paycheck. If the amount is more than \$25.00,

the reimbursement request will be processed like an invoice. All completed reimbursement request forms should be turned into Michaela Rank. Expenses accrued without prior approval will not be reimbursed.

10.11 OBLIGATING THE COMPANY

No employee will bind Align Services by any promise or representation without written approval from the Executive Director.

It is Align Services policy to cooperate with any law enforcement activities. Should an employee be asked to provide information regarding an employee or participant, the employee should immediately contact the Executive Director. No information should be released without first contacting and receiving guidance from the Executive Director.

Align Services will comply with all legal obligations while also maintaining the privacy of participants, employees, and business practices. Should any employee receive request for information regarding a lawsuit or legal proceeding, they must alert the Executive Director who will see legal consult to determine obligations.

10.12 PHOTOGRAPHS

Employees are prohibited from taking photos of participants for personal use including posting to social media. Photos may only be taken with signed authorization from the participant AND legal representative and only for the purpose of showing progress on goals and in service areas. Photos must only include the individual participant and staff (with staff consent). No other participants should be in the photograph without prior signed consent. Photographs taken with employee cell phones are protected by the signed authorization and are the property of the participant to receive copies of photographs and request when photographs be deleted or destroyed. Employees must save photographs to Synology Drive as soon as possible and delete the photograph from their cell phone once saved in Drive.

10.13 ORGANIZATIONAL RESOURCES FOR PERSONAL GAIN

Align Services employees are prohibited from using company resources for personal gain. This includes using company laptops and cell phones for personal activities, taking care of personal activities and/or not performing work related duties while on the clock, or using company issued vehicles for personal use. There are exceptions, but these must be approved by the Executive Director prior to implementation. Employees who improperly use or disclose confidential business information will be subject to disciplinary action, including termination of employment and legal action, even if they do not actually benefit from the disclosed information.

10.14 PARTICIPANT FUNDS

Align Services will not manage participant funds or serve as a participant's representative payee. In addition, case managers will not have any authority over a participant's funds or budget, except to find additional funding, resources, or ways to save. Case managers will not give any financial advice to participants, guardians, or their families.

10.15 PUBLIC RELATIONS

With one of Align Services' key values being integrity, it is important that all employees represent the company honestly and accurately. When employees are representing Align Services, they are expected to act professionally, treat everyone with respect, not share personal information of participants, and promote the company in a positive manner. Only the Executive Director or designated person are authorized to speak on behalf of the company. Employees are welcome to share contact and accurate, up-to-date company information and facts.

10.16 PARTICIPANT MEDICATIONS

Align Services will not assist participants with any medications.

SECTION 11

TECHNOLOGY

Align Services uses technology to provide quality services, use time efficiently, and maintain communication with appropriate parties. Company issues laptops/tablets, cell phones, office internet, Gmail accounts, Synology accounts, office NAS, Microsoft 365 accounts, Everlance accounts, as well as data and information that is maintained or transmitted to or from the above accounts and systems are the property of Align Services and should only be used for job-related purposes. Align laptops are encrypted with Windows Bitlocker. Admin has access to keys to decrypt. In addition, Microsoft 365 includes security and privacy features to maintain PHI confidentiality. Desktop computers utilize AVG Antivirus Software. Browsers and email utilize Upfort Security.

Align Services uses the following technologies to conduct business:

- Electronic Medicaid Waiver System (EMWS) -
- Gmail Suite –
- NAS, Synology Drive, Hyperback-up -
- Sling app –
- Everlance app –

- Microsoft 365 –
- Wordpress –
- Zoom –
- Signwell –

Hardware Equipment

- Lenovo Thinkpad X1 Laptops (6)
- Remarkable paper tablets (6)
- iPhones (5)
- Printer/copier/scanner (4)
- Desktop computers (3)

Software

- Microsoft Windows 11 Business
- Microsoft Office
- Upfort Browser and email security
- Google Chrome
- Adobe Acrobat Reader
- PDF Ink

Hardware is replaced on an as needed basis. Software and apps are reviewed on a regular basis to ensure company needs are met. Those with annual subscriptions are renewed after other options are evaluated for cost effectiveness.

11.1 INTERNET USE

Align Services employees may be allowed use of the internet and e-mail when necessary to serve our clients and conduct the company's business.

