

transitions

EMPLOYEE HANDBOOK

October 1, 2016

Employment-At-Will Notice



IMPORTANT NOTICE TO EMPLOYEES

PLEASE READ

THIS HANDBOOK IS A GENERAL GUIDE AND DOES NOT CONSTITUTE AN EMPLOYMENT AGREEMENT OR A GUARANTEE TO CONTINUED EMPLOYMENT. IT IS NOT AN EMPLOYMENT CONTRACT. TRANSITIONS RESERVES THE RIGHT TO MAKE CHANGES TO THIS HANDBOOK AT ANY TIME WITHOUT NOTICE. HOWEVER, EMPLOYEES WILL BE PROVIDED A WRITTEN COPY OF THE CHANGES.

EMPLOYMENT AT TRANSITIONS IS EMPLOYMENT AT WILL AND MAY BE TERMINATED AT THE WILL OF EITHER THE COMPANY OR THE EMPLOYEE. YOU HAVE THE RIGHT TO TERMINATE YOUR EMPLOYMENT AT ANY TIME, WITH OR WITHOUT CAUSE OR NOTICE, AND THE COMPANY HAS THE SAME RIGHT.

THE PERSONNEL COMMITTEE OF THE TRANSITIONS BOARD WILL REVIEW THE EMPLOYEE POLICIES AS DESCRIBED IN THIS HANDBOOK EVERY TWO YEARS.

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Introduction

Welcome to Transitions

Transitions (“the Company”) has prepared this handbook to provide you with an overview of the Company’s policies, benefits and rules. **PLEASE READ IT CAREFULLY.** It is intended to familiarize you with important information about the Company, as well as provide guidelines for your employment experience with us to foster a safe and healthy work environment.

Transitions is a non-profit organization that receives program and operating capital from several funding sources. Changes in funding may, at times, affect the organization’s policies. All personnel policies are a condition of employment and will apply in addition to any applicable laws and regulations. Upon completion of your review of this handbook, please sign the acknowledgment statement on the last page and return to the Fiscal Fundraising Administrator by the close of business the following day.

Thank you for joining our team!

For assistance or questions regarding any of these handbook policies, you may contact your immediate supervisor, _____.

Hours of Operation:

Transitions is a 24-hour service organization.

Business Contact Information:

Phone number (main line): 570-523-1134

Address: P.O. Box 170 Lewisburg, PA 17837

Web address: www.transitionsofpa.org

For life threatening emergencies, contact **911**.

Mission Statement

Transitions is a crisis center that provides advocacy, empowerment and education to victims, survivors, families and communities to end patterns of violence and abuse.

Open Door Policy

Transitions seeks to provide a work environment that encourages direct and open communication between employees and management. For this reason, the Company has adopted a formal open door policy. We encourage open communication, feedback and discussion about any matter of importance to an employee. Management at Transitions maintains this open door policy and is committed to listening and responding to you.

Code of Conduct

Employees at Transitions must conduct themselves at all times in an ethical and professional manner. The Company code of conduct requires that employees act with honesty, integrity and good judgment. Each employee should demonstrate respect for the rights of others. Any incident of unethical or dishonest behavior should be reported to your immediate supervisor. All reports of unethical behavior will be investigated thoroughly. If the allegation is substantiated, management will determine the appropriate disciplinary action. Employees who violate ethical standards may be subject to discipline, up to and including termination.

Transitions follows the NASW (National Association of Social Workers) Standards of Conduct. Professional ethics are at the core of social work. The profession has an obligation to articulate its basic values, ethical principles and ethical standards. The *NASW Code of Ethics* sets forth these values, principles and standards to guide social workers' conduct. The *Code* is relevant to all social workers and social work students, regardless of their professional functions, the settings in which they work or the populations they serve. All staff is trained and given a copy of the complete *NASW Code of Ethics*. Staff will be required to review and sign that they have read and agree to follow the *NASW Code of Ethics* on an annual basis. See **Appendix A** for the complete *NASW Code of Ethics*.

Confidentiality

All information about service recipients is privileged information and is held in strict confidence. Employees receive a copy of the Confidentiality Policy during their orientation periods. Because of the importance of confidentiality at Transitions, employees are required to sign a Confidentiality Agreement Form confirming they have read and understand the policy. This form is kept in the employee's personnel file. See **Appendix B** for the complete policy.

Equal Opportunity Statement

Transitions is an Equal Opportunity Employer. Individuals are hired solely by their qualifications and ability to fulfill the requirements of the job.

Transitions has an ongoing commitment to the creation of a workplace free of discrimination and harassment. Transitions does not discriminate against any applicant, volunteer, employee or client because of age, race, color, religion, ancestry, national origin, ethnicity, sexual orientation, marital status, disability, gender identity or gender, except when gender is a bonafide

occupational qualification. We comply with all local, state and federal laws pertaining to employment. Discrimination will not be tolerated.

