



Caregiver Handbook

Effective February 1, 2019

HOME at HEART CARE
P.O. Box 183
221 3rd Ave. S.W.
Clearbrook, MN 56634

Located at the corner of 3rd Ave. and Elm St. in
Clearbrook

E-mail

info@homeatheartcare.com

Web Site

www.homeatheartcare.com

218-776-3508 Phone

866-810-9441 Toll Free Phone

218-776-3507 Fax

866-810-7008 Toll Free Fax

Locally owned & operated in Clearbrook, MN

www.HomeAtHeartCare.com

(218) 776-3508

Home  **Care**
at Heart
JAMES L. FRY
In-Home Personal Care & Homemaking

Mission Statement

Our name is an acronym for our Mission Statement.

Home is the word we use to describe the place where each person should be able to find rest, nourishment, comfort, healing and belonging regardless of ability.

Where it's **at** for us; connecting every person to a great caregiver.

The **Heart** of a great caregiver is one of trust, hospitality, compassion and responsibility.

We **Care** about people, because God cares about people.

Vision

To support In-Home Caregivers throughout the State of Minnesota who can make a Godly difference in someone's heart and home.

Core Values

Trust: We honor all relationships we have by serving with honesty and integrity.

Hospitality: We make the most of every opportunity we are given to help someone feel valued and loved.

Compassion: We serve with kindness and compassion, following Christ's example for us.

Responsibility: We work hard to meet the needs of the people with which we have been entrusted.

Table of Contents

Welcome!.....	7
Chapter One	8
INTRODUCTION.....	8
Chapter Two.....	10
EMPLOYMENT INFORMATION	10
AT WILL EMPLOYMENT	10
EQUAL OPPORTUNITY EMPLOYMENT	10
OPEN DOOR POLICY	11
PERFORMANCE EVALUATIONS	11
EMPLOYEE MISCONDUCT (DISCIPLINARY/DISMISSAL PRACTICES)	11
VOLUNTARY RESIGNATION/CHANGE IN EMPLOYMENT STATUS.....	12
Chapter Three.....	13
EMPLOYEE RESPONSIBILITIES	13
PERSONAL APPEARANCE & PROFESSIONALISM.....	13
EMPLOYEE FILES	13
UNABLE TO WORK/CHANGE IN SCHEDULE.....	14
PAYROLL/TIME SUBMISSION POLICY	14
SHAREFILE.....	17
FRAUD, WASTE AND ABUSE AWARENESS TRAINING; TIME LIMITATIONS.....	17
TRAVEL REIMBURSEMENT	19
TRAVEL TIME POLICY	19
PCA SERVICE VERIFICATION.....	20
FINANCIAL RECORDS AND CONTROLS	21
TRANSPORTATION OF CLIENTS	21
WORK BREAKS / MEAL BREAKS	22
COMMUNICABLE DISEASE CONTROL PLAN.....	22
FAMILY AND MEDICAL LEAVE ACT POLICY	22
EMERGENCY USE OF MANUAL RESTRAINTS.....	23
EMERGENCY RESPONSE, REPORTING & REVIEW POLICY.....	23
INCIDENT RESPONSE, REPORTING AND REVIEW POLICY	23
PERSON-CENTERED PLANNING AND SERVICE DELIVERY	23

Chapter Four	24
ETHICAL STANDARDS.....	24
GENERAL GUIDELINES.....	24
SAFETY	25
CONFLICTS OF INTEREST	25
ALCOHOL AND ILLEGAL DRUG USE IN THE WORKPLACE.....	26
INTELLECTUAL PROPERTY RIGHTS.....	27
OFFENSIVE/HARASSING BEHAVIOR	27
POLITICAL ACTIVITIES.....	29
WHISTLEBLOWER POLICY	30
SECURITY OF TRANSMITTED INFORMATION	31
MEDIA/SOCIAL MEDIA	31
DIRECT MARKETING.....	33
CAREGIVER/CLIENT BOUNDARIES	33
DEPOSITIONS	35
PRIVACY / HIPAA POLICY	35
DATA PRIVACY.....	36
CONFIDENTIAL INFORMATION.....	37
REPORTING OF ABUSE/NEGLECT/EXPLOITATION	38
VULNERABLE ADULT MANDATORY REPORTING.....	38
VULNERABLE MINOR MANDATORY REPORTING.....	39
NONDISCRIMINATION	41
CLIENT GRIEVANCE AND COMPLAINT POLICY	41
Chapter Five.....	42
SERVICES	42
PERSONAL CARE SERVICES.....	42
HOMEMAKING SERVICES.....	44
HOUSEKEEPING SERVICES.....	47
IN-HOME RESPITE CARE SERVICES.....	48
INDIVIDUAL COMMUNITY LIVING SUPPORT (ICLS).....	48
Chapter Six.....	49
CAREGIVER TRAINING, WAGE & BENEFITS	49

TRAINING REQUIREMENTS	49
WAGES AND BENEFITS.....	50
GLOSSARY	56
LEGAL REFERENCES	58
Appendix A – Time Sheet Resources	61
RECEIPT AND ACKNOWLEDGEMENT	67

Welcome!

I am thrilled you decided to join us. Whether you work a few hours every other week or work 5 or 6 days a week with our clients, you will find this is more than just a job. It is the beginning of a friendship between you, our clients, their families, our supervisors, and those of us here in the office. Something special happens here! You will find this work brings meaning to your life as you help a client with tasks and cares they are no longer able to do, but want and need to do. I truly believe that providing PCA and Homemaking Services is one of the noblest jobs that anyone can do.

Every time one of our PCA's or Homemakers has an opportunity to interact with our clients, they have an opportunity to practice our Core Values of Trust, Hospitality, Compassion and Responsibility. Focusing on these values as you work for our clients will build a relationship over time that will make this job enjoyable and rewarding for you and them.

Most of our people have had the privilege of Care Giving for a close friend or family member before working for Home at Heart. However, having the opportunity to get paid for doing what we do means we all have to abide by State and Federal law. Doing that consistently brings professionalism to our jobs. You and I signed an enrollment application agreeing to follow these laws. Home at Heart Care created Employee Handbooks for our Caregivers and Handbooks for our Clients to help everyone follow the law. Please make sure you read your Handbook. Signing a Handbook Acknowledgement is required prior to receiving your first pay check, but more importantly it is your word that you understand and will follow our company policies. If you have any questions, please call us at 866 810 9441 or 218 776 3508.

- Rilla, Kimberley, and Pat are at our front desk and would love to explain how to complete your time sheets or answer your questions. They can also help direct your calls if you call the office and don't know who to talk to.
- Merry and Debbie process your time sheets for payroll and billing. Without them nobody gets paid.
- Lisa or Kayla will help you with any training needs that you have and will schedule you for the next available class.
- Linda is our Human Resources Director; she handles all our hiring, benefits and employee policies.
- Teri B. is our Administration Director, Her job is to make sure that everyone is following the expectations of the State of MN and ensure we abide by our managed care contracts. If there is a question on our payroll policies, call her.
- Sue is our Director of Services; she manages all client intakes, contracts, county/tribal connections and will answer questions about your client's hours if you have a need to know.
- Your Client's Qualified Professional, Nurse or Coordinator can help you with questions about your client or the cares that you provide. They each have a cell phone with voicemail and email. They will be your most important and frequent contact.

If you have other concerns, critiques, compliments or just need someone to talk to, give Troy or myself a call. I am very proud of the staff we have here; they are all very passionate about what they are doing. Along with them, you and I all share in this mission, and we want to thank you for joining Home at Heart Care.

Sincerely,



INTRODUCTION

This handbook (“Handbook”) has been prepared as a guide book for Caregivers of Home at Heart Care, Inc. It also contains general guidance serving as the basis for policies and procedures that Home at Heart Care, Inc. may develop.

The policies and procedures described in this Handbook are implemented at the discretion of Home at Heart Care, Inc. and may be modified, changed, deleted and/or added to at any time and from time to time. Any and all decisions by Home at Heart Care, Inc. officers, directors, managers and/or supervisors concerning the interpretation or application of these policies and procedures are at Home at Heart Care, Inc.’s sole and absolute discretion and shall be absolute, final and binding upon all employees. The policies and procedures set forth in this Handbook (and any subsequent amendments and/or revisions thereto) revoke any and all previous inconsistent policies and procedures (whether oral or written) of Home at Heart Care, Inc., effective immediately upon communication by Home at Heart Care, Inc. to its employees.

Please note, however, that the policies and procedures contained within this Handbook do not represent and are not to be construed as an exhaustive list of all Home at Heart Care, Inc. policies and procedures and this Handbook does not cover every situation that may arise from day to day. Home at Heart Care, Inc. may adopt policies and/or procedures in addition to those set forth within this Handbook from time to time, at its sole and absolute discretion; however, in the event of any conflict between such policies or procedures and this Handbook, the provisions contained within this Handbook shall govern unless otherwise specifically set forth in writing.

THIS HANDBOOK IS PROVIDED FOR INFORMATIONAL PURPOSES ONLY, AND NO PROVISION OF THIS HANDBOOK IS INTENDED TO CREATE AN EMPLOYMENT CONTRACT OR OTHER CONTRACTUAL RELATIONSHIP BETWEEN HOME AT HEART CARE, INC. AND ANY PERSON. EXCEPT AS OTHERWISE PROVIDED IN THIS HANDBOOK AND/OR IN A WRITTEN EMPLOYMENT CONTRACT OR OTHER WRITTEN AGREEMENT, HOME AT HEART CARE, INC. AND ALL OF ITS EMPLOYEES HAVE AN EMPLOYMENT RELATIONSHIP THAT IS KNOWN AS “EMPLOYMENT AT-WILL”, MEANING THAT HOME AT HEART CARE, INC. OR THE EMPLOYEE MAY TERMINATE THE EMPLOYMENT RELATIONSHIP AT ANY TIME, WITH OR WITHOUT CAUSE. IN THE EVENT OF ANY CONFLICT BETWEEN THE PROVISIONS OF A WRITTEN EMPLOYMENT AGREEMENT AND THIS HANDBOOK, THE WRITTEN EMPLOYMENT AGREEMENT SHALL GOVERN.

THIS HANDBOOK AND ALL CONTENT HEREIN CONSTITUTES THE SOLE AND EXCLUSIVE INTELLECTUAL PROPERTY OF HOME AT HEART CARE, INC. ANY UNAUTHORIZED USE OR REPRODUCTION OF ALL OR ANY PORTION OF THIS HANDBOOK WITHOUT THE PRIOR EXPRESS WRITTEN CONSENT OF HOME AT HEART CARE, INC. IS STRICTLY PROHIBITED.

Home at Heart is an administrator for Minnesota Health Care Programs providing Personal Care, Homemaking and Respite. All employees should recognize the State of Minnesota frequently changes and updates policies and procedures. For the latest policies and procedures, all employees should consult the latest changes on-line at <http://www.dhs.state.mn.us>.

Throughout the rest of this Handbook, Home at Heart Care, Inc. will be referred to as “Home at Heart”, “we”, “our” or “us”, as applicable. The Chief Executive Officer and Chief Financial Officer will be referred to as “CEO”. Directors and Management staff will be referred to as “HAHC Management”. Qualified Professionals/Registered Nurses and Coordinators may be referred to as “Supervisors”. Employees will be referred to as “Caregivers”, “employees”, “staff”, “their” or “you”, as applicable.

THE PROVISIONS OF THIS HANDBOOK ARE EFFECTIVE AS OF FEBRUARY 1, 2019 UNLESS OTHERWISE SPECIFIED HEREIN.

EMPLOYMENT INFORMATION

AT WILL EMPLOYMENT

It is our hope and expectation that both Home at Heart and each employee will have a long lasting and mutually beneficial relationship. However, as an employee develops new skills and as an employee's circumstances may change, an employee may choose to pursue other career opportunities. Likewise, business directions and needs are subject to change. For this reason Home at Heart has an at-will employment policy that allows either the employee or Home at Heart to terminate the employment relationship at any time and for any reason.

EQUAL OPPORTUNITY EMPLOYMENT

Home at Heart is an equal opportunity employer. It is our policy to employ qualified people without regard to race, color, creed, religion, sex, sexual orientation, age, marital status, familial status, physical or mental disability, national origin or ancestry, veteran's status, or any other category protected by federal state or local law. This policy applies to all aspects of employment, including but not limited to application, hiring, selection and placement, training and development, promotion, compensation, benefits, recalls, leaves of absence, discipline and termination.

Home at Heart is committed to complying fully with the Americans with Disabilities Act ("ADA") and the Minnesota Human Rights Act ("MHRA") to the fullest extent applicable to Home at Heart and ensuring equal employment opportunities for qualified persons with disabilities under the MHRA and/or ADA, as applicable. Our organization will not discriminate against or harass any employee or applicant for employment because of race, color, creed, religion, national origin, sex, familial status, sexual orientation, disability, age, marital status, membership or activity in a local human rights commission, or status with regard to public assistance. Such employment practices include, but are not limited to, the following: hiring, upgrading, demotion, transfer, recruitment or recruitment advertising, selection, layoff, disciplinary action, termination, rates of pay or other forms of compensation, and selection for training, including apprenticeship.

Consistent with the MHRA and/or ADA, as applicable, Home at Heart will make reasonable accommodations to all qualified persons with disabilities under the MHRA and/or ADA, as applicable, and Home at Heart will comply in all respects with any applicable local regulation or ordinance that provides qualified persons with disabilities greater protection than the ADA and/or MHRA.

OPEN DOOR POLICY

Home at Heart values all of its employees and is committed to providing a positive work environment where employees take responsibility and ownership for problem solving at all levels of the business. We desire and expect all employees to be fully informed of Home at Heart policies and procedures affecting their jobs, work environments and client relationships. We encourage at every opportunity that employees express their concerns and opinions and discuss their complaints and concerns with HAHC Management.

Employees are invited to seek information on matters affecting their positions and their employment. If a problem or issue affecting work should arise, HAHC Management is available to listen, counsel, or discuss concerns. Your direct supervisor should be your first point of contact when trying to resolve problems or concerns. If you feel your issues or concerns have still not been resolved at this level, we would welcome you to bring your concerns to HAHC Management.

PERFORMANCE EVALUATIONS

Caregivers will receive regularly scheduled performance evaluations performed by Supervisors according to program requirements. Evaluations are made through direct observation of the Caregiver's work and/or through consultation with the clients. Continued employment following Supervisor evaluations does not change the at-will nature of employment at Home at Heart.

EMPLOYEE MISCONDUCT (DISCIPLINARY/DISMISSAL PRACTICES)

The goal of Home at Heart's disciplinary policy is to correct improper behavior and eliminate unacceptable performance or behavior while protecting the interests of our clients. With this in mind, Home at Heart may use progressive or creative disciplinary procedures when dealing with employee problems. The purpose is to enable employees to understand what is expected in terms of behavior and performance and to provide Home at Heart employees with a reasonable opportunity to correct improper or unacceptable behavior. Home at Heart's goal is to resolve problems through open communication. The normal steps in the process are as follows:

1. Oral reprimand
2. Written reprimand (placed in employee file)
 - Strike 1
 - Strike 2
 - Strike 3
3. Suspension (with or without pay)
4. Termination of employment

The above steps may not be used in all situations, and in no way should any provisions within this Handbook be considered a contract or guarantee of employment. As described above, Home at Heart has an "employment at will" policy, and either an employee or Home at Heart may terminate the employment relationship at any time, with or without cause, and with or without

advance notice, unless otherwise provided in a written employment agreement signed by both the employee and an authorized officer of Home at Heart.