Employees may use the internet when appropriate to access information needed to conduct business of the company. Employees may use e-mail when appropriate for company business correspondence and should never use personal email for business correspondence unless approved by their supervisor.

Use of the Internet must not disrupt operation of the company computer network. Use of the Internet must not interfere with an employee's productivity. Employees are responsible for using the Internet in a manner that is ethical and lawful. Employees can use the internet for personal website usage, but sparingly.

Internet messages are public and not private. Align Services reserves the right to access and monitor all files and messages on its systems.

11.2 ACCEPTABLE USE

Employees are not permitted to download any “pirated” software, files or programs and must receive permission from a supervisor before installing any new software on a company computer or cell phone. Files or programs stored on company computers or cell phones may not be copied for personal use.

Employees are expected to keep participant information as private as possible. Employees should lock their computers when not in use. All filing cabinets must be locked up when leaving for the day. Company cell phones must be locked when not in use. All company computers and cell phones must be password protected.

In order to protect client information, all electronic devices must be encrypted, or locked, where only Align Services owner/employees (for company property) or the owner of the device (for personal cell phones) are able to unlock and access the information on the device. Locking devices involves passwords, fingerprint recognition, face recognition, or PINs to unlock. To maintain confidentiality, employees must strictly adhere to the following:

- No using personal storage (USB drives, etc) for company data
- No using personal email for company business/data
- No installing software on agency owned computers, cell phones, or other agency owned electronic devices without Executive Director approval
- If employees use personal cell phones for work purposes, cell phones must be locked using a password, fingerprint, or face recognition software to access content on the phone
- Computers must be locked when not in use
- Company computers, software, etc. cannot be taken out of the office without permission from the Executive Director

Employees are reminded that they should have no expectation of privacy in their use of company computers or other electronic equipment. Violations of these policies could result in disciplinary action.

11.3 BACKUP/RECOVERY

Align Services employees are expected to save all work documents to Align’s Network Attached Storage (NAS) device via Synology Drive Client on their laptops, or by uploading documents to the NAS network using their individual log-in at quickconnect.to/alignservices. Align’s NAS is backed-up daily to the Synology Cloud, C2 Storage, which is accessible to admin should there be a disaster where the physical NAS is destroyed. C2 Storage allows recovery of files on the physical NAS so that services and business can continue.

11.4 ELECTRONIC BILLING

Align Services bills through the Wyoming Medicaid billing portal. Access to billing records and the Wyoming Medicaid portal are limited to the Executive Director and Billing Specialist. The Executive Director completes billing audits periodically.

11.5 ELECTRONIC MEDICAID WAIVER SYSTEM (EMWS)

All case managers document for services via Wyoming Medicaid's EMWS portal system. This portal is administered by the Department of Health and is HIPAA compliant.

11.6 ACCESS MANAGEMENT

The Executive Director is responsible for assigning users in all apps and software utilized by the company. Most apps and software have their own requirements for password complexity and expiration. When available, Align Services requires 2 Factor or Multifactor Authentication to be in effect as well, using Synology's Secure Sign-in authenticator and Microsoft's Authenticator app.

When an employee leaves Align Services, all accounts they were assigned are deactivated. Only the Executive Director has access to personnel files.

The Executive Director has the capability to audit computer system logs via Microsoft 365 and Synology. EMWS has their own audit log.

Proprietary and secure data are kept in a Synology Drive folder that only the Executive Director has access to. This information can be shared with team members on an as needed basis. Billing data is also accessible to the Billing Specialist.

11.7 DECOMMISSIONING HARDWARE

When it has been deemed necessary to discontinue use of an electronic device, the data will be backed-up to the NAS, the device wiped clean and reset, then taken to the appropriate location for disposal.

11.8 DEVICE PROTECTION FROM MALICIOUS ACTIVITY

Align Services utilizes Upfort security for browser and email security to help with spam filtering, phishing prevention, and protect from malicious activity. In addition, Align Services utilizes outside services from WyoSnooks on an as needed basis.

11.9 REMOTE ACCESS

All Align Services case managers have the ability to access participant files and information to

complete their job duties. Employees do not have access to all business files or billing information unless required as part of their job duties.

11.10 ASSISTIVE TECHNOLOGY

Assistive technology is available upon request and will be evaluated for relevance to the situation.

