



FamilyTree Alternative Family Services, Inc. Employee Handbook

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Every Contractor/Employee is considered a vital part of FamilyTree. It is important that each contractor/employee understand and abide by the rules which govern all contractor/ employees in the interest of a harmonious and productive agency. The following pages outline as clearly as possible the rules, regulations, privileges, restrictions, policies and practices of FamilyTree Alternative Family Services, Inc. This handbook is not designed to cover every possible situation and is not intended to be restrictive. Common sense should dictate answers not found within. If questions arise, please discuss with the owner/QP of this agency.

FamilyTree Alternative Family Services, Inc. reserves the right to modify, change or suspend policy, practices, procedures, job duties, benefits or other conditions of a contract as necessary to meet the needs of the agency.

All contractors/employees past, present and future are employees, at the will of FamilyTree Alternative Family Services, Inc. Nothing herein shall constitute a promise of a continued contract.

The mission of FamilyTree Alternative Family Services, Inc., to provide quality services for Mentally Disabled and Intellectually Developmentally Disabled persons is broader than each of us as employees, but together we make a difference, daily in the lives of our individuals.

Thank you for your contribution to the agency.

Sincerely,

Brenda Hall
President/Owner FamilyTree Alternative Family Services, Inc.

Section 1: Agency Information

Code of Ethics

As the owner of FamilyTree Alternative Family Services, Inc. in order to provide high quality services, personal development and meaningful services to our individuals and stakeholders, we ordain and establish this code of ethics for the company and its employees and contractors.

Responsibility to Consumers/Service Delivery

- 1) In accepting an individual for services at FamilyTree, the company's personnel and contractors pledge themselves to protect and promote the interests and informed choices of the individual by making it possible to develop their ultimate potential.
- 2) With full knowledge that FamilyTree exists for the purpose of providing services to our individuals, the company's employees should strive to provide the highest level of quality services to them.
- 3) An individual should not exit the services before he/she is ready, but when ready, every effort should be made to place him/her in suitable employment or other appropriate referral.
- 4) FamilyTree personnel/contractors should strive to set a proper example for its individuals in the areas of personal development, proper social skills, and good work habits.

Responsibility to Public/Marketing

- 1) FamilyTree personnel/contractors should strive to maintain a good rapport with all stakeholders and cooperating agencies in the community.
- 2) Interested individuals are encouraged to visit the homes to acquaint themselves with the services provided.
- 3) FamilyTree personnel/contractors should promote the aims and purposes of the company through the active participation of civic, government and advocacy efforts.
- 4) FamilyTree has developed a brochure to market our services and networks with Vaya Health and other MCO's to secure appropriate referrals.
- 5) FamilyTree personnel/contractors will not misrepresent or make false claims when marketing our services to potential or existing consumers.

Responsibility to Personnel/contractors/Human resources

- 1) FamilyTree personnel/contractors should have a wide variety of background experiences and training. The individuals should be willing to impart these experiences and training to their professional counterparts and the individuals receiving services.
- 2) Unethical competition and practices should never be allowed to exist among individuals and like providers since such practices would have devastating effects on the company's mission.

Responsibility of the Owner

- 1) The owner will conduct themselves in an ethical manner at all times.
- 2) The owner will annually approve the budget, review corrective action plan for accessibility, review the performance analysis, strategic plan and risk management plan, review the insurance coverage and assure the company is utilizing current technology in order to maintain and ensure effectiveness and efficiency.

Responsibility for business and financial practices

- 1) The company business and financial practices will be conducted in accordance with solid and recognized ethical business practices, all funds will be reviewed by the Chief Accounts Manager and the Owner on a regular basis.
- 2) When funds are kept for individuals receiving services, they will be strictly accounted for to ensure the integrity of the program.

Conclusion

The name FamilyTree Alternative Family Services, Inc. should become a name that connotes utmost competence, dedication, quality, and high integrity as it pertains to the services provided to the individuals and stakeholders. Nothing should stand between the initiation of the services and conclusion of its objectives.

Commitment Statement

FamilyTree acknowledges that it is a private for profit agency whose purpose and ultimate commitment is to improve the opportunities and respond to the developmental needs of persons who are physically and mentally challenged.

FamilyTree is committed to providing quality individual service. Each employee/contractor accepts the responsibility of Commitment to Quality Work and to the Principles of Integrity and Equality of Opportunity.

Delegation of Management Authority

Management authority is the responsibility of the Owner and Operator of FamilyTree Alternative Family Services, Inc., Brenda Hall. Jeremiah McDonnell as Chief Accounts Manager and Jolien Collura will serve as supervising QP for FamilyTree.

It is the policy of FamilyTree that the contracted relationship empowers the contractor/employee, making the provision of service more of a partnership.

It is the intent of the owner that FamilyTree remain a small company serving no more than 20 individuals in order to focus on providing excellent quality services.

Corporate Philosophy

Service is our Role: We will provide the best services available to physically and mentally challenged individuals in our programs while caring foremost about their dignity and rights.

Our Founding Principle is Quality and Excellence of services to all individuals:

We strive toward excellence with all tasks.

Legal Requirements

In order to ensure program quality and operational integrity FamilyTree shall meet or exceed all related federal, state and local laws, regulations and directives. FamilyTree shall obtain and keep all licenses, permits and other documents required, current, ensuring legal compliance, as regulatory and/or governmental agencies require.

Mission Statement

FamilyTree is committed to providing services that will support and enrich the quality of life for individuals with disabilities and their families.

Research

We are not a research organization. If residents or guardians are interested in participating in research projects through another agency, we will cooperate. The resident or guardian must give informed consent, including any knowledge of potential damages and the conditions of participation. Consent is documented in the individual's record.