There are some situations where progressive discipline is not appropriate, and an employee may be terminated without going through all or any of the steps indicated above. This may occur if the health, safety or welfare of a Home at Heart client, employee or representative is endangered in any way by an employee's conduct; certain actions constituting grounds for termination as set forth within this Handbook are taken, or in other situations deemed necessary by Home at Heart, in its sole and absolute discretion. For example, an employee who fails to report for work for two (2) consecutive shifts without notifying HAHC Management of inability to work may be subject to immediate termination. No future employment recommendations will be furnished to any employee whose services are terminated for disciplinary action.

VOLUNTARY RESIGNATION/CHANGE IN EMPLOYMENT STATUS

Home at Heart requests that each employee provide Home at Heart with written notice two (2) weeks prior to the employee's voluntary resignation. Upon resignation or other change in status of employment with Home at Heart, Home at Heart also requests that each employee sign the Status Change Form.

EMPLOYEE RESPONSIBILITIES

PERSONAL APPEARANCE & PROFESSIONALISM

A neat, professional, well-groomed appearance is required and expected of all Home at Heart employees when they are working. This is important as the employees act as visual representatives of Home at Heart and are an essential part of the professional image we want to present.

Electronic devices, including mobile/cellular phones, tablets, laptops, PDAs and other mobile devices, have become an integral part of daily life and socialization. However, employees are expected to concentrate on their professional responsibilities and must refrain from the personal use of these devices at work (including while travelling between client appointments).

To protect the client's safety, privacy, and quality of care, Caregivers must not bring others, including children and pets, to the client's home while working.

EMPLOYEE FILES

Employee files are maintained for each employee at the office in Clearbrook, Minnesota. The purpose of an employee file is to maintain an accurate record of each employee's work history and current employment status with Home at Heart. Home at Heart forms, documents and correspondence relevant to an employee's status are maintained and protected in the permanent file. The following forms are required to be kept in an employee's file:

- Home at Heart Application
- DHS Application
- DHS Background Study with Results
- Acknowledgment Form
- Fraud Statement Form
- Waiver Provider 101 and/or PCA State Training Certificate
- Emergency Contact
- Withholding Tax Form (W-4)
- Eligibility to Work in United States (I-9)
- Evaluations of Employee's Performance
- Documentation of qualifications, orientation, training, and performance evaluations as required by Minnesota law

Each employee has the responsibility of notifying Home at Heart of changes to information within the employee's file to ensure that such employee's records are current as to the following:

- Name
- Address
- Telephone number
- Emergency Contact
- Withholding Tax Information (W-4)
- Eligibility to Work in the United States (I-9)

The records maintained in the employee files are Home at Heart property; however, employees are allowed to review their own employee file in the presence of the CEO or designee. An employee may obtain a copy of their employee file by making a request in writing. **Notwithstanding the foregoing, all information contained within the employee files, constitutes confidential information.**

Home at Heart cooperates with outside organizations by providing information, upon request, about current and former employees. Information released is limited to dates of employment and most current job title. No other information is provided without written consent from the employee or as required by law.

UNABLE TO WORK/CHANGE IN SCHEDULE

During Orientation with the Caregiver, Supervisor and client, a schedule is determined based on the care plan and client's needs. It is Home at Heart's expectation that the Caregiver works the schedule according to the plan. In the event a Caregiver is unable to report to work, the Caregiver must contact the client directly and notify the Supervisor.

The Caregiver should attempt to contact a substitute Caregiver as available and needed. If a Caregiver would like to perform substitute work, they should notify the direct Supervisor.

If the schedule needs to be changed, the Caregiver must notify the Supervisor and client as early as possible, and any updates must be approved by all parties before the Caregiver may change the schedule.

PAYROLL/TIME SUBMISSION POLICY

Home at Heart payroll and timesheet completion and submission policies will be as determined by Home at Heart from time to time and communicated to Home at Heart employees in writing.

Notwithstanding entries on timesheets, Caregivers will *not* be compensated by Home at Heart for hours worked in excess of hours specifically authorized in writing on the client's Service Plan or for time put in when their client is not enrolled in Medical Assistance or on a Waiver without prior written permission from the CEO or designee. Minnesota law also prohibits any employee from providing or being paid for more than two hundred seventy-five (275) hours per month of personal care assistance without respect to the number of

clients, recipients or employers (this includes work performed for Home at Heart and other employers in the aggregate). Home at Heart will strictly enforce this provision of Minnesota law.

ALL EMPLOYEES WHO PERFORM CARE SERVICES FOR COMPENSATION FROM PROVIDER(S) OTHER THAN HOME AT HEART MUST NOTIFY HOME AT HEART OF THE NAME(S) OF ANY OTHER PROVIDER(S) AND THE NUMBER OF HOURS WORKED FOR SUCH OTHER PROVIDER(S) DURING EACH PAY PERIOD.

Timesheets are Legal Documents

As a condition of payment, Home at Heart must document each occurrence of health services provided in the client's health service record (Minnesota Rules 9505.2175). Improper documentation may result in repayment and penalties.

Minnesota Rules 9505.2175 currently provides:

Subp. 2. Required standards for health service records.

- A. The record must be legible at a minimum to the Caregiver.
- B. The client's name must be on each page of the client's record.
- C. Each entry in the health service record must contain:
 - (1) The date on which the entry in made.
 - (2) The date or dates on which the health service is provided.
 - (3) The length of time spent with the client if the amount paid for the service depends on time spent.
 - (4) The signature and title of the Caregiver.
 - (5) When applicable, the countersignature of the vendor or supervisor as required under parts 9505.0170 to 9505.0475.

Timesheet Submission Policy

Below is Home at Heart's current timesheet submission policy as of February 1, 2017:

- Timesheets must be submitted by 9:00 a.m. Tuesday and final timesheet corrections are due by 5:00 p.m. Tuesday to be considered in the following week's paycheck process. It is the responsibility of the Caregiver to verify that the Caregiver's timesheet has been received and approved for payment.

- Home at Heart pays weekly and makes every effort to have electronic payments and paper checks available on Thursdays. However, payments may not be guaranteed due to extenuating circumstances (including without limitation holidays, mail interruptions and electronic transfer delays).
- Consult Home at Heart for holiday schedule changes.
- Timesheets and expense reports must be submitted consistently, either weekly or bi-weekly.
- Timesheets may be submitted via ShareFile, mail, in person or fax. It is recommended to call the office after submitting a timesheet to confirm receipt and check for errors to avoid any delays in processing.

The confidentiality of all Caregiver timesheets must be protected because they contain client’s personal and confidential information protected by law. It is the Caregiver’s responsibility to protect the confidentiality of the Caregiver’s timesheets by either properly storing the timesheets (and all copies) in a secure location (and on a password encrypted device if stored electronically) or sending the originals into the office.

SAMPLE

S	M	T	W	T	F	S
				1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	

The above calendar illustrates the pay day associated with the day the timesheet was submitted. If a Caregiver turns in a correct and accurate timesheet on a day during the encircled week, then the Caregiver receives a paycheck, for time submitted, on the following starred Thursday.

For example: Jane Doe submits a complete and accurate timesheet on the 12th ; she may expect a paycheck on the 22nd.

Timesheets must be submitted by ShareFile (Secure upload site), fax, mail or in person within thirty (30) days after the first original date of service to which the timesheet relates. Timesheets received after thirty (30) days will be held for confirmation of payment to Home at Heart before paycheck is issued to Caregiver. Submitting timesheets after thirty (30) days from effective date will require investigation and may be subject to disciplinary action up to and including termination.

Home at Heart’s Caregiver Time and Activity Documentation form is available on the external website, www.homeatheartcare.com, or you may request a copy by contacting the Home at Heart office in Clearbrook, Minnesota.

SHAREFILE

To protect the privacy of clients, Home at Heart utilizes Citrix ShareFile to send and receive files securely. In compliance with privacy laws, Home at Heart will not accept documents that contain client's confidential information, including timesheets, by standard email.

The process is simple:

- Caregiver provides Home at Heart office with a personal email address
- Home at Heart initiates the set-up and sends a welcome email
- Caregiver follows the link provided in the welcome email to create an account
- Caregiver begins to upload document(s) by either an app on mobile device or by internet browser

Any images or copies of any documents (including timesheets) containing client confidential information contained on an employee's personal electronic device(s) must either be password-encrypted or deleted immediately after transmission to Home at Heart through ShareFile.

FRAUD, WASTE AND ABUSE AWARENESS TRAINING; TIME LIMITATIONS

1. Billable Time / Fraudulent and Criminal Activities

The only time that is acceptable for being recorded, paid, and billed is time spent in the presence of the client or time accomplishing tasks that are on the client's care plan.

Listed below are examples (but by no means an exhaustive list) of actions that authorities may consider fraudulent and/or criminal, all of which are expressly prohibited conduct for all employees of Home at Heart and can result in disciplinary action, including immediate termination (as well as possible criminal sanctions, including jail time):

- a. Recording time for the client in Caregiver's home when the client is not there; for example, cooking a meal and bringing it to the client or washing the client's laundry at the Caregiver's home is not permitted. **Caregivers must be physically present with the client to claim time.**
- b. Recording incorrect data; for example Caregiver works on Tuesday and puts the time down for Saturday
- c. Recording extra time; for example Caregiver records a start time of 9:00 a.m. when Caregiver arrived at 9:08 a.m.

- d. Overlapping time for multiple clients; for example Caregiver records time for client A: 9:00 a.m.-3:00 p.m. and on the same day records time for client B: 2:00 p.m.-5:00 p.m.
- e. Recording hours on a day when absent; if Caregiver misses a day with the client for any reason and records time for that missed day (even if the client said the Caregiver could).
- f. Recording time when the client is unavailable; for example Caregiver records time on a day where the client is in a hospital, long term care facility or incarcerated.

2. Caregiver's Time Limitations.

- a. *Caregivers are not allowed to work more than forty (40) hours per week without a fully-signed AMENDMENT NO. 2 to Employment Agreement.*
- b. *Caregivers are not to exceed their client's week to week plan without authorization from their Supervisor and/or the Director of Services.*
- c. *Caregivers cannot exceed the hours set forth in Letters of Adjustment to Clients from the Director of Services.*
- d. Caregivers must not work (for Home at Heart or any other agency/provider in the aggregate) more than two hundred seventy-five (275) hours in any month, fifty (50) hours in any calendar week, or fourteen (14) hours in any calendar day.
- e. Caregivers must not work (for Home at Heart or any other agency/provider collectively) more than six (6) consecutive calendar days, unless such Caregiver's Supervisor has previously documented in writing the reason and need for the same.
- f. Caregivers must not work (for Home at Heart or any other agency/provider collectively) for a time period of at least eight (8) consecutive hours after each fourteen (14) hours of work (for Home at Heart or any other agency/provider collectively), unless such Caregiver's Supervisor has previously documented in writing the reason and need for the same.
- g. *Caregivers are subject to disciplinary actions up to and including possible termination for any time in excess of any of the preceding and foregoing time limitations.*
- h. *All Caregivers who perform care services for compensation from other Provider(s) than Home at Heart must notify Home at Heart of the name(s)*

of any other provider(s) and the number of hours worked for such other provider(s) during each pay period.

- i. All Caregivers who serve multiple clients in a day will be paid travel time between clients based on the shortest distance between clients. Caregivers must submit a weekly travel time expense report with client timesheets attached. Home at Heart does not pay mileage. (See “TRAVEL TIME POLICY” below and Home at Heart Wage & Benefits Memorandum effective January 1, 2019, which is subject to change by Home at Heart at any time and from time to time and which revisions shall control in the event of any inconsistency within this Handbook.)*

Home at Heart reserves the right to make unannounced visits to clients to investigate accuracy of timesheets, as well as to inform governmental investigative officials regarding any irregularities in Caregiver time reports. Home at Heart also reserves the right to impose disciplinary sanctions (including, without limitation, termination of employment) for the same.

Home at Heart uses strikes, disciplinary actions and terminations to prevent fraudulent time billings to Medical Assistance. A **strike** is given to any Caregiver who turns in time that is not legal.

Visits or telephone calls that Supervisors make to a client’s home are all required to be documented, including who was there, time and date. When time is prepared for billing to Medical Assistance, timesheets are cross-referenced with management records. If timesheets are in conflict with other records, Caregivers will be asked to resubmit their timesheet(s) as remedied to correct discrepancies. Depending on the circumstances, a Caregiver could receive a strike, possible disciplinary action or termination, at Home at Heart’s sole and absolute discretion. Caregivers should be careful to record only actual time worked. The State of Minnesota also performs audits of time records and has authority to request time records from **all jobs** held by an employee. Caregivers are expected to record time honestly and only record time when a Caregiver is with their client, providing care for the client.

CAREGIVERS MUST BE PHYSICALLY PRESENT WITH THE CAREGIVER’S CLIENT, PROVIDING CARE FOR THE CLIENT, TO CLAIM TIME FOR THAT CLIENT.

TRAVEL REIMBURSEMENT

Home at Heart does not reimburse mileage for Caregivers with respect to any work-related travel (whether to/from home, between clients and/or to/from the Home at Heart office).

TRAVEL TIME POLICY

Caregivers who are authorized by Home at Heart to provide care for more than one client in a day will be compensated (at the employee's regular hourly rate of pay) for travel time between clients using the Caregiver Travel Documentation form (but not for time spent travelling to the first client of the day, or home from the last client of the day). Travel time must be authorized by the Caregiver's Supervisor.

Because Caregiver travel time is paid in conjunction with Caregiver time, both the Caregiver Travel Documentation form and the Time and Activity Documentation must be submitted together. Travel time must be included on the weekly timesheet for the week in which the travel occurred. Home at Heart's Caregiver Travel Documentation form is available on the external website, www.homeatheartcare.com or request a copy by contacting the Home at Heart office.

PCA SERVICE VERIFICATION

PCAs MUST BE WITH THEIR CLIENT, PROVIDING CARE FOR THEIR CLIENT TO CLAIM TIME FOR THEIR CLIENT.

Caregivers must report, on their current timesheet, their phone number (or "no phone" if they do not have a current phone), their client's phone number and the physical address ('s) (not a PO Box) of where services will be performed for the next week. If no physical address or phone number is available, a separate attachment describing how to find the location of client while services are being performed must be included. **It is also critically important for PCAs to communicate with your QP when and where you will be working and to maintain a consistent schedule.**

In accordance with rules issued by the Department of Human Services, Home at Heart will make unannounced calls each calendar quarter for every client receiving PCA services to verify both PCA and Client are present and cares are being performed. Both PCA and Client must use the same phone to acknowledge the call, and if either is not available, another call will be made until both can be reached or an onsite visit is completed. Dates, time of call, name of caregiver and name of client will be recorded and timesheets will be reviewed to confirm that caregiver was working when the call was made. **If a PCA and Client cannot be reached by phone, Home at Heart at its discretion may conduct unannounced site visit(s). We appreciate everyone's Hospitality when we make these calls and visits. By doing these, we demonstrate to the state your PCA's professionalism and the Compassion with which we all care for our Clients. These visits are key to building Trust with all the people (*including our clients*) of Minnesota, a Responsibility we take seriously.**

Home at Heart Care will document service verifications in a legible manner and must maintain the documentation on site for at least five years from the date of documentation. For each service verification, documentation must include:

1. The names and signatures of the service recipient or recipient's authorized representative, the PCA and any other agency staff present with the PCA during the service verification, and the staff person conducting the service verification; and

2. The start and end time, day, month, and year of the service verification, and the corresponding PCA time sheet.

Additional Notes

- Beginning with the publication of this handbook in 2019, PCA's must have a documented unscheduled call or visit with their client every three months to be eligible for discretionary bonuses.
- We want to find our employees working when they tell us they are going to be working. Caregivers who are not with their client may receive disciplinary action up to and including termination.
- Please communicate any changes in your schedule to your QP prior to changing your schedule. Frequent communication will avoid no show, neglect or fraud disciplinary actions.
- Please make sure you record your time that you were working when we have a successful call. This will avoid us having to repeat a visit in the current quarter.