11.11 CYBERSECURITY TRAINING

Cybersecurity training is provided to all staff on an annual basis and upon hire. Staff are trained on the importance of system/software/firmware updates, password best practices, signs of email phishing, etc. Align Services follows guidance from the Cyber Readiness Institute.

SECTION 12

HEALTH AND SAFETY

12.1 SAFETY

Align Services takes every precaution to ensure employees have a safe working environment and provides information to employees about workplace safety and health issues through regular internal communication such as:

- Training sessions
- Team meetings
- Bulletin board postings
- Memorandums
- Other written communications

Each employee is expected to obey safety rules and exercise caution and common sense in all work activities. Employees must immediately report any unsafe conditions to their supervisor.

In the case of an accident that results in injury, regardless of how insignificant the injury may appear, employees should notify their supervisor (See Section 12.6, Employee Requiring Medical Attention).

Employees should recognize any potential fire hazards and be aware of fire routes and fire drills. Do not block fire exits, tamper with fire extinguishers, or otherwise create fire hazards.

If an employee ever feels unsafe doing their job duties, going into participants' homes, etc. they must notify their supervisor as soon as possible so two employees can provide services or alternatives can be explored. Besides participant safety, employee safety is also a high priority.

12.2 VIOLENCE PREVENTION

Employees are prohibited from making threats against anyone in connection with his or her work or engaging in violent activities while in the employ of the company. Employees are prohibited from any act intended to harass or intimidate another individual.

Any employee who is experiencing harassment, violence, or threat of violence should immediately report to their supervisor or the Executive Director. All reports will be investigated, and appropriate actions taken, including law enforcement involvement if needed, or disciplinary action, up to and including termination.

12.3 EMERGENCY PROCEDURES

In the event of an emergency, dial 911 immediately. If you hear a fire alarm or other emergency alert system, proceed quickly and calmly to the nearest exit. Once the building has been evacuated, only a supervisor/property manager/firefighter may authorize employees to reenter. If you are with participants, assist them or their providers to get everyone to safety.

All employees are trained on First Aid/CPR upon hire and every two years thereafter.

12.4 HEALTH-RELATED ISSUES

Employees who become aware of any health-related issue should notify their supervisor of their health status if it will impact their job duties or possible transmission of communicable diseases.

A written “permission to work” from the employee’s doctor may be required at the supervisor’s discretion after multiple days of illness/long-term illness. The doctor’s note should specify whether the employee is able to perform regular duties as outlined in his/her job description and that there is no risk of infection for others in their vicinity.

A leave of absence may be granted on a case-by-case basis. If the need arises for a leave of absence, employees should notify their supervisor as soon as possible. Case managers should notify their supervisor as soon as possible so that arrangements can be made with the back-up case manager.

Employees who may come in contact with bodily fluids will be trained on standard precautions and personal protective equipment (PPE). PPE includes gloves, face shields, aprons, and masks. Employees are expected to use PPE when providing personal care, meals, or doing household chores during services with participants.

12.5 TB (TUBERCULOSIS) TESTING

Following CDC guidelines, Align Services employees are required to complete a TB risk assessment upon hire then every year thereafter. Should an employee show high risk during the assessment or have known exposure to a person with potentially infectious TB, employees should notify their supervisor immediately to complete an evaluation and TB two step testing. Employees

who test positive for TB should complete a symptom evaluation and chest radiograph with their primary medical professional and follow the advice of medical personnel.

12.6 EMPLOYEE REQUIRING MEDICAL ATTENTION

In the event an employee requires medical attention, whether injured or becoming ill while at work, the employee's personal physician must be notified immediately. If it is necessary for the employee to be seen by the doctor or go to the hospital, a family member will be called to transport the employee to the appropriate facility. If an emergency arises requiring Emergency Medical Services to evaluate the injury/illness of an employee on-site, the employee will be responsible for any transportation charges. Furthermore, Align Services' employees will not be responsible for transportation of another employee due to liabilities that may occur.

12.7 WORKERS' COMPENSATION

As required by law, Align Services provides workers' compensation benefits for the protection of employees with work-related injuries or illnesses. Workers' compensation insurance provides coverage to employees who experience job-related injuries or illnesses. If an employee is injured or becomes ill as a result of his/her job, it is the employee's responsibility to immediately notify a supervisor of their injury/illness within 72 hours and complete a report of injury/illness within 10 days in order to receive benefits. Report every illness or injury to a supervisor, regardless of how minor it appears.