Use of experimental drugs or medication shall be considered research. Treatment which is not standard or conventional, involving opportunity for injury, utilizing elements not normally used is considered research.

Section II: Safety and Health

Safety Precautions

FamilyTree will strive to provide a safe environment at all-times for the individual.

In the event, that an individual or employee/contractor gets hurt, sick or requires emergency medical attention, the owners of FamilyTree/QP will make the decision based upon the individual's condition and the owner/QP's knowledge as to whether the owner/QP should transport the individual to a medical facility or whether 911 should be called and individual be transported by EMS. Anytime the individual becomes ill the individuals' physician and guardian will always be contacted. The owner/QP and any employee/contractor will be trained in CPR and First aid and will provide any care that is needed until the EMS arrives or the injury/accident/emergency is taken care of.

Fire and Disaster Plan

The building/home shall have posted, in a conspicuous area, a Fire Evacuation Plan approved by the local fire marshal.

The building/home shall have operable fire extinguishers displayed in the kitchen and bedroom areas for easy access.

The building/ home shall have operable smoke detectors in every bedroom and hallway

The building/ home shall have basic first aid supplies accessible for use.

There is no smoking in the Building, or home. All smoking must be outside in a designated smoking area. Cigarettes will be disposed of properly.

Safety during violent situations

In case of a violent situation the individual will be instructed to leave the area and 911 will be called.

De-escalation tools/training of the situation will be used until law enforcement officials arrive. Once the area is deemed safe the individuals will be notified they are returning to the area. Always handle the situation safely and cautiously. Utilize emergency numbers posted when needed, and **always notify the QP of FamilyTree.**

Safety Precautions for Agency

Policy: It is the policy of FamilyTree Alternative Family Services, Inc. that all employees and contract agents are aware of fire evacuation plans including the location of the evacuation plan and the evacuation route. FamilyTree Alternative Family Services, Inc. requires monthly emergency drills that will be documented on the emergency drill log for all AFL Homes. For 24-hour services, fire and tornado drills must be completed for each shift. FamilyTree Alternative Family Services, Inc. will develop safety plans that apply to a given specific individual situation during the Admission Assessment. The details will be developed and documented on the Admission Assessment and appended to the specific Policy and Procedure manual in the possession of the AFL/service provider(s).

Transportation

Anyone who transports a consumer/consumers must have a valid Driver's license, adequate car insurance, first aid safety supplies in the vehicle and the vehicle and safety equipment must be in good working order. Prior to driving, all contractors/staff of FamilyTree Alternative Family Services, Inc. must have completed a background driving record check. The consumer/consumers are to be in seat belts, at all times, when they are in a moving vehicle unless a medical problem prevents the use of seat belts. Emergency information on each individual is in the vehicle binder. This information will include individual diagnosis, legal guardian, current medications, allergy information, social security number, family physician, Medicare/Medicaid card or numbers, FamilyTree emergency contact, Care Coordinator's name and phone number and individuals' address and phone number.

Each vehicle used for the individual's transportation will contain first aid supplies, communication device (cell phone), and road warning equipment. In the winter, weather hazard equipment will be maintained in each vehicle. The following will be kept in the car as emergency supplies for winter:

- Flashlight and extra batteries
- Blanket or sleeping bag
- First aid kit
- Windshield scraper
- Extra washer fluid
- Booster cables

In case of vehicular accident

If it is a minor accident and there are no apparent injuries, the contractor/staff will contact law enforcement and the QP. The contractor/staff will inform law enforcement of passengers' disabilities involved. The contractor and the QP will determine individuals' need for medical services. All Legal Guardians will be notified of the accident in case of injury.

In case of injury, contractor/staff will contact 911, administer first aid/CPR as needed until EMS arrives and assume passenger care. Contractor/staff will provide emergency medical release forms, and then the contractor/staff will contact QP. QP will contact legal guardians and case managers. The incident report will be completed in a timely manner. QP, employee and legal guardians, will determine the appropriate hospital.

Chemical Restraints

Chemical restraints will only be utilized upon physician's order and will not be used excessively, as punishment, for convenience of contractor/DSP, as a substitute for activities or treatment, or in quantities that interfere with an individuals' habilitation.

PROCEDURE

1. Chemical restraints will be ordered by the physician with input from the team, when appropriate.
2. In emergency situations, the physician may order a chemical restraint without prior approval of the individuals' parent/Legal Guardian.
3. When possible, prior approval should be obtained from the individuals' parent/Legal Guardian.
4. Parent/Legal Guardian will be notified of the use of chemical restraint within 24 hours of administration.
5. Documentation of all medication administered will be made in the individuals' record.
6. Contractor/ staff will be trained during medication administration class to monitor for medication side effects.
7. The physician and team review all medications annually.

Restraint

De-escalation tools/training of the situation will also be used. If this does not get the situation under control and the employee/contractor has been trained and is certified in **NCI + - Restrictions**, these measures may be used. Contact QP as soon as the situation is under control for further instructions. If the situation continues to escalate, call 911 and the QP once 911 arrives. QP will contact the guardian.

Updated 4/01/2018, 01/01/2021

Drug and Alcohol Policy

The use, sale, purchase, manufacture distribution or dispensing of illegal drugs on FamilyTree property is cause for immediate discharge.

It is against FamilyTree policy for any employee/contractor to report to work or to report to work with the presence of illegal drugs in the employees body. Employee's/contractors who violate this policy are subject to immediate dismissal. Refusal to submit to, efforts to tamper with, or failure to pass a drug test will result in discharge of employment.