It is an expectation that employees are available when contacted by Home at Heart. One of the primary methods of contact is through telephone. When an employee changes their contact information, it is an expectation that they notify their QP or Home at Heart office. If an employee does not have a working telephone number, it would be an expectation that an alternative contact method be provided or the employee check-in on a weekly basis with their QP or Home at Heart office.

FINANCIAL RECORDS AND CONTROLS

Home at Heart is responsible for maintaining its financial records in compliance with the law. Every employee is responsible, for honest, accurate, understandable and timely recording, reporting and retention of information.

Employees are specifically prohibited from:

1. Making or omitting an entry that intentionally hides, disguises or misrepresents the true nature of any transaction.
2. Providing false, incomplete or misleading information to an internal or external auditor.
3. Deferring or accelerating the recording of items that should be recognized in the proper time period.

TRANSPORTATION OF CLIENTS

Minnesota Department of Human Services ("DHS") and Home at Heart prohibit the transportation of clients. (Transportation is a separate DHS service, not to be combined with Home at Heart services.) However, Caregivers may accompany clients (if someone else is

transporting them) if the client needs assistance with ADLs during transport or at the point of destination.

- Caregivers are not to drive the client's vehicle while performing services.
- Home at Heart does not provide company vehicles for transportation of clients or employee personal use.
- Home at Heart does not reimburse employees for mileage for transporting clients.

WORK BREAKS / MEAL BREAKS

An employee working for four (4) or more consecutive hours may take a work break of up to fifteen (15) minutes (or time sufficient to utilize the nearest convenient restroom, if longer) within the second and/or third hours of each four (4) hour period. The work break shall not be deducted from the time for which such employee is paid.

During any eight (8) or more consecutive hours of work, an employee may take an unpaid meal break of thirty (30) to sixty (60) minutes, during which meal break the employee may leave the employee's work location and is relieved of all employment duties. Each employee is required to properly document such employee's meal break times as required by Home at Heart's payroll and timesheet policies.

Work breaks and meal breaks must not be scheduled at a time which may jeopardize the safety of, or result in an inconvenience to, any Home at Heart client or employee.

COMMUNICABLE DISEASE CONTROL PLAN

Home at Heart is committed to providing a safe and healthful work environment. Home at Heart has a Communicable Disease Control Plan that includes determination of employee exposure, implementation of various methods of exposure control (universal precautions, engineering controls, work practice controls, Personal Protective Equipment and Housekeeping), Hepatitis B vaccination, Post-exposure evaluation and follow-up, communication of hazards and training, record keeping and procedure for evaluating circumstances surrounding exposure incidents.

Caregivers will receive training in the described areas of the plan as it relates to their individual client. All employees are subject to the Home at Heart's Communicable Disease Control Plan. The plan will be available on the external website, www.homeatheartcare.com or you may request a copy by contacting the Home at Heart office.

FAMILY AND MEDICAL LEAVE ACT POLICY

Home at Heart is committed to compliance with the Family and Medical Leave Act of 1993 (the "FMLA"). A copy of the Family and Medical Leave Act Policy is located in our Policy Booklet or available online at www.homeatheartcare.com.

EMERGENCY USE OF MANUAL RESTRAINTS

All employees are subject to the Home at Heart Care, Inc. Emergency Use of Manual Restraints Policy as adopted and amended by Home at Heart at any time and from time to time. A copy of the Emergency Use of Manual Restraints Policy is located in our Policy Booklet or available online at www.homeatheartcare.com.

EMERGENCY RESPONSE, REPORTING & REVIEW POLICY

All employees are subject to the Home at Heart Care, Inc. Emergency Response, Reporting & Review Policy as adopted and amended by Home at Heart at any time and from time to time. A copy of the Emergency Response, Reporting & Review Policy is located in our Policy Booklet or available online at www.homeatheartcare.com.

INCIDENT RESPONSE, REPORTING AND REVIEW POLICY

All employees are subject to the Home at Heart Care, Inc. Incident Response, Reporting & Review Policy as adopted and amended by Home at Heart at any time and from time to time. A copy of the Incident Response, Reporting & Review Policy is located in our Policy Booklet or available online at www.homeatheartcare.com.

PERSON-CENTERED PLANNING AND SERVICE DELIVERY

Caregivers must comply with the client's care plan that addresses each client's preferences, daily needs, interests, activities, and personal goals.

ETHICAL STANDARDS

Home at Heart is committed to the highest ethical standards in the conduct of business. These ethical policies go beyond rules set by law, as we know that our employees' and the public's trust in Home at Heart is both a serious responsibility and a valid expectation. While it is not possible to develop a detailed set of rules which cover all circumstances, or which serve as a substitute for good judgment and ethical conduct, the purpose of this Chapter is to set forth the business ethics of Home at Heart in a written format which provides clear guidance to all employees.

GENERAL GUIDELINES

All employees have a personal responsibility to ensure that their actions meet the highest ethical standards and to abide by the laws, rules, and regulations that apply to their work. Therefore, employees must:

1. Conduct the business of Home at Heart honestly, ethically and in good faith. Employees must use good judgment in performing job responsibilities. Occasionally, employees may find themselves in a situation where their responsibilities under the law and Home at Heart policy are unclear. In that circumstance, employees consult their Supervisor to be certain that they are using good judgment and acting consistent with the law and Home at Heart policies.
2. Cooperate fully and honestly with Home at Heart in any investigation or proceeding concerning their conduct or the conduct of other persons or entities with which Home at Heart has a business relationship.
3. Become familiar and comply with the laws, rules and regulations applicable to their job responsibilities with Home at Heart. Seek the advice of their supervisor with questions.
4. Recognize the continuing obligation of all employees to support client quality of life.
5. Report promptly to proper authorities any violations or suspected violations of Home at Heart policy and/or the law by any Home at Heart employee.
6. If a client accuses the Caregiver of theft, Caregivers must immediately report the incident to the Caregiver's Supervisor. The client will be encouraged to file a report with law enforcement and Home at Heart will take appropriate action.

7. Comply with the rules, regulations and policies of Home at Heart as amended at any time and from time to time, including, without limitation, this Handbook.
8. **Never ask a client to sign an incomplete timesheet or to sign before the time has been worked. Such an action is very poor judgment and will subject an employee to disciplinary action up to and including possible termination.**

SAFETY

Safety is and will always be a top priority. Employees must do everything they can to ensure the safety of clients and co-workers.

Specifically, employees must:

1. Put safety first.
2. Understand and follow the safety and health rules and practices that apply to the job responsibilities.
3. Take precautions necessary to protect Home at Heart employees, clients and equipment from harmful or dangerous situations.
4. Practice safe lifting techniques.
 - a. Keep head up (maintain proper posture and neck alignment);
 - b. Keep a neutral curve in back (bring the load in close to body and distribute the load symmetrically), making certain to move other obstacles out of the way;
 - c. Lift with legs; and
 - d. Never twist or turn while lifting.
5. Immediately report accidents, injuries, hazards, unsafe practices or conditions to the Caregiver's direct Supervisor or HAHC Management.
6. Not possess firearms or other weapons on client premises or on Home at Heart property.
7. Not retaliate against or threaten anyone for the good faith reporting or supplying of information about conduct implicating safety.

CONFLICTS OF INTEREST

It is imperative that employee conduct not reflect adversely on Home at Heart. In that regard, all Home at Heart employees are required to:

1. Avoid personal conflicts of interest or the appearance of such conflicts that could reflect adversely on employees or Home at Heart.

2. Disclose in advance to HAHC Management any client relationship that might be perceived as a conflict of interest.
3. Fulfill the established job responsibilities for all clients regardless of personal interests.
4. Refrain from taking advantage of a relationship with Home at Heart to earn a personal profit from Home at Heart property, information, employees, or business opportunities.
5. Disclose to HAHC Management if you have or had a close personal relationship with the assigned Supervisor or client.
6. Protect and ensure the efficient use of Home at Heart assets. The business's assets, whether tangible or intangible, are to be used only by authorized employees or their designees and only for legitimate business purposes. Personal use of items such as telephones, facsimile equipment, computers and similar equipment must not be excessive as determined in the sole discretion of the CEO, and must have no material cost to the business and in no way violate any policy or practice of Home at Heart.
7. Refrain from abusing or compromising any employee benefits and privileges.
8. Refrain from conduct on or off duty, which is detrimental to the best interests of other employees, clients or Home at Heart.
9. Refrain from engaging in fundraising or personal business on Home at Heart property or time unless such activity is Home at Heart sponsored or is approved in advance by the CEO.

ALCOHOL AND ILLEGAL DRUG USE IN THE WORKPLACE¹

It is the policy of Home at Heart to support a workplace free from the effects of drugs, alcohol, chemicals, and abuse of prescription medications. Home at Heart is committed to having employees who do not engage in illegal alcohol and drug activities. Home at Heart will take the necessary steps to comply with all federal, state and local laws.

The following policies apply to all employees, subcontractors, and volunteers and failure to comply will result to disciplinary action, up to and including immediate termination.

- All employees must be free from the abuse of prescription medications or being in any manner under the influence of a chemical that impairs their ability to provide services or care.

¹Information in this section is derived from https://mn.gov/dhs/assets/245d-drug-and-alcohol-prohibition-policy-sample-document_tcm1053-297255.doc (last visited January 23, 2019).

- The consumption of alcohol is prohibited while directly responsible for clients, or on any Home at Heart property (owned or leased), or in Home at Heart vehicles (owned or leased).
- Being under the influence of a controlled substance identified under Minnesota Statutes, Chapter 152, or alcohol, or illegal drugs in any manner that impairs or could impair an employee's ability to provide care or services to clients is prohibited.
- The use, sale, manufacture, distribution, or possession of illegal drugs while providing care to clients, or on company property (owned or leased), or in company vehicles, machinery, or equipment (owned or leased), is prohibited.

Any employee convicted of criminal drug use or activity must notify employee's Supervisor no later than five (5) days after the conviction. Criminal conviction for the sale of narcotics, illegal drugs or controlled substances will result in disciplinary action, up to and including immediate termination.

The CEO or designee will notify the appropriate law enforcement agency when Home at Heart has reasonable suspicion to believe that an employee may have illegal drugs in his/her possession. Where appropriate, Home at Heart will also notify licensing boards.

INTELLECTUAL PROPERTY RIGHTS

Home at Heart reserves and retains all worldwide right, title and interest in and to all intellectual property rights with respect to all of Home at Heart's intellectual property, including the exclusive, worldwide right in perpetuity to protect all such intellectual property under any laws for the protection of intellectual and industrial property, including without limitation, trade secrets, trademarks, copyrights, industrial designs, patents and domain name registration(s), whether or not such intellectual and/or industrial property thereto is/are entitled to such registration. All rights in and to such intellectual property not expressly granted to employees in writing are expressly reserved by Home at Heart.

OFFENSIVE/HARASSING BEHAVIOR

Home at Heart intends to provide a work environment and customer service that is pleasant, healthy, comfortable and free from intimidation, hostility or other offenses which might interfere with work performance. Any employee who *engages in* harassment of other employees *or* Home at Heart clients on the basis of race, color, creed, religion, national origin, sex, sexual orientation, marital status, status with regard to public assistance, membership or activity in a local commission, disability or age; who *permits* employees under his/her supervision to engage in such harassment; or who retaliates *or permits* retaliation against an employee who reports any harassment has engaged in misconduct and shall be subject to disciplinary action up to and including termination.

Harassment of any sort (verbal, physical or visual) will not be tolerated and is prohibited. Harassment can take many forms. It may be, but is not limited to: words, signs, jokes, pranks, intimidation, physical contact, or violence. Harassment is not necessarily sexual in nature.

Sexually harassing conduct is prohibited and may include unwelcome sexual advances; requests for sexual favors; unwelcome flirtation; leering; making sexual gestures; displaying derogatory or sexually suggestive posters, cartoons, drawings or objects; or any other verbal or physical contact of a sexual nature that prevents an individual from effectively performing his/her employment duties, creates an intimidating, hostile or offensive working or care environment or that is made a condition of employment or compensation, either implicitly or explicitly. Similarly, Home at Heart will not tolerate harassment by its employees of non-employees (including without limitation clients) with whom Home at Heart has a business, service or professional relationship.

Any other sexual harassment of fellow employees and/or Home at Heart clients, whether committed on or off the job (and/or on Home at Heart property and/or client premises), is also prohibited. Sexual harassment includes, but is not limited to:

- Repeated offensive sexual flirtations,
- Advances or propositions,
- Continual or repeated verbal abuse of a sexual nature,
- Graphic verbal commentaries about an individual's body,
- Sexually degrading words used to describe an individual,
- The display in the workplace of sexually explicit objects,
- Any indication, expressed or implied, that an employee's job security, job assignment, conditions of employment, or opportunities for advancement depend or may depend on the granting of sexual favors to any other employee, director, or manager,
- Any indication, expressed or implied, that continued services from Home at Heart depend or may depend on the granting of sexual favors, and/or
- The deliberate or careless expression of jokes or remarks of a sexual nature to or in the presence of employees who may find such jokes or remarks offensive.

All Home at Heart employees, *and particularly supervisors*, have a responsibility for keeping the work environment free of harassment. If an employee becomes aware of an incident of harassment, whether by witnessing the incident or being told of it, they should report it to the direct supervisor or HAHC Management. Appropriate investigation and disciplinary action will be taken.

If Home at Heart becomes aware that harassment might exist, it is obligated by law to take prompt and appropriate action, whether or not the victim wants Home at Heart to do so. **No retaliatory action will be taken against an employee filing a harassment complaint. All reports will be promptly investigated with due regard for the confidentiality and privacy of all involved.**

Any employee found to have harassed a fellow employee, subordinate or non-employee (including without limitation clients) with whom Home at Heart has a business, service or

professional relationship will be subject to investigatory and disciplinary action up to and including termination. Home at Heart will also take any additional action necessary to appropriately remedy the situation. No adverse employment action will be taken for any employee making a good faith report of alleged harassment.

Persons who makes unwelcome advances, threatens or in any way harass another are personally liable for such actions and their consequences. Home at Heart will not provide legal, financial or any other assistance to any persons accused of harassment if a legal complaint is filed.

Employee options in response to harassment include:

Self Help

An employee may:

- tell the person, or persons, in private, that their behavior is offensive and request that it stop;
- write to the person, or persons, about their behavior, sealing and marking the letter “personal and confidential”; or
- Speak to the person, or persons, in private, in the presence of the direct Supervisor and/or HAHC Management.