Align Services will advise the employee of the procedure for submitting a workers' compensation claim. If necessary, injured employees will be referred to a medical care facility. Employees should retain all paperwork provided to them by the medical facility. Failure to report a work-related illness or injury promptly could result in denial of benefits. An employee's report should contain as many details as possible, including the date, time, description of the illness or injury, and the names of any witnesses. Wyoming Department of Workforce Services administers the workers' compensation insurance. Representatives may contact injured employees regarding their benefits under the plan. Additional information regarding workers' compensation is available from the Executive Director.

12.8 BUILDING SECURITY/WEAPONS

All employees who are issued keys to the office or participants' homes are responsible for their safekeeping. These logs are kept on the Building Key Disbursement form upon assigning keys and when returned. The last employee who leaves the office throughout the day and/or at the end of the day assumes the responsibility to ensure that all doors are securely locked, blinds are closed, and all appliances and lights are turned off. Employees are not allowed on company property after hours without prior authorization from the Executive Director, unless their job duties require it.

Employees must be alert and aware of any potential dangers to themselves or their coworkers. Take every precaution to ensure that your surroundings are safe and secure. Guard personal belongings and company property. Visitors should be escorted at all times. Report any suspicious activity to a supervisor immediately.

Possession of a dangerous weapon concealed or unconcealed in Align Services' office, participant homes, other agency offices while conducting business, or other locations in the community while providing services are strictly prohibited. An employee found to violate this policy is subject to disciplinary action up to and including termination.

12.9 INSURANCE ON PERSONAL EFFECTS

All employees should be sure that their own personal insurance policies cover the loss of anything occasionally left at the office. Align Services assumes no risk for any loss or damage to personal property.

12.10 VISITORS/PETS IN THE WORKPLACE

To provide for the safety and security of employees, visitors, and the facilities at Align Services, only authorized visitors are allowed in the workplace. Restricting unauthorized visitors helps ensure security, decreases insurance liability, protects confidential information, safeguards employee welfare, and avoids potential distractions and disturbances.

Pets are permitted in the office provided they do not disturb the job duties of the employee or co-workers/supervisors. Employees must pick up after their pet and provide food and water as necessary. Should the pet be a disturbance, the employee will be asked to not bring the pet in again.

12.11 INCLEMENT WEATHER/EMERGENCY CLOSINGS

At times, emergencies such as severe weather, fires, or power failures can disrupt company operations. The decision to close the office will be made by the Executive Director.

When the decision is made to close the office, employees will receive official notification from their supervisors.

Time off from scheduled work due to emergency closings will be unpaid for all non-exempt employees.

APPENDIX

APPENDIX - A

CRITICAL INCIDENTS AND WHO TO REPORT TO

Types of Incidents	Who Gets Notified
<ul style="list-style-type: none">• Suspected abuse• Suspected self-abuse• Suspected neglect• Suspected self-neglect• Suspected exploitation• Suspected abandonment• Intimidation• Sexual Abuse• Death	<ul style="list-style-type: none">• Wyoming Behavioral Health Division – Developmental Disabilities Section• Department of Family Services (DFS)• Protection and Advocacy (P&A)• Case Manager• Guardian• Local Law Enforcement Agency
<ul style="list-style-type: none">• Serious Injury• Elopement• Crime Committed by Participant• Injuries Caused by Restraint	<ul style="list-style-type: none">• Wyoming Behavioral Health Division – Developmental Disabilities Section• Protection and Advocacy (P&A)• Case Manager• Guardian• Local Law Enforcement Agency (if applicable)
<ul style="list-style-type: none">• Police Involvement	<ul style="list-style-type: none">• Wyoming Behavioral Health Division – Developmental Disabilities Section• Protection and Advocacy (P&A)• Case Manager• Guardian
<ul style="list-style-type: none">• Medical/Behavioral Admission• Emergency Use of Restraint	<ul style="list-style-type: none">• Wyoming Behavioral Health Division – Developmental Disabilities Section• Case Manager• Guardian
<ul style="list-style-type: none">• Medication Error	<ul style="list-style-type: none">• Wyoming Behavioral Health Division – Developmental Disabilities Section• Case Manager

APPENDIX - B

Signs and Symptoms of Abuse, Neglect or Exploitation

<http://dfsweb.wyo.gov/social-services/mandatory-reporting>

The first step in helping abused or neglected children/vulnerable adults is learning to recognize the signs of abuse and neglect. The presence of a single sign does not prove abuse is occurring, but a closer look at the situation may be warranted when these signs appear repeatedly or in combination.