Alcohol Policy

It is against the policy of FamilyTree Alternative Family Services, Inc. to report to work while under the influence of alcohol or be under the influence of alcohol while in the presence of clients. All employees will be considered under the influence when the judgment of the employees' ability to perform the job safely and effectively is affected by use of alcohol.

Weapons

Regardless of your personal firearm permit, firearms or weapons of any kind are strictly prohibited on FamilyTree property. Weapons are considered to be firearms, switchblade knives, explosives, dangerous chemicals, chains or any other object carried for the apparent purpose of injury or intimidation. It is the policy of FamilyTree that at no time when members/individuals are present, will weapons of any kind be allowed. In residential placements all weapons must be locked in a safe, at all times. If visitors have weapons they must be locked in a vehicle at all times.

Employees who possess a weapon on FamilyTree property or in the presence of people we serve, are subject to immediate dismissal.

updated 4/1/2020

Smoking

FamilyTree prohibits smoking in any building, home or vehicle where individuals receive services. Smoking is never permitted around individuals we serve unless said individual is a smoker. This includes the use of Electronic cigarettes (E-Cigarettes)

Blood-Borne Pathogens & Covid-19

All employees and contract providers shall use *Universal Precautions* to protect themselves from infectious diseases, especially ones that are contracted by contact with bodily fluids that may contain blood. The AIDS virus and Hepatitis B are contracted through contact with blood and other bodily fluids. Covid-19 is contracted through droplets and aerosols. Universal Precautions is the term for infection control measures that all healthcare workers should follow to protect themselves from infectious disease. The Occupational Safety and Health Administration (OSHA) requires workers who might come into contact with blood and other bodily fluids such as sneezing, coughing, stool, urine, vomit, and draining wounds, to practice the following:

Hand washing is required:

- after toileting
- sneezing or coughing
- after handling bodily fluids of any kind
- before and after giving First Aid
- after cleaning up spills or objects containing body fluids
- after taking off disposable gloves

Latex Gloves should be worn by all people

- When they come into contact with body fluids of any kind.

- when individuals have cuts, scratches, or rashes which cause breaks in the skin of the hands

Remember: wearing gloves does not mean that you don't have to wash your hands!

Environmental Disinfecting

- should be done regularly and as needed
- means cleaning personal items, surfaces and diapering areas with bleach solution
(1 tablespoon of bleach per quart of water made fresh daily)
- Blood spills or objects with blood on them need a stronger solution of ¼ cup of bleach to 2 ½ cups of water

Proper Disposal of Materials

- Materials soaked or caked in blood requires double bagging in plastic bags that are securely tied. If washing items, wash separately from other items.
- Sharps containers are used to dispose of lancets and/or syringes

FamilyTree will provide initial and annual training on blood borne pathogens, encourage Covid-19 vaccinations, pay for the *Hepatitis B* vaccination and an exposure kit when needed.

The state of North Carolina does not require FamilyTree to have employees or members vaccinated to be a part of our agency, however we do recommend Hepatitis B, Covid series and periodic TB testing..

Post Exposure Procedures:

The following procedures are to be followed after an exposure to blood, Covid or other potentially infectious materials. Exposure will be limited to emergency situations as all contract providers and employees have been trained and will follow universal precautions.

If it is uncertain whether an exposure has taken place, proceed with this set of instructions until a determination can be made.

Covid Exposure:

A possible exposure to Covid-19 is defined as anyone who has had close contact with someone with Covid-19. If someone who has had close contact with someone with Covid-19, they should get tested 3-5 days post exposure and stay home for 14 days after their last exposure to that person. (Criteria changes frequently, FamilyTree will follow most current CDC Guidelines) However, anyone who has had close contact with someone with Covid-19 and who meets the following criteria does not need to stay home.

- Someone who has been fully vaccinated and shows no symptoms of COVID-19. However, fully vaccinated people should get tested 3-5 days after their exposure, even if they don't have symptoms and wear a mask indoors in public for 14 days following exposure or until their test result is negative.

Or

- Someone who has COVID-19 illness within the previous 3 months and
- Has recovered
- Remains without COVID-19 symptoms (for example, cough, shortness of breath)

updated 4/1/2020

Hepatitis B

A possible exposure is defined as any cut, puncture or other percutaneous entry; a splash to a mucous membrane or eye or other contact with blood or other potentially infectious materials on skin that is a result of carrying out your duties as a contract provider/employee.

The following procedures will be followed in case of possible exposure: After a mucous membrane or eye splash or skin exposure: Immediately wash skin generously with soap and water. Flush mucous membrane or eyes with water only. Contact your immediate supervisor within 24 hours to report the incident.

Exposure Reporting Procedures

If an exposure occurs such as contact with broken skin (cuts, scratches, rashes, broken skin) or mucous membranes (mouth, eye or nose), it must be reported to the QP immediately. The incident will be documented & placed in the contractor's file.

Missing or Eloped Individuals

All individuals will have elopement risk identified during intake. If determined to be a risk, the team will meet to determine any extreme supervision needs and requirements.

All individuals will be closely monitored during waking hours. Night checks will be as needed and as determined by the team and identified in the plan of care.

If an individual is found to be missing from a service location, a thorough search of the area will be done. If the individual is not located in 15 minutes, 911 will be called along with the QP and the guardian. When possible, the Care Coordinator will also be called. Once Emergency Personnel is involved, they are responsible for calling in additional help, setting up a center, etc. Contractor/ staff is to follow the directions of the Emergency Personnel and stay in touch with the family and agency management.