Since allegations of harassment are extremely serious it is important to keep any information confidential to those directly involved.

Informal Intervention

Employees may notify the direct Supervisor or HAHC Management to intervene. Home at Heart is committed to review the concerns and will complete any discussions or investigations quickly, discreetly and fairly.

Formal Complaint

If self-help and informal intervention has not worked or if the allegation is, in the employee’s view, serious enough to warrant formal disciplinary action, an employee should submit a detailed written complaint to the direct supervisor or HAHC Management. Appropriate disciplinary action will be taken if investigation shows the complaint to be justified. Complaints will be investigated promptly, with appropriate confidentiality, and a report (either oral or written) will be made to the employee by the investigating party or parties.

POLITICAL ACTIVITIES

Employees may participate and contribute to political organizations and campaigns and Home at Heart encourages employee participation in the governance of their communities. Such

participation, however, must be done personally. The financial and other resources of Home at Heart shall not be used for the purpose of supporting, directly or indirectly, any political issue, the campaign of any candidate for federal, state or local (whether foreign or domestic) political office, or any national, state or local political party committee, unit and/or subdivision (whether foreign or domestic) or other national state or local political committee or fund (whether foreign or domestic). Such resources further shall not be used to reimburse any employee for any political contribution the employee may have made or shall prohibit support of political candidates or issues through lawful political action committees or individual support allowed by law.

WHISTLEBLOWER POLICY

Home at Heart is committed to the highest possible ethical and legal standards of business conduct. Employees must also observe the same high standards of business and personal ethics in the conduct of their job responsibilities. Employees may raise concerns regarding questionable actions with an assurance that there will be no retaliation for whistle-blowing in good faith.

It is the responsibility of employees to report suspected violations to the direct supervisor or HAHC Management, including, but not limited to, the following:

- Misrepresentation or false statement regarding a material matter contained in time documentation, evaluations or other reports.
- Actions that constitute gross misdemeanors or felonies or otherwise amount to serious improper conduct.

Reporting a Concern

Concerns should be reported in one of the following ways:

- Home at Heart maintains an open door policy and employees are encouraged to bring questions, concerns, suggestions or complaints to the direct Supervisor.
- If a complainant is not comfortable speaking with the direct Supervisor or is not satisfied with the response, they may request a meeting with up to two (2) other employees to present verified facts to the CEO or designee. Although an employee is not expected to prove the truth of an allegation, the employee must demonstrate that there are sufficient grounds for concern.

Complaint Handling

The action taken will depend on the nature of the concern. Initial inquiries will be made by the appropriate employees to determine whether an investigation is appropriate and what form it should take. Some concerns may be resolved by agreed action without need for investigation. The complainant will be given the opportunity to receive follow up on their concern. Further

information may be required from the complainant to complete the investigation. Subject to legal constraints, the complainant will receive information about the outcome of the investigation.

Safeguards

- Any retaliation against the complainant, including harassment or victimization, is prohibited and will not be tolerated.
- Home at Heart will keep complaints confidential, as appropriate, consistent with the need to investigate the complaint (including any necessary legal action).
- False, malicious or bad faith allegations may result in disciplinary action.

Home at Heart's Whistleblower Policy is available on the external website, www.homeatheartcare.com or request a copy by contacting the Home at Heart office.

SECURITY OF TRANSMITTED INFORMATION

Employees must take reasonable precautions to protect the confidentiality and security of transmitted information.

All faxes must have a cover sheet that identifies the names and fax numbers of both sender and intended recipient. Any email that contains confidential health information must be sent using a secure message process. All communications transmitted electronically must include the following notice:

<p style="text-align: center;">PRIVACY NOTICE</p> <p>THIS MESSAGE MAY CONTAIN PRIVATE OR CONFIDENTIAL DATA.</p> <p>The information contained in this message is intended for the use of the addressee listed above. This information may be protected by state and federal privacy regulations. If you are not the intended client or the person responsible for delivering this information to the intended client, you are hereby notified that any disclosure, copying or distribution of this information is strictly prohibited. If you have received this communication in error, please notify the sender immediately by telephone at 218-776-3508 or 866-810-9441.</p>
--

MEDIA/SOCIAL MEDIA

Home at Heart understands that social media can be a fun and rewarding way to share a Caregiver's life and opinions with family, friends and co-workers. However, use of social media

also presents certain risks and carries with it certain responsibilities. Ultimately, the Caregiver is solely responsible for what they post online or publish elsewhere.

- A Caregiver should avoid conduct that adversely affects their job performance, the performance of fellow employees or otherwise adversely affects clients, suppliers, people who work on behalf of Home at Heart or Home at Heart's legitimate business interests.
- Inappropriate postings that may include discriminatory remarks, harassment, and threats of violence or similar disrespectful or unlawful conduct may subject the employee to disciplinary action up to and including termination.

Home at Heart has established these guidelines for employees to use in making responsible decisions regarding the appropriate use of social media.

1. Know and follow the rules.

The employee is responsible to read these guidelines, Home at Heart Ethical Standards, Confidential Information Policy, Nondiscrimination Policy and the Offensive & Harassing Behaviors Policy, and ensure their postings are consistent with these policies.

2. Be respectful

It is an expectation that the employee always be fair and courteous to fellow employees, clients or other individuals who work on behalf of Home at Heart. Employees should keep in mind that they are more likely to resolve work-related complaints by speaking directly with their co-workers or by utilizing Home at Heart's Open Door Policy than by posting complaints to a social media outlet. Nevertheless, if the employee decides to post complaints or criticism, they should ensure their postings are consistent with Home at Heart policies.

3. Be honest and accurate

Employees should make sure they are always honest and accurate when posting information or news, and if an employee makes a mistake, they should correct it quickly. Employees should be open about any previous posts they have altered. Remember that the Internet archives almost everything; therefore, even deleted postings can be searched. Never post any information or rumors that are known to be false about Home at Heart, fellow employees, clients, suppliers, or people working on behalf of Home at Heart or competitors.

4. Post only appropriate content

Employees must never represent themselves as a spokesperson for Home at Heart. If Home at Heart is a subject of the content that an employee is creating, the employee must be clear and open about the fact that they are an employee and make it clear that their views are their own. 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 Home at Heart."

5. Use of media at work

Employees should refrain from using social media while on work time.

6. Retaliation is prohibited

Any employee who retaliates against another employee or client for reporting a possible violation of this policy or for cooperating in an investigation will be subject to disciplinary action, up to and including termination.

7. Media Contacts

Employees should not speak to the media on Home at Heart's behalf without contacting the CEO. All media inquiries should be directed to the CEO.

Employees are encouraged to contact their Supervisor if they have questions or need further guidance.

DIRECT MARKETING

By Minnesota law, Home at Heart employees and HAHC Management cannot directly market or promote Home at Heart services to potential clients (or their guardians or family members) in person, by phone, by mail or electronic means.

Home at Heart is allowed to use indirect marketing methods such as web sites, yellow page advertisements, billboards and newspaper advertising.

Employees are encouraged to contact their Supervisor if they have questions or need further guidance.

CAREGIVER/CLIENT BOUNDARIES

Boundaries in client care are mutually understood, unspoken, physical and emotional limits of the relationship between the trusting client and the Caregiver. Professional boundaries represent a set of culturally and professionally derived rules for how Caregivers and their clients interact. Boundaries serve to establish and maintain a trusting Caregiver-client relationship and help all Caregivers maintain "justice and equity" in dealing with all clients.

In caring for clients, it is common for strong emotional bonds to develop. However, when the limits of the provider-client/family relationship are not clear or where normal professional boundaries are not respected, problems are likely to arise.

Common reasons for boundary problems include:

- Personality styles
- Psychiatric disorders in which normal boundaries are not recognized or respected.
- Caregiver stress/burnout
- Cultural misunderstandings

Warning signs and examples of potential boundary blurring include:

1. Offers of gifts from/to client/family;

2. Clients having or wanting access to Caregiver's home phone number, or other personal information;
3. Client/family expectations that the Caregiver will provide care or socialize outside of care settings;
4. The Caregiver revealing excessive personal information with client/family.

Note: Not all boundary issues are detrimental to the Caregiver-client relationship---some clearly enhance compassionate care and serve to reinforce a trusting relationship. However, it is important for the Caregiver to self-reflect and consider the following questions when boundaries are approached:

- Am I treating this client or family member differently than I do other clients?
- Would I be comfortable if this action/gift offer was known to the public or supervisors?
- What emotions of my own does this client/family trigger and are the emotions impacting my decision-making?
- Are my actions truly helpful for the client, or am I acting in a manner to meet my personal needs?
- Could this boundary issue represent a sign that I am experiencing professional burnout?

Any Caregiver not sure of the appropriate response in their situation to these questions should discuss the situation with the direct Supervisor or HAHC Management. Accordingly, all Caregivers must:

- Set clear expectations with clients and families as to their role in the context of their care, availability and best ways to communicate.
- Not accept gifts, cash or favors from clients.
- Not use the clients' computers or other electronic devices for personal use.
- Contact Supervisor when uncertain about client/family behaviors.
- Address issues as they arise with the client/family; acknowledge importance of feelings, emphasize the Caregiver-client relationship and the importance of maintaining objectivity; emphasize that the rejection of a requested behavior does not imply a lack of caring.

Caregivers are encouraged to seek professional counseling when boundary issues impact their ability to provide objective, compassionate care. Caregivers may contact the direct Supervisor or office for counseling options. Caregivers who are found to manipulate, coerce, antagonize,

threaten, abuse or take advantage of clients for their personal gain are subject to disciplinary action up to and including immediate termination of employment.

DEPOSITIONS

All requests for depositions must be promptly brought to the attention of the CEO, who will determine whether or not it is appropriate for employees to respond with the requested deposition. The CEO or designee may consult with the counsel as appropriate. If the CEO or designee approves, then a deposition may be provided and the CEO or designee may provide guidance relating to preparation for the deposition if appropriate.

PRIVACY / HIPAA POLICY

Each Home at Heart employee has a responsibility to clients and Home at Heart to uphold client privacy rights, and maintain the security and integrity of client protected health information.

ACCORDINGLY, CLIENT PROTECTED HEALTH INFORMATION WILL BE TREATED AS CONFIDENTIAL, AND HELD, USED AND DISCLOSED ONLY IN COMPLIANCE WITH APPLICABLE LAWS/REGULATIONS AND AS SET FORTH WITHIN HOME AT HEART'S NOTICE OF PRIVACY PRACTICES (AND AS THE SAME MAY BE AMENDED AT ANY TIME AND FROM TIME TO TIME BY HOME AT HEART, AT ITS SOLE AND ABSOLUTE DISCRETION).

All employees will collect, use, disclose, maintain and store client protected health information in an honest, ethical, secure and confidential manner.

All employees must comply in all respects with the requirements of the Health Insurance Portability and Accountability Act ("HIPAA"), the Standards for Privacy and Security of Individually Identifiable Health Information promulgated at 45 CFR Parts 160 and 164, and all other applicable similar federal, state and/or local statutes, laws, ordinances, regulations, rules and interpretive guidance, and any and all amendments to any of the foregoing.

All Home at Heart employees will uphold and safeguard the rights of clients to the privacy of client protected health information by ensuring that client protected health information is used and disclosed **only** under the following conditions:

- Each client or client's authorized personal representative has been provided with a copy of Home at Heart's Notice of Privacy Practices and has signed a written confirmation of such receipt.
- Each client or client's authorized personal representative has read, completed and signed Home at Heart Care, Inc. Admission Service Agreement.
- All Home at Heart employees must take all reasonable precautions to safeguard the confidentiality of client protected health information, including without limitation strict compliance with Home at Heart's Notice of Privacy Practices (and as the same may be

amended by Home at Heart, at its sole and absolute discretion, at any time and from time to time) and all federal, state and/or local statutes, laws, ordinances, regulations, rules and interpretive guidance relative to health information, including without HIPAA and all regulations promulgated thereunder, as well as any amendments to any of the foregoing.

- The use and disclosure of client protected health information is permitted without specific authorization *only* when required for treatment, payment, and healthcare operations as set forth in Home at Heart's Notice of Privacy Practices and/or applicable laws/regulations.
- Disclosure of client protected health information to any person or entity for other purposes may be made only on written authorization of the client or, if appropriate, his/her parent or legal guardian.

After termination of employment with Home at Heart for any reason or no reason, former employees must continue to protect the privacy of client protected health information. All departing employees must immediately return to their supervisor any and all documents (i.e. timesheets, care plans) and media containing client protected health information. Terminated employees must never disclose, without proper authorization or as required by law, any client protected health information after leaving employment with Home at Heart.

Non-compliance with this policy and associated procedures is a serious matter and may result in civil and criminal actions to the employee, in addition to disciplinary action up to and including immediate termination of employment.

DATA PRIVACY

It is the policy of Home at Heart to recognize the rights of clients to confidentiality and data privacy. All employees are subject to comply with Home at Heart's Data Privacy Policy. Non-compliance with this policy and associated procedures is a serious matter and may result in civil and criminal actions to the employee, in addition to disciplinary action up to and including immediate termination of employment. Home at Heart's Data Privacy Policy is available in the H@HC Policy Booklet, on the external website, www.homeatheartcare.com or request a copy by contacting the Home at Heart office.

Private data includes all information on persons that has been gathered by Home at Heart or from other sources for Home at Heart purposes as contained in the client data file, including their presence and status in this program. Data is private if it is about the client and is classified as private by state or federal law. Only the following persons are permitted access to private data:

- The client who is the subject of the data or a legal representative.
- Anyone to whom the client gives signed consent to view the data.
- Client's case manager.
- Employees of the welfare system whose work assignments reasonably require access to the data. This includes employees of Home at Heart.
- Anyone the law says can view the data.

Data collected within the welfare system about clients are considered welfare data. Welfare data is private data on clients; including medical and/or health data. Agencies in the welfare system include, but are not limited to: Department of Human Services; local social services agencies, including a client's case manager; county welfare agencies; human services boards; the Office of Ombudsman for Mental Health and Developmental Disabilities; and persons and entities under contract with any of the above agencies; this includes Home at Heart and other licensed caregivers jointly providing services to the same client. Once informed consent has been obtained from the client or the legal representative there is no prohibition against sharing welfare data with other persons or entities within the welfare system for the purposes of planning, developing, coordinating and implementing needed services

Data created prior to the death of a client retains the same legal classification (public, private, confidential) after the client's death that it had before the death.

Home at Heart has an established process in obtaining informed consent or authorization for release of information from other licensed caregivers or primary health care providers. Questions regarding this process should be referred to the Supervisor.

Employees do not automatically have access to private data about Home at Heart clients or about other employees. Employees must have a specific work function need for the information. Private data about persons are available only to those Home at Heart employees whose work assignments reasonably require access to the data; or who are authorized by law to have access to the data.

Any written or verbal exchanges about a person's private information by employees with other employees or any other persons will be done in such a way as to preserve confidentiality, protect data privacy, and respect the dignity of the person whose private data is being shared.

As a general rule, doubts about the correctness of sharing information should be referred to the Supervisor.