Types of Abuse

The following are some signs often associated with particular types of abuse and neglect: physical abuse, neglect, sexual abuse, financial exploitation and emotional abuse. It is important to note, however, that these types of abuse are more typically found in combination than alone. A physically abused child/vulnerable adult, for example, is often emotionally abused as well, and a sexually abused child/vulnerable adult also may be neglected.

Signs of Physical Abuse

Consider the possibility of physical abuse when the child/vulnerable adult:

- Has unexplained burns, bites, bruises, or black eyes
- Bone fractures, broken bones and skull fractures
- Seems frightened of the parents or caretaker
- Favoring or avoiding contact with a body part
- Covering or hiding certain body parts
- Limping that was not noticed before
- Open wounds, cuts, punctures especially those looking similar to items found around the house. For example, puncture wounds from a hair brush
- Untreated injuries in various stages of healing
- Sprains, dislocations
- Reports someone physically is hurting them
- Aggressive, disruptive and/or destructive behavior
- Passive, withdrawn and/or emotionless behavior

Signs of Neglect (Including Self Neglect)

Consider the possibility of neglect when the child/vulnerable adult:

- Is frequently absent

- Begs or steals food or money
- Lacks needed medical or dental care, immunizations, or glasses
- Is consistently dirty and has severe body odor
- Lacks sufficient clothing for the weather
- Abuses alcohol or other drugs
- States that there is no one at home to provide care
- Malnourishment, dehydration
- Confusion, depression
- Poor hygiene, soiled linens, urine stains
- Unkempt physical appearance
- Bed sores
- Child or adult reports being deprived of essentials (food, clothing, medication, supervision etc.)

Signs of Emotional or Psychological Abuse

Consider the possibility of emotional maltreatment when the child/vulnerable adult:

- Shows extremes in behavior, such as overly compliant or demanding behavior, extreme passivity, or aggression
- Being extremely withdrawn and non-communicative or not-responsive
- Over/under use of eye contact
- Is either inappropriately adult (parenting other children, for example) or inappropriately infantile (frequently rocking or head-banging, for example)
- Is delayed in physical or emotional development
- Has attempted suicide
- Reports a lack of attachment to the parent or caretaker or others important in the life of the child/vulnerable adult
- Child or adult reports the abuse

Signs of Sexual Abuse

Consider the possibility of sexual abuse when the child/vulnerable adult:

- Has difficulty walking or sitting

- Bruises or other injuries around the breast or genital area
- Suddenly refuses to change clothing or to participate in physical activities
- Reports nightmares or bedwetting
- Experiences a sudden change in appetite
- Demonstrates bizarre, sophisticated, or unusual sexual knowledge or behavior
- Becomes pregnant or contracts a venereal disease
- Runs away
- Torn, stained or bloody clothing
- Reports inappropriate touching
- Reports sexual abuse
- Inappropriately touches others in a sexual way
- Fear of being alone with adults, especially if of a particular gender

Financial Exploitation (mostly related to adults/elders)

- Unusual bank activity
- Missing social security or SSI checks
- Recent new friends residing with and/or expressing affection or interest (adults/elders)
- Missing property such as money, jewelry etc.
- Checks or documents bearing the signature of an elder or vulnerable adult who cannot write
- Missing mail or mail re-directed to a different address
- Social Security and or SSI monies not being spent on the needs of the child or adult

APPENDIX - C

How to Make a Report

<http://dfsweb.wyo.gov/social-services/mandatory-reporting>

I Suspect Abuse But I Don't Have Proof. Should I report?

Only reasonable suspicion or reasonable cause to believe is enough to require a report according to the law. As a rule, when in doubt, report. Reporting is anonymous and you could be saving a life. Failure to report can result in criminal or civil liability.

If you believe abuse/neglect/exploitation is happening, don't try to investigate yourself or confront the possible abuser. Instead, report what you see to the local Department of Family Services office or local law enforcement.

What do I do Before I Make a Report?