Contractor/staff who were responsible for the individual, will complete the incident report and follow all timelines for reporting to CC, family/legal guardian, QP and Local Management Entity.

The team will meet to review the member/individual needs and additional safety measures.

Incident Reporting

FamilyTree owner/QP will follow all guidelines for incident reporting as required by NC Mental Health. An incident can be defined as, but not limited to: medication error, accidents, injury, and serious/unusual behavior. The incident report will be completed within 24 hours and the Guardian and Care Coordinator will be notified of any unusual incidents within 24 hours and the incident will be reviewed/discussed with the Care Coordinator within the 24 hours. Incidents are also reviewed by the Human Rights Committee on a quarterly basis.

Section III Individuals Rights

Individual Rights/Information

The contractor/staff shall promote and protect the civil rights of the Individual, at all times. The rights will be restricted only as a last resort to protect health and safety. Rights will never be restricted as retaliation or in a manner to cause harm or abuse. If the team agrees that a right will be restricted the individual and the guardian must be given timely notice and the opportunity to refuse the planned intervention.

The program will provide service using the least restrictive, most appropriate and effective positive treatment modality possible. The use of restrictive intervention procedures designed to reduce a behavior shall always be accompanied by positive treatment methods which will include deliberate teaching and reinforcing non-injurious behavior, enriching the education and social environment and changing conditions related to self-injury.

Consumer's rights will be reviewed with the consumer at least annually. Unless deemed incompetent, each Individual has the same rights as any other citizen of N.C. to exercise all civil rights, including disposing of property. Executing instruments, make purchases, enter into contractual relationships, register and vote, bring civil actions, marry and divorce.

Contractor/staff will never restrict these rights.

- 1) The right to receive age appropriate treatment for their needs
- 2) The right to be free of unnecessary or excessive medication or medication used for punishment, discipline or employee convenience.
- 3) The right to give and withdraw consent for treatment and service (unless they have been adjudicated incompetent, in which case the appointed legal guardian is responsible).
- 4) The right to retain and exercise the same civil rights as any other citizen at all times.
- 5) The right to be free from physical restraint or seclusion.
- 6) The right to treatment for and prevention of physical elements.
- 7) The right to retain her own physician, attorney and private therapist/service providers, though this may need to be at her own expense.
- 8) The right to contract and consult with an Individual's advocate.
- 9) The right to make and receive confidential phone calls.
- 10) Have visitors
- 11) Right to communicate with individuals of their own choosing, according to the circumstances needed to assure safety and well-being.
- 12) The right to make visits outside the residence. Supervision may be needed to promote safety and well-being.
- 13) The right to be outdoors daily and to have access to exercise/ equipment/facilities.
- 14) The right to keep and use personal clothing and possessions except as prohibited by law.
- 15) The right to participate in religious worship.
- 16) The right to keep and spend their own money.
- 17) The right to have access to locked storage space for private use.

Violation of these Individual rights will be grounds for dismissal.

Search and Seizure

Each individual shall be free from unwarranted invasion of privacy; however, we reserve the right to conduct a search of the consumer or his/her living area under the following conditions:

- a) If there is reasonable suspicion of possession of property belonging to another individual.
- b) If the individual has possession of substances or objects which may result in danger to that participant or others, including weapons, prescribed or not prescribed medications or illegal substances.
- c) A search will be implemented only if the consumer is 1.) unavailable and at least phone contact has been attempted with Legal Guardian/next of kin or 2.) the individual will not voluntarily forfeit the possession of property in question and 3.) in the presence of a witness. At no time will the contractor/staff touch an individual.

d) Seizure of property that is subject of a search will occur if the individual does not forfeit possession of property in question or in the absence of the residence the unsecured objects would result in immediate harm to other consumers.

e)The Legal Guardian will receive a written report of any search and or seizure. Disposition of seized property will be determined by the Legal Guardian and the owner of FamilyTree Alternative Family Services, Inc.

f)Documentation will include

- Scope of search
- Reason for the search
- Procedure followed
- Description of property seized
- Account of disposition of seized property.

Abuse, Neglect, and Exploitation

All contractors/staff shall protect consumers from harm, abuse, neglect, exploitation, retaliation and humiliation. No contractor/staff shall subject an individual to any sort of abuse or neglect. All reports of alleged abuse, neglect, exploitation, humiliation, and retaliation will be investigated. All instances of alleged or suspected abuse, neglect or exploitation will be reported to the county Department of Social Services. Any violation by a contractor/individual is grounds for termination. Consumers may have an outside advocate who is not directly involved with their care act as an advocate for that participant. Definitions of abuse, neglect, and exploitation are as follows:

Abuse

Physical Abuse

1. Physical abuse includes, but is not limited to, the following examples: contact such as striking, hitting, kicking, slapping, pinching, pulling hair, biting, dragging, spitting, and groping an individual with intent to inflict physical discomfort. Contact is defined as being made with the employee/contractor's own body or with an object, such as a fly swatter, shoe, belt, mop handle, etc.

2. Physical abuse also includes causing another person (individual, volunteer, and contractor/staff) to strike, hit, or otherwise inflict physical discomfort on an individual.

Emotional Abuse:

Emotional or psychological abuse includes verbal abuse, such as using profane or vulgar language, or other inappropriate language with an individual for the purpose of inflicting embarrassment, belittlement, ridicule, or otherwise emotionally damaging consequences on an individual.

Sexual Abuse

Sexual abuse includes employee/contractor engaging in any sexual activity with an individual.

