

Version 1-2021
As of March 2021



Autism Society of Indiana Employee Manual

Per the Indiana Bureau of Developmental Disability Services (BDDS) policy **460 0228 021**, the Autism Society of Indiana (ASI) will maintain a written personnel policy and procedures manual. Upon receipt of the manual, employees must provide a signature to document receipt of manual. ASI will distribute changes to the manual in a timely manner. ASI will review the entire manual annually and submit any proposed changes for approval by the Board of Directors or Executive Committee.

The policies and procedures included are designed solely to summarize our personnel expectations at the time of this printing. This information may be amended at any time. The policy and procedures manual that will be specific to your department will expand on some of the policies and procedures found here and will be more tailored to each program at ASI.

The contents do not constitute the terms of a contract of employment. Nothing should be construed as a guarantee of employment. Employment at the Autism Society of Indiana (ASI) is an “at-will” basis. This means that the employment relationship may be terminated at any time by either the employee or employer for any reason not expressly prohibited by law

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ASI MISSION, VISION, AND VALUES

Our Mission: *The Autism Society of Indiana (ASI) exists to ensure that every individual and every family affected by autism in the State of Indiana receives the high-quality services they deserve.*

Our Vision: *To make our services more readily available in 5 new areas of the state over the next 5 years.*

Our Values: *ASI is dedicated to ensuring that every program, service, or support provided to our community is Person-Centered, and focused on Personal Outcome Measures (POM). Specifically, all of our work is done based on the following core values:*

1. Each person with autism is unique, and should be treated as such.
2. Every person with autism should have the same opportunities as any other person.
3. People with autism should have choices and control over their lives.

Our Guiding Principles are the foundation of our beliefs, shared values, and guide how we conduct ourselves in pursuing our mission. ASI is committed to the following:

- We provide services without regard to a person's age, race, religion, sexual orientation, gender identity, income level, gender and other disabilities or level of need on the autism spectrum.
- We provide families, professionals and individuals with autism with opportunities to participate in our governance, on our committees, and as staff members
- We partner with others to advance the well-being of all living with autism.
- We promote individual choice and self-determination of individuals living with autism, aided by parental and guardian advocacy, when such advocacy is appropriate.
- We recognize a person living with autism can and should be able to maximize their quality of life and oppose any denial of their opportunities.
- We oppose any discrimination and harm directed towards individuals living with autism and their families.
- We are transparent, responsible and accountable to those we serve, those who support us, and the general community in our stewardship of funds.
- We assure the confidentiality of our services – and adhere to required confidentiality laws and regulations pertaining to such services.
- We strive to ensure our programs, services, and decisions are outcome-driven.
- We maintain independence from political partisanship and commercial interests.
- We support data and evidence-based analyses of options informed by broad knowledge of educational, research, clinical, government, business and program services experience.
- We support an options policy and provide information on options so individuals can exercise freedom of choice in their decision making.

PARTICIPANT BILL OF RIGHTS

Individuals receiving services and supports from ASI have the right to:

1. Be free from verbal, physical, and psychological abuse and to be treated with dignity.
2. Receive considerate and respectful care at all time, and to have your property treated with respect.
3. Participate in the development of plans, receive an explanation of proposed services, changes in services, and alternative available services.
4. Privacy and confidentiality about your health, social and financial circumstances and what takes place at your home.
5. Know that all communications and records will be treated confidentially and that no information will be given out per ASI policies.
6. Expect that ASI staff, within the limits set by the care plans, will respond in good faith to the client's requests.
7. Choose your provider of services and be informed of that right.
8. Temporarily suspend, permanently terminate, temporarily add or permanently add services in the service plan.
9. File a grievance regarding services furnished or regarding the lack of respect for property by ASI or its staff, and you will not be subject to discrimination or reprisal for filing a grievance.
10. Receive information about ASI's policies and procedures including charges for the service we provide, qualifications and supervision of personnel, hours of operation, and discontinuation of service, and to request new provider.
11. Obtain, on written request, the names and address of all persons having at least a 5% ownership or controlling interest in ASI.

To file a grievance, contact the Executive Director of ASI by calling (800) 609-8449 x11 or email gboyce@inautism.org. You may also fill out an online grievance on our website that can be found on the "Contact Us" page.

To file a grievance with the Family and Social Services Agency, complaints can be filed vial email at BQIS.Help@fssa.in.gov or through the BQIS toll free phone number (866) 296-8322

- We support an options policy and provide information on options so individuals can exercise freedom of choice in their decision making.

EXECUTIVE DIRECTOR'S LETTER

To: All Program Directors and ASI Staff
Re: Supervisory Policies

This Manual has been prepared as a guide and reference for members of management at all levels of Management responsibility. The Manual has the approval of the Board of Directors and top management.

We believe that it is in the best interest of the organization and our employees to have written personnel policies to help ASI meet our mission statement, to prevent misunderstandings and problems, and to ensure that all employees know what is expected of them. It is essential that all members of management understand the role of these policies in meeting the organization's objectives and in limiting our legal exposure.

Any policy, however, is only as good as its implementation. Program Directors who are in direct contact with, and responsible for, a group of employees are essential to effective policy implementation. You are the individuals who must translate these ideas and principles into action. We depend upon you for the successful development of a productive, legal, and harmonious working environment for our employees.

Accordingly, I request that you thoroughly familiarize yourself with the contents of this Manual so that all personnel policies of the organization may be administered appropriately.



Greg Boyce
Executive Director
Autism Society of Indiana

FUNCTIONS OF THIS MANUAL

It is the policy of ASI that this manual should be used as an outline of the basic personnel policies, practices, and procedures for the organization and the services provided. The manual is not intended to alter the employment-at-will relationship in any way. (*See Employment-At-Will*)

This Manual contains general statements of ASI policy and should not be read as including all of the details of each policy. In addition, this Manual should not be interpreted as forming an express or implied contract or promise that the policies discussed in it will be applied in all cases. ASI may add to the policies in the Manual or revoke or modify them from time to time. It will try to keep the Manual current, but there may be times when policy will change before this material can be revised.

The Executive Director and the ASI Board of Directors has been established to review and authorize changes in ASI's personnel policies. Program Directors are encouraged to recommend changes or new policies. The Executive Director or designated staff is responsible for disseminating new policy information.

Program Directors should refer to the Manual whenever questions of policy interpretation or implementation arise. However, they should exercise caution in copying materials or showing the Manual to employees. Issues needing clarification should be referred to the Executive Director.

As used in the Manual:

- a. The masculine gender should be interpreted to include the feminine gender;
- b. "Program Directors" means an individual with the authority to assign, direct, and review the work of one or more subordinates; and
- c. "Immediate family" means the employee's spouse, brother, sister, parent, child, stepchild, father-in-law, mother-in-law, sister-in-law, brother-in-law, daughter-in-law, son-in-law, and any other member of the employee's household.

All Manuals are ASI property and are assigned to the job position and not to the individual

HUMAN RESOURCES

It is the policy of ASI that the Human Resources functions are overseen by the Executive Director or designated employee.

Human Resources includes the following:

- (1) Planning and formulating general personnel policies, including workforce planning;
- (2) Overseeing compliance with all federal, state, and local employment laws and regulations
- (3) Overseeing recruiting, interviewing, testing, selection, placement, and orientation of new employees
- (4) Implementing special education, counseling, training, and development programs

- (5) Coordinating the appraisal, transfer, promotion, layoff, recall, demotion, and termination of employees
- (6) Administering compensation programs for both exempt and nonexempt employees
- (7) Administering employee benefit plans and programs and the disclosure of information concerning benefits to employees
- (8) Implementing appropriate disciplinary and grievance procedures and ensuring that those policies or procedures do not alter the employment-at-will relationship or constitute a contract or promise that those policies or procedures will be followed in every case
- (9) Maintaining personnel records and evaluating personnel programs and policies

JOB / POSITION EVALUATION

It is the policy of ASI to evaluate all jobs in order to establish a consistent basis for measuring and ranking the relative worth of each job.

The Executive Director is responsible for developing and administering the job evaluation program.

- (1) Written job descriptions should be prepared and updated routinely for each position in ASI. Each job then should be evaluated and ranked using a standardized rating system that measures the job content and worth of the job in the external marketplace.
- (2) All existing jobs are to be assigned a grade or classification based on their relative worth as determined by the evaluation.
- (3) Each grade or classification has a salary range assigned to it and provides for a spread from a minimum to a maximum rate. Employee compensation within any labor grade or classification is based on factors such as merit, experience, individual productivity, length of service, and external market factors.
- (4) The Executive Director should evaluate all new positions and periodically review all job descriptions and evaluations to assure that they accurately reflect current conditions and job requirements. Employees may request a job reevaluation or an adjustment to grades or classifications.

OUTSIDE EMPLOYMENT

It is the policy of ASI to allow its employees to engage in outside work or hold other jobs, subject to certain restrictions as outlined below.

All employees, including part-time employees, must obtain prior approval from the Executive Director before undertaking any outside employment or other work activity. Officers and certain designated Program Directors, professionals, and technical experts are expected to devote all of their working energies to the performance of their duties at ASI and, therefore, may not be eligible to accept paid outside positions.

Employee requests for permission to accept outside employment, including self-employment, should be submitted in writing. The request should include any pertinent information about the outside employer, the nature of the job, the hours of employment, and potential conflicts with the primary job. The Director should then forward the request to the Human Resources Department, recommending either approval or disapproval. The Human Resources Department will make the final decision.

In evaluating requests for outside work, Program Directors and the Human Resources Department will consider whether the proposed employment:

- a. May reduce the employee's efficiency in working for ASI;
- b. Involves working for an organization that competes with ASI or does a significant amount of business with ASI, such as major contractors, suppliers, and consumers; or
- c. May adversely affect ASI's image.

Employees who have accepted outside employment may not use paid sick or personal absence time to work on the outside job. Fraudulent use of sick or personal absences will result in disciplinary action. However, an employee on a leave of absence may continue to work in the outside job if this employment has been approved by ASI under this policy and the employee's reason for leave does not preclude the outside employment.

PERSONNEL POLICIES

It is the policy of ASI to attempt to implement effective personnel policies and to require all employees to support the organization's best interests.

ASI is committed to a mutually rewarding and direct relationship with its employees without the intervention of outside groups, such as unions. Thus, ASI attempts to:

- a. Provide equal employment opportunity and treatment regardless of race, religion, color, sex, sexual orientation, gender identity, age, national origin, disability, or military status, or genetic information.
- b. Provide compensation and benefits commensurate with the work performed
- c. Establish reasonable hours of work based on ASI's production and service needs
- d. Monitor and comply with applicable federal, state, and local laws and regulations concerning employee safety
- e. Offer training opportunities for those whose talents or needs justify the training enforce workplace policies in such a manner that it does not interfere with, restrain, or prevent employees from engaging in concerted activities, such as activities regarding wages, hours, or other terms and conditions of employment protected under the National Labor Relations Act; employees have the right to engage in or refrain from such activities;
- f. Be receptive to constructive suggestions about job duties, working conditions, or personnel policies, and

- g. Establish appropriate means for employees to discuss matters of concern with their immediate Director.
- (2) ASI, as part of its commitment to provide consumers with excellent products and services and to create a productive work environment, expects all employees to:
- a. Deal with participants, contractors, volunteers, and suppliers in a professional manner
 - b. Represent ASI in a positive and ethical manner;
 - c. Perform assigned tasks in an efficient manner;
 - d. Be punctual;
 - e. Demonstrate a considerate, friendly, and constructive attitude toward fellow employees; and
 - f. Follow the policies adopted by ASI.
- (3) ASI retains the sole discretion to exercise all Directorial functions, including the rights to:
- a. Dismiss, assign, supervise, and discipline employees;
 - b. Determine and change starting times, quitting times, and shifts;
 - c. Transfer employees within departments or into other departments and other classifications;
 - d. Determine and change the size and qualifications of the workforce;
 - e. Determine and change methods by which its operations are to be carried out;
 - f. Determine and change the nature, location, goods produced, services rendered, quantity, and continued operation of the business; and
 - g. Assign duties to employees in accordance with ASI's needs and requirements and to carry out all ordinary administrative and management functions.
- (4) Employment is on an at-will basis, so that either ASI or the employees may end the relationship at any time and without cause or prior notice. Nothing in this manual changes the employment-at-will relationship or creates an express or implied contract or promise concerning ASI's policies or practices, including policies or practices it will implement in the future. Accordingly, ASI retains the right to establish, change, and abolish its policies, practices, rules, and regulations at will and as it sees fit.

EMPLOYMENT-AT-WILL

It is the policy of ASI that all employees who do not have a written employment contract with ASI for a specific, fixed term of employment are employed at the will of ASI for an indefinite period.

- (1) Employees who do not have an individualized written employment contract or a collective bargaining agreement are employed at the will of ASI and are subject to termination at any time, for any reason, with or without cause or notice. At the same time, these employees may terminate their employment at any time and for any reason.
- (2) No ASI representative is authorized to modify this policy for any employee or to enter into any agreement, oral or written that changes the at-will relationship. Management personnel should not make any representations to employees or applicants concerning the terms or conditions of

employment with ASI that are not consistent with ASI policies. No statements made in pre-hire interviews or discussions, or in recruiting materials of any kind, alter the at-will nature of employment or imply that discharge will occur only “for cause.”

- (3) This policy may not be modified by any statements contained in this Manual or any other employee handbooks, employment applications, ASI recruiting materials, ASI memoranda, or other materials provided to applicants and employees in connection with their employment. None of these documents, whether singly or combined, create an express or implied contract of employment for a definite period, or an express or implied contract concerning any terms or conditions of employment. Similarly, ASI policies and practices with respect to any matter should not be considered as creating any contractual obligation on ASI’s part or as stating in any way that termination will occur only “for cause.” Statements of specific grounds for termination set forth in this Manual or in any other ASI documents are examples only, not all-inclusive lists, and are not intended to restrict ASI’s right to terminate at-will.
- (4) At the time of hiring, employees are required to sign a written statement acknowledging that they are employed at the will of ASI and are subject to termination at any time, for any reason, with or without notice, and with or without cause.
- (5) Completion of an introductory period or attainment of regular status does not change an employee’s status as an at-will employee or in any way restrict ASI’s right to terminate the employee or change the terms or conditions of employment.

HIRING

It is the policy of ASI to be an equal opportunity employer and to hire individuals on the basis of their qualifications and ability to do the job to be filled. Unless otherwise provided in writing, employment with ASI is considered to be at will, so that either party may terminate the relationship at any time and for any lawful reason.

Program Directors who need to fill a job opening or want to add a new job position should get prior approval from the Executive Director. All requisitions will be reviewed, but those for new job positions will be evaluated in greater detail before being approved.

Current ASI employees will be able to apply for a job opening, and will be considered prior to any outside candidate. Employees must go through the same application and interview process as any other applicant.

If candidates from outside ASI are to be considered for job openings, the Program Director will be responsible for recruiting the candidates and should use the recruitment methods and sources they considers appropriate to fill the openings.

During the recruitment, hiring, and orientation process, no statement should be made promising permanent or guaranteed employment; and no document should be called a contract unless, in fact, a written employment agreement is to be used.

All employees of ASI should be aware that employment with ASI is at will and should not make any representations otherwise. Any candidate for employment must fill out and sign an employment application form in order to be considered for hiring. Upon completion of the application, the candidate becomes an applicant for purposes of ASI recordkeeping.

To be employed by ASI in a direct service position, an individual must:

- Be at least 18 years of age.
- Have a signed and dated statement from the health department or other entity authorized to screen for TB, and have proof of a negative TB screening dated no more than two weeks prior to the employee providing services for all employees/agents including administrative and clerical staff. In the case of pregnancy, a health screening signed by a licensed medical professional will be accepted.
- Have a record of current CPR/First Aid certification by any of the following:
 - American Red Cross
 - American Heart Association
 - National Safety Council
 - American Health and Safety Institute
 - Emergency Care and Safety Council

The Program Director has the responsibility to determine whether an applicant has the technical qualifications for the open position and meets the other job-related criteria necessary to perform the job.

The recommendation whether to hire the applicant may be made by the Director, but must have the approval of the Executive Director or the ASI Board of Directors.

Following a decision to hire the applicant, the Executive Director will make an offer of employment, which should include any necessary contingencies or disclaimers. The Human Resources Department then will determine whether the applicant has the legal right to work in the United States and, where appropriate, will conduct credit, personal reference, driving record, nurse registry, and criminal conviction checks.

A prior conviction, taken by itself, will not necessarily disqualify an applicant. If the applicant accepts the offer and a medical examination is required, the Human Resources Department should arrange it.

If the background, medical, or any other subsequent investigation discloses any misrepresentation on the application form or information indicating that the individual is not suited for employment with ASI, the applicant will be refused employment or, if already employed, may be terminated.

The Program Director is responsible for orientation of new employees and the processing of their employment forms; the Director is responsible for any necessary job training. Additional ASI staff may be brought into the orientation as needed.

Members of a participant's immediate family may be considered for employment by ASI based on the policies of the program, including but not limited to: Medicaid, HCBS Medicaid Waiver, Social Security / Ticket to Work, and Contracts, Funders, and Indiana State Contracts.

A member of an employee's immediate family will be considered for employment by ASI if the applicant possesses all the qualifications for employment. An immediate family member may not be hired, however, if the employment would:

- a. Create either a direct or indirect Director/subordinate relationship with a family member; or
- b. Create either an actual conflict of interest or the appearance of a conflict of interest.

These criteria also will be considered when assigning, transferring, or promoting an employee. For purposes of this policy, "immediate family" includes: the employee's spouse, brother, sister, parents, children, stepchildren, father-in-law, mother-in-law, sister-in-law, brother-in-law, daughter-in-law, son-in-law, and any other member of the employee's household.

Employees who marry or become members of the same household may continue employment as long as there is not:

- a. A direct or indirect Director/subordinate relationship between the employees; or
- b. An actual conflict of interest or the appearance of a conflict of interest.

Should one of the above situations occur, ASI will attempt to find a suitable position within ASI to which one of the affected employees may transfer. If accommodations of this nature are not feasible, the employees will be permitted to determine which of them will resign.

EQUAL OPPORTUNITY EMPLOYMENT

It is the policy of ASI to provide equal opportunity in employment to all employees and applicants for employment. No person will be discriminated against in employment because of race, religion, color, sex, sexual orientation, **gender identity**, age, national origin, disability, military status, or any other characteristic protected by applicable federal or state law.

This policy applies to all terms, conditions, and privileges of employment and all policies of ASI.

- (1) ASI, if required by law, will establish a written affirmative action program to achieve prompt and full utilization at all levels and in all segments of the workforce of minorities, the disabled, certain veterans, and women. The results of the program should be reviewed annually and modified as necessary to achieve its objectives.
- (2) The Executive Director on matters relating to this policy, is responsible for formulating, implementing, coordinating, and monitoring all efforts in the area of equal employment opportunity including, but not limited to:
 - a. Assisting management in collecting and analyzing employment data;
 - b. Developing policies, required affirmative action programs, and recruitment techniques designed to comply with the equal employment policies of ASI;
 - c. Complying with federal and state statutory recordkeeping and notice requirements of employment-related statutes and regulations;
 - d. Preparing, if required by state or federal law, an annual review and summary of ASI's affirmative action programs and submitting the results achieved under these programs to the Executive Director;

- e. Assisting Directorial personnel in arriving at solutions to specific personnel problems;
 - f. Serving as liaison between ASI and government agencies, equal employment opportunity organizations, and other community groups; and
 - g. Keeping management informed of the latest equal employment opportunity developments.
- (3) Any communication from an applicant for employment, an employee, a government agency, or an attorney concerning any equal employment opportunity matter should be referred to the Human Resources Ally.
- (4) While overall authority for implementing this policy is assigned to the Executive Director, an effective equal employment opportunity program cannot be achieved without the support of personnel and employees at all levels. Any employees who believe they have suffered from discrimination should report this concern to their Director or to the Executive Director.

Complaints of discrimination will be handled and investigated under ASI's dispute resolution policy), unless special procedures are considered appropriate. All complaints of discrimination will be investigated promptly and in as impartial and confidential a manner as possible and a timely resolution of each complaint should be reached and communicated to the parties involved. ASI prohibits any form of retaliation against employees for bringing good faith complaints or providing information about discrimination.

Affirmative Action

ASI is taking affirmative action as required by law to employ and advance in employment qualified disabled veterans and veterans of the Vietnam era, qualified disabled individuals, and qualified minorities and women.

Former Employees

Former employees who left ASI in good standing may be considered for reemployment. Former employees who resigned without written notice or who were dismissed for disciplinary reasons may not be considered for reemployment. (See TERMINATION OF EMPLOYMENT.)

A former employee who is reemployed will be considered a new employee from the date of reemployment unless the break in service is less than thirty days, in which case the employee will retain accumulated seniority. Length of service for the purposes of benefits is governed by the terms of each benefit plan. (See DISCLOSURE OF BENEFITS.)

Hours of Work

It is the policy of ASI to establish the time and duration of working hours as required by work load and production flow, participant service needs, the efficient management of human resources, and any applicable law. Hours of work must be entered into time reporting system before the end of the pay period. Any alterations to the pay records after this time will not be tolerated, and may result in disciplinary proceedings or termination of employment.

1. The normal workweek begins Sunday at midnight and ends at midnight on Saturday, and consists of 40 worked hours.
2. The normal workday will consist of eight hours of work with an unpaid meal period. The workday generally begins at 9:00a.m. unless there is prior agreement by the Director.
3. Employees who frequently arrive later than the start of the work day may be subject to disciplinary actions or termination.
4. Breaks of over 20 minutes will not be considered time worked, and therefore must not be counted as such on the time report.
5. Each Director will determine the schedule of hours for employees. The Director will inform employees of their daily schedule of hours of work, including meal periods and rest or coffee breaks, and of any changes that are considered necessary or desirable by ASI.
6. Program Directors may schedule overtime or extra shifts. Program Directors will assign overtime to nonexempt employees (those employees who are subject to the minimum wage and overtime provisions of the Fair Labor Standards Act) as needed.
7. Employees are not permitted to work overtime without the express prior approval of their Director. For the purposes of overtime compensation, only hours worked in excess of forty during a workweek will be counted.
8. Employee attendance at lectures, meetings, and training programs will be considered hours of work, and therefore will be compensated time, but only if attendance is required by management.
9. All employees, regardless of exemption status, are required to complete an individual time record showing the daily hours worked. Time records cover one workweek and should be completed by the close of each workday. The following points should be considered in filling out time records:
 - a. Employees should record their total hours worked for each workday;
 - b. Employee time records should be checked by the Director involved.
 - c. PTO and paid holiday hours should be recorded in the time reporting system. PTO hours must be accompanied by Directorial authorization.
10. Unapproved absences should will not be considered as hours worked for pay purposes. Program Directors should inform employees if they will not be paid for certain hours of absence.
11. Filling out or changing another employee's time record or falsifying any time record is prohibited and may be grounds for disciplinary action, up to and including termination.

For more information on the Fair Labor Standards Act, refer to: www.dol.gov/whd/flsa

Employee Remote Work Policy and Agreement

This policy outlines guidelines for employees who work from a location other than the ASI offices. We want to ensure that both employees and ASI will benefit from these arrangements. All remote work must receive prior approval from the Executive Director. Not all positions are appropriate or feasible for remote work.

Employees may work remotely on a permanent or temporary basis, at the discretion of the Executive Director, depending on the organization's needs. Remote workers may be required to meet in person for regular weekly meetings if located within 30 miles of the central office. Specific remote employees may be required to temporarily or permanently report to an office, with two weeks' notice, if deemed necessary for any reason by the board of directors and/or the Executive Director.

Remote work employees should indicate their primary working address in this remote working agreement. In case of transfer or relocation, an employee's remote work capability will be assessed on a case-by-case basis. Remote employees must be located in the state of Indiana.

Remote work does not change the terms and conditions of your employment with the Autism Society of Indiana.

Remote Working that Works

To ensure that employee performance will not suffer in remote work arrangements, we advise our remote employees to:

- Choose a quiet and distraction-free working space
- Have an internet connection that's adequate for their job
- Dedicate their full attention to their job duties during working hours
- Adhere to all meal, rest break and attendance schedules agreed upon with their supervisor and in compliance with state law
- Ensure their schedules overlap with those of their team members for as long as is necessary to complete their job duties effectively

Team members and supervisors are responsible to create a plan to meet long-term and short-term goals. Mandatory meetings with your supervisor are required (either online or in-person when possible) to discuss progress and results.

Compliance with Policies

Our remote employees must follow all Company policies as outlined in ASI HR Employee Manual. The ASI Policy regarding Personal Appearance of Employees should be adhered to in remote working situations when meeting (online or in-person) with team members, participants, donors, or other key stakeholders.

Employee Remote Work Policy and Agreement Time Worked

Full-time Remote Employees are expected to work at least 40 hours per week. If a remote employee does not work 40 hours in a week, they will need to use PTO for the deficit of hours up to 40 hours. Remote workers will follow all ASI PTO policies.

Equipment and Expenses

ASI will provide our full-time remote employees with

- Laptop
- One Talk app or Cell Phone
- CRM Software
- Microsoft Office
- Electronic Health Record keeping software (when appropriate).
- Printer Ink

All other equipment an employee may choose to use including but not limited to the internet, networking, printing, and scanning equipment will be provided by the employee.