Document as much factual information as possible. For example, write down the time of day you witnessed the incident. Write down a description of the possible perpetrator as well as the possible victim; how many people were present; where the incident happened; if a vehicle was involved, try to get the license plate of the vehicle as well as its description.

How do I Report Abuse, Neglect or Exploitation?

To report suspected abuse/neglect/exploitation call the Wyoming Department of Family Services local field office or the local law enforcement agency in which the child or adult lives or where the alleged abuse has occurred.

How Can I Decide Whether to Report the Abuse I Suspect?

Deciding whether or not to report suspected abuse can be difficult, yet it is an important first step toward protecting a vulnerable person who might be in danger. You must have a reasonable suspicion of abuse, neglect or exploitation. You might be mistaken, but it is better to err on the side of the vulnerable person. Not reporting your suspicions may mean that abuse could continue. If you make a report in good faith, you are immune from civil or criminal liability.

Will the Vulnerable Person Be Taken Away From the Home If I Report?

Only if the person is at risk of serious harm will she or he be taken away from the home. Removing the person from the home is not a routine or usual occurrence. Even if the person must be removed, the goal is to keep the family together. In Wyoming, the Department of Family Services cannot remove an alleged victim of abuse/neglect/exploitation from their home. Only law enforcement, the courts or medical personnel like doctors have that authority.

What Happens After I Report?

After receiving a valid report, Department of Family Services, Protective Services Division assesses the situation to determine if there is immediate danger to the person. If caseworkers find that maltreatment has occurred, or services are needed to prevent abuse/neglect/exploitation, there are a number of possible options. These include working out a plan with the family or caretakers - to protect the vulnerable person and to help solve the problems which are leading to abuse/neglect/exploitation.

Will My Name Be Confidential? Do I Have To Give My Name?

Reports may be made anonymously, but it helps a great deal if you give your name. Giving your name will assure that if the investigators in the case need additional clarification from you, they can contact you and that important information will not be forgotten or lost.

Your name will be kept confidential and DFS will not release any identifying information about the person who made the report. The name of the person making the report will be made known **only** if a court orders it or if court testimony is involved.

How Will I Know What Happens?

You may not know what happened after you make a report. However, if you continue to have reasonable suspicion or reasonable cause to believe abuse/neglect/exploitation is occurring, make another report to your local DFS office or law enforcement agency.

APPENDIX – D

What Happens After the Report

<http://dfsweb.wyo.gov/social-services/mandatory-reporting>

A report of suspected abuse/neglect/exploitation is not an accusation. It is the link to services for families who would not voluntarily seek the help they may desperately need. When an incident of suspected child/vulnerable adult abuse/neglect/exploitation is reported, “taking action” is mandated by law.

State law also mandates that, promptly after receiving a report of suspected child/vulnerable adult abuse/neglect/exploitation, the local Department of Family Services must make a thorough investigation to protect the welfare of the child/vulnerable adult. DFS and law enforcement may work jointly or law enforcement may take the lead role of the investigation.

Depending on the report the caseworker has three processes to determine the best outcome for the child/vulnerable adult.

- Investigation
- Assessment
- Prevention Services

What is an Investigation?

Investigation is a process that will result in a finding of either “Substantiated” or “Unsubstantiated”.

The Wyoming Department of Family Services has the legal authority and obligation to assess, investigate and evaluate reports of child/vulnerable adult abuse and neglect and to provide services when needed. During the early investigation stage, caseworkers are responsible for determining:

- Whether abuse or neglect has likely occurred;
- Whether there is immediate danger or risk to the child/vulnerable adult;
- What the motivation, capacity and intent of the alleged perpetrator is; and
- What the ability of a non-offending caregiver is to protect the child/vulnerable adult in the immediate future.

During the investigation a caseworker:

- Checks for other reports of abuse/neglect/exploitation;
- Talks face-to-face with the child/vulnerable adult involved;
- Checks the child/vulnerable adult for injuries or signs of abuse/neglect/exploitation;

- Checks the child/vulnerable adult's home and where the alleged abuse/neglect/exploitation took place;
- Talks face-to-face with the child's parents or with the vulnerable adult and their caregiver;
- Talks with any other person who may have abused/neglected/exploited the child/vulnerable adult;
- And talk with anyone else who may have information pertaining to the allegation.