Corporal Punishment:

"Painful stimulus to the body in an attempt to terminate behavior or as a penalty for behavior, other than when applied as a part of a systematic behavior modification program that involves the use of noxious or aversive stimulation and meets all applicable standards." (ACMRDD 9-77 standards)

Abuse does not include:

1. Inflicting temporary discomfort on the individual when such action is planned and is part of a well-documented treatment program;
2. Injury accidentally sustained by an individual in self-protection or protection of others;
3. Injury known to be caused by unavoidable accidents or other true interventions.

II. Neglect:

Any situation in which the contractor/staff do not carry out duties or responsibilities which in turn affect the health, safety, or well-being of an individual. Neglect further refers to the failure of a contractor/employee to act spontaneously in any situation, which might adversely affect the health, safety, or well-being of an individual.

A. Examples of neglect include, but are not limited to, the following:

1. Neglect is inadequate supervision of the consumer or failure to control the situation such as failing to help who has fallen; leaving unattended while assigned to be with them; allowing individual to roam when they are scheduled for activities or class; failing to help another employee/contractor who is in the process of intervening with an individual and requesting help; failing to intervene in a situation in order to prevent possible harm or injury to the individual, etc.
2. Neglect is failure to assure prompt medical care such as allowing an individual to bleed and not seeking medical aid; failing to appropriately report injuries, knowing an individual is ill and failing to seek medical attention or report the illness, etc.;
3. Neglect is failure to assure essential health care related services, such as toileting, bathing, or tooth brushing; failing to provide adequate or appropriate clothing according to the size or age of the individual or the weather; or failure to assure the individual is receiving adequate nutrition, etc.;
4. Neglect is failure to implement programs, as designed by the individual interdisciplinary team, such as failing to implement an approved protective device or behavioral restraint, etc.;
5. Neglect is failure to allow toileting and range of motion movement specific to restraint for ten-minute duration every two hours when an individual is in restraint.

Neglect does not include:

1. Situations where injuries or incidents occur to one individual, while the contractor/staff is in the process of intervening with other individuals and is in the process of carrying out his/her assigned job responsibilities.
2. Situations where injuries are sustained by an individual as the result of an unavoidable accident or other true interventions.

Exploitation:

The improper use of an individual and/or their resources for another's profit or advantage.

Examples of exploitation include, but are not limited to:

1. Borrowing money, clothing, or other personal possessions from individual;
2. Taking or borrowing items, which have been donated for individual use?
3. Using individuals to perform labor without adequate compensation.
4. Goods or services may not be sold or purchased without approval of the owner.
5. Taking professional business ideas, originally from the individual and their staff, therefore make a successful business of their own from it, without giving credit due to the individual.

Humiliation:

To make a person feel very ashamed.

Examples of humiliation include: name calling, making fun of, and reprimanding in front of others.

Retaliation:

To get revenge

Examples of retaliation include: punishing someone for reporting an incident.

Medications**MEDICATION REQUIREMENTS****Medication Dispensing**

(1) Medications shall be dispensed only on the written order of a physician or other practitioner licensed to prescribe.

(2) Dispensing shall be restricted to registered pharmacists, physicians, or other health care practitioners authorized by law and registered with the North Carolina Board of Pharmacy. If a permit to operate a pharmacy is not required, a nurse or other designated person may assist a physician or the other health care practitioner with dispensing so long as the final label, container, and its contents are physically checked and approved by the authorized person prior to dispensing.

(3) Methadone for take-home purposes may be supplied to a individual of a methadone treatment service in a properly labeled container by a registered nurse employed by the service, pursuant to the requirements of 10A NCAC 26E. 0306 Supplying of methadone in Treatment Programs by RN. Supplying Methadone is not considered dispensing.

(4) No stock of prescription medications will be available.

Medication Packaging and Labeling

- (1) Non-prescription drug containers not dispensed by a pharmacist shall retain the manufacturer's label with expiration dates clearly visible.
- (2) Prescription medications, whether purchased or obtained as samples, shall be dispensed in tamper-resistance packaging that will minimize the risk of accidental ingestion by children. Such packaging includes plastic, or glass bottles/vials with tamper-resistant caps, or in the case of unit of use packaging, a zip lock bag may be adequate.
- (3) The package label of each prescription drug dispensed must include the following:
 - the individuals' name
 - the prescriber's name
 - the current dispensing date
 - the name, strength, quantity and expiration date of the drug
 - the name, address and phone number of the pharmacy
 - the name of the dispensing practitioner

Medication Administration

Employee/Contractor trained in medication administration according to current state policy will only administer medication.

- (1) Prescription drugs shall only be administered to an individual on the written order of a person authorized by law to prescribe drugs.
- (2) Medications shall be self-administered by the individual only when authorized in writing by the individual's physician.
- (3) Medications, including injections, shall be administered only by licensed persons, or by persons trained by licensed persons, or by unlicensed persons trained by a registered nurse, pharmacist or other legally qualified person and privileged to prepare and administer medications.
- (4) A Medication Administration Record (MAR) of all drugs administered, to each individual, must be kept current. Medications administered shall be recorded immediately after administration. The MAR is to include:
 - The individuals' name
 - The name, strength, and quantity of the drug
 - Instructions for administering the drug
 - Date and time the drug is administered
 - Name or initials of the person administering the drug
- (5) Individual requests for medication changes or checks shall be recorded and kept with the MAR file followed up by appointment or consultation with a physician.

Medication Disposal

- (1) All prescription and non-prescription medication shall be disposed of in a manner that guards against diversion or accidental ingestion.
- (2) Controlled substances shall be disposed of in accordance with the North Carolina Controlled substances Act, GS 90 Article 5, including any subsequent amendments.