Every employee and supervisor has the responsibility to uphold this policy. Any questions or concerns regarding any aspect of this policy should be directed to the County Coordinator.

Sexual Harassment

Transitions is committed to providing a respectful, non-hostile work environment. Sexual harassment is a form of misconduct that undermines the workplace, violates the respect for fellow workers, lowers morale and productivity and causes absenteeism.

The EEOC defines sexual harassment as unwelcome sexual advances, requests for sexual favors and other verbal and physical conduct of a sexual nature that explicitly or implicitly involves a condition of employment or creates an intimidating, hostile or offensive work environment.

If you or a co-worker has been the subject of sexual harassment, immediately report the conduct to your supervisor. Transitions will immediately have the incident investigated. A worker determined to exhibit behavior contributing to sexual harassment of anyone in the workplace will be subject to disciplinary action, including termination, with or without notice. Any Transitions employee who is the target of sexual harassment should follow the steps listed in **Appendix C**.

General Work and Employment Policies

Clearances

All employees of Transitions are required to have Child Abuse and State and Federal Criminal History Record clearances. Clearances must be completed in accordance with funders' standards.

Immigration Law Compliance

Federal Law requires all employees to present documentation confirming their identity and eligibility to work in the United States. New employees and re-hires must complete the I-9 Employment Eligibility Verification Form within three business days of their start date.

Recruitment

Staff and volunteers are notified of job openings through regular internal communications. All Transitions vacancies will be posted internally for five business days. If an internal candidate applies for the open position, a decision will be reached regarding the application within an additional five business days, and an interview will be scheduled if the individual meets the minimum qualifications of the position. The internal candidate will be notified of the outcome of this decision. When an internal candidate is not selected, external recruiting may begin.

Transitions shall provide written notice to Career Link regarding all job openings. Notification of position openings is sent to Pennsylvania Coalition Against Domestic Violence (PCADV) and Pennsylvania Coalition Against Rape (PCAR) for inclusion in statewide coalition publications. Classified advertisements are placed in local and regional newspapers.

Promotions/Position Changes

Employees may apply for any open positions in the agency for which they are qualified. When an employee assumes a new position in the agency, the employee is subject to the introductory requirements of the new position (see Introductory Evaluation Period). Transitions reserves the right to promote or move an employee to a newly created position when:

- A. the employee meets the minimum qualifications for this position and
- B. the employee is currently performing twenty-five percent or more of the job duties to be assumed in the new position.

Hiring Responsibilities

The Board of Directors is responsible for recruiting and selecting the Chief Executive Officer. An Ad Hoc Committee, composed of representatives from the Board, staff and volunteers, is appointed to accomplish this task. The Chief Executive Officer is responsible for selecting or overseeing the selection of individuals for all other positions in the organization. Personal interviews and references are required from applicants for all positions.

Introductory Evaluation Period

All new employees, except the Chief Executive Officer, are hired as temporary employees subject to a 90-day introductory period. Employee performance will be carefully evaluated during this period. At the end of the introductory period, the employee's supervisor will meet with the employee for a performance evaluation. If employee's evaluation is not satisfactory, the introductory period will be extended for a longer period or employment will be terminated. Employees are considered temporary until an offer of continued employment has been provided in writing.

During the introductory period, the employee must complete all mandatory training required by the Pennsylvania Coalition Against Domestic Violence (PCADV), the Pennsylvania Coalition Against Rape, the Pennsylvania Commission on Crime and Delinquency and the Company's own orientation.

This policy in no way alters the at-will employment relationship: Transitions may end the employment relationship at any time during or after the introductory period.

Annual Training

All employees are required to attend a minimum of 10 hours of annual training after the first year of employment in accordance with funder requirements.

Drug-Free Workplace

Transitions complies with the regulations of the Drug-Free Workplace Act of 1988. Transitions is committed to enforcing a drug-free workplace environment. Possession of alcohol, illegal drugs or a controlled substance is prohibited on company property or in any location in which the employee represents the Company for business purposes. Employees are expected to report to work on time in appropriate mental and physical condition. The unlawful manufacturing, distribution, dispensation, possession or use of a controlled substance on company premises or while conducting company business is absolutely prohibited. Violation can lead to termination,

with or without notice. For more information on Transitions' Drug-Free Workplace Policy, see **Appendix D**.

Attendance

Employees of Transitions are required to complete their assigned duties to meet the needs of the community. Employees are responsible for arriving at work on time and limiting absences from work as much as possible.