Equipment that is provided by ASI is the property of ASI. ASI retains control over the property and reserves the right to monitor ASI property even when used at your remote location. Employees must keep it safe and avoid any misuse. Equipment supplied by ASI is to be used for business purposes only. The remote worker will sign an inventory of all ASI property received and agree to take appropriate action to protect the items from damage or theft. Employees must take proper measures to secure Company information, assets, and systems. If company property assigned to you, is damaged or stolen, you will be held liable for the property. Specifically, employees must:

- Keep their equipment password protected.
- Store equipment in a safe and clean space when not in use.
- Follow all data encryption, protection standards, and settings.
- Refrain from visiting untrustworthy or suspicious sites.
- Only download authorized software with prior approval.
- Keep confidential information in locked file cabinets and desks.

ASI Operations Director will purchase all necessary equipment. Equipment purchased without the ASI Operations Director's approval will not be reimbursable. ASI-owned laptops will have an admin user and employee user (with admin privileges). At no time is an employee permitted to delete the admin user or change the admin user password.

Upon termination of employment, all of ASI's property will be returned to ASI, unless other arrangements have been made.

Acknowledgment of Remote Worker Policy

I have read and understand the attached Employee Remote Work Policy, and agree to the duties, obligations, responsibilities, and conditions for remote workers described in the policy. I understand that I remain subject to all of the Autism Society of Indiana's internal policies including, but not limited to, policies relating to technology, confidential information, harassment, and discrimination prevention and safety policies.

I agree that, among other things, I am responsible for following my remote work schedule, taking proper measures to secure ASI information, assets, and systems, maintaining my workspace in a safe and professional manner, and achieving my job-specific goals.

I understand that the Autism Society of Indiana may at any time change any or all of the conditions under which I am permitted to work remotely or withdraw permission to work remotely.

Autism Society of Indiana has supplied me with the following equipment:

ASI policy relating to properly maintaining office equipment applies. At the end of the employment relationship or termination of this remote work agreement, I agree to immediately return this equipment or reimburse ASI for the value of this equipment. Provided equipment shall be used for work-related activities.

I understand that the ASI may monitor any equipment that is provided to me.

I have reviewed the Employee Remote Work Policy with my supervisor and understand its contents. I understand that this Policy may be altered or terminated at any time.

Employee Signature: _____ Date: _____

Supervisor Signature: _____ Date: _____

Executive Director Signature: _____ Date: _____

Employee Address: _____

INTRODUCTORY / PROBATIONARY PERIOD

It is the policy of ASI that all new employees and all present employees transferred or promoted to a new job should be carefully monitored and evaluated for an initial introductory period. After satisfactory completion of the introductory period, those employees will be evaluated as provided for in the PERFORMANCE APPRAISALS policy.

- (1) Normally, the introductory period should last at least three months. This will be denoted in the employee's offer letter. Program Directors should observe carefully the performance of each employee in a new job position. Where appropriate, weaknesses in performance, behavior, or development should be brought to the employee's attention for correction.
- (2) Program Directors should prepare a written evaluation of the employee's job performance by the end of the first three months on the new job. (See PERFORMANCE APPRAISALS). The evaluation should include a recommendation as to whether the employee should continue in the position. Copies of the evaluation should be forwarded to the Executive Director or designated staff for inclusion in the employee's personnel file.
- (3) Employees generally will be allowed to continue in their new positions if they are given both a satisfactory evaluation by the end of their initial three-month employment period and their Director's endorsement to continue in the job. Employees who do not receive a satisfactory evaluation and endorsement may be given additional time in 30-day increments to demonstrate their ability to do the job, if the Director feels additional time is warranted in order to achieve acceptable job performance.
- (4) Program Directors may recommend the termination of a newly hired employee at any time. A recommendation for termination should be submitted in writing to the Executive Director for review and should include an evaluation and a list of actions taken to assist the employee. (See

also TERMINATION OF EMPLOYMENT.) Action to terminate should have the prior approval of the Human Resources Department.

- (5) Newly hired employees generally are not eligible for any employee benefits, except health insurance, until they have received a satisfactory initial evaluation and have been recommended for continued employment.
- (6) At all times, including after successful completion of the introductory period, employment with ASI is considered to be “at-will,” and the employment relationship may be terminated at any time for any lawful reason by either party.

EMPLOYEE SUPERVISION

It is the policy of ASI that the work of all employees will be assigned, directed, and reviewed by Directorial personnel. Employees ordinarily will have only one Director to whom they report.

A primary role of each Program Director is to provide a link between management and non-management employees. Accordingly, Program Directors are expected to communicate the goals and policies of management to the employees they supervise. They also are expected to communicate to management the attitudes, suggestions, and complaints of their employees.

In addition to mastering the technical skills needed in their work unit, Program Directors should be able to lead and motivate their employees to do their best work. Thus, Program Directors should attempt to:

- a. Treat employees as individuals;
- b. Give recognition for good performance and provide guidance when improvement is needed;
- c. Explain in advance when and why changes are necessary;
- d. Recommend employees with growth potential for promotion, even if it means losing them to other work units;
- e. Explain the reasons for decisions to employees;
- f. Set work goals and standards for employees;
- g. Create a feeling of teamwork among employees; and
- h. Set good examples by holding themselves to the standards of conduct and performance that they demand of their employees.

Program Directors are responsible for ensuring that management’s goals for employee conduct and performance are achieved and that the personnel policies established by this Manual are implemented. Therefore, Program Directors’ duties include:

- i. Recommending the hiring of personnel and overseeing special job training (see HIRING; and ORIENTATION AND TRAINING);
- j. Keeping employees informed about their work assignments, work progress, and opportunities for advancement

- k. Evaluating the performance of introductory employees, regular employees, and employees who are being considered for termination (see INTRODUCTORY PERIOD; PERFORMANCE APPRAISALS; and TERMINATION OF EMPLOYMENT);
- l. Recommending salary adjustments, promotions, transfers, and termination of employees (see SALARY ADMINISTRATION; PROMOTION; TRANSFER; and TERMINATION OF EMPLOYMENT);
- m. Scheduling PTOs and lunch and rest breaks
- n. Approving meal allowances and reimbursement of employee expenses
- o. Controlling absenteeism and tardiness and approving requests for time off
- p. Verifying employee time cards and scheduling overtime when
- q. Recommending job elimination when appropriate
- r. Complying with applicable federal and state laws and regulations, including those concerning nondiscrimination, sexual harassment, and employee safety
- s. Maintaining neat and orderly work areas
- t. Implementing suggestion, disciplinary, and problem review procedures and
- u. Ensuring that all rules and regulations are observed by employees.

The activities described in this policy are only guidelines and should not be considered as creating a contract or promise, express or implied, to employees that Program Directors will in each case perform any or all of the activities or that those activities will be performed the same way in each case.

ORIENTATION AND TRAINING

It is the policy of ASI to provide orientation programs for new employees and to conduct or support training programs that it determines to be appropriate.

ASI Management is responsible for the overall development and coordination of the orientation program and for implementing the portions that cover corporate history, philosophy, policies, benefits, and new employee files and documentation. Each Director is responsible for orientation as it applies to introducing the new employee to the specific job and department and may select a coworker to serve as a sponsor to facilitate the new employee's transition.

ASI is not required to pay employees for time spent at training programs, lectures or similar activities if they meet one of the four following criteria:

- The event is outside of normal hours
- It's voluntary
- It's not job related
- No work is performed during that time

Program Directors are responsible for recommending employees for special training programs, for providing on-the-job training, and for arranging outside trainers. In addition, ASI, to the extent feasible, will maintain a library of self-instructional programs and materials for employee use. Training will normally be conducted during regular working hours and considered paid working time for nonexempt employees.

Program Directors may approve employee participation in continuing education and training programs when that instruction is regarded as beneficial or considered necessary for satisfactory job performance, and is within program budgetary constraints. In some cases, employees may be required to enroll in and complete the programs satisfactorily.

The Executive Director must approve and coordinate, upon recommendation of the appropriate Director, employee participation in external and in-house programs dealing with professional, or management development; cost reduction; quality improvement; and compliance with government regulations.

ASI may consider the feasibility of sponsoring or conducting special programs for groups of employees when continuing education and in-service programs are required for licensing or for recertification of a license. Under those circumstances, it will apply for approval by the licensing authority and will attempt to comply with all requirements established by that authority. However, it may at its discretion cancel, modify, or withdraw from any certification or program.

ASI may provide special training programs explaining its antidiscrimination and harassment policies and for safety and health matters, when considered necessary or as required by government regulation.

ASI-sponsored or -conducted orientation and training programs may be reviewed periodically to evaluate the quality of the instruction, the content, and the results. The Human Resources Department or an outside organization will administer the evaluation, which may involve the testing of participants.

Employees may receive certificates of completion for successfully finishing ASI-approved or -sponsored training and educational programs. The Human Resources Department will maintain records of all training programs completed by each employee.

EMPLOYEE CLASSIFICATIONS

In accordance with the Fair Labor Standards Act (FLSA), employees will be classified as either exempt or non-exempt, and may be paid as hourly or salaried employees.

The Executive Director is responsible for classifying employees. Any changes to status will be recorded in the employee's personnel file.

A "work-week" is defined as work performed starting Sunday midnight and ending Saturday midnight.

Exempt Employees:

An exempt employee is full-time salaried, and is exempt from the provisions of the FLSA. Exempt employees are not entitled to overtime payments. If an exempt employee works on a weekend, they will not receive a day off. Exempt employees are expected to work as duty calls.

Non-exempt Employees:

Non-exempt employees may be either full-time hourly, full-time salary, part-time hourly, part-time salary, or temporary.

Full-time Employees:

Full-time employees are expected to work a 30-hour work week. Full-time employees may be paid hourly or salary. Full-time employees may be classified as either exempt or non-exempt. Full-time employees may not “make-up” hours from one week to the next.

Part-time Employees:

Part-time employees work works less than a 30-hour workweek. A part-time employee may be classified as either exempt or nonexempt.

Temporary Employees:

A temporary employee generally is an individual who is hired either part-time or full-time for a specified, limited period. A temporary employee may be classified as either exempt or nonexempt.

Temporary and part-time positions generally will be filled as follows:

- The head of the department with the need will attempt to fill the position by transfers from within the department.
- If it is necessary to hire temporary or part-time employees from outside ASI, the procedures contained in HIRING, should be used.
- ASI may use students and other similar applicants for flexible staffing purposes, as allowed by law. Minor applicants generally will be required to provide a certificate of age. The Human Resources Department will handle the assignment of students to special temporary or part-time jobs that are part of training programs.

Salaried Employees:

An employee is paid on a salary basis if the following conditions are met:

1. The employee regularly receives a predetermined amount each pay period on a weekly basis, which makes up all or part of the employee’s compensation.
2. The amount the employee earns must not be reduced because of variations in the quantity or quality of work the employee performs.
3. The employee must receive the full salary for any week in which the employee performs any work, without regard to the number of days or hours worked.
4. The employee will not be paid for any work week in which the employee performs no work.

All employees, regardless of classification, generally are considered to be employed “at will” and may quit or be terminated at any time and for any lawful reason.

Other flexible staffing classifications or arrangements may be added as needed.

DISCLOSURE OF BENEFITS

It is the policy of ASI to provide its employees with various benefits. Information and summaries intended to explain these benefits will be furnished to participants on a timely and continuing basis.

ASI provides a number of benefits such as paid Personal Time Off (PTO), paid holidays, and flexible work schedules.

EMPLOYEE COUNSELING

ASI recognizes that personal difficulties can adversely affect job performance. Accordingly, employees experiencing personal problems are encouraged to seek assistance from their Director or from the Executive Director.

Program Directors should be alert to the signs of personal problems among their employees. Indications of personal problems include excessive absenteeism, changes in employee behavior and attitude, and substandard job performance.

Program Directors, where appropriate, should try to communicate with employees who seem to be experiencing problems. Depending on the circumstances, the Director should proceed as follows:

- If an employee's problem does not lend itself to an easy solution, or seems to require professional counseling, the Director should refer the employee to the Human Resources Department. Executive Director will discuss the problem with the employee and arrange for the counseling services that seem appropriate.
- If the employee's problem is an unresolved complaint or grievance, the Director should advise the employee of the appropriate steps to be taken in compliance with the Dispute Resolution Procedure.

Employees who need extended treatment may request a leave of absence in accordance with ASI's leave policy.

Employees are required to meet satisfactory standards of job performance. Performance appraisals are to be based on factors related to job performance, regardless of whether an employee seeks counseling. In certain circumstances, however, ASI may require an employee to participate in counseling as a condition of continued employment.

Communications between employees, Program Directors, Management, and professional counselors or agencies as a result of this policy are to be confidential, except as necessary to protect the safety of the employee or others or to protect the security of ASI property.

PAY PROCEDURES

It is the policy of ASI to pay by check or direct deposit on a regular basis and in a manner so that the amount, method, and timing of wage payments comply with any applicable laws or regulations.

- (1) Time must be reported accurately in the time reporting system per the payroll schedule. If time is not reported by the cut-off date, that time will not be included in that pay-period. A late time report form must be submitted to the Operation Director in order to justify the pay for unreported hours.
- (2) If time is incorrectly reported, resulting in either overpayment or underpayment, this will be adjusted on the next payroll run.
- (3) Employees who discover a mistake in their pay check, lose their pay check, or have it stolen should immediately notify the person responsible for payroll or the Executive Director immediately. In the case of a payroll mistake, the error will be remedied promptly.

In the case of loss or theft, the Human Resources Department will attempt to stop payment on the check and reissue a new one to the employee. However, the employee is solely responsible for the monetary loss, and ASI will not be responsible for the loss or theft of a check if it cannot stop payment on the check.

- (4) Payroll will be bi-weekly.
- (5) Employees may elect to receive payment by direct deposit by providing written authorization and filling out the necessary forms. Direct deposit will remain in effect until revoked in writing by the employee.
- (6) Employees will receive on each payday, in addition to their check or deposit advice, online access to an electronic paycheck showing gross pay, deductions, and net pay. Local, state, federal, and Social Security taxes will be deducted automatically. No other deductions will be made unless required or allowed by law, contract, or employee obligation. Employees may elect to have additional voluntary deductions taken from their pay only if they authorize the deductions in writing.
- (7) Non-exempt will be paid overtime compensation at the rate of one and one-half times their regular hourly rate for work in excess of forty hours during their normal workweek. Non-exempt employees are not permitted to work overtime without the prior approval of their Director. For the purposes of overtime compensation, only hours worked in excess of forty during a workweek will be counted.

Nonexempt employees (those employees subject to the minimum wage and overtime requirements of the Fair Labor Standards Act) will not be compensated for any work time missed because of failure to comply with this policy. Violations of this policy also will result in disciplinary action.

Time spent by nonexempt employees (those covered by the minimum wage and overtime requirements of the Fair Labor Standards Act) traveling away from home on ASI business during normal working hours is considered hours worked for pay purposes.

Failure to comply with this policy may result in disciplinary procedures or termination. (For a more detailed discussion of exempt and nonexempt status.

Employees are encouraged to discuss any questions or concerns regarding their rate of pay and other compensation issues with their Director or with the Executive Director.

SALARY ADMINISTRATION

It is the policy of ASI to pay compensation that is nondiscriminatory and competitive. However, all compensation policy decisions must take into consideration ASI's overall financial condition and competitive position.

The Executive Director is responsible for coordinating the continuing internal review of all compensation and for ensuring that each job is evaluated and assigned a job grade and salary range. This review should determine whether compensation accurately and fairly reflects each individual's responsibilities and performance.

The Executive Director will, when considered appropriate, participate in or conduct compensation surveys covering other employers with similar jobs. This and other available information should be used to help set pay policy and to determine the relative competitive position of ASI's pay structure.

New employees generally will be hired at the starting rate assigned to their job grade. Hiring Program Directors may recommend higher or lower starting rates depending on an applicant's experience or skill level or other competitive considerations. These recommendations should be reviewed and approved before implementation by the Executive Director.

Program Directors are responsible for conducting a compensation review in conjunction with a performance review with each employee at least annually, after reviewing performance with the Executive Director. Compensation decisions generally should be based on performance, length of service, and budget considerations.

Program Directors, when conducting compensation reviews, should show employees the relationship between pay and job performance, length of service, and other significant factors. In addition, Program Directors should make clear that overall compensation includes numerous noncash benefits and that ASI contributes to Social Security and unemployment insurance on each employee's behalf. (See DISCLOSURE OF BENEFITS.)

Employees who are not satisfied with the results of their compensation review or who have questions about ASI's salary administration and benefits program should direct their concern to their Director, or the Executive Director. (See DISPUTE RESOLUTION PROCEDURE.)

HOLIDAYS

It is the policy of ASI to designate and observe certain days each year as holidays. Eligible employees will be given a day off with pay for each holiday observed.

The following are the standard observed holidays: ASI will observe during each calendar year is as follows: New Year's Day, MLK Day, Memorial Day, 4th of July, Labor Day, Thanksgiving Day and Christmas Day. If an employee wishes to take the week between Christmas and New Year's off, they must use accumulated PTO.

Full-time employees are eligible for two (2) inclusion days to be used at their discretion, upon prior approval by the Executive Director. Full-time employees are eligible to receive their regular rate of pay for each observed inclusion day.

Temporary employees, employees that are still within their introductory / probationary period or employees who work less than an average of 20 hours per week are not eligible for holiday pay, unless approved by their Director prior to the holiday.

To receive holiday pay, an employee must be at work or taking an approved absence on the work days immediately preceding and immediately following the day on which the holiday is observed unless the employee has received prior approval from the Executive Director.

An approved absence is a day of Paid Time Off (PTO) if the hours have been accrued. If an employee is absent on one or both of these days because of an illness or injury, ASI may require verification of the reason for the absence before approving holiday pay.

A holiday that occurs on a Saturday will generally be observed the proceeding Friday and if on Sunday generally will be observed by ASI on the following Monday.

If a holiday occurs during an employee's PTO period, the employee will be given an additional paid day off. or pay in lieu of the additional day. If the employee selects an additional day off, it may be taken at the beginning or end of the PTO, or as a "floating" holiday at another time during the year, if approved in advance.

PAID TIME OFF (PTO) and UPAID & VACATIONS

Purpose: To provide greater flexibility for scheduled time away from work to provide each employee an incentive to maintain excellent work history.

Policy Statement: The PTO policy provides eligible employees with an opportunity to use paid time off for vacations, illness, funeral, holidays, family emergencies, unavoidable absences, etc.

Policy Scope: This policy applies to all ASI employees who average 20 hours a week or more (Employee must work 1040 hours a year to accrue PTO). Employees will not start accruing PTO until they are averaging more than 20 hours per week.

Procedure:

PTO: Eligible employees accrue PTO based upon their length of service, PTO accrual rate, regular hours worked and PTO hours used (not to exceed 2,080 hours paid per year). Eligible employees begin accruing PTO immediately. Each pay period, regular hours worked, or for which PTO is used will be used to calculate and employee's accrual of PTO (not to exceed 2080 hours annually). Overtime hours are excluded from the calculation of an employee's accrual of PTO.

PTO accrual starts at the beginning of each calendar year and unused PTO will not carry over.

ASI Accrual Rate

Anniversary Date Years of Service	Accumulation Factor	Maximum Annual Accrual
1-2 Years	.0576924	120 hrs.
3-4 Years	.0769240	160 hrs.
5+ Years	.0961539	200 hrs.

* Subject to a maximum total accrual of ~~240~~ 200 hours.

On separation of employment, regardless of reason, employees will forfeit any unused PTO time.

Using PTO:

Employees not reporting to work for any reason will be required to use accrued PTO for time missed. Before an employee receives FMLA leave or receiving some type of income replacement benefit employee must use all available PTO.

Reasons for using PTO may include: holidays, sick time for the employee or to care for a sick family member, vacation, or personal time off.

PTO must be used in no less than hour increments. PTO will not accrue during times in which you do not receive your regular salary or wage. For example, Leave of Absence, including FMLA, that is unpaid or during which you received some type of income replacement benefit.

Employee cannot use more PTO for a week than their average work week. For example, if an employee averages 20 hours a week, the maximum amount of PTO this employee is permitted to take in a week is 20 hours.

No employee shall be allowed to work and be paid PTO simultaneously.

Eligible employees will be allowed to go in the deficit when using PTO up to the maximum amount of PTO that the employee could accrue in that calendar year (hours worked X accrual rate) PTO will be paid at the employee's base rate of pay. If an employee leaves ASI for any reason and is in the negative with their PTO the employee's final pay will be deducted by the amount of hours the employee is in the negative based on their current hourly rate.

Schedule and Unscheduled PTO

Scheduled PTO should be requested from an employee's supervisor with a minimum of 48 hours (48) notice. Approval of requests for scheduled PTO is at the discretion of the employee's supervisor. No more than 2 employees from any given team may be on PTO concurrently, with the exception of the week between Christmas and New Year's. When approving PTO, consideration will be given to staffing needs and relevant events. If the request for PTO is denied, the employee's supervisor will work with the employee to establish an alternative date. All requests for scheduled PTO should be approved or denied in writing within 24 hours of request. All PTO must be reported to the Operations Director prior to taking scheduled PTO.

There are times that an employee may need to use unscheduled PTO for unanticipated situations. These situations may include illness, taking care of a sick family member, family emergencies, or any unforeseen circumstances that would keep you from being able to work. In such circumstances, it is imperative that the employee call their supervisor as soon as possible to report their absence from work.

Approval for non-paid time off will be considered on an individual basis by the Executive Director. If the employee has accrued PTO hours these hours must be used in lieu of non-paid time off.

PAID PARENTAL LEAVE POLICY

Purpose

This policy describes the Parental Leave benefit that the Autism Society of Indiana (ASI) provides to eligible employees for purposes of bonding with and ensuring the well-being of their newborn or adopted/foster child.

Scope

All ASI employees classified as a full-time or part-time regular employee scheduled to work 20 hours/week will be eligible for this benefit.

Effective Date of Policy

This Paid Parental Leave policy is effective for the birth, adoption or foster care placement of a child/children on or after October 1, 2020.

Definitions

Parent - A birth mother, spouse, domestic partner (opposite or same sex), or an adoptive parent.

Parental Leave – A consecutive period of unpaid leave that does not reduce an eligible employee's balance of other paid company-provided leave such as sick, vacation or personal days for the purpose of bonding with and ensuring the well-being of a newborn or newly adopted child.

Paid Parental Leave - A consecutive period of paid leave that does not reduce an eligible employee's balance of other paid company-provided leave such as sick, vacation or personal days for the purpose of bonding with and ensuring the well-being of a newborn or new child.

Parental Leave Policy

All employees part-time and full-time who are scheduled to work 20 hours a week or more will be extended 6 weeks of unpaid parental leave per birth or adoption of a child/children.

All employees part-time and full-time who are scheduled to work 20 hours a week or more, who have been employed at ASI for one consecutive year, will be extended 6 weeks of paid parental leave per birth or adoption of a child/children.

The fact that a multiple birth, adoption or placement occurs (e.g., the birth of twins or adoption of siblings) does not increase the total amount of Paid Parental Leave granted for that event. In addition, in no case will an employee be eligible for more than 6 weeks of total Paid Parental Leave, as described above, in a rolling 12-month period.

Each week of Paid Parental Leave is compensated at 100% based upon the employee's current base salary/hourly rate and determined by standard hours of the position. The benefit must be utilized in a continuous period up to the applicable amount of time off and may not be taken intermittently.

Eligibility

Full-time or part-time regular ASI employees working 20 or more hours per week are eligible Parental Leave. Full-time or part-time regular ASI employees working 20 or more hours per week and who have been with ASI for 1 consecutive year of employment are eligible for Parental Leave.

Paid Parental Leave may be taken for one of the following reasons:

- Birth of a child to the employee, the employee's spouse, or the employee's domestic partner;
- Placement of a child with the employee and/or spouse/domestic partner for adoption.

Paid Parental Leave Policy

Exclusions

If both parents are employees of ASI only one parent will be extended Parental Leave under this policy.

Parental Leave must be completed within 12 months of the child's birth or adoption date.

Under no circumstance will an employee receive pay in lieu of leave.

An employee must be in active status on the date the Paid Parental Leave is scheduled to begin. Paid Parental Leave will automatically terminate upon the end of an employee's active employment with

the Company

Employees who are not full or part-time employees or who are scheduled to work less than 20 hours/week are not eligible for Parental Leave.

An individual that adopts a spouse's or partner's child(ren) is not eligible for this benefit.

Temporary employees are not eligible.

Surrogate mothers and sperm donors are excluded from coverage under this policy.

In the event a question arises regarding whether and to what extent an employee is eligible for Paid Parental Leave ASI in its sole discretion will determine eligibility.

Coordination with Other Benefits

Family and Medical Leave Act: Employees must take available leave under FMLA concurrently with Paid Parental Leave. Paid Parental Leave shall not be used to extend an employee's FMLA entitlement.

State and Local Paid Family Leave: The Paid Parental Leave benefit will run concurrent with any state, county, city or municipality with a paid family leave law and will offset for any paid benefits from those jurisdictions for parental leave.