Medication Storage

All medication shall be stored:

- (1) in a refrigerator, if required, between 36 and 46 degrees F. If the refrigerator is used for food items, medications shall be kept in a separate locked compartment or container separately for each consumer
- (2) No controlled substances will be stored.

Medication Errors

Drug administration errors and significant adverse reactions shall be reported to the physician or pharmacist immediately. An entry of the drug administered and the drug reaction shall be properly recorded in the drug record. An Individual's refusal of a drug shall be charted.

Medication Purchase

Medications will be purchased from pharmacies that are open 6 days a week. Providers will ensure that meds are ordered in a timely manner to prevent lapse in administration of meds.

Transportation and delivery

Providers will pick up medications from the pharmacy and immediately place them in individuals' locked storage or medications can be delivered by the Pharmacy and follow the same protocol when arriving at the home/facility.

Offsite Use

When individuals are going to respite or home for visits, medications will go in the original bottles to be placed in respite providers locked storage. Respite providers will provide MARs to be included in respite for the individuals' record.

When on vacation or outing during medication administration, the provider will take the medication to be dispensed in a locked container along with MAR to be completed with administration. If medication needs to be refrigerated the medication will be transported in a locked cooler with ice packs.

Section V: Program Descriptions and Documentation Requirements

Program Description

FamilyTree Alternative Family Services, Inc. is a privately owned company located in Henderson County, N.C. We provide a comprehensive array of services to adults with a documented Intellectual developmental disability and/or Mental Health diagnosis. The goal of our efforts is to support areas of need, enhance competencies and promote independence. All of the programs, training and instruction are coupled with elements of support, supervision, and engaging participation to reflect the natural flow of training, practice of skills, and other activities as they occur during the course of the person's day.

The owner and all contractors/employees are well qualified and meet all state requirements for Direct Support Staff. FamilyTree will implement the individualized services identified in each person's Individual Service Plan (ISP) as written by the Care Coordinator and agency QP. The employee will strive to create opportunities for individuals to make informed decisions and exercise control over their lives. All services will be Person Centered and will follow the (ISP) to meet the individuals' needs. Each job description will be updated and reviewed, during the employee annual evaluation; based on performance appraisal of expectations for their specific jobs. The following services are offered.

Residential Services will include:

1. **Domicile:** A home that has a family environment is safe, clean, accessible, and private and supports each resident with a sense of belonging and ownership. If more than 1 resident resides in the home, the home will be licensed with N.C. Division of Facility Services. Each resident will have their own private room, which they will be encouraged to decorate as they choose with their personal belongings.
2. **Meals:** Wholesome and nutritious food will be served family style and the residents will participate in the menu planning, grocery shopping, meal preparation, and cleanup. All residents and the Assisted Family Living (AFL) providers will eat together.
3. **Skill Enhancement training:** Supervised care and training in all the activities of daily living including but not limited to hygiene, dressing, cooking, exercise, house cleaning, shopping, self-advocacy, leisure activities, social skills consistent with the individual's ISP.
4. **Budgeting:** Assistance in managing personal finances within one's means. Client will maintain his or her own personal money.
5. **Community outings/Community Awareness:** Contractor/staff supported access to community resources include shops, church, movies, bowling, restaurants, friends, relatives, library, special Olympics, festivals, plays, concerts etc.
6. **Health Maintenance:** Ongoing monitoring of each person's medical well-being including health care liaison, coordination of medical and psychological appointments, and help skills training.
7. **Human Sexuality training:** Health related training in proper grooming techniques, appropriate language, modesty, abuse avoidance, personal limit setting, and if indicated the dangers of sexually transmitted diseases.

8. **Self-preservation:** Training and experience in emergency evacuation, phoning for assistance, fire prevention, home safety and community safety.
9. **Transportation:** To outings, appointments, recreational activities, etc.

Residential Supports is a blended service that includes habilitation, personal care, and support, therefore all areas shall be addressed. Personal care and support will be addressed on the grid for documentation.

Payments for Residential Supports are not made for room and board. Payments will not be made for the routine care and supervision that would be expected to be provided by a family or for activities for which payment is made by a source other than Medicaid. Payments for Residential Supports do not include payments made, directly or indirectly to members of the individual's immediate family. For the purpose of the waiver, immediate family means parent, step parent or spouse.

Documentation

Documentation will be entered in the web based Therap app and will include full date the service was provided, goals that are being addressed, a number or letter as specified in the key which reflects the intervention/activity: a number or letter as specified in the key which reflects the assessment of the consumers progress toward goals: duration, when required and initial of the individual providing the service. Each entry shall be completed in a timely manner with the signature of the Direct Care Provider (DSP) and the title DSP after the signature. Initials shall correspond to a signature on the signature log section at the bottom of the page.

Respite activities provide periodic relief for the parent or primary caregiver (a person principally responsible for the care of the individual) on an interim basis. It may not be used as a daily service in treatment planning. This service may be provided in the individual's home or in an out of home setting. The provision of respite care in terms of amount and location will be based on the individual's need and may include day and overnight services. Respite does not include medical transportation and may not be provided during medical transportation and medical appointments. Respite should not be provided to an individual when the individual is home for the purpose of a family visit. Private home respite services outside their private homes are subject to licensure when 2 or more individuals are served concurrently. Respite services may not be used for individuals who are living alone, with a roommate, in a licensed group home or adult care home. Contractor/staff sleep time is not reimbursable only awake time as written into the ISP. Respite services are only provided for the individual, not their other family members unless Group Respite is specified in the ISP. Any person who resides in the individual's primary place of residence does not provide respite. The cost of 24 hours of respite care cannot exceed the per diem rate for the average community ICF-MR facility and FFP will not be claimed for the cost of room and board. Respite may not be provided at the same time of day that a person receives Adult Day Health, Day Supports, Community Living and Supports, Residential Supports, Personal Care, Supported Employment, Community Networking or transportation.