After termination of employment with Home at Heart for any reason or no reason, former employees must continue to protect the privacy of client protected health information. All departing employees must immediately return to the direct supervisor any and all documents (i.e. timesheets, care plans) and media containing client protected health information Terminated employees must never disclose, without proper authorization or as required by law, any client protected health information after leaving employment with Home at Heart.

CONFIDENTIAL INFORMATION

Throughout employment, employees will acquire and have access to confidential information belonging to Home at Heart of a special and unique nature and value, relating to such matters as Home at Heart's clients lists, contracts and other information (including without limitation personal contact information and health care information); Employees and compensation information; accounts; trade secrets; procedures; handbooks (including this Handbook); pricing information; customer information; accounting and bookkeeping

practices; office policies and practices; financial information, data, records and reports; sales data and expense information; business plans, general and specific; prospect names and lists; existing and potential business opportunities; confidential reports; litigation and other legal matters; intellectual property; and other information specific to Home at Heart and its business.

Home at Heart expects employees to maintain the utmost integrity regarding all such confidential information. All such information will be held in the strictest confidence and will be released only by authorized employees to persons who recognize these confidentiality obligations and agree to abide by them in writing. All requests for any information relative to *any* Home at Heart employee or client must be referred directly to the CEO. Only the CEO, or the CEO's authorized designee, is authorized to release information concerning administrative, technical or financial data relative to the operation of Home at Heart and/or any information of any kind (including without limitation personal and health-care related information) regarding Home at Heart's employees and clients. If any representative of the media (newspaper, television, radio) requests any information, such request must be directed or referred to the CEO.

As a condition of employment with Home at Heart, employees agree that all confidential information described in this Handbook, and/or any other information which employees know or reasonably should be aware constitutes confidential or proprietary information regarding Home at Heart, any Home at Heart client or any Home at Heart employee, is the exclusive property of Home at Heart and that employees will not at any time use, divulge or disclose to anyone, or attempt to use, divulge or disclose to anyone, except in the responsible exercise of the job, any such confidential or proprietary information, whether or not such information has been designated specifically as "confidential" or "proprietary". *Any violation of these confidentiality restrictions is grounds for disciplinary action, including immediate termination.*

REPORTING OF ABUSE/NEGLECT/EXPLOITATION

It is the policy of Home at Heart to comply with all relevant laws with regard to the mandatory reporting of all suspicions of abuse or neglect. If Home at Heart becomes aware of possible abuse of a client, or has reasonable suspicion of abuse or neglect, Home at Heart is required by law to notify the Minnesota Department of Human Services. The CEO or designee will be responsible for this notification. To ensure all incidences of abuse/neglect are reported to the proper authorities and according to the law, any employee who witnesses neglect or sexual abuse involving a client while under the care of Home at Heart Employees shall report the incident to the CEO or designee as soon as possible but in no event less than twenty-four (24) hours after witnessing the incident.

VULNERABLE ADULT MANDATORY REPORTING

It is the policy Home at Heart to protect the adults served by Home at Heart who are vulnerable to maltreatment and to require the reporting of suspected maltreatment of vulnerable adults.

Suspected Maltreatment may include but not limited to financial exploitation, Caregiver neglect or self-neglect, or verbal, physical, sexual or emotional abuse. All employees must comply with the Home at Heart Maltreatment of Vulnerable Adults Mandated Reporting Policy and as the same may be amended at any time and from time to time. Failure to comply will result in disciplinary action, up to and including immediate termination.

Mandated Reporters are law enforcement, health care personnel (Caregivers), social workers and other professionals. As a mandated reporter, if employees know or suspect that a vulnerable adult has been maltreated, employees must report it immediately (within twenty-four (24) hours). A mandated reporter who negligently or intentionally fails to report suspected maltreatment of a vulnerable adult is liable for damages caused by the failure to report.

Report suspected maltreatment of a vulnerable adult to the Minnesota Adult Abuse Reporting Center at 844-880-1574 which is open 24 hours a day, seven days a week or online <https://mn.gov/dhs/people-we-serve/adults/services/adult-protection/>. Caregivers should also contact the direct Supervisor. If the Supervisor is involved in the alleged or suspected maltreatment, the report should be made to HAHC Management.

Minnesota encourages good faith reporting of suspected maltreatment of vulnerable adults by any person. Identity of the reporter is confidential and cannot be released without a court order.

Reports are reviewed to see if immediate protective services are needed. Reports of an alleged crime are referred to law enforcement. All reports of suspected maltreatment are also referred to a lead investigative agency, which may be the county or the state departments of Health or Human Services.

Information contained in reports of suspected maltreatment of a vulnerable adult made to the Minnesota Adult Abuse Reporting Center is confidential under Minnesota law. The Minnesota Adult Abuse Reporting Center cannot provide information about a report to anyone, including the reporter, once a report is completed. Once a report is referred to the lead investigative agency responsible, different parts of the law cover how information in the report can be shared, but the identity of the reporter remains protected. Contact the county or state agency responsible for the report for questions about a completed report.

Home at Heart is required by law to provide orientation of this policy within seventy-two (72) hours after first providing direct contact services to a vulnerable adult and annually thereafter.

Home at Heart's Maltreatment of Vulnerable Adult Mandatory Reporting Policy is available in the Policy Booklet, on the external website, www.homeatheartcare.com or you may request a copy by contacting the Home at Heart office.

VULNERABLE MINOR MANDATORY REPORTING

It is the policy of Home at Heart to protect the minor children served by Home at Heart whose health or welfare may be jeopardized through physical abuse, neglect, or sexual abuse and to require the reporting of suspected abuse of children, in accordance with the Home At Heart Care,

Inc. Maltreatment of Vulnerable Minors Mandated Reporting Policy. All employees must comply with these policies and failure to comply will result in disciplinary action, up to and including immediate termination.

Home at Heart employees are legally required or mandated to report and cannot shift the responsibility to anyone else including HAHC Management. If an employee knows or has reason to believe a child is being or has been neglected or physically or sexually abused within the preceding three (3) years, they must immediately (within twenty-four (24) hours) make a report to an outside agency.

- If an employee knows or suspects that a child is in immediate danger, they should call 911.
- All reports concerning suspected abuse or neglect of children occurring with respect to Home at Heart clients must be made to the Minnesota Department of Human Services, Licensing Division's Maltreatment Intake line at (651) 431-6600.
- Reports regarding incidents of suspected abuse or neglect of children occurring within a family or in the community should be made to the local county social services agency or local law enforcement. Contact details for local county social services agencies and local law enforcement are set forth within the policy located in our Policy Booklet or online.
- Reports that do not involve possible abuse or neglect, but involves possible violations of Minnesota Statutes or Rules that govern Home at Heart, should be made to the Department of Human Services, Licensing Division at (651) 431-6500.

Reports to any of the above agencies should contain enough information to identify the child involved, any persons responsible for the abuse or neglect (if known), and the nature and extent of the maltreatment and/or possible licensing violations. For reports concerning suspected abuse or neglect occurring with respect to Home at Heart clients, the report should include any actions taken by Home at Heart in response to the incident.

An oral report of suspected abuse or neglect made to one of the above agencies by a mandated reporter must be followed by a written report to the same agency within seventy-two (72) hours, exclusive of weekends and holidays.

A mandated reporter who knows or has reason to believe a child is or has been neglected or physically or sexually abused and fails to report is guilty of a misdemeanor. In addition, a mandated reporter who fails to report maltreatment that is found to be serious or recurring maltreatment may be disqualified from employment in positions allowing direct contact with persons receiving services from programs licensed by the Department of Human Services and by the Minnesota Department of Health, and unlicensed Personal Care Provider Organizations.

Home at Heart, as employer of any mandated reporter, shall not retaliate against the mandated reporter for reports made in good faith or against a child with respect to whom the report is made. The Reporting of Maltreatment of Minors Act contains specific provisions regarding civil actions that can be initiated by mandated reporters who believe that retaliation has occurred.

Home at Heart must provide training to all employees related to the mandated reporting responsibilities as specified in the Reporting of Maltreatment of Minors Act (Minnesota Statutes, Section 626.556). Home at Heart's Maltreatment of Vulnerable Minor Mandatory Reporting Policy is available in the Policy Booklet, on the external website, www.homeatheartcare.com or request a copy by contacting the Home at Heart office.

NONDISCRIMINATION

All Home at Heart employees will provide the highest quality service to Home at Heart clients regardless of the client's color, race, religion, creed, sex, sexual orientation, age, marital status, status with regard to public assistance, national origin or ancestry, veteran's status, disability and source or level of funding or any other category protected by federal, state or local law.

CLIENT GRIEVANCE AND COMPLAINT POLICY

All Home at Heart clients have the right to respectful and responsive services. We are committed to providing a simple complaint process for the people served by Home at Heart and their authorized or legal representatives to bring grievances forward and have them resolved in a timely manner. A copy of the Grievance and Complaint Policy is located in our Policy Booklet or available online at www.homeatheartcare.com.

SERVICES

Home at Heart provides Personal Care Assistance services, Homemaking services, Housekeeping Services, and In-Home Respite Care services (as described within this Handbook). Accordingly, some clients may receive more than one service from Home at Heart. As such, Home at Heart also allows Caregivers to all such services provided all applicable required training and orientation is completed.

PERSONAL CARE SERVICES

The PCA program provides support to people with disabilities of all ages, elderly (over 65 years) and people with chronic health conditions with activities of daily living, instrumental activities of daily living and observation and redirection of behaviors.

Activities of daily living (ADLs)

A PCA may assist the person with the following ADLs:

Dressing - Application of clothing and special appliances or wraps.

Grooming - Basic hair care, oral cares, shaving, basic nail care, applying cosmetics and deodorant, care of eyeglasses and hearing aids.

Bathing - Basic personal hygiene and skin care.

Eating - Completing the process of eating including application of orthotics required for eating, hand washing and transfers.

Transfers - Assistance to transfer the person from one seating or reclining area to another.

Mobility - Assistance with ambulation.

Positioning - Assistance with positioning or turning a person for necessary care and comfort.

Toileting - Helping person with bowel or bladder elimination and care. This includes transfers, mobility, positioning, feminine hygiene, use of toileting equipment or supplies, cleansing, inspection of the skin and adjusting clothing.

Instrumental activities of daily living (IADLs)

A PCA may assist an adult recipient with the following:

- Accompany to medical appointments
- Accompany to participate in the community
- Assist with paying bills
- Communicate by telephone and other media
- Complete household tasks integral to the PCA services
- Plan and prepare meals
- Shop for food, clothing and other essential items

Observation and redirection of behaviors

A PCA service may include observation of a person who has episodes of behaviors and needs redirection to remain safe in his/her environment

Personal Care Assistant (PCA) Qualifications

- Be able to effectively communicate with the client and Home at Heart.
- Be able to provide covered PCA services according to the client's care plan, and respond appropriately to client's needs.
- Maintain daily written records including, but not limited to, timesheets. **NOTWITHSTANDING ENTRIES ON TIMESHEETS, PCAS WILL NOT BE COMPENSATED BY HOME AT HEART FOR HOURS WORKED IN EXCESS OF HOURS SPECIFICALLY AUTHORIZED IN WRITING ON THE CLIENT'S SERVICE PLAN WITHOUT PRIOR WRITTEN PERMISSION FROM THE SUPERVISOR.**
- Identify and report changes in the client's health condition to the supervisor.
- If 16 to 17 years old, a PCA must be evaluated by a supervisor at least once every sixty (60) days and not work for any other personal care assistance provider agency while working for Home at Heart.
- High School students aged 16 and 17 may not work after 11 p.m. on an evening before a school day or before 5 a.m. on a school day.

PCA Caregivers may **NOT** be the:

- Paid legal guardian of an adult
- Legal guardian of the minor
- Parent or stepparent of a minor child recipient
- Recipient of PCA services
- Responsible party of a recipient
- Spouse of a recipient

Qualified Professional (QP)

A Qualified Professional (QP) is a person who provides supervision for PCA employees. QP employees must meet specific criteria set by the state. Home at Heart ensures the QP's meet these criteria. The QP job responsibilities include developing the client's care plan, and orientating the PCA to ensure they are capable of providing the required personal care services and evaluates the PCA work performance.

Shared Care Option Requirements

In rare situations, PCA's may provide personal care services for two (2) or three (3) clients in a shared "setting". Additional responsibilities are required of the QP including but not limited to increased supervision and more frequent supervisory visits to the "setting".

HOMEMAKING SERVICES

Homemaking services are general household activities provided by a trained homemaker, when a client is unable to manage the home or when the person regularly responsible for these activities is temporarily absent or unable to manage the home. Covered services are listed in the community support plan (care plan) of the client and may include the following:

- Meal preparation
- Shopping and errands
- Routine household care
- Assistance with instrumental activities of daily living
- Transportation arrangement
- Companionship
- Emotional support
- Social stimulation
- Monitoring of the safety and wellbeing of the client

The services provided by a Homemaker under a community support plan (care plan) cannot be duplicated with other State plan covered service or waiver services.

Homemaking Responsibilities

Home at Heart Homemakers are expected to provide the highest quality of cleaning and service possible to all clients. These services are to be performed **INSIDE** the home living areas. Garages and unfinished basements are not generally considered living areas. The following job responsibilities are tasks which a client may ask the Homemaker to perform on a regular schedule or only periodically. For further instruction on proper cleaning techniques, Homemakers should refer to Home at Heart's Cleaning Basics which is available on the external website, www.homeatheartcare.com or request a copy by contacting the Home at Heart office. The following is not inclusive of duties which may be included in a client's plan.

Bathrooms – Wash sink, top of vanity, fronts of cabinets, toilet, tub/shower and surrounding area, mirrors and entire floor area. Goggles and gloves are required equipment when cleaning bathrooms and are provided to the Homemaker by Home at Heart; masks are also available on request.

Kitchens - Wash, dry and put away dishes, clean and disinfect countertops, stovetop, surfaces of appliances, tabletops and inside of microwave, sweep and mop floors, occasional cleaning of oven and refrigerator as needed.

Dusting - In every room dust all surfaces, shelves and items on the shelves. Pick up the items to dust under them (rather than dusting around them) and clean the item itself. If the client requests furniture polish, Homemakers should buff the piece of furniture with a dry cloth after the polish dries. Homemakers are NOT required to dust or wash *collectible items/items of value* if Homemaker's are uncomfortable with the responsibility of doing so.

Flooring - Vacuum all carpeted areas, changing vacuum bag as needed. Sweep bare floors prior to washing them, mop using the client's preferred method, including cleaning mp boards. Homemakers are **not** required to do "hands and knees" mopping. If Homemakers are asked and are unable or unwilling to clean floors on their hands and knees, please contact the supervisor. Pick up rugs to vacuum or mop underneath taking care not to shake the rugs in the house, shake them *outside*. Clients may want rugs aired out.

Windows - Thoroughly wash insides of all windows, window sills and tracks. Double hung windows may be taken apart to wash outside surfaces if the client requests. Upon request, Homemakers may remove, launder and re-hang curtains/valances ONLY if accessible from a one-step stool.

Bed Linens - Strip the dirty sheets (unless they are soiled with bodily fluids) and make-up the bed with clean sheets. Launder dirty bedding, fold and put away or put back on bed.

Laundry - Wash, dry, fold or hang up and put away the laundry. Some items may also need to be ironed.

Trash - Gather up trash throughout all rooms and replace trash can liners, collect in a main trash bag (usually from the kitchen) and take out when leaving for the day.