Holidays: If a holiday occurs during the eligible employee's Paid Parental Leave said holiday will not extend the length of the leave.

Benefits Continuation: Because the employee remains in full pay status during approved Paid Parental Leave, ASI will continue to pay the employer portion of previously elected benefits during this leave, and the employee will remain responsible for the employee portion. The employee will continue to earn service credit during leave.

Paid Parental Leave Policy Request for Paid Parental leave

The employee must provide his or her direct supervisor and ASI Operations Director with written notice of a request for Paid Parental Leave at least 30 days prior to the proposed date of the leave (or if the leave was not foreseeable, as soon as possible).

Contact the ASI Operations Director for details or if you have questions about parental leave.

PERFORMANCE APPRAISALS

It is the policy of ASI that the job performance of each employee should be evaluated periodically by the employee's Director.

By the end of the probationary period, as outlined in the employee offer letter, in conjunction with the annual salary review or on the anniversary date of employment, Program Directors should conduct a quarterly mini-review or coaching session based on performance goals and objectives;

Between scheduled appraisals, Program Directors should discuss with employees on an informal basis any performance issues that require attention and should keep records of any significant incidents.

In evaluating employees, Program Directors should consider factors such as the experience and training of the employee, the job description, and the employee's attainment of previously set objectives and goals. Other factors that normally should be considered include knowledge of the job, quantity and quality of work, promptness in completing assignments, cooperation, initiative, reliability, attendance, judgment, conduct, and acceptance of responsibility.

Program Directors should prepare a written appraisal of each employee's job performance. The appraisal should include the Director's comments and recommendations, an action plan for both the employee and Director, and performance goals for the next evaluation period.

The individuals served will provide feedback on the performance of the provider prior to the Director's review of each employee.

The Executive Director should review each Director's written evaluation to help assure that the evaluation has been completed properly in as fair and objective a manner as possible.

After the written evaluation has been reviewed by the Executive Director, the Director and employee should meet and discuss the evaluation, assess the employee's strengths and weaknesses in a constructive manner, and set objectives and goals for the coming period. The employee should be given the opportunity to examine the evaluation and make written comments about any aspect of it. The employee and Director then should sign and date the evaluation and forward it to the Executive Director for review and inclusion in the employee's personnel file.

- (1) In addition to adding written comments to their performance appraisal, employees may request a review by the Executive Director. (See DISPUTE RESOLUTION PROCEDURE.)
- (2) Information derived from the performance appraisal may be considered when making decisions affecting training, pay, promotion, transfer, or continued employment.
- (3) The procedures discussed in this policy are only guidelines. ASI may, in its sole discretion, modify or revoke them in whole or in part at any time. Therefore, these procedures are not a promise or contract, express or implied, and ASI retains the right to determine whether and how they will be applied, depending on the circumstances. (See EMPLOYMENT-AT-WILL.)

DISCIPLINARY PROCEDURE

It is the policy of ASI that all employees are expected to comply with ASI's standards of behavior and performance and that any noncompliance with these standards must be corrected.

Under normal circumstances, ASI endorses a policy of progressive discipline in which it attempts to provide employees with notice of deficiencies and an opportunity to improve. It does, however, retain the right to administer discipline in any manner it sees fit.

This policy does not modify the status of employees as employees-at-will or in any way restrict ASI's right to bypass the disciplinary procedures suggested.

If an employee is not meeting ASI standards of behavior or performance, the employee's Director should take the following action:

1. Meet with the employee to discuss the matter;
2. Inform the employee of the nature of the problem and the action necessary to correct it; and
3. Prepare a memorandum for the Director's own records, a copy of which is put into the employee's personnel file indicating that the meeting has taken place.

If there is a second occurrence, the Director should hold another meeting with the employee and take the following action:

1. Issue a written reprimand to the employee that should be signed by the employee and Director;
2. Warn the employee that a third incident will result in more severe disciplinary action; and
3. Prepare and forward to the Executive Director, a written report describing the first and second incidents and summarizing the action taken during the meeting with the employee. This information will be included in the employee's personnel file. (See PERSONNEL RECORDS.)

If there are additional occurrences, the Director should take the following action, depending on the severity of the conduct:

1. Issue a written reprimand or warning;
2. Suspend the employee (with or without pay) for up to five working days; or
3. Suspend the employee indefinitely (with or without pay) and recommend termination.

After taking action under Comment (2)(c), above, the Director should prepare and forward to the Executive Director another written report describing the occurrences, indicating the timing between the occurrences, and summarizing the action taken or recommended and its justification.

The progressive disciplinary procedures described in Comment (2), above, may also be applied to an employee who is experiencing a series of unrelated problems involving job performance or behavior.

In cases involving serious misconduct, abuse, neglect, or exploitation, or any time the Director determines it is necessary, such as a major breach of policy or violation of law, the procedures contained above, may be disregarded. Typically, the Director should suspend the employee immediately (with or without pay) and an investigation of the incidents leading up to the suspension should be conducted to determine if any further action, such as termination, should be taken.

The Executive Director should review and approve all recommendations for termination before any final action is taken.

At an investigatory interview conducted by the Executive Director or other designated person, for the purpose of determining the facts involved in any suspected violation of ASI rules and regulations, the following procedures normally should apply. Before the interview, the employee who is suspected of violating ASI rules and regulations should be told in general terms what the interview is about.

Employees who believe that they have been disciplined too severely or who question the reason for discipline are encouraged to use the dispute resolution procedure.

If a disciplined employee works a full year without further disciplinary action under this policy, the next failure to meet behavior or performance standards may be treated as a first occurrence under this policy. However, ASI may still consider all past disciplinary actions in evaluating the employee.

TERMINATION OF EMPLOYMENT

It is the policy of ASI to terminate employment because of an employee's resignation, discharge, or retirement; the expiration of an employment contract; or a permanent reduction in the workforce. Discharge can be for any reason not prohibited by law.

ASI reserves the right to terminate employment at any time and for any reason. (See Employment-At-Will.)

Employees are requested to give written notice of their intent to resign. Failure to give written notice may result in forfeiture of non-vested ASI benefits (such as accrued, unused PTO time unless prohibited by state law) and ineligibility for reemployment.

The following guidelines are suggested:

- Management and Directorial employees should give four weeks' notice;
- Clerical and administrative employees should give at least three weeks' notice; and
- All other employees should give at least two weeks' notice.

Employees who are absent from work for three consecutive days without being excused or giving proper notice will be considered as having voluntarily quit. (See ATTENDANCE AND PUNCTUALITY.) In this case, a termination memo will be written, signed by both the Director and the Executive Director, and put into the employee file.

All terminations should be cleared by the Executive Director before any final action is taken. Employee terminations should be conducted in person, and should have two ASI staff present. A termination letter should be written prior to the meeting, and signed by the employee and the Director.

For policies and procedures leading up to discharge for disciplinary reasons, see DISCIPLINARY PROCEDURE.

Program Directors should send notices of resignation or recommendations for termination to the Executive Director for review. This information should be accompanied by any needed supporting documents, such as performance appraisals or disciplinary reports. (See PERFORMANCE APPRAISALS; and DISCIPLINARY PROCEDURE.)

Notice of involuntary terminations should be handled carefully and discreetly, preferably in a private meeting including the employee to be terminated, the immediate Director, and another member of management. ASI may attempt to obtain a general release of any legal claims from terminating employees.

The Human Resources Department should conduct an exit interview not later than the employee's last working day, or earlier if a special effort is being made to persuade the employee to remain with ASI.

Written reports of the termination notice meeting (when applicable) and exit interview should be kept in the employee file. Pertinent items requiring Directorial review and needed changes of policy should be brought to the attention of the Executive Director. (See FUNCTIONS OF THIS MANUAL.)

Terminating employees will receive their final pay through the payroll date closest to the last day of employment. Non-exempt salaried employees who do not work a full work week during their final week, as defined in this policy manual, will only be compensated for the actual days worked.

The Director or designated staff also will be responsible for securing the return from terminated employees funds advanced and all ASI property in their possession, such as identification cards, keys, credit cards, tools, supplies, and any other items. If the employee owes ASI any money or is responsible for any lost or damaged property, those accounts are to be settled as originally agreed or by deduction from final pay, unless prohibited by law.

Terminating employees may be eligible for future employment if recommended by their Director and approved by the Executive Director. Terminating employees who wish to be considered for future employment should inform their Director who will, in turn, inform the Executive Director or other designated staff.

Requests for employment references should be made in writing to the Human Resources Department and should include an authorization by the employee for the release of the requested information. Generally, the Human Resources Department will not release reference information without the employee's authorization, or will limit the information to verification of the employee's position, job location, and dates of employment with ASI. (See PERSONNEL RECORDS.)

Termination and discharge procedures are only guidelines and do not create a legal contract between ASI and its employees. ASI reserves the right to implement its policies and procedures as it sees fit. In addition, specified grounds for termination are not all-inclusive since ASI reserves the right to terminate employment for any reason, per the at-will employment policies set forth by the State of Indiana. (See DISCIPLINARY PROCEDURE.)

PRODUCTIVE WORK ENVIRONMENT

It is the policy of ASI to promote a productive work environment and not to tolerate verbal or physical conduct by any employee that harasses, disrupts, or interferes with another's work performance or that creates an intimidating, offensive, or hostile environment.

Employees are expected to maintain a productive work environment that is free from harassing or disruptive activity. No form of harassment will be tolerated, including harassment for the following reasons: race, color, national origin, religion, disability, pregnancy, age, military status, sexual orientation, gender identity, or sex. Special attention should be paid to the prohibition of sexual harassment.

Each Director has a responsibility to keep the workplace free of any form of harassment, and in particular, sexual harassment. No Director is to threaten or insinuate, either explicitly or implicitly, that an employee's refusal or willingness to submit to sexual advances will affect the employee's terms or conditions of employment.

Other sexually harassing or offensive conduct in the workplace, whether committed by Program Directors, employees, or nonemployees, also is prohibited. This conduct includes:

- a. Unwanted physical contact or conduct of any kind, including sexual flirtations, touching, advances, or propositions;
- b. Verbal harassment of a sexual nature, such as lewd comments, sexual jokes or references, and offensive personal references;
- c. Demeaning, insulting, intimidating, or sexually suggestive comments about an individual;
- d. The display in the workplace of demeaning, insulting, intimidating, or sexually suggestive objects, pictures, or photographs;
- e. Demeaning, insulting, intimidating, or sexually suggestive written, recorded, or electronically transmitted messages (such as e-mail, instant messaging, and Internet materials).

Any of the above conduct, or other offensive conduct, directed at individuals because of their race, color, sex, sexual orientation, gender identity, national origin, religion, disability, pregnancy, age, or military status also is prohibited.

Any employee who believes that a Director's, other employee's, or nonemployee's actions or words constitute unwelcome harassment has a responsibility to report or complain about the situation as soon as possible. The report or complaint should be made to the employee's Director or to the Executive Director if the complaint involves the Director.

Complaints of harassment will be handled and investigated under ASI's dispute resolution policy (see DISPUTE RESOLUTION PROCEDURE), unless special procedures are considered appropriate. All complaints of harassment will be investigated promptly and in as impartial and confidential a manner as possible. Employees are required to cooperate in any investigation. A timely resolution of each complaint should be reached and communicated to the parties involved.

Any employee, Director, or Director who is found to have violated the harassment policy will be subject to appropriate disciplinary action, up to and including termination. ASI prohibits any form of retaliation against employees for bringing bona fide complaints or providing information about harassment. (See DISCIPLINARY PROCEDURE.)

PERSONNEL RECORDS

It is the policy of ASI to maintain personnel records for applicants, employees, and past employees in order to document employment-related decisions, evaluate and assess policies, and comply with government recordkeeping and reporting requirements.

ASI tries to balance its need to obtain, use, and retain employment information with a concern for each individual's privacy. To this end, it attempts to maintain only the personnel information that is necessary for the conduct of its business or required by federal, state, or local law.

The Executive Director or designee is responsible for overseeing recordkeeping for all personnel information and will specify what information should be collected and how it should be stored, secured, and disposed of or destroyed. (For the need to maintain separate medical files, see MEDICAL PROCEDURES.)

Employees have a responsibility to keep their personnel records up to date and should notify the Human Resources Department in writing of any changes in at least the following:

- Name;
- Address;
- Telephone number;
- Marital status (for benefits and tax withholding purposes only);
- Number of dependents;
- Addresses and telephone numbers of dependents and spouse or former spouse (for insurance purposes only);
- Beneficiary designations for any of ASI's insurance, disability, pension, and profit sharing plans; and
- Persons to be notified in case of emergency.
- In addition, employees who have a change in the number of dependents or marital status must complete a new Form W-4 for income tax withholding purposes within ten days of the change, if it results in a decrease in the number of dependents.

Employees may inspect their own personnel records and may copy, but not remove, documents in the file. Inspections by employees must be requested in writing to the Human Resources Department and will be scheduled at a mutually convenient time. Records that are considered to contain sensitive or confidential corporate plans or information may be excluded from the inspection, and all inspections must be conducted in the presence of a designated member of the Human Resources Department.

Employees who believe that any file material is incomplete, inaccurate, or irrelevant may submit a written request for file revisions to the Human Resources Department. If the request is not granted, the employee may place a written statement of disagreement in the file and make a complaint using the regular dispute resolution procedure. (See DISPUTE RESOLUTION PROCEDURE.)

Only Directorial employees who have an employment-related need-to-know for information about another employee may inspect the files of that employee. The inspection must be approved by the Human Resources Department and should be recorded in the file inspected.

Employees should refer all requests from outside ASI for personnel information concerning applicants, employees, and past employees to the Executive Director. The Human Resources Department normally will release personnel information only in writing and only after obtaining the written consent of the individual involved. Exceptions may be made to cooperate with legal, safety, and medical officials who need specific employee information. In addition, exceptions may be made to release limited general information, such as the following:

- Employment dates;
- Position held; and
- Location of job site.

MONEY AND FINANCES

To ensure a strong fiscal environment and to promote the overall health, well-being, and sustainability of ASI, every ASI employee must adhere to these financial policies. Failure to follow these policies may result in immediate termination of employment.

Debit / Credit Card

At the sole discretion of the Executive Director, employees may receive a debit or credit card in their name to purchase items solely for the use and benefit of ASI. Each employee will have a spending limit placed on their card solely determined by the CEA. This limit may be raised only upon request to the CEA.

Employees are solely responsible for their individual cards. Prior to receiving their card, employees must sign and return the Debit/Credit Card agreement form (DCC-1) and returned to the Operations Ally.

All purchases must be accompanied by a detailed receipt, which must be submitted to the Operations Ally or other designated employee within one business week via email or USPS mail to the home office. Receipts must be marked with the employee's name and purpose of the purchase. If a receipt is not received, the total amount of the expense may be deducted from the employees pay. If a purchase is deemed outside of these policies, the employee must immediately reimburse ASI for the entire cost of the purchase within one business week.

Credit / Debit or any other bank cards may NEVER be given to another person outside of ASI for use.

Purchases may be made for the following without prior authorization by a Director or the CEA:

- Office supplies (including printer toner)
- Event supplies
- Meetings (including meals)
- Printing / Copying
- Exhibitor registrations
- Room deposits

Whenever possible, purchases for supplies should be made using ASI's smile.amazon.com account. Employees may be provided with the account password to facilitate purchases. Orders may be shipped directly to the employee's address. Justification for these purchases must be submitted within one business week to the Operations Ally.

General Expenses

Whenever possible, vendors should submit an invoice to the home office for direct payment. These include, but are not limited to: space rental/ deposits, exhibitor registration, purchases of merchandise (for sale or as a give-away), exhibition materials and collateral.

Program Expenses

Program expenses must be allocated to the individual program for which they were purchased in accordance to the program budget. If something is needed for the program, and is not allocated in the budget, prior approval must be made by the CEA.

Petty Cash

Petty cash for events may be withdrawn using the ASI debit card up to \$100. The withdrawal must be accompanied by a receipt either from the bank or from the ATM machine. Immediately following the event, the amount withdrawn must be deposited directly back into the ASI bank account and be accompanied by a receipt. Both the withdrawal and the deposit receipt must be submitted to the Operations Ally within one business week of the event. Failure to submit these receipts constitutes a violation of these policies.

Program / Event / Donation Income

Any cash, check, charges or other funds generated from a program or event received outside of the online or mobile merchant services system, including but not limited to: exhibitor and individual registrations, sponsorships, general donations, and in-kind donations must be sent to the Operations Ally within one week of receipt using a method with a tracking number in case of loss.

Cash and checks should be recorded directly into the system (Sumac or other designated CRM/Donation system) by the individual receiving the funds within one business week of receipt. If this is not possible, the individual must communicate this to the Operations Ally immediately.

Income must be recorded with the following details whenever possible:

- Donor's name, address, email, phone number
- Amount received
- Reason for donation
- Event

Refer to form PEI-1 for instructions on how to enter this information into the system.

PARTICIPATION IN TRADE AND PROFESSIONAL ASSOCIATIONS

It is the policy of ASI to encourage employees to participate in certain trade and professional associations.

Employees are encouraged to participate in trade and professional associations that promote ASI goals, individual skills development, and professional recognition. However, employee participation in those associations must not conflict with ASI's interests. (See CONFLICTS OF INTEREST.)

ASI may identify certain trade and professional associations in which representation is desirable and then designate the employees that it will sponsor for membership. Employees designated for membership act as ASI representatives in the association and are expected to promote ASI's interests and participate accordingly. (See PARTICIPATION IN COMMUNITY AFFAIRS.)

Employee participation in trade and professional association activities will not be considered as hours worked for pay purposes for employees classified as nonexempt under the Fair Labor Standards Act, unless participation is at ASI's request or under its direction and control. (See HOURS OF WORK.)

Program Directors are responsible for coordinating representation in trade and professional associations. The following factors normally will be considered in selecting associations for representation and in designating employees to be sponsored for membership:

- The nature and purpose of the association;
- The potential benefit to ASI, including enhancement of ASI's reputation and the development of the employee's leadership and organizational skills;
- The cost to ASI;
- The extent to which ASI already is represented in the association; and
- The employee's job responsibilities, length of service, and overall qualifications for membership.

Program Directors are responsible for planning, budgeting, and approving the expenses of their employees' participation in association activities, always ensuring that these are in line with program budgets. ASI will pay or reimburse the approved and reasonable expenses of employees sponsored for membership in trade and professional associations. Employees not sponsored for association membership may be eligible for reimbursement for the expenses of special association events, if participation in the activity is approved in advance.

Employees must have their Director's advance approval before soliciting or accepting any official position in a trade or professional association. The Director also should determine what compensation the employee will receive for association activities conducted during working time and any reimbursement for expenses incurred in performing official duties.

Employees are encouraged to contribute articles, present papers, and give talks to trade and professional associations. However, employees must obtain prior approval for any communication that might represent ASI's position or involve any confidential information. (See CONFIDENTIAL NATURE OF ASI AFFAIRS.)

PARTICIPATION IN COMMUNITY AFFAIRS

It is the policy of ASI to encourage employees to participate in the community service affairs of charitable, educational, religious, fraternal, and civic organizations.

ASI may identify certain community activities in which it wants to be represented and designate the employees it will sponsor for participation or membership in these organizations. Designated employees will represent ASI in the organization and will be expected to promote ASI's interests. Under these circumstances, time spent on the community activity will be considered hours worked for pay purposes. ASI will use the guidelines in MEMBERSHIP IN CLUBS AND CIVIC ORGANIZATIONS, for selecting community organizations for representation.

Time spent on community affairs, when not undertaken at the request of management, normally should be outside of the employee's regular working hours and, therefore, will not be considered hours of work for pay purposes.

Every employee who expresses an opinion in a public forum should clearly state whether the opinion is a personal one or one representing ASI. Any public communication which might be considered as representing ASI's position must be approved in advance by the Chief Operating Officer. Employees should not discuss internal confidential affairs in any public forum.

ASI does not make contributions or expenditures in connection with any election to political office or in connection with any primary election, political convention, or caucus held to select candidates for political office. However, management representatives may conduct certain solicitations of employees for a political fund established by ASI, as allowed by law.

Employees planning to campaign for, seek, or accept appointment to public office must give prior notice of their intentions to the Human Resources Ally. The Human Resources Ally will review with the employees ASI's continuing requirements to avoid conflicts of interest and to maintain satisfactory attendance and performance standards. Employees engaging in political activities do so as individuals on their own time, not as representatives of ASI, and should not make any representations to the contrary.

Employee participation in community activities should not adversely affect the employee's job performance, be detrimental to ASI's interests, or place the employee in the position of serving conflicting interests. (See CONFLICTS OF INTEREST.)

EMPLOYEE SAFETY

It is the policy of ASI to comply with all applicable federal, state, and local health and safety regulations and to provide a work environment as free as practicable from recognized hazards. Employees are expected to comply with all safety and health requirements whether established by ASI or by federal, state, or local law.

It is the responsibility of each employee that all tasks be conducted in a safe and efficient manner complying with all local, state and federal safety and health regulations, programmatic standards, and special safety concerns identified by ASI for use both within and outside of the ASI office.

Although most safety regulations are consistent throughout each location and program, it is the responsibility of employees to identify and familiarize themselves with the emergency plan for their working areas.

It is the responsibility of employees to complete an Accident and Incident Report for each safety and health infraction that occurs by employees or that employees witness. Failure to report such an infraction may result in employee disciplinary action, including termination.

Management requires that every person in the organization assume the responsibility of individual and organizational safety. Failure to follow ASI's safety and health procedures or conduct that places the employee, volunteer, client or agency property at risk may lead to employee disciplinary action or termination.

The Board of Directors and the Executive Director have the responsibility to develop, and the authority to implement, the safety and health program in the interest of a safer work environment.

In the instance that any ASI employee, becomes ill or injured, they should receive immediate attention, including calling an ambulance in serious cases. Anyone with current First Aid / CPR certification may provide emergency help within the guidelines of their certification.

An emergency is an unforeseen situation that threatens your employees, consumers, or the public; disrupts or shuts down your operations; or causes physical or environmental damage.

MAINTENANCE OF WORK AREAS

It is the policy of ASI that work areas must be kept clean and orderly at all times.

Employees are responsible for maintaining their work areas in a clean and orderly fashion. To fulfill this responsibility, each employee should, at a minimum, do the following:

- Place coats, boots, umbrellas, and other items of clothing in designated areas so that work areas are not unnecessarily cluttered (see PERSONAL PROPERTY);
- Prior to the end of the workday, properly secure any items, papers, or information of value.

Program Directors are responsible for having their employees maintain their work areas according to the requirements of this policy. Each Director should:

- Make sure that aisles, floors, and walls are free of debris and other unnecessary items and that all end-of-the-shift tasks have been performed;
- Monitor the facilities and equipment and issue maintenance requests where appropriate;
- Arrange for the removal of any items from the workplace that are not needed for the flow of business or the enhancement of employee comfort;
- Report any existing or potential workplace hazards and safety violations
- Ensure the proper disposal of all trash, waste, and scrap.

ASI will attempt to maintain the temperature, lighting, and noise level of its facilities at a level that is comfortable for employees and also appropriate for the nature of its operations. Employees should inform their Director of any concerns about working conditions.

ATTENDANCE AND PUNCTUALITY

It is the policy of ASI to require employees to report for work punctually and to work all scheduled hours and any required overtime. Excessive tardiness and poor attendance disrupt workflow and consumer service and will not be tolerated and may result in disciplinary proceedings.

Program Directors should notify employees of their starting and ending times. Employees are expected to be engaged in carrying out their duties during all scheduled work time and should be ready to begin working at their scheduled starting time. Program Directors should record all absences and, for nonexempt employees any tardiness or early departure exceeding ten minutes.

Employees should notify their Director, as far in advance as possible, whenever they are unable to report for work, know they will be late, or must leave early. The notice should include a reason for the absence and an indication of when the employee can be expected to report for work. If the Director is unavailable, notification should be made to the Executive Director.

Nonexempt employees will not receive compensation for time missed because of tardiness or early departure if the time missed exceeds 10 minutes after starting time or before quitting time. Failure to notify ASI properly of any absence may result in loss of compensation during the absence and may be grounds for disciplinary action.

Nonexempt employees who are delayed in reporting for work more than 10 minutes and who have not notified their Director of their expected tardiness may lose their right to work the balance of the work day. In addition, employees who report for work without proper equipment or in improper attire may not be permitted to work. Employees, who report for work in a condition considered not fit for work, whether for illness or any other reason, will not be allowed to work.

Employees generally are expected to report for work during inclement weather conditions if ASI does not declare an emergency closing. Nonexempt employees who are unable to report because of weather conditions will be granted an authorized unpaid absence. Nonexempt employees who are late because of weather conditions will be given a chance to make up their missed time if work schedules and conditions permit.

Nonexempt employees will not be required or permitted to work any period of time before or after scheduled starting or quitting times for the purpose of making up time lost because of tardiness, unauthorized absence, authorized absence, or any other reason if the result will be that the employee works more than 40 hours during the workweek.

Employees must report to their Director after being late or absent, give an explanation of the circumstances surrounding their tardiness or absence, and, when applicable, certify that they are fit to return to work. The Director should record the information in the employee's file and forward a copy to the Operations Director.