Documentation

Date of service, duration of service, task performed, and signature are required to be documented daily to reflect the respite provided.

Community Living and Support are provided in the individual's own home, his/her family home and in the community. The supports that may be furnished to an eligible individual consist of the following: habilitation training, incidental personal assistance aimed at promoting the individual's acquisition, retention, or improvement of their skills in a variety of areas that directly affect one's ability to reside as independently as possible. These interactions are designed to achieve outcomes identified in the Individual Service Plan.

Skill development includes:

1. Self-care: training or assistance in daily activities that enable a person to meet basic life needs such as food, hygiene, appearance, and health.
2. Independent Living: Training in activities that enable a person to participate in a full and varied life in the community such as meal preparation, home management, cleaning, shopping, laundry, home and community safety, decision making, coping skills, community resource utilization etc.
3. Mobility: Training in activities that enable a person to move from one place to another in the home and community such as gross motor skills, fine motor skills, transfers, independent travel skills, and access to public transportation.
4. Socialization: Training in activities that enable a person to acquire new behaviors, increase fluency of skills, promote generalization of skills, and prevent regression of skill development and be socially accepted.
5. Self-Direction: Training in activities that enable a person to manage and control their personal life such as decision-making, initiation, and follow through of appointments and self-protection skills.

Transportation is provided as identified and needed for the accomplishment of goals and objectives established in the Individual Service Plan.

Documentation

The Therap App (web based) will be used for documentation and will include full date the service was provided, goals that are being addressed, a number or letter as specified in the key which reflects the intervention/activity: a number or letter as specified in the key which reflects the assessment of the consumers progress toward goals: duration, when required and initial of the individual providing the service. Complete signature with title (DSP) will be written at the bottom of the page before submission.

Community Networking services provide individualized day activities that support the waiver member in providing a meaningful day in an integrated community setting, with persons who are not disabled. If the member requires paid support to participate/engage once connected with the activity, Community Networking can be used to refer and link the individual. This service is provided separately and apart from the member's primary private residence, other residential living arrangement, and/or the home of a service provider. These services do not take place in licensed facilities and are intended to offer the member the opportunity to develop meaningful community relationships with non-disabled individuals. Services are designed to promote maximum participation in community life while developing natural supports within integrated settings. Community Networking services enable the members to increase or maintain their capacity for independence and develop social roles valued by non-disabled members of the

community. As the member gains skill and increases community connections, service hours may fade.

Community Networking service consist of:

- a. Participation in adult education (College, Vocational Studies and other educational opportunities.)
- b. Development of community-based time management skills.
- c. Community -based classes for the development of hobbies or leisure/cultural interests;
- d. Volunteer work;
- e. Participation in formal/informal associations and/or community groups;
- f. Training and education in self-determination and self-determination and self-advocacy;
- g. Using public transportation;
- h. Inclusion in a broad range of community settings that allow the beneficiary to make community connections;
- i. For children, staffing supports are covered to assist children to participate in day care/after school summer programs that serve typically developing children and are not funded by Day Support;
- j. Payment for attendance at classes and conferences is also included.
- k. Payment for memberships can be covered when the beneficiary participates in an integrated class; and
- l. Transportation, when the activity does not include staffing or self-advocacy activity. Payments for transportation are an established per trip charge or mileage.

This service includes a combination of training, personal assistance and support as needed by the beneficiary during activities. Transportation to/from the member/beneficiary's residence and the training site(s) is covered.

Payment for attendance at classes and conferences is also covered.

Exclusions

This does not cover the cost of hotels, meals, materials or transportation while attending conferences.

This service does not cover activities that would normally be a component of a member/beneficiary's home/residential life or service.

The waiver beneficiary may not volunteer for the Community Networking service provider. Volunteering may not be done at locations that would not typically have volunteers (examples are hair salon or florist) or in a position that would be a paid position if performed by an individual that was not on the waiver.

This service may not duplicate or be furnished/claimed at the same time of the day as Day Supports, Community Living and Supports, Residential Supports, Respite, Supported Employment or one of the State Plan Medicaid services that works directly with the member/beneficiary.

This service does not pay for overnight programs of any kind.

Classes that offer one-to-one instruction are not covered.

Classes that are in a nonintegrated community setting are not covered.

Documentation

Therap App will be used to record data with response to goals and a short note describing the activity and consumers response.

Supported Employment is paid employment for persons with developmental disabilities for whom competitive employment at or above minimum wage is unlikely and who because of the severity of their disabilities need intensive on-going support to perform in a work setting. Supported Employment is conducted in a variety of settings; particularly work sites in which persons without disabilities are employed. Supported employment includes activities needed to sustain paid work by individuals receiving waiver services, including supervision and training. The purpose of the program is to assist the individual in obtaining and maintaining employment. A direct care contractor/staff will work side by side with the client providing encouragement, guidance, and prompts.

When supported employment services are provided at a work site in which persons without disabilities are employed, payment will be made by Medicaid only for the adaptations, supervision and training required by individuals receiving waiver services as a result of their disabilities and will not include payment for the supervisory activities rendered as a normal part of the business setting. The services are not available under a program funded by N.C.

Vocational Rehabilitation.

Transportation will be provided between the individual's place of residence and the work site as a component of the services. This cost is included in the rate paid to the provider.