Sometimes the caseworker may also:

- Talk with other people who know about the child/vulnerable adult's care, such as doctors, teachers, other relatives, etc;
- Talk to and observe other children/vulnerable adults in the home;
- Arrange for a medical or psychological examination of the child/vulnerable adult if appropriate.

After the caseworker is satisfied from the information learned through the investigation the caseworker will determine if the allegations are "Substantiated" or "Unsubstantiated."

If the report is "Substantiated", the name of the person who abused the child/vulnerable adult will be entered on the Wyoming Central Registry of Child/Vulnerable Adult Abuse and Neglect.

Substantiated investigations are also referred to the county/district attorney for possible legal action. For a vulnerable adult substantiation licensing agencies will be notified.

If the report is determined "Unsubstantiated," this means there was not sufficient information regarding the allegation to confirm abuse/neglect/exploitation based on the state's legal criteria. Some cases are classified as unsubstantiated and voluntary services are provided to the child/vulnerable adult, their families and/or caregivers.

What is an Assessment?

The assessment is a process to determine whether there are safety issues to be addressed and to provide services and strategies to help the child/vulnerable adult maximize his or their ability to resolve and avoid future risks.

What are Preventive Services?

Preventive services may be made available even though there appears to be no abuse/neglect/exploitation.

APPENDIX – E

Established 10/2021; 8/2024

CODE OF CONDUCT

As an Align Services employee, volunteer, or representative, I shall promote person-centered supports, integrity and responsibility, confidentiality, relationships, equity, self-determination, and promote physical and emotional well-being for the people I serve. Furthermore, I shall:

1. Promote and practice the vision, mission, and values of Align Services, and be an integral part of achieving company goals.
2. Commit to person-centered supports as best practice. Focus first on the person and understand that my role as a provider will require flexibility, creativity, and commitment.
3. Honor the personality, preferences, culture, and gifts of people who cannot speak by seeking other ways of understanding them. Recognize that each person is capable of directing their own life and assist them in doing so.
4. Understand and respect the values of the people I support and facilitate their expression of choices related to those values.
5. Recognize each person I support as valuable and promote their value to our communities.
6. Seek to understand the people I support in the context of their personal history, social and family networks, culture, and hopes and dreams for the future.
7. Promote the emotional, physical, and personal well-being of the people I support.
8. Be vigilant in identifying and reporting any situation in which the people I support are at risk of abuse, neglect, exploitation, or harm.
9. Address challenging behaviors proactively and respectfully, understanding that behavior is a means of communication and trying to better understand its purpose.
10. Develop a respectful relationship with the people I support that is based on mutual trust and maintains professional boundaries.
11. Affirm the human and civil rights and responsibilities of the people I support. Facilitate the expression and understanding of one's rights and responsibilities with the people I support.
12. Safeguard and respect the confidentiality and privacy of the people I support, recognizing that confidentiality agreements are subject to laws and regulations at the federal and state levels.
13. Separate my personal beliefs and expectations, and support people based on their personal preferences. Be aware of my own values and how they influence my professional decisions.
14. Assume responsibility and accountability for my decisions and actions.
15. Actively seek advice and guidance on ethical issues from others, as needed, to inform ethical decision-making. This includes refraining from acting and signing as a witness to legal documents or contracts without prior approval from the Executive Director.
16. Recognize the importance of modeling valued behaviors to co-workers, people I support, and the community at-large.

17. Practice responsible work habits including honoring Align's conflict of interest policy and disclosing any financial, business, or personal concerns.
18. Uphold the merit of Align's reputation, conducting business in a professional, collaborative, and respectful manner even in difficult situations. Business will be conducted in accordance with all applicable laws, regulations, and Align's value statement.
19. Stay up to date on issues emerging issues, promoting decisions that are in the best interest of the populations we support.
20. When able, be involved in community boards, councils, and groups that advocate for the populations we support.
21. Disclose any violation of this code of conduct to the appropriate level of leadership. Align prohibits any retaliation against anyone disclosing a breach of this code or any policy of Align Services.

The Executive Director will address any reports within 10 business days. Violation of this code of conduct may result in corrective actions, including, but not limited to, warnings, suspension of privileges, or termination from the company, depending on the severity and recurrence of the offense.

By adhering to this code of conduct, we can create a supportive and inclusive community where everyone can thrive and contribute to our collective success.

I have read and agree to abide by the Align Services, LLC employee manual, 8/2024.

Employee Signature:

Date: _____