When appropriate, the Director should counsel the employee on the importance of good attendance and warn that excessive tardiness or absences will lead to discipline, up to and including termination.

Employees who are frequently away from the premises for business reasons should inform their Program Directors of their whereabouts during working hours.

Unauthorized or excessive absences or tardiness will result in disciplinary action, up to and including termination. (See DISCIPLINARY PROCEDURE.) An absence is considered to be unauthorized if the employee has not followed proper notification procedures or the absence has not been properly approved. Generally, absences in excess of those allowed in SHORT-TERM ABSENCES, and tardiness or early departure (i.e., beyond ten minutes of starting or quitting time) more than three times in a three-month period are grounds for discipline.

Employees who are absent from work for three consecutive days without giving proper notice to ASI will be considered as having voluntarily quit. At that time, ASI will formally note the termination and advise the employee of the action by certified mail to the employee's last known address. (See TERMINATION OF EMPLOYMENT.)

BEHAVIOR OF EMPLOYEES

It is the policy of ASI that certain rules and regulations regarding employee behavior are necessary for efficient business operations and for the benefit and safety of all employees. Conduct that interferes with operations, discredits ASI, or is offensive to consumers or coworkers will not be tolerated.

Employees are expected at all times to conduct themselves in a positive manner in order to promote the best interests of ASI. Appropriate employee conduct includes:

- Treating all participants, consumers, visitors, and coworkers in a courteous manner;

- Refraining from behavior or conduct that is offensive or undesirable, or which is contrary to ASI's best interests
- Reporting to management suspicious, unethical, or illegal conduct by coworkers, consumers, or suppliers
- Reporting to management any threatening or potentially violent behavior by coworkers;
- Cooperating with ASI investigations
- Complying with all ASI safety and security
- Wearing clothing appropriate for the work being
- Performing assigned tasks efficiently and in accord with established quality standards;
- Reporting to work punctually as scheduled and being at the proper work station, ready for work, at the assigned starting time
- Giving proper advance notice whenever unable to work or report on time
- Smoking only at times and in places not prohibited by ASI rules or local ordinances
- Eating meals only during meal periods and only in the designated eating areas
- Maintaining cleanliness and order in the workplace and work areas

The following conduct is prohibited and individuals engaged in it will be subject to discipline, up to and including termination:

- Engaging in or threatening acts of workplace violence, including but not limited to:
- Possessing firearms or other weapons on ASI property;
- Fighting or assaulting a coworker, security guard, guest, or consumer;
- Threatening or intimidating a coworker, security guard, consumer, or guest;
- Engaging in any form of sexual or other harassment
- Reporting to work under the influence of alcohol, illegal drugs, or narcotics or using, selling, dispensing, or possessing alcohol or illegal drugs or narcotics on ASI premises
- Disclosing trade secrets or confidential ASI information
- Falsifying or altering any ASI record or report, such as an employment application, medical reports, production records, time records, expense accounts, absentee reports, or shipping and receiving records;
- Stealing, destroying, defacing, or misusing ASI property or another employee's or consumer's property;
- Using ASI communications systems (including electronic mail, computers, Internet access, personal handheld devices, and telephones), and social media in a manner inconsistent with or in violation of ASI policy
- Refusing to follow management's instructions concerning a job-related matter or being insubordinate;
- Failing to wear assigned safety equipment or failing to abide by safety rules and policies
- Soliciting or distributing in violation of ASI policies
- Smoking where prohibited by local ordinance or ASI rules
- Using profanity or abusive language
- Sleeping on the job without authorization
- Gambling on ASI property;
- Playing pranks or engaging in horseplay; and
- Wearing improper attire or having an inappropriate personal appearance

The examples of impermissible behavior described above, are not intended to be an all-inclusive list, and this policy does not alter the at-will status of employees. At management's discretion, any violation of ASI's policies or any conduct considered inappropriate or unsatisfactory may subject the employee to disciplinary action.

Questions about this policy should be directed to the Executive Director. Further, nothing in this policy is designed to interfere with, restrain, or prevent employee communications regarding wages, hours, or other terms and conditions of employment protected under the National Labor Relations Act.

PERSONAL APPEARANCE OF EMPLOYEES

It is the policy of ASI that each employee's dress, grooming, and personal hygiene should be appropriate to the work situation.

Employees are expected at all times to present a professional, businesslike image to consumers, prospects, and the public. Acceptable personal appearance, like proper maintenance of work areas, is an ongoing requirement of employment with ASI. Radical departures from conventional dress or personal grooming and hygiene standards are not permitted.

Office workers and any employees who have regular contact with the public must comply with the following personal appearance standards:

- a. Employees are expected to dress in a manner that is normally acceptable in similar business establishments. Employees should not wear suggestive attire, jeans, athletic clothing, shorts, sandals, flip flops, T-shirts, novelty buttons, baseball hats, and similar items of casual attire that do not present a businesslike appearance.
 - b. Hair should be clean, combed, and neatly trimmed or arranged. Shaggy, unkempt hair is not permissible regardless of length.
 - c. Sideburns, moustaches, and beards should be neatly trimmed.
- (2) Employees who do not regularly meet the public should follow basic requirements of safety and comfort, but should still be as neat and businesslike as working conditions permit.
 - (3) Certain employees may be required to meet special dress, grooming, and hygiene standards, such as wearing uniforms, depending on the nature of their job.
 - (4) At its discretion, ASI may allow employees to dress in a more casual fashion than is normally required. On these occasions, employees are still expected to present a neat appearance and are not permitted to wear ripped or disheveled clothing, athletic wear, or similarly inappropriate clothing.

Any employee who does not meet the standards of this policy will be required to take corrective action, which may include leaving the premises. Nonexempt will not be compensated for any work time missed because of failure to comply with this policy. Violations of this policy also will result in disciplinary action.

PERSONAL PROPERTY

It is the policy of ASI to ask employees to refrain from bringing unnecessary or inappropriate personal property to work.

ASI recognizes that employees may need to bring certain personal items to work. However, personal property that is not related to the employee's job performance may disrupt work or pose a safety risk to other employees. Further, employees are prohibited from possessing firearms or other weapons on ASI property. (See SECURITY, Chapter 606, and BEHAVIOR OF EMPLOYEES, Chapter 801.)

Employees are expected to exercise reasonable care to safeguard personal items brought to work. ASI is not responsible for the loss, damage, or theft of personal belongings, and employees are advised not to carry unnecessary amounts of cash or other valuables with them when they come to work.

To maintain security and protect against theft, ASI reserves the right to inspect all personal property brought onto ASI's premises, including vehicles, packages, briefcases, backpacks, purses, bags, and wallets. In addition, ASI may inspect the contents of lockers, storage areas, file cabinets, desks, and work stations at any time and remove all ASI property and other items that violate ASI rules and policies. (See SECURITY.)

Articles of personal property found on the premises should be returned to the owner, if known, or turned in to the Executive Director or designated staff. Inquiries regarding lost property should be directed to the Executive Director or Management.

MEMBERSHIP IN CLUBS AND CIVIC ORGANIZATIONS

It is the policy of ASI to encourage employees to participate in the activities of certain community clubs and civic organizations.

Employees are encouraged to seek membership in community clubs and civic organizations where membership will promote ASI's business interests and enhance its image in the community. However, employees who participate in clubs or community organizations may not allow their activities to interfere with job performance or harm or conflict with ASI's interests. (See CONFLICTS OF INTEREST.)

ASI may identify certain community organizations in which it wants to be represented and then designate the employees that it will sponsor for membership in them. Employees who are designated for membership act as ASI representatives in the organization and are expected to promote its interests. (See PARTICIPATION IN COMMUNITY AFFAIRS.)

Employee participation in club and civic organization activities is not considered as hours worked for pay purposes unless it is at ASI's request or under its direction and control.

ASI will normally consider the following factors when selecting organizations for representation and designating employees to sponsor for membership:

- a. The nature and purpose of the club or organization;
- b. The potential benefit to ASI, including the enhancement of the employee's leadership and organizational skills;
- c. The cost to ASI;
- d. The extent to which ASI is already represented in the club or organization; and
- e. The employee's job responsibilities, length of service, and overall qualifications for membership.

ASI will review periodically its representation in community organizations and its sponsorship of employees for membership and will make changes as it considers appropriate.

Employees whose membership is sponsored by ASI are encouraged to use the clubs or civic organizations for business purposes. Those employees are required to keep detailed records of their use of the organizations. In particular, they must report all expenses incurred, the date and business reason for the use of the facility, the names of the persons entertained, and their business relationship to ASI.

Employees who are sponsored for membership in community clubs and civic organizations are eligible for reimbursement for certain expenses. Reimbursable expenses include dues; special charges; initiation fees; and business-related activities, fees, and meal and entertainment expenses. All employees who are not designated and sponsored for membership in community organizations are responsible for their own expenses, except **when their activities qualify for business expense reimbursement under other ASI policies.**

Employees must agree to pay back to ASI any membership fees or equity interests paid or reimbursed by ASI that will be refunded when membership is terminated. The employee must pay back these fees or interests whenever employment or membership is terminated, whichever occurs first.

SOLICITATION

It is the policy of ASI to prohibit solicitation and distribution on its premises by nonemployees and to permit solicitation and distribution by employees only as outlined below.

ASI limits solicitation and distribution on its premises because those activities can interfere with its normal operations, reduce employee efficiency, annoy consumers, and pose a threat to security.

The Executive Director is responsible for administering this policy and enforcing its provisions. Employees will be subject to disciplinary action for violating this policy. (See BEHAVIOR OF EMPLOYEES; and DISCIPLINARY PROCEDURES.)

Individuals not employed by ASI are prohibited from soliciting funds or signatures, conducting membership drives, distributing literature or gifts, offering to sell merchandise or services (except by representatives of suppliers properly identified to the Security Officer), or engaging in any other solicitation, distribution, or similar activity on ASI premises.

The following restrictions apply when employees engage in permitted solicitation or distribution of literature for any group or organization, including charitable organizations:

- a. The sale of merchandise or services is prohibited on ASI premises.
- b. Soliciting and distributing literature during the working time of either the employee making the solicitation or distribution or the targeted employee is prohibited. The term “working time” does not include an employee’s authorized lunch or rest periods or other times when the employee is not required to be working.
- c. Distribution of literature is prohibited in work areas at all times.
- d. Distributing literature in a way that causes litter on ASI property is prohibited.
- e. Off-duty employees are not allowed to return to the interior or working areas of ASI premises until their next scheduled work time, except as a consumer of ASI. (See PURCHASE OF ASI PRODUCTS AND SERVICES, Policy 508.)
- f. Employees may not use ASI facilities, resources, or supplies to promote or solicit participation in gambling activities, including but not limited to wagers, bets, or pools. (See BEHAVIOR OF EMPLOYEES.)

ASI maintains various communication systems to communicate ASI information to employees and to disseminate or post notices required by law. These communication systems (including social media, bulletin boards, electronic mail, voice mail, facsimile machines, and personal computers) are for business use only and may not be used for employee solicitation or distribution of literature. In particular, bulletin boards are for the posting of ASI information and notices only, and only persons designated by the Human Resources Ally may place notices on or take down material from the bulletin board. The unauthorized use of the communication systems or the distribution or posting of notices, photographs, or other materials on any ASI property is prohibited. (See USE OF COMMUNICATION SYSTEMS.)

TRAVEL & AUTOMOTIVE USAGE

It is the policy of ASI that business travel must be approved in advance and should be engaged in and reimbursed according to the guidelines below.

- (1) Employees holding jobs that require extensive travel are expected to travel as a condition of employment. (See HIRING.) For all other jobs, travel is considered only an incidental function of the position, but may be required.
- (2) Directors must approve any employee travel in advance. Under normal circumstances, employees should make all travel arrangements for transportation and lodging using the travel agency specified by ASI.
- (3) ASI may issue guidelines specifying or restricting travel booking requirements. Under normal circumstances, employees should use the most appropriate form of transportation available, book the least expensive fares, and stay in and eat at moderately priced establishments.
- (4) Employees should provide their Director with a copy of their itinerary before leaving on business travel.
- (5) Employee expenses for approved travel will be paid or reimbursed when properly documented by the employee and approved by the Program Director. Examples of expenses normally paid or reimbursed include transportation, meals, lodging, and limited incidental expenses. Employees who know or anticipate that they will have a special request for travel expense reimbursement should ask for approval from their Program Director before incurring the expense. Any travel expenses considered unreasonable under the circumstances will not be paid or reimbursed and are the employee's personal responsibility. In addition, employees will be reimbursed for the travel expenses of their spouses only if management determines that the spouse's presence has a bona fide business purpose.
- (6) Employees may obtain a cash advance for approved business travel by submitting a written request to the Accounting Department. Employees whose jobs are designated as requiring extensive travel will be issued ASI credit cards for payment of business expenses. Cash advances

and ASI credit cards are ASI property, and their use must be properly documented and approved as outlined in Comment (5), above.

- (7) For policies and procedures governing reimbursement for business entertaining while traveling, see BUSINESS ENTERTAINING.
- (8) Time spent by nonexempt employees (those covered by the minimum wage and overtime requirements of the Fair Labor Standards Act) traveling away from home on ASI business during normal working hours is considered hours worked for pay purposes. (See HOURS OF WORK.)
- (9) Employees traveling on ASI business are representatives of ASI and are expected to maintain a high level of professionalism and to follow all of ASI's policies and rules. (See BEHAVIOR OF EMPLOYEES.)

Mileage:

Employees are reimbursed for mileage at \$0.20 per mile for all work-related travel in which the employee uses their own automobile for said travel. The IRS standard mileage reimbursements for charitable organizations is \$0.14. All mileage reimbursements must be submitted no later than the 5th of the month following the month the work-related travel was completed in. Any mileage reimbursements submitted late will be considered non-reimbursable

Drive Time:

The FLSA guidelines state that drive time to and from the work site is not considered work time. Time driven during the work day, from location to location or meeting to meeting is considered work time.

Example: You drive to a meeting that is 30 minutes from your house. This is the only meeting you have that day and the rest of your work is done at home. Your 30-minute drive each way is considered your "commute" and should follow the FLSA guidelines and is not considered work time.

Example: You drive to a meeting (meeting 1) within reasonable distance from your house. After that meeting you drive to another meeting (meeting 2) and then go home. The drive time to meeting 1 would be normal commute time and not considered work time. The drive from meeting 1 to meeting 2 is considered work time and would be paid as such. The drive from meeting 2 home would be considered commute time.

AUTOMOTIVE POLICY:

It is the policy of ASI, to allow employees to drive on ASI business using their own automobile, and to reimburse employees for business use of personal vehicles according to the guidelines below.

The safety of individuals served by ASI and ASI staff must be provided in all activities of all ASI programs. Without express written approval by the Executive Director, and with assurance that appropriate documentation related to transportation is current and in the driver's ASI employee file, ASI staff, including contractors, volunteers, interns, may not provide transportation while under the employ of ASI.

The only exception to this policy is in the case of emergency, and shall follow the ASI Workplace Safety Policy.

Comment:

- (1) Employees may not drive vehicles for ASI business without the prior approval of their Program Director. Before approving a driver, the Program Director must check the employee's driving record, verify the existence of a valid driver's license and personal auto liability insurance coverage with a minimum of \$300,000 personal umbrella and \$500,000 combined single limit, and make certain that the employee is eligible for coverage under any applicable ASI insurance. (See HIRING, Chapter 202.)
- (2) Employees whose jobs require regular driving for business as a condition of employment must be able to meet the driver approval standards of this policy at all times. In addition, employees holding those jobs must inform their Program Director of any changes that may affect their ability to meet the standards of this policy. For example, employees who lose their licenses must report this to their Program Director. For all other jobs, driving is considered only an incidental function of the position.
- (3) Employees who drive a vehicle on ASI business, in addition to meeting the approval requirements above, must exercise due diligence to drive safely and follow all traffic laws (including but not limited to vehicle speed restrictions and safety belt requirements), to avoid distractions while driving (such as using cellular telephones), and to maintain the security of the vehicle and its contents. In addition, because texting while driving is particularly dangerous and illegal in several states, employees specifically are prohibited from texting while driving. Drivers also must make sure that the vehicle meets any ASI and legal standards for insurance, maintenance, and safety. Employees are responsible for any driving infractions or fines that result from their driving and must report them to their Program Director. Employees who drive on ASI business also should ensure that the vehicle is kept clean and free of litter and are prohibited from smoking in the vehicle. (See MAINTENANCE OF WORK AREAS, Chapter 602 and SMOKING, Chapter 607.)
- (4) Employees are not permitted, under any circumstances, to operate a personal vehicle for ASI business, when any physical or mental impairment causes the employee to be unable to drive safely. (See MEDICAL PROCEDURES, Chapter 203.) This prohibition includes circumstances in which the employee temporarily is unable to operate a vehicle safely or legally because of illness, medication, or intoxication. Further, policies prohibiting the illegal use of drugs or alcohol during

work hours and at work sites apply when driving on ASI business. (See DRUGS, NARCOTICS, AND ALCOHOL, Chapter 809.)

- (5) Employees driving on ASI business may claim reimbursement for parking fees and tolls actually incurred. ~~Employees using a ASI supplied cellular phone should keep a log to substantiate its business use.~~ All requests for reimbursement should be approved by the employee's Director. All travel related expense must be turned in no later than the 5th of the month following when the travel expenses took place. After such a time, these expenses will not be reimbursed.
- ~~(6) Employees who use their personal vehicles for approved business purposes may receive reimbursement.~~
- (7) Employees must report any accident, theft, damage, breakdown, or mechanical problem involving a vehicle used on ASI business to their Director and the Human Resources Department, regardless of the extent of damage or lack of injuries. These reports must be made as soon as possible but no later than forty-eight hours after the incident. Employees are expected to cooperate fully with authorities in the event of an accident. However, they should not make any statements other than in reply to questions of investigating officers.
- (8) Time spent by nonexempt employees (those covered by the minimum wage and overtime provisions of the Fair Labor Standards Act) driving a personal vehicle on ASI business during normal working hours is considered hours worked for pay purposes. Commuting time before the start and after the end of the workday is not treated as work time for pay purposes.

The following are a sampling of some of the controls that should be in place for drivers for the Autism Society, especially those involved in Respite care:

- (1) Motor Vehicle Records (MVRs)
 - a. Prospective hires can bring their own MVR in for the interview process. They can get this online free if they are running their own.
 - b. All existing drivers should have their MVR run, ideally, annually. If not annually then they should be set up on a rotating schedule that runs them every other year.
 - c. MVRs will be reviewed for not only the job incidents, but overall driving record. (See MVR Evaluation Grid.)
- (2) Copies of the Employee's license and certificate of insurance should be obtained annually
 - a. Minimum limits should be \$100,000 but \$300,000 is preferred

(3) Employees should understand that their vehicles should be properly maintained at all times.

Records of the maintenance should be available upon request

(4) Employees should not be driving cars for anyone connected to the respite family.

Motor Vehicle Registration Evaluation:

All MVRs will be evaluated on the same principles. Major violations may be cause for termination.

(1) Major Violations generally include:

- a. Leaving the scene of an accident
- b. Driving under the influence of drugs or alcohol
- c. Excessive speed (>20 mph over limit)
- d. Reckless, negligent or careless driving
- e. Felony, homicide or manslaughter involving the use of a motor vehicle
- f. License suspension or revocation resulting from accidents or moving violations

(2) Minor Violations generally include:

- a. Speeding (<20 mph)
- b. Failure to obey sign
- c. Failure to yield
- d. Illegal turn

(3) Non-Moving Violations generally include:

- a. Parking tickets
- b. Motor vehicle equipment violations
- c. Failure to have a valid operator's license available where one actually exists

Non-moving violations are typically not included when evaluating MVRs)

	Preventable Accidents (Past 3 Years)			
Minor Moving Violations (Past 3 Years)	0	1	2	3+
0	CLEAR	ACCEPTABLE	BORDERLINE	POOR
1	ACCEPTABLE	BORDERLINE	BORDERLINE	POOR
2	ACCEPTABLE	BORDERLINE	POOR	POOR
3	BORDERLINE	POOR	POOR	POOR
4+	POOR	POOR	POOR	POOR
Any Major Violations (Past 5 Years)	POOR	POOR	POOR	POOR

SMOKING

It is the policy of ASI to comply with all applicable federal, state, and local regulations regarding smoking in the workplace and to provide a work environment that promotes productivity and the well-being of its employees.

ASI recognizes that smoking in the workplace can adversely affect employees. Accordingly, smoking is restricted at all of its facilities. Smoking is defined to include the use of any tobacco-containing products, including cigarettes, cigars, and pipes, as well as the use of electronic cigarettes (“e-cigarettes”).

Smoking is prohibited inside all ASI facilities except for areas where it is specifically authorized. The Human Resources Director is responsible for implementing and monitoring smoking regulations, and Program Directors are expected to enforce the regulations. The smoking policy applies to employees during working time and to consumers and visitors while on ASI’s premises.

Employees are expected to exercise common courtesy and to respect the needs and sensitivities of coworkers with regard to the smoking policy. Smokers have a special obligation to keep smoking areas litter-free and not to abuse break and work rules. Complaints about smoking issues should be resolved at the lowest level possible but may be processed through ASI’s dispute resolution procedure. Employees who violate the policy will be subject to disciplinary action.

ASI does not discriminate against individuals on the basis of their use of legal products, such as tobacco, if the use occurs during nonworking time and off of ASI’s premises.

DRUGS, NARCOTICS, AND ALCOHOL

It is the policy of ASI to maintain a workplace that is free from the effects of drug and alcohol abuse.

Employees are prohibited from the illegal use, sale, dispensing, distribution, possession, or manufacture of illegal drugs, controlled substances, narcotics, or alcoholic beverages on ASI premises or work sites. In addition, ASI prohibits off-premises abuse of alcohol and controlled substances, as well as

the possession, use, or sale of illegal drugs, when these activities adversely affect job performance, job safety, or ASI's reputation in the community.

ASI may test applicants for employment for the presence of illegal drugs or alcohol. Whenever such tests are to be administered to applicants, they are to be informed in advance and in writing.

Drug testing may take place: Pre-Hire, Post Motor Vehicle Accident, or Randomly.

Employees will be subject to disciplinary action, up to and including termination, for violations of this policy. Violations include, but are not limited to, possessing substances or narcotics that are illegal or controlled under federal, state, or local laws or alcoholic beverages at work; being under the influence of those substances while working; using them while working; or dispensing, distributing, or illegally manufacturing or selling them on ASI premises and work sites.

Employees subject to the Drug-Free Workplace Act who are convicted of any criminal drug violation occurring in the workplace must report the conviction to the Human Resources Department within five days, and the Human Resources Department will take appropriate action as required by law.

Employees, their possessions, and ASI-issued equipment and containers under their control are subject to search and surveillance at all times while on ASI premises or work sites or while conducting ASI business

Employees may be asked to take a test at any time to determine the presence of drugs, narcotics, or alcohol, unless the tests are prohibited by law. Employees that agree to take the test must sign a consent form authorizing the test and ASI's use of the test results for purposes of administering its discipline policy. It is a violation of this policy to refuse consent for these purposes or to test positive for alcohol or illegal drugs. Policy violations will result in discipline and may result in termination. Tests that are paid for by ASI are the property of ASI, and the examination records will be treated as confidential and held in separate medical files. However, records of specific examinations will be made available, if required by law or regulation, to the employee, persons designated and authorized by the employee, public agencies, relevant insurance companies, or the employee's doctor.

Program Directors should report immediately to the Executive Director any action by an employee that demonstrates an unusual pattern of behavior. The Human Resources Department will determine whether the employee should be examined by a physician or clinic and/or tested for drugs and alcohol. Employees believed to be under the influence of drugs, narcotics, or alcohol will be required to leave the premises. The Security Officer should be notified to arrange safe transit.

Employees must report their use of over-the-counter or prescribed medications to the Executive Director or their Director if the use might impair their ability to perform their job safely and effectively. A determination then will be made as to whether the employee should be able to perform the essential functions of the job safely and properly.

Employees who are experiencing work-related or personal problems resulting from drug, narcotic, or alcohol abuse or dependency may request, or be required to seek, counseling help.

Participation in counseling, including required counseling, is confidential and should not have any effect on performance appraisals. Job performance, not the fact that an employee seeks counseling, is to be the basis of all performance appraisals.

Any employee who is abusing drugs or alcohol may be granted an unpaid leave of absence to undergo rehabilitation treatment. The employee will not be permitted to return to work until the

Executive Director receives certification that the employee is capable of performing his job. Failure to cooperate with an agreed-upon treatment plan may result in discipline, up to and including termination. Participation in a treatment program does not insulate an employee from the imposition of discipline for violations of this or other ASI policies.

CELLULAR/MOBILE PHONES

Employees are required to use a cellular / mobile phone for ASI business for calls coming in through the ASI 800#. Employees have the option of using their own personal phone, or may request an ASI phone.

Employees who choose to use their own phone and phone number for ASI business are responsible for any charges and costs associated with the use of their phone and must abide by the ASI policies and procedures for securing confidential ASI and consumer information.