FFP (Federal financial participation) will not be claimed for incentive payments, subsidies, or unrelated vocational training expenses as the following: 1) incentive payments made to an employer to encourage or subsidize the employers participation in a supported employment program.2) Payments that are passed through to users of supported employment programs or 3) payments for vocational training that is not directly related to an individual's supported employment program.

Supported Employment will be reviewed every six months for achievement of outcomes in the Individual Service Plan. This service may not be provided at the same time of day that a person receives Day Supports, In-Home Intensive Support, In-Home Skill Building, Personal care, Respite.

Documentation

Therap App will be used for documentation and will include goals that are being addressed, a number or letter as specified in the key which reflects the intervention/activity: a number or letter as specified in the key which reflects the assessment of the consumers progress toward goals: duration, when required and initial of the individual providing the service. Signature including title (DSP) will be signed at the bottom of the page before submission.

Section VI Personnel Requirements

Personnel Response to Legal Action

Subpoenas:

Any employee receiving a subpoena should immediately contact the agency QP. Together they will discuss the subpoena requirements and determine if other actions are needed, i.e. consent from the guardian to release information. If necessary, the agency attorney will be contacted to provide guidance.

Investigations:

All contractors and employees of FamilyTree are required by law to report any suspected abuse or neglect or exploitation of the individual. If a contractor/employee reports to DSS or DFS, they should also report to the QP so that an internal investigation can be started. The agency will complete its own investigation and will assist any governing body, such as DSS or DFS in any investigation they are completing.

Any other investigation, such as a police investigation into something other than the above will be reported immediately to the QP. The QP will contact the agency attorney for advice if needed.

Search Warrants

If any personnel are presented with a legal search warrant, they will cooperate but will also immediately contact the QP to be present during the search.

If any of these are related to a specific individual, the QP will contact the family, the case manager and the area authority to inform them of the situation.

Personnel Requirements

It is the policy of FamilyTree that all contractors and employees are qualified to perform the duties of their position as mandated by Medicaid Services Guidelines Rule T10.14V.0201.

- 1) Applicant, at the time of hire, must be in full compliance with the minimum qualifications and requirements mandated by FamilyTree, for the position applied for.
- 2) Individuals applying for positions requiring specific backgrounds, relevant work experience, and or license must provide appropriate documentation of such upon hire and must maintain these qualifications/licenses as necessary to the position.
- 3) Management employees will be responsible for verifying credentials and qualifications of all contractors/employees under their supervision. Written verification is needed for all licenses, registrations, and certifications of professional contractors/staff. The QP will maintain copies of relevant licenses, registrations, etc.

- 4) All employees that are not qualified professionals (QP) and provide direct care services shall be supervised by the QP.
 - a) A plan for supervision of service delivery shall be developed and maintained.
 - b) Clinical supervision shall occur between QP and employee on an individualized basis at least monthly.
 - c) Topics covered will include but not be limited to: documentation of services provided, relevant and/or needed training, personnel issues and individuals' behaviors.
 - d) Supervision plan and logs will be maintained by QP and will be available for review, upon request by area LME.
- 5) All employees will sign and comply with an Individual Rights Statement; ensuring rights of the individual will be protected, as mandated by area LME as well as FamilyTree policy.
- 6) All employees will complete a job application for the position desired and verification of at least 2 (if available) previous employers and 3 personal references will be documented and kept in personnel file.
- 7) All employees will submit to a Criminal Records Check. This shall cover the date of hire through the previous 5 years.
- 8) All employees will sign and agree to comply with all rules and regulations set down in the drug and alcohol policy as well as the policy regarding the possession of weapons.
- 9) All employees will sign and comply with current confidentiality and HIPAA standards as mandated.
- 10) A current job description of duties performed and required by the position shall be signed by the employee and their QP. This shall be kept in the personnel file.

Training in the following areas will be required for each DSP employee providing Medicaid services to the individual:

- a) Individual rights
- b) Abuse, neglect, exploitation
- c) Confidentiality-HIPAA
- d) Blood borne Pathogens/Universal Precautions, annually
- e) Interaction and Communication Strategies
- f) Incident/Accident reporting
- g) Role/Purpose/Philosophy of services
- h) Type of service and required documentation
- i) Overview of Developmental Disabilities
- j) Person Centered Planning
- k) CPR/First Aid CPR, every 2 years
- l) Medication Administration training
- m) NCI+ annually
- n) Cultural Competency
- o) NADSP (National Alliance Direct-Support Professionals):DSP Code of Ethics and Core Competencies
- p) DSP Team Training Meeting (Monthly and/or Quarterly)
- q) THERAP electronic documentation training
- r) A Health Care Registry Check annually

s) A criminal record check – every 3 years

t) A driving record check on all employees that will transport individuals. Employees, who transport members are required to maintain adequate insurance on their vehicle, the vehicle in good operation and a valid North Carolina driver's license. Verification of driving eligibility will be placed in the personnel file.

All training records will be maintained and updated, as needed by Qualified Professional (QP) Agency Trainer.

At such time, FamilyTree is trained and supported by the NADSP (National Alliance Direct-Support Professionals), with a DSP competency-based employer system that is established by Rulemaking/Agency Policies being created, then QP and associate professionals, demonstrate competence by exhibiting the required core skills, as followed:

(Participant Empowerment), (Communication), (Assessment), (Community and Service Networking), (Facilitation of Services), (Community Living Skills and Supports), (Education, Training and Self-Development), (Advocacy), (Vocational, Educational and Career Support), (Crisis Prevention and Intervention), (Organizational Participation), (Documentation), (Building and Maintaining Friendships and Relationships), (Provide Person Centered Supports) and (Supporting Health and Wellness).