Sorting and Organizing - Assist client in sorting and discarding items no longer needed in closets, corners, piles, etc.

Walls and Ceilings - Wash walls and ceilings as requested. Use a one-step stool only (not a chair or ladder – see below). Utilize a long handled mop (with clean mop head) or dry duster with extension as needed for ceilings and high walls. Clean door handles and switch plates.

Grocery Shopping and Errands – Ask clients to make a shopping list, assist with this if needed, which includes needed items and the brand or type if applicable. If the client provides the Homemaker with money, please follow the below process:

1. Use the receipt booklet provided by the Supervisor
2. Confirm amount – Homemaker should count the monies & repeat the total to the client to confirm the amount.
3. Review the items purchased with the client while putting them away.
4. ALWAYS return the store receipt and any monies left.
5. Both client and Homemaker to sign the HAHC receipt and/or log sheet provided in the Client Handbook

Homemakers may run other errands specified in the client's care plan such as taking trash to the recycling center, picking up prescriptions, going to the Post Office, dropping off dry cleaning, etc. Homemakers may not transport clients, but if the client has alternate transportation, the Homemaker may meet the Client at the store and assist with shopping.

Meal Preparation - Homemakers may prepare meals to be eaten by the client during the visit or to be refrigerated or frozen for future use. This includes the occasional baking of cakes, cookies, bars, pies, etc. as requested.

Homemakers are NOT allowed to:

- Shovel snow, rake yards, clean flower beds or garden, or other chores outside of the home living areas.
- Transport clients or other household members (including pets) in any vehicle
- Use ladders or a chair in place of a stool. There are methods to accommodate ceiling and wall washing beyond reach from a one-step stool (utilize a long-handled mop or duster extension).
- Purchase or use of alcohol
- Purchase or use of tobacco products. Client homes are designated non-smoking areas for all Homemakers, even if the client smokes or uses tobacco.
- Participation in illegal activities, including but not limiting to the purchase or use of controlled substances.
- Purchase Lottery Ticket (of any kind).
- Administer Medications (over-the-counter or prescription) including filling client pill boxes or laying out daily medications.

Client Pets - Homemakers are **not** required to clean up animal feces or clean cat litter boxes. If a Homemaker is comfortable with cleaning up after pets, the Homemaker may choose to do so for the client, but is **not** required to do so.

Homemaking Program Policies and Procedure

The following are the policies and procedures specifically applicable to the Home at Heart Homemaking program and Home at Heart Homemakers. These policies and procedures *supplement* the generally applicable policies and procedures set forth within this Handbook.

Absent Clients - Homemakers may only provide services when the client is home. Do NOT enter any client's home if they are not present. Under unique circumstances, Home at Heart has a policy that allows for Prearranged Visits, Homemakers may contact the supervisor for guidance.

Work Schedule/Holiday - Home at Heart expects Homemakers to coordinate with the client and supervisor to establish a work schedule. This work schedule should take into consideration observed holidays. Homemakers should not schedule work during observed holidays.

Lifting - Home at Heart does not allow Homemakers to move heavy furniture (sofa, loveseat, beds, lounging chairs, etc.). As a general guideline, Homemakers should only lift objects that weigh less than twenty-five (25) pounds.

Personal Care/Activities of Daily Living (“ADLs”) - Assisting any client with personal care and or ADLs is **not** part of the Homemaker’s essential responsibilities. This includes, but is not limited to:

- assisting with shower/bath
- trimming toenails or fingernails
- doing hair
- dressing or undressing
- changing/regulating oxygen tanks
- transporting and/or monitoring/adjusting any medical apparatus.

Blood Borne Pathogens/Bodily Fluids - Homemakers are not required to clean up any blood or bodily fluids from their clients. This includes, but is not limited to, syringe clean-up, wiping up blood or bodily fluids including emesis, or handing of personal items that have been soiled with blood.

HOUSEKEEPING SERVICES

Housekeeping Services consist **only** of cleaning services and do not include all Homemaking services described earlier in this Chapter. The job responsibilities of a Housekeeper are limited ***exclusively*** to providing home cleaning and laundry services. Housekeepers should refer to the Homemaking Program Policies and Procedures described earlier in this Chapter and Home at Heart’s Cleaning Basics available on the external website, www.homeatheartcare.com or request a copy by contacting the Home at Heart office.

Notwithstanding the provisions of Homemaking as described in this handbook, a Housekeeper *shall not* provide any services which comprise “home management services” or assistance with activities of daily living (which services may only be provided by an employee that has completed the training requirements), including the following services:

- Meal Preparation
- Shopping for food, clothing or supplies
- Simple household repairs
- Arranging for transportation
- Assistance with bathing
- Assistance with toileting
- Assistance with eating
- Assistance with ambulating
- Any services other than cleaning services.

Any questions as to whether a service which a Housekeeper is requested or directed to complete is a non-cleaning service should be directed to the Supervisor.

IN-HOME RESPITE CARE SERVICES

Respite Care services are short-term care services provided due to the absence or need for relief of the family member(s) or primary caregiver. Home at Heart ensures those Primary caregivers and clients receiving respite care meet specific requirements. Respite care is limited to thirty (30) consecutive days per respite stay in accordance with the care plan and is based on the client's needs.

INDIVIDUAL COMMUNITY LIVING SUPPORT (ICLS)

As of July 1, 2017, H@HC now offers ICLS services. ICLS is an Elderly Waiver (EW) bundled service that supports participants who need reminders, cuing, intermittent or moderate supervision, or physical assistance to remain in their home. ICLS is made up of the following six (6) categories:

1. Activities of daily living (ADLs) - provide reminders, cuing or physical assistance to complete ADLs
2. Household management assistance - assist with housekeeping, meal planning, shopping, budget/money management, communication and transportation when other resources are unavailable
3. Health, safety and wellness oversight - support health and wellness as identified in the ICLS service plan, which may include monitor and identify health needs, exercise and other wellness improvement activities, medication and medical equipment device assistance
4. Community living engagement - help live independently in the community by assisting the participant to achieve their community engagement goals by accessing activities, services and resources and provide transportation when other resources are unavailable
5. Adaptive Support - assist the participant to adopt ways that encourages self-sufficiency and reduces reliance on human assistance. Includes providing cues, guidance, demonstration, and practice methods to promote continued self-sufficiency.
6. Active cognitive support provided face-to-face or remotely using real-time two-way communication - provide interventions intended to address issues and challenges important to the participant. This is the only service that may be offered remotely.

CAREGIVER TRAINING, WAGE & BENEFITS

TRAINING REQUIREMENTS

Home at Heart recognizes the importance of training and expects each Caregiver to actively participate in the training opportunities and bring with them an attitude of discovery and learning. This will in turn allow us to meet the needs of the clients. Home at Heart offers a diverse training program that includes on-the-job, online, skills workbooks, and classroom options. Home at Heart's training program and supervision policies were developed with the guidance of MN rules 9505.0335, Subpart 3, Personal Care Services and Minnesota Statutes, Section 245D.09 as applicable. Home at Heart's PCA Training and 245D Training policies are available on the external website, www.homeatheartcare.com or request a copy by contacting the Home at Heart office.

Prior to employment, Caregivers are required to complete the DHS training, which includes the following basic components: basic first aid, basic roles and responsibilities of an individual PCA; assistance with lifting and transfers, emergency preparedness, orientation to positive behavioral practices, fraud issues and completion of timesheets, OSHA universal precautions and vulnerable adult and child maltreatment.

During orientation, each Caregiver will be trained in the following areas as it relates to their individual client. Prior to being left alone with a client, each Caregiver will sign Home at Heart's training acknowledgement form. Additionally, every twelve (12) months, each Caregiver will receive recurrent training in these areas as determined necessary by Home at Heart at its sole and absolute discretion:

1. Caregiver Handbook and Policy Booklet
2. Confidentiality/Privacy
3. Lifting
4. Transfers
5. Infection Control
6. Activities of Daily Living (ADL's)
7. Harassment
8. Vulnerable Adult/Minor Abuse
9. Cultural Diversity
10. General Knowledge
11. Equal Opportunity Employment/Affirmative Action Plan
12. Prevention of Fraud

Each Caregiver is required to complete & demonstrate to the supervisor their competency in the subject matters described on the training form. To confirm completion the Caregiver and supervisor will initial the training form.

Home at Heart encourages each new Caregiver to complete the CPR/First Aid skills course within 120 days of initial employment and maintain the certification throughout employment.

Home at Heart provides Caregivers orientation and annual training to meet six (6) or twelve (12) hours of training, as applicable (see below) each year. Caregivers who are providing services under the 245D Homemaking or Respite Services must complete the six (6) or twelve (12) hour training requirement within sixty (60) days of starting unsupervised service to a client. Caregivers who maintain the required annual training are eligible for wage increases and/or potential bonuses. Caregivers who have more than 5 years of documented experience can receive up to six (6) hours credit towards the annual twelve (12) hour training requirement.

Caregivers may contact our office to discuss their training options and schedule an upcoming training. When registering for a class, Caregivers are expected to calculate the anticipated work schedule hours with class training hours to prevent going over in hours for that week. Classes are contingent on inclement weather conditions and minimum class size. Home at Heart Care reserves the right to cancel class during such time.

Caregivers may find additional information about our diverse training program online, <http://www.homeatheartcare.com/employee-training.html>.

WAGES AND BENEFITS

Home at Heart offers fair and consistent wages and benefits for all of its employees.

WAGES

Wages and payment policies relative to employees will be as determined by Home at Heart from time to time and communicated to Home at Heart employees in writing.

BENEFITS

401K Retirement Plan

Home at Heart offers a 401K retirement plan administered by American Funds. InvestForward is the local Financial Advisor for the plan. Employees who have met the following criteria are eligible:

1. Age twenty-one (21) or older;
2. Have been employed with Home at Heart for a minimum of one (1) full calendar year;
and
3. Have worked more than one thousand (1000) hours during that calendar year.

Vested employees are eligible to contribute a percentage of their checks, up to a maximum of \$19,000 of their pre-tax dollars per year (or more if over the age of fifty (50)).

Employees are responsible for how their 401K is invested and may meet regularly with the Financial Advisor to review their investment strategy.

Employee access to 401K accounts is restricted by federal law. Employees who wish to access their funds before the age of fifty-nine and one-half (59 ½) may be subject to Internal Revenue Service penalties and taxes.

The Home at Heart Board retains the right to make Profit Sharing contributions to each employee's individual 401K plans as determined by the Board.

Employee Assistance Program

Home at Heart contracts yearly with the Clear Waters Life Center to provide Employee Assistance, Lay Counseling and Coaching services for all Home at Heart employees including family members and clients.

The Clear Waters Life Center provides:

- Conflict resolution and crisis counseling
- Anger management classes
- Chemical dependency and addictions counseling
- Eating disorder counseling
- Grief and depression counseling
- Marriage counseling
- Divorce recovery and blended family issues
- Referrals for special needs.

Employees who wish to access these services may call 218-776-2789 to make an appointment. There is no cost to the employee for these services.

AFLAC

Home at Heart employees who have been employed for a minimum of three (3) months are eligible to participate within the following AFLAC benefit programs:

- Cancer
- Accident
- Short Term Disability
- Hospitalization
- Intensive Care
- Specified Health Protection
- Dental
- Vision
- Life Insurance
- Sickness

Employees receive a group rate and the convenience of premium payments through post-tax payroll deductions.

HEALTH INSURANCE BENEFIT

Employees who work an average of a minimum 30 hours each week over an annual lookback period are eligible to enroll in Home at Heart's Health Insurance Plan.

VENDOR AGREEMENTS

Home at Heart has agreements with local vendors for payroll deductions. To be eligible for a payroll deduction arrangement, an employee must be in good standing, have completed all training requirements, and execute a voluntary payroll agreement with Home at Heart and the vendor. An employee may have only one (1) applicable deduction at a time and may not exceed deductions over thirty-five (35%) of the aggregate of such employee's past ten (10) paychecks net pay.

Local vendors with which Home at Heart has agreements include the following:

- Auto Mart, Bemidji
- Bogart's, Blackduck
- Copper Auto, Bemidji
- Corner Garage of Blackduck
- Galli Furniture, Bagley
- M&M Auto Recyclers, Bemidji
- Main Street Service, Gonvick
- Neadeau Sales, Bemidji
- Pony Lake Auto, Hines
- Strong Motors, Red Lake

Home at Heart is open to working with other vendors if it safely meets the needs of the employees.



New Health Insurance Marketplace Coverage Options and Your Health Coverage

Form Approved
OMB No. 1210-0149
(expires 5-31-2020)

PART A: General Information

When key parts of the health care law take effect in 2014, there will be a new way to buy health insurance: the Health Insurance Marketplace. To assist you as you evaluate options for you and your family, this notice provides some basic information about the new Marketplace and employment-based health coverage offered by your employer.

What is the Health Insurance Marketplace?

The Marketplace is designed to help you find health insurance that meets your needs and fits your budget. The Marketplace offers "one-stop shopping" to find and compare private health insurance options. You may also be eligible for a new kind of tax credit that lowers your monthly premium right away. Open enrollment for health insurance coverage through the Marketplace begins in October 2013 for coverage starting as early as January 1, 2014.

Can I Save Money on my Health Insurance Premiums in the Marketplace?

You may qualify to save money and lower your monthly premium, but only if your employer does not offer coverage, or offers coverage that doesn't meet certain standards. The savings on your premium that you're eligible for depends on your household income.

Does Employer Health Coverage Affect Eligibility for Premium Savings through the Marketplace?

Yes. If you have an offer of health coverage from your employer that meets certain standards, you will not be eligible for a tax credit through the Marketplace and may wish to enroll in your employer's health plan. However, you may be eligible for a tax credit that lowers your monthly premium, or a reduction in certain cost-sharing if your employer does not offer coverage to you at all or does not offer coverage that meets certain standards. If the cost of a plan from your employer that would cover you (and not any other members of your family) is more than 9.6% of your household income for the year, or if the coverage your employer provides does not meet the "minimum value" standard set by the Affordable Care Act, you may be eligible for a tax credit.¹

Note: If you purchase a health plan through the Marketplace instead of accepting health coverage offered by your employer, then you may lose the employer contribution (if any) to the employer-offered coverage. Also, this employer contribution—as well as your employee contribution to employer-offered coverage—is often excluded from income for Federal and State income tax purposes. Your payments for coverage through the Marketplace are made on an after-tax basis.

How Can I Get More Information?

For more information about your coverage offered by your employer, please check your summary plan description or contact Linda Engen, Human Resources, 218.776.3508 ext. 109.

The Marketplace can help you evaluate your coverage options, including your eligibility for coverage through the Marketplace and its cost. Please visit HealthCare.gov for more information, including an online application for health insurance coverage and contact information for a Health Insurance Marketplace in your area.

¹ An employer-sponsored health plan meets the "minimum value standard" if the plan's share of the total allowed benefit costs covered by the plan is no less than 80 percent of such costs.

PART B: Information About Health Coverage Offered by Your Employer

This section contains information about any health coverage offered by your employer. If you decide to complete an application for coverage in the Marketplace, you will be asked to provide this information. This information is numbered to correspond to the Marketplace application.