USE OF COMMUNICATION SYSTEMS AND SOCIAL MEDIA

At the Autism Society of Indiana (ASI), we understand that social media can be a fun and rewarding way to share your life and opinions with family, friends and co-workers around the world. However, use of social media also presents certain risks and carries with it certain responsibilities. To assist you in making responsible decisions about your use of social media, we have established these guidelines for appropriate use of social media.

This policy applies to all employees, volunteers, interns, and others who work for the ASI or one of its subsidiary programs.

Communications services and equipment that may be provided include, among other things, mail, electronic mail ("e-mail"), instant messaging, courier services, facsimiles, telephone systems, desktop and notebook computers, computer networks, on-line services, Internet connections, Intranets, computer files, video equipment and tapes, digital voice recorders and recordings, cellular phones, smart phones, personal digital assistants, tablets, voice mail, and bulletin boards. Program Directors are responsible for instructing employees on the proper use of the communications services and equipment used by the organization for both internal and external business communications.

Most communications services and equipment have usage-related expenses. Employees should be aware of these charges and should consider cost and efficiency needs when choosing the proper vehicle for each business communication. Employees should consult their Director if there is a question about the proper mode of communication.

All ASI communications services and equipment, with the exception of cellular phones purchased by the employee, including the messages transmitted or stored by them, are the sole property of ASI. Accordingly, ASI may access and monitor employee communications and files as it considers appropriate. Employees whose electronic and telephone communications may be monitored generally will be asked to sign a consent form authorizing the monitoring.

On-line services and the Internet may be accessed only by employees specifically authorized by ASI. Authorized employees must disclose all passwords to ASI and their Program Directors but should not share the passwords with other employees. Employees' on-line use generally should be limited to work-related activities, except as allowed in Comment (8). In addition, employees should not duplicate or download from the Internet or from an e-mail any software or other materials (such as documents, photographs, and music and video files) that are copyrighted, patented, trademarked, or otherwise identified as intellectual property without express permission from the owner of the material. When appropriate Internet material or e-mail files are downloaded, they should be scanned using antivirus software.

Social media may be used by certain employees as part of their jobs and should be used during working hours for business-related purposes. Social media includes, but is not limited to social networking sites, blogs, podcasts, online discussion forums, and other online information sources. In addition, employees who use social media on behalf of ASI, for example to discuss products or services, must disclose their relationship with ASI.

Both business and personal use of social media must conform to ASI policies, including EQUAL EMPLOYMENT OPPORTUNITY, PRODUCTIVE WORK ENVIRONMENT, BEHAVIOR OF EMPLOYEES, CONFLICTS OF INTEREST, Chapter; and CONFIDENTIAL NATURE OF ASI AFFAIRS, and may be monitored by ASI. So, for example, employees should not divulge confidential information such as trade secrets, client lists, private health information, or information restricted from disclosure by law on social media sites. Similarly, employees should not engage in harassing or discriminatory behavior that targets other employees or individuals because of their protected class status or make defamatory comments.

Employees should not use e-mail, instant messaging services, facsimiles, cellular telephones, social media, or any other insecure communication system to communicate confidential, proprietary, or trade secret information. Further, certain employees may be allowed to use their own personal cellphones, smartphones, tablets, and other personal devices for work with the permission of their Director and as long as they comply with rules regarding confidentiality and anti-virus protection. In addition, e-mail generally should be archived, not deleted, on the ASI email server.

Incidental personal use by employees of ASI communications services and equipment is allowed as long as the use does not interfere with the employee's work or ASI's operations and does not violate any ASI policies. Employees must properly log any personal user charges and reimburse ASI for them. However, whenever possible, personal communications that incur user charges should be charged directly to the employee's personal credit card or account. ASI communications property or equipment may not be removed from the premises without written authorization from the employee's Director.

Employees should keep use of personal cell phones or other personal handheld communication devices to a minimum so that their use does not interfere with the employee's work or ASI's operations

and are encouraged to wait until off-duty to use personal devices. In addition, to protect confidential information and personal privacy, employee personal devices should not be used to take pictures or make audio or video recordings in certain designated areas of ASI without permission of a Director and individuals recorded. Further, employees driving on ASI business should avoid distractions such as use of their personal devices while driving and are prohibited from texting while driving.

Employees should ensure that no personal correspondence appears to be an official communication of ASI since employees may be perceived as representatives of ASI and, therefore, damage or create liability for ASI. All outgoing messages, whether by mail, facsimile, e-mail, Internet transmission, or any other means, should be accurate, appropriate, and work-related. Employees may not use ASI's address for receiving personal mail or use ASI stationery or postage for personal letters or ASI information or logos in personal social media posts. In addition, personalized ASI stationery and business cards may be issued only by ASI.

Improper use of ASI communications services and equipment and social media will result in discipline, up to and including termination. Improper use includes any misuse as described in this policy, any misuse that would result in violations of other ASI policies, as well as any harassing, offensive, demeaning, insulting, defaming, intimidating, sexually suggestive, or otherwise inappropriate written, recorded, or electronically retrieved or transmitted communications (including on Web sites and social media). (See EQUAL EMPLOYMENT OPPORTUNITY, Chapter 201; PRODUCTIVE WORK ENVIRONMENT, Chapter 201A; BEHAVIOR OF EMPLOYEES, Chapter 801; CONFLICTS OF INTEREST, Chapter 806; and CONFIDENTIAL NATURE OF ASI AFFAIRS, Chapter 807.) Nothing in this policy is designed to interfere with, restrain, or prevent employee communications regarding wages, hours, or other terms and conditions of employment. Employees have the right to engage in or refrain from such activities. (See CODE OF EMPLOYER-EMPLOYEE RELATIONS, Chapter 105.)

Guidelines:

In the rapidly expanding world of electronic communication, social media can mean many things. Social media includes all means of communicating or posting information or content of any sort on the Internet, including to your own or someone else's web log or blog, journal or diary, personal web site, social networking or affinity web site, web bulletin board or a chat room, whether or not associated or affiliated with the ASI, as well as any other form of electronic communication. Do not use your ASI email to sign into Social Media, unless it is for work-related reasons. The same principles and guidelines found in ASI's policies and three basic beliefs apply to your activities online.

Ultimately, you are solely responsible for what you post online. Before creating online content, consider some of the risks and rewards that are involved. Keep in mind that any of your conduct that adversely affects your job performance, the performance of fellow associates or otherwise adversely affects members, customers, suppliers, people who work on behalf of ASI or ASI's legitimate business interests may result in disciplinary action up to and including termination.

Know and follow the rules

Carefully read these guidelines, the ASI Statement of Ethics Policy, the ASI Information Policy and the Discrimination & Harassment Prevention Policy, and ensure your postings are consistent with these policies. Inappropriate postings that may include discriminatory remarks, harassment, and threats of violence or similar inappropriate or unlawful conduct will not be tolerated and may subject you to

disciplinary action up to and including termination.

Be respectful

Always be fair and courteous to fellow associates, customers, members, suppliers or people who work on behalf of ASI. Also, keep in mind that you are more likely to resolve work related complaints by speaking directly with your co-workers or by utilizing our Open Door Policy than by posting complaints to a social media outlet.

Nevertheless, if you decide to post complaints or criticism, avoid using statements, photographs, video or audio that reasonably could be viewed as malicious, obscene, threatening or intimidating, that disparage customers, members, associates or suppliers, or that might constitute harassment or bullying. Never use personal identifying information of another person, including a participant or co-worker in an online posting without his or her prior written permission. Examples of such conduct might include offensive posts meant to intentionally harm someone's reputation or posts that could contribute to a hostile work environment on the basis of race, sex, disability, religion or any other status protected by law or company policy.

Make sure you are always honest and accurate when posting information or news, and if you make a mistake, correct it quickly. Be open about any previous posts you have altered. Remember that the Internet archives almost everything; therefore, even deleted postings can be searched. Never post any information or rumors that you know to be false about ASI, fellow associates, members, customers, suppliers, people working on behalf of ASI or competitors.

Post only appropriate and respectful content

Maintain the confidentiality of ASI trade secrets and private or confidential information. Trade secrets may include information regarding the development of systems, processes, products, know-how and technology. Do not post internal reports, policies, procedures or other internal business-related confidential communications.

Outside the workplace, you have a right to participate in social media and networks using your personal e-mail address. However, information and communications that you publish on personal online sites should never be attributed to ASI, appear to be endorsed by, or appear to have originated from, ASI.

Do not disclose any of ASI's confidential or proprietary information, or personal identifying information of anyone at the Company, in online postings or publications. Sharing these types of information, even unintentionally, could result in harm to the Company and legal action against you or the Company.

If you choose to disclose your affiliation ASI in an online communication, then you must treat all communications associated with the disclosure as professional communications governed by this and other Company policies.

- a. Respect financial disclosure laws. It is illegal to communicate or give a "tip" on inside information to others so that they may buy or sell stocks or securities. Such online conduct may also violate the Insider Trading Policy.
- b. Do not create a link from your blog, website or other social networking site to a ASI website without identifying yourself as an ASI associate.
- c. Express only your personal opinions. Never represent yourself as a spokesperson for ASI.

If ASI, or Autism in general is a subject of the content you are creating, be clear and open about the fact that you are an associate and make it clear that your views do not represent those of ASI, fellow associates, members, customers, suppliers or people working on behalf of ASI. If you do publish a blog or post online related to the work you do or subjects associated with ASI, make it clear that you are not speaking on behalf of ASI. It is best to include a disclaimer such as “The postings on this site are my own and do not necessarily reflect the views of ASI.”

- d. You can also say, “As a parent...” before posting about topics relevant to the ASI

Using social media at work:

- (1) Refrain from using social media while on work time or on equipment we provide, unless it is work-related as authorized by your Director or consistent with the Company Equipment Policy.
- (2) Excessive amounts of time spent (over 20 minutes per day) may result in disciplinary actions.
- (3) Time in excess of 20 minutes per day will count as personal time, and will not be paid.
- (4) Do not use an ASI email addresses to register on social networks, blogs or other online tools utilized for personal use.
- (5) Retaliation is prohibited
- (6) ASI prohibits taking negative action against any associate for reporting a possible deviation from this policy or for cooperating in an investigation. Any associate who retaliates against another associate for reporting a possible deviation from this policy or for cooperating in an investigation will be subject to disciplinary action, up to and including termination.

Media contacts:

- (1) Associates should not speak to the media on [Employer’s] behalf without contacting the Corporate Affairs Department. All media inquiries should be directed to them.
- (2) Retaliation is prohibited

GIFT ACCEPTANCE

This general policy outlines the basic parameters a nonprofit board and organization should take into account when deciding whether to accept a gift.

ASI actively solicits gifts and grants to further the mission of the organization. There is a potential that the acceptance of certain gifts could compromise the ability of the organization to accomplish its goals or could jeopardize its tax-exempt status. Hence, the following gift acceptance policy applies:

The Executive Director and the board have the authority to solicit and/or accept gifts on behalf of ASI.

ASI's responsibility is to productively pursue gifts that will further the organization’s mission, goals, and objectives. The primary consideration in the pursuit of gifts is how they can benefit the organization in the most ethical and unencumbered manner. To that end, the following caveats must be considered:

- a. *Core Values.* Is the gift one that is consistent with the organization’s standards, principles, and core values.
- b. *Compatibility of Cause.* Will the gift unnecessarily challenge the organization’s ability to further its mission, goals, or objectives?

- c. *Public Relations.* Does the acceptance of the gift present the organization in an unfavorable light? Does it appear that there may exist a conflict of interest between the donor and the organization?
- d. *Motivation.* Is there clear charitable intent and a commitment to the organization?
- e. *Consistency.* Will the acceptance of the gift be compatible and in agreement with other fundraising activities or gifts of the organization?
- f. *Credibility.* Are the circumstances surrounding the donor and the gift believable?
- g. *Organizational Stability.* If controversy develops, will it be significant enough to weaken the structure of the organization?
- h. *Form of Gift.* Will the nature of the in-kind contribution create problems, such as in advertising or sponsorship?
- i. *Source of Gift.* Who is the donor? Is the gift from an individual or a corporation? Does the donor represent a perceived conflict of interest, or might the donor's objectives not fit with the mission of the organization?

CONFLICTS OF INTEREST (Employees)

It is the policy of ASI to prohibit its employees from engaging in any activity, practice, or conduct which conflicts with, or appears to conflict with, the interests of ASI, its consumers, or its suppliers. Since it is impossible to describe all of the situations that may cause or give the appearance of a conflict of interest, the prohibitions included in this policy are not intended to be exhaustive and include only some of the more clear-cut examples.

Employees are expected to represent ASI in a positive and ethical manner. Thus, employees have an obligation to avoid conflicts of interest and to refer questions and concerns about potential conflicts to their Director. Top management and employees who have contact with consumers and suppliers may be required to sign a special statement acknowledging their understanding of and adherence to this policy.

Employees may not engage in, directly or indirectly either on or off the job, any conduct which is disloyal, disruptive, competitive, or damaging to ASI, such as competing with ASI or disclosing confidential or proprietary information. Prohibited activity also includes any illegal acts in restraint of business. Prohibited activity does not include the exercise by employees of their rights to engage in protected concerted activity related to their terms and conditions of employment under the National Labor Relations Act.

Employees may not accept any employment relationship with any organization that does business with, or competes with, ASI. This prohibition on employment includes serving as an advisor or consultant to any organization of that type, unless the activity is conducted as a representative of ASI

Employees must disclose any financial interest they or their immediate family have in any firm that does business with ASI or that competes with ASI. ASI may require divestiture of the interest if it considers the financial interest to be in conflict with its best interests.

Employees and their immediate family may not accept gifts, except those of nominal value, or any special discounts or loans from any person or firm doing, or seeking to do, business with ASI. The

meaning of gifts for purposes of this policy includes the acceptance of lavish entertainment and free travel and lodging.

Employees may not give, offer, or promise, directly or indirectly, anything of value to any representative of a consumer, of a potential consumer, an existing consumer, or of a financial institution in connection with any transaction or business that ASI may have with that consumer, potential consumer, or financial institution an amount or value over \$10.

Any conflict or potential conflict of interest must be disclosed to ASI. Failure to do so will result in discipline, up to and including termination. (See DISCIPLINARY PROCEDURE.)

CONFLICT OF INTEREST & CODE OF ETHICS (Directors & Officers)

The Autism Society Conflict of Interest and Code of Ethics and requires directors, officers, and employees to observe high standards of business and personal ethics in the conduct of their duties and responsibilities. As members, participants, staff and representatives of the Autism Society, we must practice honesty and integrity in fulfilling our responsibilities and comply with all applicable laws and regulations.

An owner, director, agent, employee, contractor, subcontractor or officer performing any management, administrative or direct service to an Individual on behalf of ASI shall avoid any situation in which there is a conflict of interest.

ASI shall enforce a policy and procedure regarding:

- conflicts of interest; and
- the disclosure of possible conflicts of interest for all of ASI's owners, directors, officers, employees, contractors, subcontractors or agents.

All individuals representing ASI shall follow the ASI Code of Ethics which include:

- All situations involving potential conflicts of interest shall be avoided whenever possible.
- If a conflict arises, disclosure must be made immediately to the most Senior person in the organization.
- Professional services are provided with objectivity and respect for the unique needs and values of the individual being provided services.
- Individuals and their legal representatives will receive sufficient and objective information to make informed decisions.
- Avoid discrimination.
- Present professional qualifications.
- Assume responsibility and accountability for personal competence in providing services,
- Maintain professional licensure or accreditation as able.
- Adhere to acceptable standards for each individual's area of professional practice.
- Comply with all laws and regulations governing a person's profession.
- Maintain the confidentiality of individual information consistent with the standards of Indiana Code 460 and all other state and federal laws.

- Conduct all practice with honesty, integrity, and fairness.
- Fulfill professional commitments in good faith.
- Inform the public of services by using factual information.
- ASI is committed to making reasonable efforts to avoid bias in any situation.
- ASI shall not allow for nepotism during the conducting, directing, reviewing, or other Directorial activity of an investigation.
- ASI will notify the appropriate party of any unprofessional conduct that may jeopardize an individual's safety.
- ASI prohibits any misleading advertising or marketing, and the engagement of uninvited solicitation of potential individuals within a vulnerable population.

Based on (460 IAC 6-36-2) a ASI and all agents shall abide by the following code of ethics:

- a. shall provide professional services with objectivity and with respect for the unique needs and values of the individual being provided services.
- b. shall avoid discrimination on the basis of factors that are irrelevant to the provision of services.
- c. shall provide sufficient objective information to enable an Individual, or the Individual's Legal representative, to make informed decisions.

ASI shall require all owners, directors, officers, employees, contractors, subcontractors or agents to:

- a. accurately present professional qualifications;
- b. assume responsibility and accountability for personal competence in the practice of the person's profession and in the provision of supported living services;
- c. maintain the professional's licensure or accreditation;
- d. adhere to acceptable standards for the owner, director, officer, employee, contractor, subcontractor or agent's area of professional practice;
- e. comply with all laws and regulations governing a licensed or accredited person's profession;
- f. maintain the confidentiality of Individual information consistent with the standards of this article and all other state and federal laws and regulations governing confidentiality of Individual information;
- g. conduct all practice with honesty, integrity, and fairness;
- h. fulfill professional commitments in good faith; and
- i. inform the public and colleagues of services by use of factual information.

ASI and its agents, shall not advertise or market services in a misleading manner, engage in uninvited solicitation of potential Individuals, who are vulnerable to undue influence, manipulation, or coercion, and shall make reasonable efforts to avoid bias in any kind of professional evaluation.

ASI shall not allow for nepotism during the conducting, directing, reviewing or other Directorial activity of an investigation into an allegation of Abuse or Neglect, by prohibiting friends and relatives of an alleged perpetrator from engaging in these Directorial activities.

ASI as an organization, shall not subject its directors, officers, employees, contractors, subcontractors or agents to negative consequences as outlined in IC 22-5-3-3 following the director, officer employee, contractor, subcontractor or agent reporting:

- the alleged abuse or neglect of an Individual;
- violation of Provider’s policies and procedures;
- violation of Division of Disability and Rehabilitative Services (DDRS) policies and procedures; and
- violation of state and federal laws.

ASI shall notify the appropriate party of any unprofessional conduct that may jeopardize an individual’s safety or influence the individual or individual’s representative in any decision making process, which may include:

- the Division of Disability and Rehabilitative Services;
- the Indiana State Department of Health;
- a licensing authority;
- an accrediting agency;
- an employer; and
- the office of the Indiana Attorney General, Consumer Protection Division;
- the individual’s guardian.

CODE OF ETHICS

ASI shall enforce a policy and procedure in compliance with IC 22-5-3-3 that includes protections for whistleblowers who report violations of:

- the alleged abuse or neglect of an Individual;
- violation of Provider’s policies and procedures; violation of DDRS policies and procedures; and violation of state and federal laws.

The policy and procedure shall be consistent with 460 IAC 6-1-1 and include, prohibitions against providing gifts to:

- state employees;
- special state appointees;
- the spouse or un-emancipated child of an employee;
- the spouse or un-emancipated child of a special state appointee;
- an Individual potentially receiving services from the Provider; and
- any guardian or family member of an Individual potentially receiving services from the Provider.
- ethical safeguards and guidelines limiting the provision of gifts to:
 - an Individual receiving services from the provider; and
 - any guardian or family member of an individual receiving services from the provider.

ASI will distribute the above Code of Ethics statement to all employees at the time of new hire orientation. If an employee has information regarding a violation of the Code of Ethics by another employee, director, contractor, sub-contractor or agent of ASI that information must be reported a member of the Executive Team for further action. In compliance with IC 22-5-3-3 ASI will provide for protection for employees who report violations of the above Code.

CONFIDENTIAL NATURE OF ASI AFFAIRS

It is the policy of ASI that the internal business affairs of the organization, particularly confidential information and program details, represent ASI assets that each employee has a continuing obligation to protect.

Information designated as confidential may not be discussed, accessed, or shared with anyone outside the organization and may be discussed, accessed, or shared within the organization only on a “need to know” basis for business purposes. In addition, employees have a responsibility to avoid unnecessary disclosure of non-confidential internal information about ASI, its consumers, and its suppliers. However, this employee responsibility to safeguard internal ASI affairs is not intended to impede normal business communications and relationships or interfere with the exercise by employees of their rights to engage in protected concerted activity related to their terms and conditions of employment under the National Labor Relations Act.

Employees authorized to have access to confidential information may be required to sign special nondisclosure agreements and must treat the information as proprietary ASI property for which they are personally responsible. Employees are prohibited from attempting to obtain confidential information for which they have not received authorization. Employees violating this policy will be subject to discipline, up to and including termination, and may be subject to legal action.

The Executive Director is responsible for coordinating the security and control of ASI information and for approving any exceptions to this policy. Program Directors are responsible for identifying information that should be classified as confidential and should work closely with the Executive Director to develop procedures to secure and control the information. Information that is designated as confidential should be clearly identified and properly secured. (See SECURITY.) A list of employees authorized to have access to the information should be prepared, and all access should be recorded.

All media inquiries and other inquiries of a general nature should be referred to the Executive Director. In addition, all press releases, publications, speeches, or other official declarations, must be approved in advance by the Executive Director. Further, questions about employee references or other information concerning current or former employees should be referred to the Human Resources Department.

Employees should not discuss with the officers, directors, or employees of competing organizations any topic that might give the impression of an illegal agreement in restraint of trade. These prohibited topics include pricing agreements, consumer allocation, and other relevant information.

EMPLOYEE MEDICAL PROCEDURES

It is the policy of ASI that applicants to whom a conditional offer of employment has been extended and current employees may be required to undergo medical tests, procedures, or examinations whenever management determines that these are necessary for the safe or efficient operation of the organization.

Successful applicants for employment may be required as a condition of employment to take a medical examination to establish their fitness to perform the jobs for which they have applied without endangering the health and safety of themselves or others. If management determines that an examination is appropriate to a particular position, all applicants for the job to whom a conditional offer of employment has been made should be examined.

Employees may be required to have a medical examination on other occasions when the examination is job-related and consistent with business necessity. For example, a medical examination may be required when an employee is exposed to toxic or unhealthful conditions, requests an accommodation for a disability, or has a questionable ability to perform current job duties or the duties of the job for which the employee is being considered.

ASI will pay for medical examinations it requires and will designate an approved physician or licensed medical facility to perform the examination. Records of medical examinations paid for by ASI are the property of ASI, will be treated as confidential, and will be kept in separate medical files. However, records of specific examinations, if required by law or regulation, will be made available to the employee, persons designated and authorized by the employee, public agencies, relevant insurance companies, or the employee's doctor.

ASI reserves the right to require acceptable confirmation of the nature and extent of any illness or injury that requires an employee to be absent from scheduled work. ASI also may require a second and, if necessary, third medical opinion regarding an employee's absence because of illness or injury. ASI will pay for any additional opinions it requires.

Employees returning from a disability leave or an absence caused by health problems may be required to provide a doctor's certification of their ability to perform their regular work satisfactorily without endangering themselves or their fellow employees.

Employees who become ill on the job or suffer any work-connected injury, no matter how minor, must report immediately to their Program Directors who will arrange referral for examination, treatment, and recording of the incident as necessary. Time an employee spends waiting for and receiving this medical attention will be considered hours worked for pay purposes.

An injured employee's Director, any member of management, are authorized to have the employee transferred to an outside medical facility for treatment. The ASI Board of Directors and Executive Director is responsible for developing and administering programs concerning employee health and safety.

ASI also may require job applicants and current employees to take a test to determine the presence of drugs, narcotics, or alcohol, unless prohibited by law. For policies and procedures on this type of testing, see Drugs, Narcotics, and Alcohol.

SUGGESTION PROGRAM

It is the policy of ASI to encourage employees to make constructive suggestions for the improvement of operations, and in line with the current culture of ASI, employees are always encouraged to make suggestions about programs, policies, issues, and ideas.

DISPUTE RESOLUTION PROCEDURE

It is the policy of ASI that employees should have an opportunity to present their work-related complaints and to appeal management decisions through a dispute resolution procedure. ASI will attempt to resolve promptly all disputes that are appropriate for handling under this policy.

Employees are encouraged to consult on a less formal basis with their Program Directors, or other members of management including the Executive Director regarding work-related complaints or disputes. ASI recognizes that some disputes may require a more formal procedure as described in this policy.

An appropriate dispute is defined as an employee's expressed dissatisfaction concerning any interpretation or application of a work-related policy by management, Program Directors, or other employees. Examples of matters that may be considered appropriate disputes under this policy include:

- a. A belief that ASI policies, practices, rules, regulations, or procedures have been applied inconsistently to an employee;
- b. Treatment considered unfair by an employee, such as coercion, reprisal, harassment (including sexual harassment), or intimidation;
- c. Alleged discrimination because of race, color, sex, age, religion, national origin, marital status, or disability; and
- d. Improper or unfair administration of employee benefits or conditions of employment such as scheduling, PTO, fringe benefits, promotions, retirement, holidays, performance review, salary, or seniority.

Employees should notify the Executive Director, in a timely fashion, of any dispute considered appropriate for handling under this policy. The dispute resolution procedure is the exclusive remedy for employees with appropriate complaints. As used in this policy, the terms "timely fashion," "reasonable time," and "promptly" generally will mean five working days.