3. Employer name Home at Heart Care, Inc.		4. Employer Identification Number (EIN) 41-0430825	
5. Employer address 221 3rd Ave, Box 183		6. Employer phone number 218-776-3508	
7. City Clearbrook	8. State MN	9. ZIP code 56634	
10. Who can we contact about employee health coverage at this job? Home at Heart Care, Inc.			
11. Phone number (if different from above)		12. Email address	

Here is some basic information about health coverage offered by this employer:

•As your employer, we offer a health plan to:

All employees. Eligible employees are:

Some employees. Eligible employees are:

Initial Enrollment will begin following a caregiver averaging 30 hours/week in a rolling year from their date of hire. Benefit will begin the first of the month following the review month. Thereafter, H@HC will complete an annual Variable Hour lookback from December - November. Caregivers who average 30 hours/week during this lookback will qualify beginning January 1 of the upcoming year. +

•With respect to dependents:

We do offer coverage. Eligible dependents are:

Medica defines dependents as children under the age of 26, regardless of student status or marital status.

We do not offer coverage.

If checked, this coverage meets the minimum value standard, and the cost of this coverage to you is intended to be affordable, based on employee wages.

** Even if your employer intends your coverage to be affordable, you may still be eligible for a premium discount through the Marketplace. The Marketplace will use your household income, along with other factors, to determine whether you may be eligible for a premium discount. If, for example, your wages vary from week to week (perhaps you are an hourly employee or you work on a commission basis), if you are newly employed mid-year, or if you have other income losses, you may still qualify for a premium discount.

If you decide to shop for coverage in the Marketplace, [HealthCare.gov](https://www.healthcare.gov) will guide you through the process. Here's the employer information you'll enter when you visit [HealthCare.gov](https://www.healthcare.gov) to find out if you can get a tax credit to lower your monthly premiums.

The information below corresponds to the Marketplace Employer Coverage Tool. Completing this section is optional for employers, but will help ensure employees understand their coverage choices.

13. Is the employee currently eligible for coverage offered by this employer, or will the employee be eligible in the next 3 months?

Yes (Continue)

13a. If the employee is not eligible today, including as a result of a waiting or probationary period, when is the employee eligible for coverage? _____ (mm/dd/yyyy) (Continue)

No (STOP and return this form to employee)

14. Does the employer offer a health plan that meets the minimum value standard*?

Yes (Go to question 15) No (STOP and return form to employee)

15. For the lowest-cost plan that meets the minimum value standard* offered only to the employee (don't include family plans): If the employer has wellness programs, provide the premium that the employee would pay if he/she received the maximum discount for any tobacco cessation programs, and didn't receive any other discounts based on wellness programs.

a. How much would the employee have to pay in premiums for this plan? \$ _____

b. How often? Weekly Every 2 weeks Twice a month Monthly Quarterly Yearly

If the plan year will end soon and you know that the health plans offered will change, go to question 16. If you don't know, STOP and return form to employee.

16. What change will the employer make for the new plan year? _____

Employer won't offer health coverage

Employer will start offering health coverage to employees or change the premium for the lowest-cost plan available only to the employee that meets the minimum value standard.* (Premium should reflect the discount for wellness programs. See question 15.)

a. How much would the employee have to pay in premiums for this plan? \$ _____

b. How often? Weekly Every 2 weeks Twice a month Monthly Quarterly Yearly

* An employer-sponsored health plan meets the "minimum value standard" if the plan's share of the total allowed benefit costs covered by the plan is no less than 60 percent of such costs (Section 305(c)(2)(O)(ii) of the Internal Revenue Code of 1986)

GLOSSARY

Term	Definition/Description
Activities of Daily Living (ADL)	Routine self-care functions that include: eating, toileting, grooming, dressing, bathing, transferring, mobility, and positioning.
Assessment	A review and evaluation of a recipient's need for care services.
Caregiver	Employees providing direct care to clients. May be referred as PCA or Homemakers, as applicable.
Care Plan – PCA	A written description of how the client's needs identified during the assessment process and addressed in the service plan will be met. This is developed by the qualified professional or the client/responsible party with the assistance of the client's physician. This is a requirement of the PCA program. The Care Plan may include, but is not limited to, information contained within the Service Agreement, Service Plan, Funds and Property Authorization form and Individual Abuse Prevention Plan, as applicable, with respect to each client.
Combination PCA and other Home Care services	See PCA Combinations
Community Support Plan (Care Plan)	See Coordinated Service and Support Plan
Confidential Information	Includes all information without limitation to personal contact information and health care information relating to such matters of Home at Heart and its business. Examples may include but not limited to Home at Heart policies and procedures, client data, employees and compensation information.
Coordinated Service And Support Plan And Addendum	A recipient of Homemaking or Respite Care Services provided by Home at Heart will receive services pursuant to a written coordinated service and support plan and addendum, including without limitation the Funds and Property Authorization form and Individual Abuse Prevention Plan, as applicable to each recipient.
Coordinator	A Supervisor who is responsible for the coordination of care services.
Flexible Use Option	Planned and approved use of authorized PCA service hours/units in a 6 month flexible schedule to more effectively meet the needs of the person. MHCP established two 6-month periods for the PCA Flexible Use Option. The Flexible Use Option allows authorized PCA units to vary from day to day to meet the needs and schedules as specified in the PCA assessment . Flexible Use does not increase the total amount of authorized PCA units.
Instrumental Activities of Daily Living (IADL)	Individual activities relating the ADLs that include: meal planning and preparation, managing finances, shopping for food, clothing and other essential items, completing necessary homemaking tasks, communication by telephone and other media, getting around and participating in the community.

Term	Definition/Description
Medically Necessary or Medical Necessity	A health service consistent with the client’s diagnosis or condition. It is recognized as the prevailing medical community standard or current practice by the provider’s peer group, and meets one of the following: <ul style="list-style-type: none"> • Responding to a life-threatening condition or pain • Treating an injury, illness, or infection • Treating a condition that could result in physical or mental disability Caring for a mother and child through the maternity period
Personal Care Assistant (PCA)	Caregivers who provide Personal Care Assistant Services.
Personal Care Assistant Services:	Human assistance and support to persons of any age with disabilities and special health care needs, living independently in the community.
Personal Care Provider Organization (PCPO):	An agency enrolled with DHS that meets DHS standards and signs a provider agreement with DHS to provide PCA services, also known as a Personal Care Provider or PCA Agency. Home at Heart is a PCPO.
Qualified Professional (QP):	A registered nurse, mental health professional or licensed social worker who is responsible for supervision of PCA services.
Residence:	The place where a client lives. A residence does not include a hospital, nursing facility, or intermediate care facility.
Responsible Party:	An individual, at least 18 years of age, who is capable of providing the support necessary to assist a client to live in the community and actively participates in the planning and direction of PCA Services and cannot be the PCA.
Service Agreement (SA)	The document used to identify services, providers and payment information for a client receiving services. The service agreement allows providers to bill for approved services and allows the Department of Human Services (DHS) to audit usage and payment data.
Service Plan	A written description of the services needed by the recipient based on the assessment.
Standard PCA	Limited use of PCA service hours/units to a monthly basis: daily and weekly usage of PCA service hours/units ought to be close to the daily average allocation. Hours do not transfer from month-to-month.
Supervisor	QP/registered nurse, mental health professional, licensed social worker or coordinator who is responsible for supervision of care services.
Timesheet	Time and Activity Documentation form completed by Caregivers.
Ventilator-Dependent Recipients	A ventilator-dependent recipient, means a recipient who receives mechanical ventilation for life support at least six hours per day and is expected to be or has been dependent for at least 30 consecutive days.

LEGAL REFERENCES

All employees must familiarize themselves and comply with all applicable requirements of Minnesota Rules 9505.0335 relative to Personal Care Services and Minnesota Rules 245D relative to Home and Community-Based Services Standards which are excerpted for informational purposes and convenience of reference in pertinent parts in this Handbook.

Changes in these Rules since adoption may not be reflected within this Handbook; therefore, employees should consult with the direct Supervisor with questions. Employees are expected to familiarize themselves with all changes to the following Rules, which may be accessed through the Minnesota Department of Human Services Disability Services Division website, www.dhs.state.mn.us.

Legal References

Code of Federal Regulations [Title 42, section 440.167](#)
MS [148.171](#) (Registered Nurse)
MS [245A](#) (Human Services Licensing Act)
MS [245C](#) (Human Services Background Studies)
MS [245D](#) (Home and Community-Based Services Standards)
MS [252A.02](#) subd., 3a (Corporate Legal Guardianship)
MS, section [256B.0625](#) (Covered Services)
MS section [256B.0651](#) (Home Care Services)
MS section [256B.0655](#) (Personal Care Assistant Services)
MS section [256B.0913](#) (Alternative Care Program)
MN Rule, parts [9505.0335](#) (Personal Care Services)
MN Rule, part [9505.0335](#) subd 3 (PCA Training)
MN Rule [9505.0335](#) subd 4 (On site Supervision requirements)
MN Rules [9502.0315 to 9502.0445](#) (Licensing Daycare facilities)
MN Rules [9503.0005 to 9503.0170](#) (Child Care Centers)
MN Rule [9505.2175](#), subd. 7 (Documentation of Services – including Timesheets)
MN Rule [9505.0175](#) subd 25 (Medical Necessity)

Home at Heart Care is required to provide the following information to all of its employees. As a Health Care partner with PrimeWest, UCare, Medica, Blueplus and the State of MN, Home at Heart Care is committed to preventing fraud and protecting Medicaid Dollars which we hope will help ensure that the services we provide will be available for years to come.

We have found the simplest way for a PCA or Homemaker to follow the law is to remember this statement: *You must be with your client, providing cares for your client to claim time working for your client.*

Summary of Federal Laws

False Claims Act (“FCA”)

The False Claims Act (the “FCA”) is a federal law (31 U.S.C. § 3729) that is intended to prevent fraud in federally funded programs such as Medicare and Medicaid. The FCA makes it illegal to knowingly present, or cause to be presented, a false or fraudulent claim for payment to the federal government. Under the FCA, the term “knowingly” means acting not only with actual knowledge but also with deliberate ignorance or reckless disregard of the truth.

The federal government may impose harsh penalties under the FCA. These penalties include “treble damages” (damages equal to three times the amount of the false claims) and civil penalties of up to \$11,000 per claim. Individuals or organizations violating the FCA may also be excluded from participating in federal programs.

Deficit Reduction Act (DRA)

Section 6034 of the DRA established the Medicaid Integrity Program which increased the Center for Medicare and Medicaid Services’ resources to prevent and respond to Medicaid fraud and abuse.

Whistleblower Protections and Prohibition on Retaliation To encourage individuals to come forward and report misconduct involving false claims, the FCA contains a *qui tam*, or whistleblower, provision (31 U.S.C. § 3730). This provision permits individuals with knowledge of false claims activity to file a lawsuit on behalf of the federal government. These individuals are referred to as “relators.” The relator’s lawsuit is filed under seal, which means it is kept confidential until the U.S. Justice Department reviews the case and decides whether to take over prosecution of the matter. If a relator’s lawsuit is successful, the relator may receive an award ranging from 15 to 30 percent of the government’s recovery, plus reasonable expenses and attorneys’ fees.

The FCA prohibits retaliation against employees, contractors or agents for filing a *qui tam* lawsuit or otherwise assisting in the prosecution of an FCA claim. Under the FCA, individuals who are the subject of such retaliation may be awarded reinstatement, back pay and other compensation. PrimeWest Health’s Non-Retaliation Policy (C 04 - Non-Retaliation/Non-Retribution) strictly prohibits any form of retaliation against anyone reporting suspected compliance violations.

Summary of Minnesota Laws

Under Minnesota law, a person who commits any act described below is liable for a civil penalty of not less than \$5,500 and not more than \$11,000 per false or fraudulent claim, plus three times the amount of damages sustained:

- (1) knowingly presents, or causes to be presented a false or fraudulent claim for payment or approval;
- (2) knowingly makes or uses, or causes to be made or used, a false record or statement to get a false or fraudulent claim paid or approved;
- (3) knowingly conspires to either present a false or fraudulent claim for payment or approval or makes, uses, or causes to be made or used a false record or statement to obtain payment or approval of a false or fraudulent claim;
- (4) has possession, custody, or control of public property or money used, or to be used and knowingly delivers or causes to be delivered less money or property than the amount for which the person receives a receipt;
- (5) is authorized to prepare or deliver a receipt for money or property and knowingly prepares or delivers a receipt that falsely represents the money or property;
- (6) knowingly buys, or receives as a pledge of an obligation or debt, public property who lawfully may not sell or pledge the property; or
- (7) knowingly makes or uses, or causes to be made or used, a false record or statement to conceal, avoid, or decrease an obligation to pay or transmit money or property.

In limited circumstances the penalty may be reduced to two times the amount of the damages. In addition, a person violating this section is also liable to the state or the political subdivision for the costs of a civil action brought to recover any penalty or damages. A person is not liable under this section for mere negligence, inadvertence, or mistake with respect to activities involving a false or fraudulent claim.

Prohibition on Retaliation

An employer must not adopt or enforce any rule or policy forbidding an employee to disclose information to the state, a political subdivision, or a law enforcement agency, or to otherwise act, including investigation for, bringing, or testifying. An employer must not discharge, demote, suspend, threaten, harass, deny promotion to, or otherwise discriminate against an employee in the terms or conditions of employment because of lawful acts done by the employee on the employee's behalf or on behalf of others in disclosing information. An employer who violates this section is liable to the affected employee in a civil action for damages and other relief, including reinstatement, twice the amount of lost compensation, interest on the lost compensation, any special damage sustained as a result of the discrimination, and punitive damages if appropriate. The employer is also liable for expenses including costs and attorney fees

Appendix A – Time Sheet Resources

Submitting Timesheets

Timesheets must be submitted consistently, either weekly or bi-weekly.*

Timesheets must be submitted by 9am Tuesday and final timesheet corrections are due by 5pm Tuesday to be considered in the following week's paycheck process.

Timesheets may be submitted via ShareFile, mail, in person or fax. It is recommended to call the office after submitting a timesheet to confirm receipt and check for errors to avoid any delays in processing.

Timesheets must be protected as they contain client's personal information. It is the Caregiver's responsibility to protect the timesheets by either properly storing or turning into the office.

ShareFile (electronic submission)

To protect the privacy of our clients, Home at Heart utilizes Citrix ShareFile to send and receive files securely. In compliance with privacy law, Home at Heart will not accept documents that contain client's confidential information, including timesheets, by standard email. The process is simple:

- Caregiver provides Home at Heart Care office with a personal email address
- Home at Heart initiates the set-up and sends a welcome email
- Caregiver follows the link provided in the welcome email to create an account
- Caregiver begins to upload document(s) by either an app on mobile device or by internet browser

Fax

To protect the privacy of our clients, please use a fax cover sheet that contains a privacy notice. 218.776.3507 or toll free 866.810.7008. H@HC Fax Machines are on 24/7.

Mail/In Person

Home At Heart Care, Inc.
221 3rd Ave, Box 183
Clearbrook, MN 56634

Questions?

218.776.3508 or toll free 866.810.9441
info@homeatheartcare.com

Time sheets must be submitted by ShareFile (Secure upload site), fax, mail or in person within thirty (30) days after the first original date of service to which the time sheet relates. Time Sheets received after thirty (30) days will be held for confirmation of payment to Home at Heart Care before paycheck is issued to employee. Submitting time sheets after thirty (30) days from effective date will require investigation and may be subject to disciplinary action up to and including termination.