The dispute resolution procedure has a maximum of three steps, but disputes may be resolved at any step in the process. Disputes will be processed until the employee is satisfied, does not file a timely appeal, or exhausts the right of appeal under the policy. A decision becomes binding on all parties whenever an employee does not file a timely appeal or when a decision is made in the final step and the right of appeal no longer exists.

Employees who feel they have an appropriate dispute should proceed as follows:

- (1) Step One — Promptly bring the complaint to the attention of the immediate Director. If the dispute involves the Director, then the employee may proceed directly to step two. The Director, if authorized should investigate the complaint or refer it to the Human Resources Department for handling by a qualified investigator (see PRODUCTIVE

WORK ENVIRONMENT), attempt to resolve it, and give a decision to the employee within a reasonable time. The Director should prepare a written and dated summary of the dispute and proposed resolution for the employee's personnel file.

(2) Step Two — Appeal the decision to the Executive Director, if dissatisfied with the Director's decision, or initiate the procedure with the Director if Step One has been bypassed. This appeal or initial dispute notification must be made in a timely fashion using a written form provided for this purpose. The Director's version of the dispute and decision will then be submitted using a similar written form. The Director will, in a timely fashion, confer with the employee, the Director, and any other members of management considered appropriate; investigate the issues; and communicate a decision in writing to all the parties involved.

The Human Resources Department will provide training and support to Program Directors and Program Directors in dealing with employee complaints. In addition, employees should be encouraged to consult with the Human Resources Department, their Program Directors, or other members of management on a less formal basis regarding employee complaints or disputes.

Final decisions on disputes will not be precedent-setting or binding on future disputes unless they are officially stated as ASI policy. When appropriate, the decisions will be retroactive to the date of the employee's original dispute notification.

Information concerning an employee dispute should be confidential. Program Directors, who investigate a complaint, may discuss it only with those individuals who have a need to know about it or who are needed to supply necessary background information or advice.

Time spent by employees in dispute discussions with management during their normal working hours will be considered hours worked for pay purposes.

Employees will not be penalized for proper use of the dispute resolution procedure. However, it is not considered proper use if an employee raises complaints in bad faith or solely for the purposes of delay or harassment or repeatedly raises meritless disputes. Implementation of the dispute resolution procedure by an employee does not limit the right of ASI to proceed with any disciplinary action that is not in retaliation for the use of the dispute resolution procedure. In addition, employees and Program Directors are prohibited from retaliating against an employee who properly uses the dispute resolution procedure.

ASI may, at its discretion, refuse to proceed with any dispute it determines is improper under this policy. Further, this policy does not alter the employment-at-will relationship in any way.

SECTION 2: PARTICIPANT / CONSUMER RELATIONS

OPTIONS POLICY

Options Policy as adopted by the Autism Society 4/1/1995 was developed to ensure that the intentions, vision and purpose of the Autism Society was clear to both the public and members of the Autism Society.

The assertions made in the Options Policy are to be strictly adhered to by all chapters and shall guide the manner in which business of the Autism Society both at a local (including chapters, branches, satellites and service points) and national level is conducted.

The Autism Society promotes the active and informed involvement of family members and the individual with autism in the planning of individualized, appropriate services and supports. The Board of the Autism Society believes that each person with autism is a unique individual. Each family and individual with autism should have the right to learn about and then select, the options that they feel are most appropriate for the individual with autism. To the maximum extent possible, we believe that the decisions should be made by both the parents and the individual with autism.

Services should enhance and strengthen natural family and community supports for the individual with autism and the family whenever possible. The service option designed for an individual with autism should result in improved quality of life. Abusive treatment of any kind is not an option.

We firmly believe that no single type of program or service will fill the needs of every individual with autism and that each person should have access to support services. Selection of a program, service or method of treatment should be on the basis of a full assessment of each person's abilities, needs and interests. We believe that services should be outcome based to insure that they meet the individualized needs of a person with autism

With appropriate education, vocational training and community living options and support systems, individuals with autism can lead dignified, productive lives in their communities and strive to reach their fullest potential. The Autism Society believes that all individuals with autism have the right to access appropriate services and supports based on their needs and desires.

-Adopted by the Autism Society Board of Directors 4/1/95

DIVERSITY & INCLUSION

Diversity

Diversity is about recognizing, respecting and valuing differences based on ethnicity, gender, color, age, race, religion, disability, national origin, sexual orientation and **gender identity**. It also includes an infinite range of individual characteristics and experiences, such as communication style,

career path, life experience, educational background, geographic location, income level, marital status, military experience, parental status and other variables that influence personal perspectives.

These life experiences and personal perspectives make us react and think differently, approach challenges and solve problems differently, make suggestions and decisions differently, and see different opportunities. Diversity then, is also about diversity of thought. And superior business performance requires tapping into these unique perspectives.

(From The Chubb Group)

Inclusion

Inclusion is the practice of ensuring that people feel that they belong and are engaged and connected to the goals and objectives of an organization.

Cultural competency

Cultural competency is the ability to effectively understand, communicate and interact with people from different cultures.

POSITIVE SERVICES AND SUPPORTS

ASI Believes that person-centered planning (person-directed planning) outlines what the person wants and what ASI can and will do to support those choices and goals. It is important that people's preferences regarding supports are honored, and only minimal amounts of intrusion that will keep people and others safe are allowed.

ASI is committed to providing continuous and consistent services and supports for each person we serve, and enables each individual a choice in their direct service provider as evidenced in the ASI Options Policy.

SPECIAL WRITTEN TRAINING PROCEDURE – DIRECT SUPPORT PROFESSIONALS FOR WAIVER PROGRAM

It is the policy of the Autism Society of Indiana (ASI) that all Direct Support Professional Staff shall meet minimum requirements, complete initial training, and undergo continuous competency reviews when working with individuals with developmental disabilities.

All training documentation can be found at the ASI home office in the employee file.

This policy will be reviewed and updated as needed.

Documentation shall include:

- Topic of training
- Name and qualifications of trainer
- Duration of training

- Dates/times of training
- Signature of trainer
- Signature of ASI staff receiving training.

Each owner, director, officer, employee, contractor, volunteer, or other individual providing services for or on behalf of ASI shall have a minimum of the following trainings:

- Respecting the dignity of an individual
- Protecting an individual from abuse, neglect, and exploitation
- ASI policies and procedures in full

Requirements for Direct Support Professional Staff:

All staff working directly with Individual(s) with disabilities shall meet the following requirements:

- (1) Be at least eighteen (18) years of age.
- (2) Demonstrate the ability to communicate adequately in order to:
 - complete required forms and reports of services provided;
 - follow oral and written instructions; and
 - communicate with an Individual in the Individual’s mode of communication.
- (3) Complete training as referenced in this policy.
- (4) Demonstrate continuous competency as described in this policy.

Initial Training for Direct Support Professional staff:

Before providing services to Individuals, all employees will undergo competency verification based on initial orientation training in:

- ASI core competencies;
- incident reporting; and
- physical intervention techniques necessary to provide emergency behavioral supports as outlined in the “Behavior Support Plan” policy.

The ASI approved core competencies include the following:

- Person Centered Planning, which includes but is not limited to the following training topics:
 - Person Centered Planning tools;
 - respect, and Individual rights;
 - choice;
 - competence; and
 - community presence and participation
- Protection against Abuse, Neglect, or Exploitation, which includes but is not limited to the following training topics:
 - i. the causes of Abuse, Neglect and Exploitation;
 - ii. the prevention of Abuse Neglect and Exploitation; and
 - iii. the reporting of Abuse, Neglect and Exploitation;
- Health and wellness, which includes but is not limited to the following training topics:
 - i. universal precautions;
 - ii. personal care;
 - iii. safety during emergencies;
 - iv. positive behavioral supports;
 - v. maintaining a safe environment;

- vi. nutrition and wellness;
- vii. vehicle safety;
- viii. safety during lifting and transferring;
- ix. diet and related health issues
- Communication, which includes but is not limited to the following training topics:
 - i. the purpose of communication;
 - ii. strategies for communicating;
 - iii. communication with Individuals;
 - iv. communication with members of the Individual’s Individualized Support Team (IST) and other people of significance or influence in the Individual’s life;
 - v. conflict resolution; and
 - vi. confidentiality of an individual’s information
- Medication administration and medication side effects, which includes but is not limited to the following training topics:
 - i. medication administration and side effects training by a licensed nurse; and
 - ii. competency in medication administration documented by a licensed nurse
- First Aid and CPR, which includes but is not limited to the following training topics:
 - i. Emergency precautions and preparedness;
 - ii. Injury and medical emergencies;
 - iii. Cardiopulmonary Resuscitation

Training on the ASI core competencies shall be provided to Staff within one month of start date.

Prior to providing services to an Individual, all Direct Support Professional Staff will:

- be trained to competency in the Individual specific interventions for each Individual they are working with, including but not limited to the Individual’s:
 - i. health and risk needs;
 - ii. behavioral supports;
 - iii. diet and nutrition needs;
 - iv. swallowing difficulties;
 - v. medication administration needs;
 - vi. side effects for prescribed medications;
 - vii. mobility needs;
 - viii. means of communication and corresponding; and
 - ix. outcomes and strategies included in the Individualized Support Plan (ISP).

All training documentation shall be in compliance with the “Personnel Policies” policy.

Direct Support Professional Staff Continuous Competency:

- (1) All Staff shall demonstrate continuous competency in:
 - a. the approved core areas of competencies outlined in this policy;
 - b. ASI and BQIS incident reporting;
 - c. Physical interventions techniques needed for emergency behavioral supports described “Use of Restrictive Interventions” policy;
 - d. Individual specific interventions outlined in this policy; and

(2) All training documentation shall be in compliance with the guidelines set forth in ASI “Personnel Policies and Manuals” policy.

REFERENCES

IC 12-11-1.1-1

IC 12-8-8-4 IC 12-9-2-3

It is the policy of the Autism Society of Indiana (ASI) that ASI specified in the Individual's Individualized Support Plan (ISP) as being responsible for maintaining the Individual's personal information shall maintain personal information for the Individual at ASI's office.

ASI specified in the Participant's ISP as being responsible for maintaining the personal information shall maintain the Individual's personal information at ASI's office.

This information must be kept in compliance with HIPAA and all other Federal and State privacy statutes;

This information can be in electronic format only if:

- Use of any electronic format or system is described in detail in a written policy by ASI, and includes verification that the format or system includes security features that ensure compliance with HIPAA and all other Federal and State privacy statutes;
- All entries of all types into the electronic format or system are permanent and identifiable as to the person making the entry, including date and time,
- the electronic format or system will not allow for changes to any entry;
- the electronic format or system will allow for an addendum to any entry that identifies:
 - the person making the addendum, including date and time;
 - information contained in the electronic format or system is available for review at the time a verbal or written request is made by the Division of Disability and Rehabilitative Services (DDRS) or the Office of Medicaid Policy and Planning (OMPP), including: content, identification of the person entering any content, the date any content is entered, and the time any content is entered.
- If using an electronic format or system to store an Individual's personal information, ASI shall upon request from DDRS or OMPP, provide evidence substantiating the electronic format or system's compliance with this policy.
- All electronic signatures shall comply with the following acts and rule:
 - The Digital Signatures Act, IC 5-24;
 - The Uniform Electronic Transactions Act, IC 26-2-8;
 - The State Board of Accounts rule, 20 IAC 3.

With the exception of the prior or previous two months' of documentation that is maintained at the site of service delivery as described in the "Individuals' Personal Information: Site of Service Delivery" policy, the Individual's personal information shall include at minimum:

The Individual's current ISP.

A photograph of the Individual.

Telephone numbers for emergency services that may be required by the Individual to include at minimum:

- The local emergency number, for example, 911.
- The Individual's Legal representative, if applicable.
- The Individual's guardian, if applicable.
- The local BDDS office.
- The Individual's Case Director.
- Adult Protective Services or Child Protection Services as applicable.

- The developmental disabilities waiver ombudsman.
- Other service ASIs as identified by the IST and documented in the Individual's ISP.
- Any other telephone number identified for inclusion by the Individual or the Individual's Legal representative.
- Consent by the Individual or the Individual's Legal representative for emergency treatment for the Individual.
- Current guardianship papers, if applicable.
- Systems outlined in Health Care Coordination policy, as indicated for the Individual.
- The Individual's history of allergies, if applicable.
- Copies of all medical, dental and vision services summary documentation:
- All risk plans and risk plan documentation.
- All medication administration recording forms.
- Documentation of:
 - changes in the Individual's physical condition or mental status;
 - an unusual event such as vomiting, choking, falling, disorientation or confusion, behavioral problems, or seizures; and
 - the response of each ASI to the observed change or unusual event.
- A copy of the Individual's Behavioral Support Plan, if applicable.
- All Behavioral Support Services documentation.
- If ASI is the representative payee and an Individual's outcomes include bill paying and other financial matters, bank statements with clear documentation that the bank statements and the Individual's checkbook has been reconciled.
- All ISP outcome directed documentation.
- A listing of all adaptive equipment used by the Individual that includes contact information for the person or Entity responsible for replacement or repair of each piece of adaptive equipment.
- All environmental assessments conducted, with the signature of the person or persons conducting the assessment on the assessment.

Personal information as described in this section shall be maintained by ASI in a manner that allows for review at the time a verbal or written request is made by the Family and Social Services Administration (FSSA), DDRS, OMPP or their agents or contractors.

REFERENCES

IC 12-8-8-4

IC 12-9-2-3

IC 12-11-1.1-1

MAINTENANCE OF RECORDS OF SERVICES PROVIDED

ASI will maintain documentation of all services provided to an individual in the ASI home office. This documentation will be maintained for a minimum of seven (7) years.

Documentation of services provided to an individual will be analyzed and updated at a minimum of every 90 days, as required by:

- (1) The standards applicable to the services ASI is providing
- (2) The professional standards applicable to the provider's profession
- (3) The individual's ISP.

TRANSFER OF INDIVIDUAL'S RECORDS / TRANSITION OF SERVICES

If an individual changes providers for any supported living service or support, or for any other reason, ASI shall discuss with the individual the new provider's need to obtain a copy of the previous provider's records and files concerning the individual, provide the individual with a written form used to authorize the previous provider's release of a copy of the records and files concerning the individual to the new provider, request the individual to sign the release form, and any other activities that may be needed to support the transition.

Upon receipt of a written release signed by the individual, ASI shall forward a copy of all of the individual's records and files to the new provider no later than seven (7) days after receipt of the written release signed by the individual.

RIGHTS PROTECTION AND PROMOTION

The Autism Society of Indiana is committed to supporting individuals with autism across their lifespan, and encouraging people to exercise their human and civil rights. ASI believes that although everyone has the same basic rights, it is essential that people determine for themselves, which rights matter most to them. At ASI, each person is guaranteed the opportunity to be heard and treated fairly in any situation where limitations are imposed. ASI has a Human Rights / Quality Committee dedicated to promoting and protecting people's rights, and ensuring those rights are not restricted without due process and a clear plan to restore them

HUMAN RIGHTS / QUALITY COMMITTEE

It is the policy of the Autism Society of Indiana (ASI) that a Human Rights Committee (HRC) will sit within the ASI Quality Committee, and shall operate under the authorization of the executive director / chief executive and the board of directors of ASI, or the director or designee for ASI established Human Rights Committees.

A Human Rights Committee/Quality Committee shall:

- a. be authorized by: the Executive Director and the board of directors of ASI
- b. include a chairperson who:
 - i. is not an owner, director, officer, employee, contractor, subcontractor or agent of ASI; and
 - ii. is responsible for coordinating the committee's functions;

- iii. have a written policy defining the committee’s functions, including review of:
- iv. the use of restrictive interventions with an individual; and
- v. human rights issues for individuals.
- vi. consist of, in addition to the chairperson:
- vii. at least one person who meets Behavioral Support Services ASI qualifications per 460 IAC 6-4.3-2;
- viii. at least one person with one or more years of work experience in the field of developmental disabilities who is:
 - ix. a physician;
 - x. a licensed nurse; or
 - xi. a person who holds at minimum of a bachelor’s degree in:
 - 1. Occupational Therapy;
 - 2. Physical Therapy;
 - 3. Speech-Language Pathology;
 - 4. sociology;
 - 5. special education;
 - 6. rehabilitation;
 - 7. psychology, or
 - 8. Other related human services field;
- c. at least one person with a developmental disability.
- d. require participation of a minimum of 3 members for any meeting during which decisions involving Individual entitlements or rights are made, and disallow participation in committee deliberation and decision making by members of the Individualized Support Team of the Individual whose entitlements or rights are being addressed.

Responsibility of the Committee

- Definition of membership, training, roles, responsibilities, and procedures.
- Oversight of the use of restrictive or intrusive interventions that are part of a plan of behavioral or medical supports.
- Review of policies and procedures/practices that have the potential for rights restrictions (blanket restrictions).
- Maintain and review issues, actions taken, and requested follow-up.
- Review behavior support plans that include restrictive/intrusive procedures.

Outline of HRC Training (given annually)

- Mission, Vision, Values
- HRC Purpose and Role
- Who makes up ASNC’s HRC’s across the state
- Definition of Human Rights
- Complaint Policy
- CQL overview
- CQL Basic Assurance, Shared Values, Community Life
- Restraint and Physical Intervention – rules , definitions, ASNC policy

- BSP defined, Behavioral Interventions and assessments defined
- Forms ASNC uses
- HRC role in reviewing BSPs
- Other examples of rights restraints/restrictions, quiz
- Review of Incident Reports – definitions, forms, policies
- HRC role in IR review
- Abuse, Neglect, Exploitation – defined, policy, process
- OnSite reviews by HRCs – what are they reviewing for/expectations
- Complaints/Grievances/others – role and examples of these, policy/procedure
- Summary of HRC duties
- Information on minutes of HRC meetings
- Meeting rules, agendas
- HRC Composition/Bylaws of participation
- Confidentiality
- Conflict of Interest
- Summary

REFERENCES

IC 12-8-8-4

IC 12-9-2-3

460 IAC 6-10-12

DDRS Protection of an Individual's Rights policy

DDRS Use of Aversive Techniques policy

DDRS Use of Restrictive Interventions, Including Restraint policy

DDRS Behavioral Support Plan policy

PROHIBITING VIOLATIONS OF HUMAN RIGHTS

It is the policy of the Autism Society of Indiana (ASI) that aversive techniques shall not be used to support individuals receiving any services by ASI, including those paid for through any Indiana HCBS Medicaid Waiver.

The Autism Society of Indiana (ASI) is committed to the inclusion of people who have physical and cognitive disabilities and those who advocate and offer services on behalf of people with disabilities. This commitment extends from the design and implementation of ASI programming to advocacy for and outreach to people with disabilities.

ASI's policy on disability is as follows: To avoid discrimination against people with disabilities in programs which ASI participates in, supports, and funds and to stimulate an engagement of Indiana counterparts, governments, implementing organizations and other donors in promoting a climate of nondiscrimination against and equal opportunity for people with disabilities. ASI policy on disability is to promote the inclusion of people with disabilities.

For purposes of this policy, *a disability is defined as a physical or cognitive impairment that affects a major life function, including and specifically focusing on autism spectrum disorders as consistent with the definition of the Rehabilitation Act (section 504 of the Americans with Disabilities Act).*

ASI is committed to training staff and contractors to recognize all people's human and civil rights, especially related to autism spectrum disorders. Staff is encouraged to honor individual preferences related to individual rights, and are asked to act with integrity and openness when working with people with disabilities of all ages, races, and religions.

ASI expressly prohibits the following:

- The restriction of a person's rights at all levels across the lifespan.
- The use of restrictive or intrusive medical or behavioral intervention without prior informed consent from an individual over the age of 18 or their parent or guardian.
- Standing policies and practices that restrict individuals basic and human rights.

Aversive techniques intended to cause pain or other unpleasant sensation may not be used to support individuals receiving services through or by ASI. Examples of aversive techniques include but are not limited to:

- Abusing, neglecting, exploiting, or mistreating individuals
- Violating a person's rights
- Emotional/verbal abuse including but not limited to communicating with words or actions in a person's presence with intent to: Cause the individual to be placed in fear of retaliation, cause the individual to be placed in fear of confinement or restraint, cause the individual to experience emotional distress or humiliation, cause others to view the individual with hatred, contempt, disgrace, or ridicule, or cause the individual to react in a negative manner.
- Contingent exercise
- Contingent noxious stimulation
- Corporal punishment (forced physical activity, hitting, pinching, the application of painful or noxious stimuli, use of electric shock, the infliction of pain and others as defined in 460 IAC6-931c)(1)
- Restraint used for convenience or discipline
- Prone restraint where individual is face down on their stomach
- Negative practice
- Overcorrection
- Seclusion alone in an area from which exit is prohibited
- Visual or facial screening
- Mechanical restraints except when ordered as a medical restraint by a licensed physician or dentist.
- A practice which denies the individual of any of the following without a physician's order
- Sleep
- Shelter
- Food
- Drink

- Physical movement for prolonged periods of time
- Medical care or treatment
- Use of bathroom facilities
- Practice which denies the individual work or chores benefitting others without pay or pay below minimum wages unless ASI has obtained a certificate from the United States Department of Labor authorizing the employment of workers with a disability at special minimum wage rates.
- Any other technique that:
 - a. incorporates the use of painful or noxious stimuli;
 - b. incorporates denial of any health related necessity; or
 - c. degrades the dignity of an Individual.

Policies around conducting in an investigation of an alleged violation of an individual’s rights or reportable incident can be found in the Complaint Procedures section of this manual. ASI will fully cooperate in any investigations, and employees will participate in these investigations.

Indiana Human Rights and the United Nations Human Rights information can be found in Appendix A – Human Rights.

REFERENCES
 IC 12-9-2-3
 IC 12-11-1.1-1

DIGNITY AND RESPECT

The Autism Society of Indiana believes that respect is more than the absence of negative comments or actions. Respect is demonstrated in how we interact with people. ASI is committed to respecting each individual by providing supports that emphasize and capitalize on people’s capabilities. ASI supports people to appear in ways that they prefer and assist them in appearing like similar aged peers if that support is wanted and needed.

Specifically, ASI treats people as people first. They are called by their preferred names and not referred to by their disability, race, or other characteristic.

ASI respects people’s concerns, and responds according by providing supports to report complaints, problems and concerns as evidenced through the ASI Complaint Procedures policy. ASI also ensures that people have privacy per the ASI Confidentiality Policy.

PROTECTED HEALTH INFORMATION

ASI shall manage Protected Health Information (PHI) in accordance with the Health Insurance Portability and Accountability Act (HIPAA).

BQIS COMPLAINTS: SUPPORTED LIVING SERVICES & SUPPORTS

Policy Statement: It is the policy of the Bureau of Quality Improvement Services (BQIS) to investigate complaints involving individuals receiving Supported Living Services funded under the Developmental Disabilities (DD) waiver, Support Services (SS) waiver, Autism (AU) waiver, or State line item.

Comments:

Initial Reporting:

- (1) Complaints involving Supported Living Services and Supports provided to an Individual shall be directed to the BQIS Field Director of Quality Assurance (FDQA).
- (2) For all complaints classified as “urgent” or “critical” as described at (1)(a) and (1)(b) below not submitted by individual or individual’s legal representative, the individual or individual’s legal representative shall be notified within 24 hours.

Classification of Complaint:

- (1) BQIS shall determine a classification for a complaint using one of the following descriptors:
 - a. Urgent – an immediate or direct serious adverse effect on the health, rights or welfare of an Individual
 - i. If an urgent complaint is by someone other than the guardian, the guardian shall be notified within 24 hours, if applicable
 - b. Critical – an indirect threat on the health, rights or welfare of an Individual; and
 - i. If a critical complaint is by someone other than the guardian, the guardian shall be notified within 24 hours, if applicable
 - c. Non-critical – threats less than those described at (1)(a) and (1)(b) above.

Protected Health Information:

- (1) BQIS shall manage Protected Health Information (PHI) in accordance with the Health Insurance Portability and Accountability Act (HIPAA)

Photographic Documentation:

- (1) Photographs may be used during an investigation as determined appropriate by BQIS

Interviews:

- (1) BQIS interviews with individuals receiving services from a provider agency shall be 1:1 unless a legal representative requests to participate, BQIS identifies a need for an interpreter or a BQIS selected advocate, or the individual requests the legal representative’s presence.
- (2) BQIS interviews with other parties shall be 1:1 unless BQIS determines a need for BQIS selected third party.

Documentation Review:

- (1) Provider documentation shall be reviewed as determined necessary by BQIS, including:
 - a. Policies;
 - b. Employee files;
 - c. Employee timekeeping records;
 - d. Documentation of service delivery to individuals;
 - e. Incident reports
 - f. Other activity as determined appropriate by BQIS

Investigation Protocol:

- (1) BQIS may perform one or more of the following during an investigation;
 - a. Announced or unannounced visits;
 - b. Interviews and taking statements;
 - c. Request documentation;
 - d. Other activity as determined appropriate by BQIS.

Investigative Summaries:

- (1) Investigation summaries, including when indicated a request for a correction action plan (CAP), shall be forwarded to the provider within:
 - a. 5 days from completion of fact gathering for urgent investigations;
 - i. In situations where a complaint is urgent, the individual's guardian, if applicable, will be notified that the complaint is addressed.
 - b. 30 days from completion of fact gathering for critical investigations;
 - c. 60 days from completion of fact gathering for non-critical investigations.

Submission of Corrective Action Plans:

- (1) Providers shall complete and return a CAP to BQIS directed.
- (2) In the event that a provider:
 - a. Returns CAP that is determined by BQIS to be non-acceptable; or
 - b. Fails to submit a CAP by the deadline included in the CAP request, the provider shall be notified of the reason for non-acceptance, or of no-receipt, and shall forward an amended CAP or the previously non-submitted CAP to BQIS as directed.

Validation of Corrective Action Plans:

- (1) Upon validation of successful implementation of a CAP, BQIS shall prepare a final investigative report and forward to:
 - a. The provider indicated;
 - b. The individual or individuals around which the complaint was targeted, or when indicated their legal representative;
 - c. The BDDS Director
 - d. The BQIS Director
 - i. The FDQA; and
 - ii. The office of Medicaid Policy and Planning (OMPP) when the complaint is substantiated.
- (2) When BQIS is unable to validate successful implementation of a CAP, BQIS shall notify the provider of the reason(s) for non-validation and alert the provider to a 2nd attempt at validation, to occur within 0 business days of the 1st validation attempt.

Failure to Submit Corrective Action Plans; Failure of Validation:

(1) When a provider:

- a. Fails to submit a BQIS accepted CAP following a 2nd attempt; or
- b. Fails to submit a requested CAP following a 2nd request; or
- c. Fails a 2nd BQIS attempt at validation of an accepted CAP, the provider shall be recommended for referral to the Sanctions Committee.

Communication:

All written communication between a provider and BQIS shall be in electronic format using email, with the exception of BQIS preapproved fax transmissions or hard copy deliveries.

Additional Notifications:

(1) Notification of suspected fraud shall be provided as indicated to:

- a. The Medicaid Fraud Control Unit of Indiana; and/or
- b. The Social Security Administration Office of the Inspector General; and/or
- c. Other entity as determined by BQIS

NATURAL SUPPORT NETWORKS

Natural supports enhance people's feelings of belonging and facilitate a safety net for them. These supports include our family members and very close friends. ASI promotes networks of natural supports based on the specific goals and dreams of each individual to help create a blanket of security that internal organizational supports cannot duplicate.

PROTECTION FROM ABUSE, NEGLECT, MISTREATMENT AND EXPLOITATION (MEAN)

ASI is committed to ensuring that people are not subjected to abuse, neglect, mistreatment and/or exploitation of any kind. ASI views abuse in the same way regardless of the source, and thereby ensures that appropriate safeguards are in place to protect those around us. ASI has requirements to ensure that this does not occur, but in the unfortunate case that it does, there are specific policies to report incidents both within and outside of the organization.

Employees are required to demonstrate commitment to prevention through:

- Ensuring that the people we support are provided with adequate information about their human rights, which is tailored to the individual's needs;
- Ensuring information is provided to, and discussed with, supported persons around training opportunities in human rights and freedom from MEAN;
- Provision of information and support around sourcing advocacy and legal advice;
- Sound record keeping.

All prospective employees and volunteers will undergo police and background checks as appropriate for working with vulnerable people, in accordance with the Disability Inclusion Act 2014. Senior Management and Board members are jointly responsible for ensuring these checks are sufficient to the role and have been completed prior to employment. It is the responsibility of the Senior Management to implement a 'no hire' protocol in the event that prospective employees have not met the stipulated guidelines.

Management and employees need to provide a safe, supportive environment through communicating clear protocols and procedures, such as harm minimization strategies and risk management plans.

It is the responsibility of all employees to create and maintain to the best of their ability an environment free of behaviors such bullying, exploitation, manipulation, harassment and intimidation.

It is the responsibility of management to ensure that employees are trained in identifying risks which may lead to MEAN and how to respond. This training must occur within 30 days of employment as a part of the induction process.

Management must ensure that all persons using an ASI service are provided training around how to make a complaint in the event of an occurrence of MEAN. This training must occur within 30 days of entering the service and ongoing support provided.

If at any time a complaint is received or if there is any suspicion of abuse, neglect, mistreatment, or exploitation, the Employee will be immediately suspended without pay, pending investigation.

Employees are required to demonstrate commitment to prevention through:

- Ensuring that the people we support are provided with adequate information about their human rights, which is tailored to the individual's needs;
- Ensuring information is provided to, and discussed with, supported persons around training opportunities in human rights and freedom from MEAN;
- Provision of information and support around sourcing advocacy and legal advice;
- Sound record keeping.

All prospective employees and volunteers will undergo police and background checks as appropriate for working with vulnerable people, in accordance with the Disability Inclusion Act 2014. Staff and Board are jointly responsible for ensuring these checks are sufficient to the role and have been completed prior to employment. It is the responsibility of the Governance and Operations Committee to implement a 'no hire' protocol in the event that prospective employees have not met the stipulated guidelines.

Management and employees need to provide a safe, supportive environment through communicating clear protocols and procedures, such as harm minimization strategies and risk management plans.

It is the responsibility of all employees to create and maintain to the best of their ability an environment free of behaviors such bullying, exploitation, manipulation, harassment and intimidation.

It is the responsibility of management to ensure that employees are trained in identifying risks, which may lead to MEAN, and how to respond. This training must occur within 30 days of employment as a part of the induction process.

Management must ensure that all persons using an ASI service are provided training around how to make a complaint in the event of an occurrence of MEAN. This training must occur within 30 days of entering the service and ongoing support provided.

BEST POSSIBLE HEALTH

Health Status

As of publication of these policies, the Autism Society of Indiana does not currently provide services or supports that require a written procedure for Health Status.

PROTECTED HEALTH INFORMATION

ASI shall manage Protected Health Information (PHI) in accordance with the Health Insurance Portability and Accountability Act (HIPAA).

Photographic Documentation

Photographs may be used during an investigation as determined appropriate by ASI.

EMERGENCY BEHAVIORAL SUPPORTS

If and when an emergency behavioral support is required, ASI staff shall follow protocol in the individual program policies manual related to, and in compliance with 460IAC and DDRS policies for addressing behavioral emergencies:

- Identification of what constitutes a behavioral emergency including threat or danger to themselves or others, if there is no BSP, or other classifications of an emergency.
- Specific, defined emergency interventions to be used for behavioral emergencies
- Selection / identification of appropriately trained staff who may initiate an emergency intervention
- Training for all staff on emergency interventions

Documentation is required for all behavioral emergencies, including documentation of the individual who implemented the intervention, and the duration of the intervention, and the individual's response, followed by an IST meeting no later than three business days following the incident, and additional training for the individuals involved with the incident, with the goal to reduce future need for emergency interventions, and to ensure the BSP is accurate and up to date based on the individual's current health or behavioral status. Incident reporting forms are available upon request.

When staff is working with an individual without a Behavioral Support Plan, only employees that are trained in MEAN, Behavioral Support Plans, ISP's, may implement an emergency behavior intervention including:

- (1) Attempt to use de-escalation techniques to diffuse the situation
- (2) Utilize visual supports if accessible
- (3) Contact parents/caregiver/guardian
- (4) Contact behavioral therapist or other providers working with the individual

In a behavioral emergency, if the individual, employee, or any other person is in imminent danger, the employee shall contact 911 first and then the parent/caregiver/guardian to notify of the situation. The employee should make every attempt to ensure that both the individual and themselves are safe.

ASI prohibits restrictive interventions during behavior emergencies.

If at any time a complaint is received or if there is any suspicion of abuse, neglect, mistreatment, or exploitation, the Employee will be immediately suspended without pay, pending investigation.

Immediately following an emergency behavioral intervention, there will be an IST meeting no more than five days following the incident. The purpose of this meeting is to plan supports to minimize any future necessity for emergency response, including but not limited to:

- Conducting assessments or reassessments based on any changes in the individual's health or behavioral status
- Making environmental adjustments, as may be indicated,
- Adding behavioral support services provider to IST,
- Any agree-d-upon supports should be documented by the case Director and implemented as soon as possible, but no later than 30 days from the IST meeting

QUALITY ASSURANCE AND QUALITY IMPROVEMENT

It is the policy of the Autism Society of Indiana (ASI) that ASI shall have an internal quality assurance and quality improvement system overseen by the ASI Board of Directors Quality Committee. Quality Assurance and Improvement findings will be in compliance with the National Accreditation Standards, as well as 460 IAC 6-10.

ASI has an internal quality assurance and quality improvement system that is:

- a. focused on the Individual;
- b. appropriate for the services being provided; and
- c. described, in whole, in a single, written policy or procedure.

The system described in section (1) shall include at minimum the following elements:

- d. An annual survey of Individual satisfaction.
- e. Maintain a record of the findings of the annual Individual satisfaction surveys.
- f. Documentation of efforts to improve service delivery in response to the survey of Individual satisfaction.
- g. An assessment of the appropriateness and effectiveness of each outcome included in the Individual's Individualized Support Plan (ISP).
- h. A process for:

- i. reporting Reportable Incidents;
 - ii. analyzing data associated with Reportable Incidents;
 - iii. developing and implementing a risk reduction plan to minimize the potential for future incidents; and
 - iv. monthly review of the risk reduction plan to assess progress and effectiveness.
- i. If medication is administered to an Individual by ASI, a process specific to each ASI program will be developed in a supplemental policy and procedures manual for:
- j. identifying all medication errors;
 - i. analyzing all medication errors and the persons responsible for them;
 - ii. developing and implementing a risk reduction plan to mitigate and eliminate future medication errors; and
 - iii. a monthly review of the risk reduction plan to assess progress and effectiveness.
- k. If Behavioral Supports are provided by ASI, a process for:
- l. tracking targeted behaviors;
 - i. ii. analyzing the targeted behavior data and behavioral health of an Individual;
 - ii. developing and implementing proactive and reactive strategies to improve the behavioral health of the Individual;
 - iii. a review of the proactive and reactive strategies to assess progress and effectiveness; and
 - iv. training staff behavioral supports.

ASI shall make all findings available for review by the Division of Disability and Rehabilitative Services (DDRS) upon request.

At any time, an individual's Case Director may request access to ASI's Quality Improvement and Quality Assurance procedure

REFERENCES

IC 12-8-8-4

IC 12-9-2-3

IC 12-11-1.1-1

Incident Reporting and Management policy

Behavior Support Plan policy

TRANSPORTATION OF CONSUMERS (460 IAC 6-13-2)

The safety of individuals served by ASI and ASI staff must be provided in all activities of all ASI programs. Without express written approval by the Executive Director or Operations Ally, and with assurance that appropriate documentation related to transportation is current and in the driver's ASI employee file, ASI staff, including contractors, volunteers, interns, may not provide transportation while under the employ of ASI.

The only exception to this policy is in the case of emergency, and shall follow the ASI Workplace Safety Policy.

For the transportation of any individual by an ASI employee or representative, the following information will be kept in the driver's employee file. Specific documentation will include:

- (1) Current driver's license
- (2) Proof of current automobile insurance with a minimum of \$300,000 personal umbrella / \$500,000 combined single limit.
- (3) Evidence that the vehicle used by ASI representative is maintained and in good repair through copies of most recent service records.
- (4) Proof of vehicle registration through the Indiana Bureau of Motor Vehicles.
- (5) Current Motor Vehicle Record
- (6) Signed Motor Vehicle Record release form
- (7) Proof of other insurance for all vehicles owned or leased by the individual transporting individuals covering:
 - a. Personal injury,
 - b. Loss of life,
 - c. Property damage.

The driver and passengers will be prohibited from eating, drinking, standing, or other dangerous or distractive activities during transportation.

A Consent form will be filled out for each individual being transported by an ASI staff member. All transportation plans addressed in the Special Care Plan. A staff member who is familiar with the child's special needs will accompany the child during transportation.

Children and adults will be transported properly in a seat belt, car seat, or booster seat according to current Indiana regulations.

Parents may be required to supply a booster or car seat as needed for their child if field trips involving use of transportation are a part of the program. Staff will be sure that car seats, booster seats and seat belts are installed and used properly and each child is properly secured before setting the vehicle in motion.

Staff will assist with releasing children from their transportation safety restraints, when needed. All adults in the vehicle will use proper restraining devices according to the vehicle manufacturer's recommendations.

The number of passengers in the vehicle will not exceed the manufacturer's stated capacity for the vehicle.

Children will never be left unattended in a vehicle, even for brief periods. All children will be accompanied by an adult to/from the vehicle to insure safety.

Vehicle Requirements

- Only insured, licensed, well-maintained vehicles will be used for transport. 18 passenger vans are not permitted.

- A first aid kit and list of emergency contacts for all children and adults will be in the vehicle during transportation of children.
- Cell phone use is not permitted while the vehicle is in motion.

Driver Qualifications

- Drivers will be legally-licensed and shall not be under the influence of any chemical substance that may alter their ability to drive safely.
- Drivers will meet staff qualifications including a criminal history check.
- Drivers will be first aid and CPR certified if another staff member present is not.
- Drivers will obey all traffic regulations.
- The driver shall not be included in the individual: staff ratio. Drivers must not be distracted from safe driving practices by being simultaneously responsible for the supervision of children.
- The driver will be familiar with the planned route ahead of time.
- To prevent distractions, the driver is not permitted to talk on a cell phone or play loud music.

ASI is responsible for collecting background checks, driving histories and updating this information yearly for those who are transporting children, and is responsible for ensuring the safety of the vehicle and proof of insurance for the vehicle.

INSURANCE COVERAGE (460 IAC 6-12-1 AND 460 IAC 6-12-2)

It is the policy of the Autism Society of Indiana (ASI) that ASI shall secure and keep in force, insurance coverage covering ASI for any and all claims of any nature which may in any manner arise out of or result from ASI's services to an Individual. Insurance policies will cover a minimum of: Personal injury to an individual, loss of life to an individual, property damage to an individual, and worker's compensation coverage.

ASI shall secure and keep in force, insurance coverage covering ASI for any and all claims of any nature which may in any manner arise out of, or result from, ASI's services to an Individual.

ASI shall secure and keep in force Workers Compensation coverage meeting all statutory requirements of IC 22-3-2.

ASI shall provide proof of insurance coverage identified in this policy by tendering to FSSA upon request a certificate of insurance:

- a. when requesting approval to provide services; and
- b. anytime thereafter, upon the request of FSSA.

REFERENCES

IC 12-8-8-4

IC 12-9-2-3

IC12-11-1

WHISTLEBLOWER POLICY

As part of good governance and since the development of the Sarbanes- Oxley Act of 2002 (enacted following the Enron scandal), it is recommended that nonprofit organizations develop "whistleblower" policies.

ASI has a confidential process by which complaints or reports of suspected illegal or unethical behavior and activities are addressed. Staff, officers, members and volunteers need to feel safe to report unacceptable acts. A whistleblower policy is used to address a range of improprieties that include but are limited to:

- Discrimination
- Harassment
- Destruction of documents
- Mismanagement of funds

REPORTING RESPONSIBILITY

It is the responsibility of all directors, officers, and employees to comply with the Code and to report violations or suspected violations in accordance with this Whistleblower Policy.

No Retaliation

No director, officer, or employee who in good faith reports a violation of the Code shall suffer harassment, retaliation, or adverse employment consequence. A participant, staff member or representatives of the Autism Society who retaliates against someone who has reported a violation in good faith is subject to discipline up to and including termination of employment. This Whistleblower Policy is intended to encourage and enable The Autism Society staff and others to raise serious concerns within the organization prior to seeking resolution outside the organization.

Reporting Violations

The Code addresses The Autism Society's open-door policy and suggests that members and/or staff share their questions, concerns, suggestions, or complaints with someone who can address them properly. In most cases, a Director/superior is in the best position to address an area of concern. However, if you are not comfortable speaking with a Director or you are not satisfied with a Director's response, you are encouraged to speak with someone in administration who you are comfortable approaching. Program Directors and Program Directors are required to report suspected violations of the Code of Conduct.

Accounting and Auditing Matters

The audit committee of the board shall address all reported concerns or complaints regarding corporate accounting practices, internal controls, or auditing. The compliance officer shall immediately notify the audit committee of any such complaint and work with the committee until the matter is resolved.

Acting in Good Faith

Anyone filing a complaint concerning a violation or suspected violation of the Code must be acting in good faith and have reasonable grounds for believing the information disclosed indicates a violation of the Code. Any allegations that prove not to be substantiated and which prove to have been made maliciously or knowingly to be false will be viewed as a serious disciplinary offense.

Confidentiality

Violations or suspected violations may be submitted on a confidential basis by the complainant or may be submitted anonymously. Reports of violations or suspected violations will be kept confidential to the extent possible, consistent with the need to conduct an adequate investigation.

Handling of Reported Violations

The compliance officer will notify the sender and acknowledge receipt of the reported violation or suspected violation within 5 business days. All reports will be promptly investigated and appropriate corrective action will be taken if warranted by the investigation.

ASI COMPLAINT PROCEDURES

It is the policy of the Autism Society of Indiana (ASI) to investigate complaints involving individuals receiving waiver services funded under the Family Supports Waiver (FSW), Community Integration and Habilitation Waiver (CIH) or other Waiver services as approved by FSSA.

Initial Reporting

- (1) Complaints involving services and supports provided to an Individual shall be directed to the Quality Committee of the Autism Society of Indiana (ASI) and will be processed within two weeks of receiving the complaint.
- (2) For all complaints classified as “urgent” or “critical” as described at (1)(a) and (1)(b) below not submitted by individual or individual’s legal representative, the individual or individual’s legal representative shall be notified within 24 hours.

Classification of a Complaint:

ASI shall determine a classification for a complaint using one of the of the following descriptors:

- a. **urgent** - an immediate or direct serious adverse effect on the health, rights or welfare of an Individual; If an urgent complaint is by someone other than the guardian the guardian shall be notified within 24 hours, if applicable.
- b. **critical** - an indirect threat on the health, rights or welfare of an Individual; and If a critical complaint is by someone other than the guardian the guardian shall be notified within 24 hours, if applicable.
- c. **non-critical** - threats less than those described at (1)(a) and (1)(b) above.

Protected Health Information

ASI shall manage Protected Health Information (PHI) in accordance with the Health Insurance Portability and Accountability Act (HIPAA).

Photographic Documentation

Photographs may be used during an investigation as determined appropriate by ASI.

Interviews:

ASI interviews with individuals receiving services from ASI agency shall be 1:1 unless a legal representative requests to participate, ASI identifies a need for an interpreter or ASI selected advocate, or the individual requests the legal representative’s presence.

ASI interviews with other parties shall be 1:1 unless ASI determines a need for ASI selected third party.

Documentation Review

- (1) ASI documentation may be reviewed as determined necessary, including:
 - a. policies;
 - b. employee files;
 - c. employee timekeeping records;
 - d. documentation of service delivery to individuals;
 - e. incident reports;

- f. other ASI documentation as determined appropriate.

INCIDENT REPORTING & MANAGEMENT

It is the policy of the Autism Society of Indiana (ASI) to utilize an incident reporting and management system as an integral tool in ensuring the health and welfare of individuals receiving services administered by the Autism Society of Indiana (ASI).

Reportable Incidents:

Incidents to be reported to ASI include any event or occurrence characterized by risk or uncertainty resulting in or having the potential to result in significant harm or injury to an individual including but not limited to:

- (1) Alleged, suspected or actual abuse, (which must also be reported to Adult Protective Services or Child Protective Services as indicated) which includes but is not limited to:
 - a. physical abuse, including but not limited to:
 - i. intentionally touching another person in a rude, insolent or angry manner;
 - ii. willful infliction of injury;
 - iii. unauthorized restraint or confinement resulting from physical or chemical intervention;
 - iv. rape;
 - b. sexual abuse, including but not limited to:
 - i. nonconsensual sexual activity;
 - ii. sexual molestation;
 - iii. sexual coercion;
 - iv. sexual exploitation;
 - c. emotional/verbal abuse, including but not limited to communicating with words or actions in a person's presence with intent to:
 - i. cause the individual to be placed in fear of retaliation;
 - ii. cause the individual to be placed in fear of confinement or restraint;
 - iii. cause the individual to experience emotional distress or humiliation;
 - iv. cause others to view the individual with hatred, contempt, disgrace or ridicule;
 - v. cause the individual to react in a negative manner.
 - d. domestic abuse, including but not limited to:
 - i. physical violence;
 - ii. sexual abuse;
 - iii. emotional/verbal abuse;
 - iv. intimidation;
 - v. economic deprivation;
 - vi. threats of violence;
 - vii. from a spouse or cohabitant intimate partner.

- (2) Alleged, suspected or actual neglect (which must also be reported to Adult Protective Services or Child Protective Services, as indicated) which includes but is not limited to:
 - a. failure to provide appropriate supervision, care, or training;
 - b. failure to provide a safe, clean and sanitary environment;
 - c. failure to provide food and medical services as needed;
 - d. failure to provide medical supplies or safety equipment as indicated in the Individualized Support Plan (ISP).

- (3) Alleged, suspected or actual exploitation (which must also be reported to Adult Protective Services or Child Protective Services as indicated) which includes but is not limited to:
 - a. unauthorized use of the:
 - b. personal services;
 - c. personal property or finances; or
 - d. personal identity
- (4) of an individual;
 - a. other instance of exploitation of an individual for one's own profit or advantage or for the profit or advantage of another.
- (5) Peer-to-peer aggression that results in significant injury by one individual receiving services, to another individual receiving services.
- (6) Death (which must also be reported to Adult Protective Services or Child Protective Services, as indicated). Additionally, if the death is a result of alleged criminal activity, the death must be reported to law enforcement.
- (7) A service delivery site with a structural or environmental problem that jeopardizes or compromises the health or welfare of an individual.
- (8) A fire at a service delivery site that jeopardizes or compromises the health or welfare of an individual.
- (9) Elopement of an individual that results in evasion of required supervision as described in the ISP as necessary for the individual's health and welfare.
- (10) Missing person when an individual wanders away and no one knows where they are.
- (11) Alleged, suspected or actual criminal activity by an individual receiving services or an employee, contractor or agent of ASI, when:
 - a. the individual's services or care are affected or potentially affected;
 - b. the activity occurred at a service site or during service activities; or
 - c. the individual was present at the time of the activity, regardless of location.
- (12) An emergency intervention for the individual resulting from:
 - a. a physical symptom;
 - b. a medical or psychiatric condition;
 - c. any other event.
- (13) Any injury to an individual when the cause is unknown and the injury could be indicative of abuse, neglect or exploitation.
- (14) Any injury to an individual when the cause of the injury is unknown and the injury requires medical evaluation or treatment.
- (15) A significant injury to an individual that includes but is not limited to:
 - a. a fracture;
 - b. a burn, including sunburn and scalding, greater than first degree;
 - c. choking that requires intervention including but not limited to:
 - i. Heimlich maneuver;

- ii. finger sweep; or
 - iii. back blows.
 - d. bruises or contusions larger than three inches in any direction, or a pattern of bruises or contusions regardless of size;
 - e. lacerations which require more than basic first aid;
 - f. any occurrence of skin breakdown related to a decubitus ulcer, regardless of severity;
 - g. any injury requiring more than first aid;
 - h. any puncture wound penetrating the skin, including human or animal bites;
 - i. any pica ingestion requiring more than first aid;
- (16) A fall resulting in injury, regardless of the severity of the injury.
- (17) A medication error or medical treatment error as follows:
- a. wrong medication given;
 - b. wrong medication dosage given;
 - c. missed medication - not given;
 - d. medication given at the wrong time; or
 - e. medication error that jeopardizes an individual's health and welfare and requires medical attention.
- (18) Use of any aversive technique including but not limited to:
- a. seclusion (i.e. placing an individual alone in a room/area from which exit is prevented);
 - b. painful or noxious stimuli;
 - c. denial of a health related necessity;
 - d. other aversive technique identified by DDRS policy.
- (19) Use of any PRN medication related to an individual's behavior.
- (20) Use of any physical or mechanical restraint regardless of:
- a. planning;
 - b. human rights committee approval;
 - c. informed consent.
 - d. calls to 911 if indicated
 - e. initiation of safety actions for the individual as indicated and as possible

Responsible Parties

- (1) ASI responsible for an individual at the time of the occurrence of a reportable incident shall submit an incident initial report.
- (2) In addition to ASI's mandatory reporting, any other person may submit an incident initial report associated with any reportable incident.
- (3) The entity responsible for incident follow-up reports is the individual's:
 - a. case Director, when receiving waiver funded services;
 - b. residential ASI's Qualified Developmental Disabilities Professional (QDDP) when receiving State Line Item (SLI), Supervised Group Living (SGL), or other ICF/MR services

- c. ASI staff when receiving Caregiver Supports Services;
- d. BDDS service coordinator when receiving other services (e.g. Title XX and nursing facilities).