Submitting Timesheets – Test Your Knowledge

Please refer to PAYROLL/TIME SUBMISSION POLICY in Chapter 3 of this Handbook.

Timesheets must be submitted by 9:00 a.m. Tuesday and final timesheet corrections are due by 5:00 p.m. Tuesday.

SAMPLE

S	M	T	W	T	F	S
				1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	

The above calendar illustrates the pay day associated with the day the timesheet was submitted. If a Caregiver turns in a correct and accurate timesheet on a day during the encircled week, then the Caregiver receives a paycheck, for time submitted, on the following starred Thursday.

Questions:

- Jane submits a complete and accurate timesheet on Monday, the 12th. She may expect a paycheck on what day? 22nd
- Jane submits a complete and accurate timesheet on Wednesday, the 14th. She may expect a paycheck on what day? 29th [did not meet the deadline]
- Jane submits a timesheet on Monday, the 12th. Corrections were needed. Jane submits the corrected timesheet on Tuesday, the 12th at 4 p.m. She may expect a paycheck on what day? 22nd
- Jane submits a timesheet on Monday, the 12th. Corrections were needed. Jane submits the corrected timesheet on Thursday, the 15th. She may expect a paycheck on what day? 29th [did not meet the deadline]
- Jane submits a complete and accurate timesheet on Tuesday, the 13th at 3 p.m. She may expect a paycheck on what day? 29th [did not meet the deadline]
- Jane submits a complete and accurate timesheet for the last week of the previous month on Monday the 12th. She may expect a paycheck on what day? 22nd



Checklist for Completing Timesheets

Dates/location of recipient stay in hospital/care facility/incarceration	
Complete address and town of the location where services were provided	
Recipient phone number of next week's service location	
Caregiver phone number of next week's service location	
Dates of Service – Fill in everyday regardless if you worked the days or not (month/day/year)	
Draw lines from top to bottom on days you did not work	
On the days you worked please initial any activities you performed	
Put your time in (be sure to circle am or pm) and your time out (circle your am or pm)	
Circle 1:1 on the times you worked	
Fill out your Daily Totals (You may use all minutes, hours w/minutes, fractions/decimals)	
Example: 150 minutes or 2 hours & 30 minutes or 2 ½ hours or 2.5	
Fill out Weekly Total	
Fill out hours worked for another agency	
Fill in circle if you don't work for another agency	
Print Caregiver's Name	
UMPI number if you have been assigned one	
Caregiver Signature	
Date you finished filling out and signing your timesheet	
Print Recipient's Name	
Recipient's Date of Birth	
Signature of recipient or Responsible Party	
Date the recipient signs (Be sure it is the same date or AFTER the Caregiver signs and dates)	
If you make an error, draw one line through error, make correction, and both Client/Caregiver initial	

DO NOT USE WHITE OUT FLUID OR CORRECTION TAPE

Time and Activity Documentation

EXAMPLE

AGENCY NAME: Home at Heart Care FAX: (866)810-7008 / (218)776-3507 PHONE: (866)810-9441 / (218)776-3508

DATES/LOCATION OF RECIPIENT STAY IN HOSPITAL/CARE FACILITY/INCARCERATION: _____ PHONE NUMBER OF NEXT WEEKS SERVICE LOCATION: _____

ADDRESS OF THE LOCATION WHERE SERVICES WERE PROVIDED (DO NOT USE POST OFFICE BOX NUMBERS): 12477 WASHINGTON St. Clearbrook MN RECIPIENT: (218) 442-8841 CAREGIVER: (218) 322-9144

Dates of Service (in consecutive order): MM/DD/YY 6 JD MM/DD/YY MM/DD/YY MM/DD/YY MM/DD/YY MM/DD/YY MM/DD/YY
 9-4-15 9-7-15 9-8-15 9-9-15 9-10-15 9-11-15 9-12-15

Activities	Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
Dressing		JD	JD	JD		JD	JD
Grooming		JD	JD	JD		JD	JD
Bathing		JD	JD	JD		JD	JD
Eating		JD	JD	JD		JD	JD
Transfers		JD	JD	JD		JD	JD
Mobility		JD	JD	JD		JD	JD
Positioning		JD	JD	JD		JD	JD
Toileting		JD	JD	JD		JD	JD
Health Related							
Behavior							

IADL's (only recipients age 18+)

Light Housekeeping		JD				JD	JD
Laundry						JD	JD
Other							

Visit One

Ratio Staff to Recipient	1:1	1:2	1:3	1:1	1:2	1:3	1:1	1:2	1:3	1:1	1:2	1:3	1:1	1:2	1:3	1:1	1:2	1:3	
Shared Care Location																			
Time in (circle AM/PM)		AM		7:00 AM			7:00 AM			7:15 AM			AM	7:00 AM			12:00 AM		
Time out (circle AM/PM)		AM		1:00 PM			10:30 AM			10:30 AM			AM	11:00 AM			2:00 AM		

Visit Two

Ratio Staff to Recipient	1:1	1:2	1:3	1:1	1:2	1:3	1:1	1:2	1:3	1:1	1:2	1:3	1:1	1:2	1:3	1:1	1:2	1:3	
Shared Care Location																			
Time in (circle AM/PM)		AM		AM			AM			AM			AM	8:00 AM			5:15 AM		
Time out (circle AM/PM)		AM		AM			AM			AM			AM	11:59 AM			8:00 AM		

Daily Totals

		6	3.5	3.25		8	4.75 JD MS
--	--	---	-----	------	--	---	------------

Weekly Total

Total 1:1	Total 1:2	Total 1:3	Hours worked for other agency
25.5			

Acknowledgement and Required Signatures If NO hours worked for another agency, mark the circle → ●

After the caregiver has documented his/her time and activity, the recipient must draw a line through any dates and times he/she did not receive services from the caregiver. Review the completed time sheet for accuracy before signing. It is a federal crime to provide false information on billings for Medical Assistance payments. Your signature verifies the time and services entered above are accurate and that the services were performed as specified in the Care Plan.

RECIPIENT NAME (FIRST, MI, LAST) Mary SMITH	DATE OF BIRTH 02-01-46	CAREGIVER NAME (FIRST, MI, LAST) Jane Doe	CAREGIVER UMPI A100200301
RECIPIENT/RESPONSIBLE PARTY SIGNATURE Mary Smith	DATE MS 9-12-15 JD 8-12-15	CAREGIVER SIGNATURE Jane Doe	DATE 9-12-2015

Time sheets must be submitted by email, fax, mail or in person within thirty (30) days after the first original date of service to which the time sheet relates. Time Sheets received after 30 days will be held for confirmation of payment to Home at Heart Care before paycheck is issued.

TIME & ACTIVITY DOCUMENTATION (Employee Time Sheet)

Time and Activity Documentation

Home at Heart Care PO Box 183, Clearbrook, MN 56634		FAX (866)810-7008 / (218)776-3507	PHONE (866)810-9441 / (218)776-3508
DATES/LOCATION OF RECIPIENT STAY IN HOSPITAL/CARE FACILITY/INCARCERATION			CURRENT PHONE NUMBERS CHECK <input type="checkbox"/> IF NEW
ADDRESS OF THE LOCATION WHERE SERVICES WERE PROVIDED (DO NOT USE POST OFFICE BOX NUMBERS)		RECIPIENT () -	CAREGIVER () -

Dates of Service (in consecutive order)	MM/DD/YY	MM/DD/YY	MM/DD/YY	MM/DD/YY	MM/DD/YY	MM/DD/YY	MM/DD/YY
--	----------	----------	----------	----------	----------	----------	----------

Activities	Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
Dressing							
Grooming							
Bathing							
Eating							
Transfers							
Mobility							
Positioning							
Toileting							
Health Related							
Behavior							

IADL's (only recipients age 18+)

Light Housekeeping							
Laundry							
Other							

Visit One

Ratio Staff to Recipient	1:1	1:2	1:3	1:1	1:2	1:3	1:1	1:2	1:3	1:1	1:2	1:3	1:1	1:2	1:3	1:1	1:2	1:3	
Shared Care Location																			
Time in (circle AM/PM)		AM			AM			AM			AM			AM			AM		
Time out (circle AM/PM)		PM			PM			PM			PM			PM			PM		

Visit Two

Ratio Staff to Recipient	1:1	1:2	1:3	1:1	1:2	1:3	1:1	1:2	1:3	1:1	1:2	1:3	1:1	1:2	1:3	1:1	1:2	1:3	
Shared Care Location																			
Time in (circle AM/PM)		AM			AM			AM			AM			AM			AM		
Time out (circle AM/PM)		PM			PM			PM			PM			PM			PM		

Daily Totals																			
Weekly Total	Total 1:1			Total 1:2			Total 1:3			Hours worked for other agency									

Acknowledgement and Required Signatures If NO hours worked for another agency, mark the circle →
 After the caregiver has documented his/her time and activity, the recipient must draw a line through any dates and times he/she did not receive services from the caregiver. Review the completed time sheet for accuracy before signing. It is a federal crime to provide false information on billings for Medical Assistance payments. Your signature verifies the time and services entered above are accurate and that the services were performed as specified in the Care Plan.

RECIPIENT NAME (FIRST, MI, LAST)	DATE OF BIRTH	CAREGIVER NAME (FIRST, MI, LAST)	CAREGIVER UMPI
RECIPIENT/RESPONSIBLE PARTY SIGNATURE	DATE	CAREGIVER SIGNATURE	DATE

Time sheets must be submitted by email, fax, mail or in person within thirty (30) days after the first original date of service to which the time sheet relates. Time Sheets received after 30 days will be held for confirmation of payment to Home at Heart Care before paycheck is issued.

Instructions for Caregiver Time and Activity Documentation

This form documents time and activity between one caregiver and one recipient, up to two visits per day. For more than two visits per day, use a separate form. For shared care, you must use a separate form for each person for whom you are providing care. Home at Heart Care classifies PCAs, Floats, Homemakers, and Housekeepers as caregivers.

Recipient Stays

Enter dates and location of recipient stays in a hospital, care facility or incarceration.

Service Location Address

Enter the physical address of the location where the caregiving services were provided for the recipient. Do not use Post Office box numbers.

Service Location Phone Number

Enter the phone number of the location where the caregiver to performed services for the recipient, and a caregiver phone number. Mark the box if one of the numbers is new.

Dates of Service

Dates of service must be in consecutive order. Enter the date in mm/dd/yy format for each date you provide service. The recipient must draw a line through any dates and times services were not provided.

Activities

For each date you provided care, write your initials next to all the activities you provided. Your initials indicate you provided the service as described in the Care Plan. If you provide a service more than once in a day, initial only once. The following are general descriptions of activities of daily living and instrumental activities of daily living.

Dressing – Choosing appropriate clothing for the day, includes laying-out of clothing, actual applying and changing clothing, special appliances or wraps, transfers, mobility and positioning to complete this task.

Grooming – Personal hygiene, includes basic hair care, oral care, nail care (except recipients who are diabetic or have poor circulation), shaving hair, applying cosmetics and deodorant, care of eyeglasses, contact lenses, hearing aids.

Bathing – Starting and finishing a bath or shower, transfers, mobility, positioning, using soap, rinsing, drying, inspecting skin and applying lotion.

Eating – Getting food into the body, transfers, mobility, positioning, hand washing, applying of orthotics needed for eating, feeding, preparing meals and grocery shopping.

Transfers – Moving from one seating/reclining area or position to another.

Mobility – Moving, including assistance with ambulation, includes use of a wheelchair. Mobility does not include providing transportation for a recipient.

Positioning – Including assistance with positioning or turning a recipient for necessary care and comfort.

Toileting – Bowel/bladder elimination and care, transfers, mobility, positioning, feminine hygiene, use of toileting equipment or supplies, cleansing the perineal area and inspecting skin and adjusting clothing.

Health-related Procedures and Tasks – Health related procedures and tasks according to PCA policy. Examples include: range of motion and passive exercise, assistance with self-administered

medication including bringing medication to the recipient, and assistance with opening medication under the direction of the recipient or responsible party, interventions, monitoring and observations for seizure disorders, and other activities listed on the care plan and considered within the scope of the PCA service meeting the definition of health-related procedures and tasks.

Behavior – Redirecting, intervening, observing, monitoring and documenting behavior.

IADLs (Instrumental Activities of Daily Living) – Covered service for recipients over age 18 years only, such as: meal planning and preparation, basic assistance with paying the bills, shopping for food, clothing, and other essential items, performing household tasks integral to the personal care assistance services; assisting with recipient's communication by telephone, and other media, and accompanying the recipient with traveling to medical appointments and participation in the community.

Visit One

Documentation of the first visit of the day.

Ratio of Staff to Recipient – 1:1 = One caregiver to one recipient. 1:2 = One caregiver to two recipients (shared services). 1:3 = One caregiver to three recipients (shared services).

Circle the appropriate ratio of Staff to recipients for this visit.

Shared Services Location – (Required for shared services only) Write a brief description of the location where you provided the shared services, examples include school, work, store and home.

Time in – Enter time in hours and minutes that you started providing care and circle AM or PM.

Time out – Enter time in hours and minutes that you stopped providing care and circle AM or PM.

Visit Two

This is documentation for the second and third visit of the day. Follow instructions for Visit One above.

For more visits

Use a separate Time and Activity Documentation form.

Daily Totals

Add the total time for that day that the caregiver was with the recipient for the care documented above.

Weekly Total

Add the time for all visits on this entire time sheet and enter the total in the appropriate ratio box.

Hours worked for other agency

Enter the number of hours worked during the week for other caregiving agencies. If there were none, mark the circle.

Acknowledgement and Required Signatures

The caregiver prints his/her first name, middle initial, last name, individual Unique Minnesota Provider Identifier (UMPI) (for identifying purposes). The caregiver signs and dates form. Recipient/responsible party confirms the accuracy of the timesheet, then prints the recipient's first name, middle initial, last name, and birth date (for identifying purposes). Recipient/responsible party then signs and dates the form.

RECEIPT AND ACKNOWLEDGEMENT

Home at Heart Care, Inc. reserves the right to change the contents of this Handbook at any time. No changes in any benefit, policy or rule will be made without due consideration to the effect such changes will have on you as an employee and on Home at Heart Care, Inc.

I acknowledge receipt and have read the Handbook. I understand the policies, rules and benefits described within this Handbook and acknowledge that Home at Heart Care, Inc. reserves the right to change the contents of this Handbook at its discretion.

I acknowledge that my employment may be terminated “at will”, either by myself or Home at Heart Care, Inc., regardless of length of employment. I acknowledge that no contract of employment, other than “at will” has been expressed or implied and that no circumstances arising out of my employment will alter my “at will” employment relationship unless expressed in writing.

I acknowledge that during my course of employment with Home at Heart Care, Inc. confidential information may be made available to me and this information will not be disclosed or used outside of the scope of my position at Home at Heart Care, Inc.

I acknowledge the policies, procedures; rules and benefits set forth in this Handbook revoke all previous inconsistent policies and procedures for Home at Heart Care, Inc. as of the effective date of this Handbook. I also acknowledge it is my responsibility to be familiar with these policies and any changes or modifications thereto.

My signature below acknowledges that I have read the above statements and received a copy of the Home at Heart Care, Inc. Caregiver Handbook.

_____ Dated: _____
(Signature)

(Printed Name)