Ensuring the safety of individuals receiving services

- (1) When a reportable incident is discovered in which an Individual receiving services is determined to be in danger, the person making the discovery shall:
 - a. call 911 if indicated;
 - b. initiate safety actions for the Individual as is indicated and as is possible;
 - c. contact the following and notify them of the situation:
 - d. in supported living settings, the Individual's case Director, or the case management vendor's 24hr crisis line if the case Director is not immediately available;
 - e. a Director with the responsible ASI ;
 - f. the BDDS District Director; and
 - g. Adult Protective Services or Child Protective Services, as indicated; and
 - h. Individual's legal representative.
- (2) ASIs, DDRS staff, and the case management vendor staff shall follow the BDDS Imminent Danger Policy in mitigating the danger to the individual.

Initial incident reporting to ASI

- (1) Within 24 hours of initial discovery of a reportable incident, the reporting person shall file an incident initial report with ASI using the ASI approved electronic format. In the event of a network malfunction, incident initial reports and incident follow-up reports may be e-mailed to asioperations@inautism.org.
- (2) The reporting person shall be descriptive when completing the narrative portions of the incident initial report form, including:
 - a. a comprehensive description of the incident;
 - b. a description of the circumstances and activities occurring immediately prior to the incident;
 - c. a description of any injuries sustained during the incident;
 - d. a description of both the immediate actions that have been taken, and actions that are planned but not yet implemented; and
 - e. a listing of each person (first name, last initial) involved in the incident, with a description of the role and staff title, if applicable, of each person involved.

Notifying additional entities of incident:

- (1) Within 24 hours of initial discovery of a reportable incident, the reporting person shall forward a copy of the electronically submitted incident initial report to:
 - a. APS or CPS (as indicated) for all incidents involving:
 - b. alleged, suspected or actual abuse;
 - c. alleged, suspected or actual neglect;
 - d. alleged, suspected or actual exploitation;

- e. death;
 - f. the individual's BDDS service coordinator;
 - g. the individual's residential ASI when receiving residential services;
 - h. the individual's case Director when receiving services funded by waiver;
 - i. all other service ASIs identified in the individual's Individualized Support Plan; and
- (2) Within 24 hours of initial discovery of a reportable incident, the reporting person shall notify the individual's legal representative, if indicated.

Reportable Incident Follow-Up

- (1) An incident may be closed by ASI upon receipt and processing.
- (2) If an incident is not closed upon ASI's receipt and processing, ASI shall forward an email notification to the person responsible for incident follow-up reporting.
- (3) The person responsible for incident follow-up reporting shall:
 - a. submit an electronic incident follow-up report within 7 days of the date of the incident initial report;
 - b. continue to submit incident follow-up reports on an every 7 day schedule, until such time as the incident is resolved to the satisfaction of all entities;
 - c. forward copies of each follow-up report to the same entities who received a copy of the incident initial report.

ASI Internal Incident Reports

- (1) Any internal ASI incident report addressing services to an individual that is determined by ASI to not meet the criteria of a reportable incident as described in this policy shall be made available to:
 - a. an individual's case Director; or
 - b. any representative of DDRS, Indiana State Department of Health (ISDH), or the Office of Medicaid Policy and Planning (OMPP), upon request.

Maintenance of Incident Report Data

ASI shall maintain all documentation related to incident reporting, whether in electronic format or other format, for at minimum 7 years;

If at any time a complaint is received or if there is any suspicion of abuse, neglect, mistreatment, or exploitation, the Employee will be immediately suspended without pay, pending investigation.

Questions regarding incident management/reporting can be directed to the BQIS Incident Reporting Department through e-mail BDDSIincidentReports@fssa.in.gov or telephone (260) 482-3192.

REFERENCES

IC 12-10-3
IC 31-34
460 IAC 6

BDDS Imminent Danger Policy
BDDS Aversive Technique Policy
BDDS Use of Restrictive Interventions, including Restraint Policy
BDDS Quality Assurance and Quality Improvement Policy
BDDS Human Rights Committee Policy
BDDS Protection of an Individual's Rights Policy

INVESTIGATION PROTOCOL

ASI may perform one or more of the following during an investigation:

- a. announced or unannounced visits;
- b. interviews and taking statements;
- c. request documentation;
- d. other activity as determined appropriate by ASI.

Investigation Summaries

Investigation summaries, shall be completed and debriefed within:

5 days from completion of fact gathering for urgent investigations; in situations where a complaint is urgent, the individual's guardian, if applicable, will be notified that the complaint was addressed.

30 days from completion of fact gathering for critical investigations;

60 days from completion of fact gathering for non-critical investigations.

A progressive disciplinary action will be followed, and all communication related to the complaint will be kept in the employee file.

COMPLAINTS

It is the policy of the Autism Society of Indiana (ASI) to investigate complaints involving individuals receiving waiver services funded under the Family Supports Waiver (FSW), Community Integration and Habilitation Waiver (CIH) or other Waiver services as approved by FSSA.

Initial Reporting

Complaints involving services and supports provided to an Individual shall be directed to the Quality Committee of the Autism Society of Indiana (ASI) and will be processed within two weeks of receiving the complaint.

For all complaints classified as "urgent" or "critical" as described at (1)(a) and (1)(b) below not submitted by individual or individual's legal representative, the individual or individual's legal representative shall be notified within 24 hours.

Classification of a Complaint:

ASI shall determine a classification for a complaint using one of the of the following descriptors:

a. urgent - an immediate or direct serious adverse effect on the health, rights or welfare of an Individual; If an urgent complaint is by someone other than the guardian the guardian shall be notified within 24 hours, if applicable.

b. critical - an indirect threat on the health, rights or welfare of an Individual; and If a critical complaint is by someone other than the guardian the guardian shall be notified within 24 hours, if applicable.

c. non-critical - threats less than those described at (1)(a) and (1)(b) above.

PHOTOGRAPHIC DOCUMENTATION

Photographs may be used during an investigation as determined appropriate by ASI.

INVESTIGATION INTERVIEWS:

ASI interviews with individuals receiving services from ASI agency shall be 1:1 unless a legal representative requests to participate, ASI identifies a need for an interpreter or ASI selected advocate, or the individual requests the legal representative's presence.

ASI interviews with other parties shall be 1:1 unless ASI determines a need for ASI selected third party.

Documentation Review

- (1) ASI documentation may be reviewed as determined necessary, including:
 - a. policies;
 - b. employee files;
 - c. employee timekeeping records;
 - d. documentation of service delivery to individuals;
 - e. incident reports;
 - f. other ASI documentation as determined appropriate.

Investigation Protocol

- (1) ASI may perform one or more of the following during an investigation:
 - a. announced or unannounced visits;
 - b. interviews and taking statements;
 - c. request documentation;
 - d. other activity as determined appropriate by ASI.

Investigation Summaries

- (1) Investigation summaries, shall be completed and debriefed within:
 - a. 5 days from completion of fact gathering for urgent investigations; in situations where a complaint is urgent, the individual's guardian, if applicable, will be notified that the complaint was addressed.
 - b. 30 days from completion of fact gathering for critical investigations;

c. 60 days from completion of fact gathering for non-critical investigations.

A progressive disciplinary action will be followed, and all communication related to the complaint will be kept in the employee file.

Communication

All written communication between ASI, provider, and individual/family shall be in electronic format using email, with the exception of ASI preapproved transmissions or hard copy deliveries. Copies of correspondence will be kept in HIPPA level compliant file.

All individuals receiving services or supports from any agent of ASI shall receive complaint procedures as a part of procedural safeguards in the individual's usual mode of communication.

Additional Notifications

Notification of suspected fraud shall be provided as indicated to:

- a. the Medicaid Fraud Control Unit of Indiana; and/or
- b. the Social Security Administration Office of the Inspector General; and/or
- c. other entity as determined by FSSA.

All complaints will be reviewed and analyzed at least annual by the Executive Director and the ASI Board Quality Committee.

REFERENCES:

IC 12-12.5-1-3
IC 12-9-2-3
IC 12-11-1.1
IC 12-11-2.1

COMMUNICATION WITH PARTICIPANT / CONSUMER

All written communication between ASI, provider, and individual/family shall be in electronic format using email, with the exception of ASI preapproved transmissions or hard copy deliveries. Copies of correspondence will be kept in HIPPA level compliant file.

All individuals receiving services or supports from any agent of ASI shall receive complaint procedures as a part of procedural safeguards.

Additional Notifications

Notification of suspected fraud shall be provided as indicated to:

- the Medicaid Fraud Control Unit of Indiana; and/or
- the Social Security Administration Office of the Inspector General; and/or

- other entity as determined by FSSA.

All complaints will be reviewed and analyzed at least annual by the Executive Director and the ASI Board Quality Committee.

REFERENCES:

IC 12-12.5-1-3

IC 12-9-2-3

IC 12-11-1.1

IC 12-11-2.1

MEDICATION ADMINISTRATION (460 IAC 6-10-7)

It is the policy of the Autism Society of Indiana (ASI) that an internal quality assurance and quality improvement system is the ultimate responsibility of the ASI Board of Directors. ASI is committed to collaborating with any individual served through ASI's other service providers, case Program Directors, and other parties to ensure that information is exchanged including, but not limited to seizure management plans and behavior support plans. If the individual dies, ASI will cooperate with the provider conducting the investigation.

ASI has medication administration policies within each program policy detailing the procedures for the administration of any medications. It is ASI's general policy that no agent of the Autism Society of Indiana shall administer medication unless specifically detailed in the program policy and approved by the individual or his or her legal guardian.

- (1) ASI Employees may not administer any medications without express consent of the consumer (if over age 18) or by their parent or guardian. Medical Treatment Authorization Forms must be completed and stored in the consumer's individual file.
- (2) If medication administration is required by the consumer on a regular basis, the employee must receive training by the consumer or their parent or guardian per a written treatment plan approved by them.
- (3) All administered medications, including supplements, vitamins, over the counter medications, and prescription medications must be documented and signed by the employee. Parents or guardians must be notified that medications have been administered, and sign the medication administration form the same day.
- (4) In the case of an emergency, employees must:
 - a. Call 911
 - b. Follow individual emergency protocol, including, but not limited to asthma plans, seizure plans, diabetes plans, and the like.
 - c. Notify parent or guardian

SECTION 3 – COUNCIL ON QUALITY AND LEADERSHIP ACCREDITATION

COUNCIL ON QUALITY AND LEADERSHIP (CQL) BASIC ASSURANCES

The Autism Society of Indiana is committed to attain and maintain the presence of the CQL Basic Assurances.

Basic Assurances are the essential, fundamental and non-negotiable requirements that ASI as a service provider must ensure for the people we support. Basic Assurances demonstrates ASI's commitment to provide quality support in the areas of health, safety and human security.

ASI will follow the outlined procedures to ensure that basic assurances are present, monitored and actions are taken to correct any issues and to continuously improve the service provided to people.

Different tools, methods, procedures will be followed to collect data and information concerning the key elements of basic assurances. See Basic Assurance Monitoring Plan.

Data and information will be collected according to the specific procedures outlined for each data source. Refer to Organization Procedure Manual.

The Quality Committee (QC) will include a cross section of staff, people supported, family members, and community members who understand and are committed to the mission and vision of ASI.

The QC will meet monthly to analyze collective data and information. QC will identify any possible trends or patterns occurring across the organization. Issues needing immediate attention will be communicated to the appropriate parties. Issues requiring changes in organizational systems or practices will be incorporated into the organizational Quality Enhancement Plan (QEP).

The QEP will be shared at the annual members meeting with all stakeholders, monthly with the department directors and be made available to anyone who requests it.

Basic Assurances Monitoring Plan

Does the organization implement policies and procedures that promote rights?

Vision, Values.

- Understand of Rights – for staff, for people
- Staff Orientation Outline
- Annual Participant form
- Complaint Policy
- Education – Rights education

Organization supports people to exercise their rights and responsibilities

- Consumer handbook
- Rights literature
- Rights education file
- Consent for services
- Rights assessment
- Intake application
- PCP
- HIPPA/Release/Disclosure forms
- Speak to local and state level advocacy,

Staff recognize and honor rights

- Understanding of Human Rights – staff
- PSPI, Your Role, PCP, Core Competencies, Client Specifics
- Complaint form

Due Process requirements

- Human Rights Committee
- Rosters
- Training
- Section X of Services Policy and Procedure

Decision making supports are provided as needed

Factor 2

- a. People are treated as people first
 - PCP training
 - PSPI Curriculum
 - ASD Partners training
 - Define preferred names – in the application
 - Refer to education /external docs

- b. Respects concerns and responds accordingly
 - Complaint form/policy
 - Complaint logs
 - Say QI Committee/HRC
 - Satisfaction Survey folder
 - Annual form refer PCP, TTAP
 - Talk about RD and LT meetings

- c. Privacy
 - HIPPA/Consents
 - Policy Manual, Section VI
 - Observable privacy – day and residential programs

- d. Dignity and Respect
 - o Person Centered Plan
 - o Policy Manual – Section VI
 - o Observable conversation

- Meaningful work and activity choices
 - o Ttap example
 - o Voc. Manual
 - o Policy manual

Natural Supports

- In take application
- PCP

Organization implements policies and procedures

- Core comp training
- Policy

Support staff know how to prevent, detect and report allegations of abuse neglect

- Incident Reporting
- Refer to crisis manual
- First Aid / CPR and medication administration
- Seizure training
- Diabetes training

Factor 1: Person Centered Assessment and Discovery

(1a) People feel welcome and heard.

- Staff pay attention to the person.
- Staff listen to the person and gain an understanding of what the person has been through in their past, what the person wants their life to be like, and what services they want and don't want.
- Staff demonstrate respect for the person by listening and responding.
- Staff focus on the person over everyone else in the room.

(1b) People have authority to plan and pursue their own vision.

- The person is supported to think about what they would like their life to be like, where they would like to be in the future, and to decide what staff need to do to help them be successful.
- Staff discover what is most important to the person and what will make a positive difference to this person now, and for the future.
- Staff find out what the person really likes to do and what they do best.
- Staff empower the person to express and share their interests, hopes, dreams, worries and fears.

(1c) Assessment of needs is fair and accurate.

- The information that staff collect about the person is correct.
- Staff check with the person to make sure information is correct and that the person knows what information staff is keeping about them.
- When staff is not sure what a person really wants, they continue to find ways to learn.
- The assessment process identifies strengths, capabilities and needs.
- The person is actively engaged in the assessment and discovery process.

(1d) Assessment and discovery identify personally defined quality of life.

- Staff talk and listen to the person, and there is a sharing of information back and forth during the conversation.
- Once staff discovers what the person wants and needs, they inform the person about what funding and service provider options are available.
- Staff also talk to friends, family and others important to the person during the discovery process (if it is ok with the person).

Key Factor 2: Person-Centered Planning

(2a) Planning is person-centered.

- Staff support the person to identify the things that are most important to them and to create a vision of how they want their life to be.

- After staff find out what really matters to the person, they bring together all the right people to create a plan to support the person to achieve their dreams and goals.
- Staff support the person as much as needed to plan for and lead their own meeting.
- Staff support the person to choose what supports they want or don't want.
- Each plan is customized. There are no "canned" or "standard" plans.
- Paid and unpaid supports are identified in the plan for each person.
- Staff show the person through their actions that they are excited about creating this plan with the person, and that staff believes in the person.
- Staff help the person to see how inviting friends and family members to the meeting can be helpful.

(2b) The plan utilizes and includes natural supports and paid supports.

- The plan includes resources and things to do in the community that all other community members utilize and participate in.
- The plan includes ideas about how to get money to pay for activities and supports.
- The plan has easy to understand steps needed to get to the person's final goal.
- Paid supports are not used to replace natural supports.

(2c) Informal community resources are used.

- The plan includes ideas about people and activities that don't cost money that the person might be interested in trying (neighbors, friends, family, co-workers, places of worship, schools/colleges, businesses, libraries, clubs, volunteering, for example).

(2d) Planning is responsive to changing priorities, opportunities and needs.

- Person-centered planning is flexible. As the person's needs and desires change, so does their plan.
- When an obstacle to achieving a person's dream or goal occurs, alternative options are explored.
- Short-term supports are available in times of emergency or illness.

(2e) Planning and funding are connected to outcomes and supports, not programs.

- Staff find out what the person wants, what funds are available, what unpaid supports are available.
- Staff talk to the person about options and choices that are available.
- The person is not put into a program that is available just because it exists.
- Funds are used to create supports for each person (one person at a time).
- Funds are linked to the person, not the service.

Key Factor 3: Supports and Services

(3a) People have authority to direct supports and services.

- People do things during the day that they want to do, and things that are directly related to the goals they have chosen.
- There are no rules in place except for when a person might be unsafe or when there is no money to pay for what they want to do.

- Staff and the person discuss all rules to make sure they make sense.
- If the person doesn't agree, they have an easy way to complain and the complaint is addressed in a timely manner.
- People can say no to any/all suggestions and staff follow-up to make sure the person understands the consequences.
- There are no set times that people have to do things (bathe, eat, watch TV, use the phone, have visitors, leisure activities).
- All behavior support plans are positive and the organization checks to make sure there is information that shows whether the plan is working or not.
- The person helps develop the program, understands it and agrees to it.
- If there are any restrictions, the Human Rights committee has reviewed and the person knows exactly what they need to do to get rights back.

(3b) Supports are flexible.

- Plans are changed as needed (as people change their minds, as they meet their goals, as they age or health status changes, etc.)
- Services and supports are developed around each person.
- Supports can be started and stopped as needed for each person.
- The organization connects people to supports in the community.

(3c) Support options are accessible

- Staff explain all of the supports that are available to the person.
- If the person is nervous or afraid to do new things, the staff make sure that the person gets support to at least try new things.
- Staff make sure that the person is able to go to the places and activities that they are interested in, and if they need help it is provided.
- The organization works with community members to understand, value and welcome people.

(3d) People manage supports and providers.

- People are supported to freely choose the provider of services and can change if they want to.
- People have options to choose which staff will work with them.
- People can discontinue a relationship with a staff if they have lost trust or are uncomfortable without fear of something bad happening to them.

(3e) Supports are available in an emergency or a crisis.

- The organization realizes that people may have crisis situations and emergencies that need immediate attention.
- The organization makes sure that staff discuss these types of situations with each person and that they have input into what will happen to them if one of these things should happen (for example: aging or death of loved one, collapse of a support network, extraordinary medical or behavioral situations).
- The organization finds supports for these types of situations without resorting to institutionalization or long term hospitalizations.
- The organization should have a way of getting additional help from crisis networks, psychiatrists, psychologists, experts in the community that everybody else uses.

(3f) People can identify personal champions.

- People are supported to have a relationships with someone in their life who cares, has his or her needs at heart and will step in and help if needed.
- Organizations support people to meet possible future champions.
- Organizations support people to be with/talk to/go out with their personal champion.
- Organizations recognize the personal champion and include them as much as possible.

Key Factor 4: Community Connection

(4a) Community membership facilitates personal opportunities, resources and relationships.

- The organization helps people to meet and stay connected with friends, family, spiritual connections, and romantic relationships.
- The organization helps people to find out what their interests are, and meet other people who have those same interests.
- The organization works with other service providers as well as other community organizations that don't provide services, and helps people get connected with all of those organizations and the people who use them.

(4b) Peer support mentoring is available.

- People have the opportunity to listen to, share experiences with, offer ideas and to help others.
- People have the opportunity to be contributing members of society.
- The organization researches peer support programs and assists people to develop their own programs.
- The organization has connections with other community organizations which help people to connect with one another, make friends, and advocate for change.
- The organization helps community members, family members and friends understand the importance of providing opportunities for people to advocate on their own behalf, access peer support activities, and engage in political or advocacy efforts if they wish.

(4c) People receive information and training.

- The organization gives people information, education and training about their own situation, services and supports available, and whether or not they are eligible.
- The organization simplifies things so that people can be involved in: life planning; managing staff; being on committees; helping to develop policies; self advocacy; and managing finances/benefits/ program options, etc.
- The organization does not ask more questions about the person than necessary.

Key Factor 5: Workforce

(5a) The workforce is stable and qualified.

- The staff are able to find out what people need, and get supports in place to meet those needs.
- The organization trains the staff so they know what to do in all situations, and pays the staff fairly, including benefits.

- Staff are trained and understand that they can be flexible when working with people who change their minds about things.
- The organization gives staff opportunities for career growth.
- The organization does everything it can to recruit and hire the best possible staff with the best skills and values.
- The organization finds out about the social activities, interests, and community connections of the person being hired.
- The organization hires staff with different interests and cultures.

(5b) Practices are culturally competent.

- Staff are trained to try to understand people who may have different ideas and ways of life than they do.
- Staff show respect for people's different beliefs and ideas.
- Staff does not make fun of or judge people, or try to make people believe what staff believes.
- Staff are supported to learn about different cultures of people and assist people to celebrate their cultures and celebrate reaching their goals.

(5c) Personnel have the flexibility and autonomy to support people.

- Staff are empowered to support people and make decisions.
- Staff are valued members of the organization.
- Organizations provide staff with training in values, ethics, decision making, problem solving and negotiation.

(5d) Support for cultural/organizational change is provided.

- The organization works to transform old systems of support into person-centered support.
- The organization puts people at the center of all that they do and communicates this through their mission, vision and values.
- The organization gives everyone a chance to have a say about how the organization is doing to make everything more person centered.

(5e) Advocacy efforts promote fair and affordable provider rates and responsive payment systems.

- The organization is involved in systems-wide policy campaigns to promote fair provider rates and responsive payment systems.
- The organization works with other agencies that provide different kinds of services to different kinds of people (not just all in their own field).
- The organization helps different agencies to get together and make contacts with community leaders in local and state government to collectively advocate for a fair amount of money to provide the services.
- The organization makes sure that people receiving support are included in these advocacy efforts if they want to be.
- The organization reaches out across community networks and lets everyone know that there are long range benefits for community growth and development when organizations are paid fairly for the work that they do.
- The organization makes sure that there is proper documentation about services, supports and outcomes for people to show that the money is being used the way it should be used.

Key Factor 6: Governance

(6a) The organization's mission, vision, and values address person-centered supports.

- The Mission Statement clearly talks about the organization's commitment to person-centered supports, and states how the organization is going to make its mission happen.
- Everyone had an opportunity to give input into the mission, vision and values statements.
- Everyone knows the mission, vision and values of the organization.

(6b) Organizational practices are both person-centered and system-linked.

- The organization provides person-centered support to all people.
- The actions of the organization mirror what it says it stands for in its mission/vision/values.
- Stakeholders are invited to provide feedback about the organization's performance.
- Feedback from stakeholders is used to make changes and improvements.

(6c) People and families play meaningful roles.

- The organization actively promotes and provides opportunities for people and families to play meaningful leadership roles, including decision making and policy setting boards.
- The organization ensures that people and family members receive support to fully participate in leadership roles.

Key Factor 7: Quality and Accountability

(7a) Quality management systems are integrated.

- Systems are in place that integrate data regarding quality of life , quality assurance and quality improvement.
- Quality of life is defined from each person's perspective.
- Quality assurances are tailored to each person's needs.
- Data collected on quality of life and quality assurances drives quality improvement.
- Data is used for organizational learning and planning.

(7b) Quality of supports is measured.

- Organizations demonstrate a commitment to supporting personal outcomes.
- Organizations demonstrate a commitment to excellence.
- People, families and advocates participate in the evaluation of the quality of services provided by an organization.

(7c) Participants, families and advocates evaluate supports and providers.

- Organizations invite stakeholders to provide feedback.
- Outcomes are carefully reviewed and use recommendations to make changes in policy and practices.
- Complaint and grievance systems are easy to use, access and understand.
- All complaints and concerns are carefully reviewed and no one is punished for raising a concern.

(7d) The public is kept informed.

- The organization gives clear and simple reports to the public about what people want and need.
- This information is given about people in a group, not about each individual, so that people's personal information is kept private.
- The organization gives the public information about how it plans on using its budget to support people to get their wants and needs met.
- Information is given on a regular basis so that the public will understand how funds are spent and will want to continue funding the organization.

(7e) Personal Information remains confidential.

- People's personal information is never shared without the person's permission.

Key Factor 8: Emerging Practices in Individual budgets

(8a) People control their budget allocations.

- People have the option to manage their own service budget.
- People have the option of acting as the employer of service workers.
- People are supported to understand their funding, where it comes from and how it can be used.
- People receive education and support about their funding and are supported to manage it to the extent they choose.

(8b) Individual budgets are both fair and ample.

- Personal budgets are based on assessment.
- People are supported to make decisions about what services they choose.
- The budget is ample enough to purchase needed supports.

(8c) Budget, money and services/supports are portable.

- Funds are connected to the person, not a specific service or organization.
- People can change providers and take their funding with them.
- People are supported to redirect their funding as needed to facilitate outcome attainment.

Acknowledgement of Receipt

Every employee of the Autism Society of Indiana (ASI) must physically sign the below statement and promptly submit to the Operations Ally to verify receipt of these policies. It is the policy of ASI that any time there is an update to this manual, each employee must sign an acknowledgement that they received the revised manual.

Property of The Autism Society of Indiana
Policy Manual Version No. V1-2018

I, _____ (employee),
acknowledge receipt of this manual and that I am responsible for reading and understanding its
contents and keeping it updated.

I understand that failure to comply with the policies within this manual may result in disciplinary
procedures or termination of employment.

I further understand that my employment is at will and that this manual does not create a contract
with ASI for any purpose and that the provisions of this manual may be modified or eliminated at any
time.

Signed: _____

Date Received: _____