- When employees anticipate being absent from work because of sickness, injury or any other reason, they are responsible for notifying their immediate supervisor of the absence and the reason for the absence. If the employee's immediate supervisor is unavailable, the Programs Director should be notified.
- The notification should be made before the employee's regular starting time if possible.
- The same procedure should be followed when an employee expects to be late for work.
- Initial notification of absence or lateness must be made via telephone on each day of absence or tardiness in the time frame as stated above.
- **Texts and e-mails are unacceptable forms of notification and will be considered unexcused and unpaid absences and will result in disciplinary action.**
- When employees become ill during the work day, they are to notify their immediate supervisor of the need to leave the worksite. If the employee's immediate supervisor is unavailable, the Programs Director should be notified.
- If an employee is absent from work on three or more consecutive days, the supervisor may request a doctor's excuse.
- When an employee is frequently absent or late to work, the immediate supervisor is responsible for discussing the situation with the employees in an attempt to provide an opportunity to correct the situation.
- If necessary, and after program goals are met, Transitions will attempt to accommodate an employee's need for a change of work hours for legitimate reasons.
- Employees who excessively use Paid Time Off for reasons other than chronic major medical issues will be subject to disciplinary action.

Job Abandonment

An absence of two days in a row without calling in or returning to work will be considered job abandonment, and Transitions will process your work separation as a voluntary resignation on your part.

Personnel Files

Transitions maintains fiscal, medical and personnel files on each staff member. These files are kept in secured locations. Employee files are confidential and are the property of Transitions. Access to the information contained within the files is restricted to qualified personnel who have a legitimate need to view the information. Files must be viewed in the presence of the Chief Executive Officer or the Fiscal/Fundraising Administrator.

Employees who wish to review their own file should contact their immediate supervisor. Employees may request correction or removal of inaccurate, irrelevant, outdated or incomplete information from their record. Employees may also submit rebuttal data or memoranda for inclusion in their personnel file.

Information from personnel files may not be released without the consent of the employee. An exception would be in the case where Transitions needs to contract with an attorney because of an employee dispute.

It is the responsibility of employees to forward training information to their immediate supervisor for inclusion in their personnel file.

Employee personnel files contain information regarding non-medical, non-financial, personal data, employment and personnel actions. The file includes, but is not limited to, records of training, Child Abuse and Criminal History Records. Medical records are kept separate from fiscal and personnel files and may include doctor's excuses and information regarding reasonable accommodations for an individual with a disability and fitness for work. Fiscal files include benefit and other financial information.

Employment of Relatives

Transitions permits the employment of qualified relatives of employees as long as such employment does not, in the opinion of the Company, create actual conflicts of interest. The decision to hire such an individual will be made by the Chief Executive Officer.

Overtime

Non-exempt employees are not permitted to work more than 40 hours during a workweek unless the additional work is approved by the supervisor or in the event of a client-related crisis. Non-exempt employees who perform overtime work will be compensated at the rate of one-and-one-half times for every hour worked over 40 hours in a seven-day workweek. Overtime is based only on hours worked. Holidays, vacation, sick leave, jury duty and other hours paid but not worked are not considered when calculating overtime.

Hours incurred during on-call duty are addressed in the On-Call Policy located in **Appendix E**.

Categories of Employment

Full-time employees work at least a 40-hour workweek.

Part-time employees customarily work less than 40 hours each week.

Employees are categorized as "exempt" or "non-exempt" as indicated on each job description.

Recording Hours Worked

All employees are required to complete bi-weekly time sheets indicating all hours worked. Timesheets must be turned into employee's immediate supervisor by noon on Friday on the weeks employees do not receive a paycheck. Vacation days, sick days, holidays and absences such as jury duty must be specifically noted on the time sheets for days on which they occur.

Breaks

Lunch Periods: A paid ½ hour lunch period is provided in the middle of an eight-hour workday. Employees are responsible to inform the supervisor and/or co-workers when they are leaving for their lunch break to ensure that clients' needs are met.

Rest Breaks: Employees may take two paid 10-minute rest breaks in each complete workday, one in the morning and the other in the afternoon. Employees are not allowed to accumulate rest breaks and/or use them to extend their lunch period or shorten the workday.

Staff Meetings

Staff meetings are held weekly. These meetings provide employees with information on recent company activities and serve as an important communication tool for the staff.

Pay Policies

Pay Periods

Employees are paid on a bi-weekly basis by direct deposit on alternating weeks. Pay periods start on Monday and end on the second Sunday.

Pay Deductions

Transitions is required by law to make certain deductions from your paycheck each pay period. Such deductions typically include federal and state taxes, Social Security (FICA) taxes and health insurance premiums. All deductions and the amount of the deductions are listed on employee's pay stub. These deductions are totaled each year on the employee's W-2 Form, Wage and Tax Statement.

Employees also have optional deductions from pay, including retirement and additional insurance premiums.

Direct Deposit

Paychecks are direct deposited into employee's bank account.

Pay Advances

Transitions recognizes that employees may need to request a pay advance in the event of an emergency. When this need arises, the employee should make this request to the Chief Executive Officer. The employee must complete a form to make this request. Employees may only request one pay advance per quarter, not to exceed four pay advances in one fiscal year. The maximum request for one pay advance is \$500. Employee must have sufficient vacation time available to cover any unpaid portions of the advance. Vacation time used to cover the advance cannot be taken until the advance is paid back. Employees must provide at least two business days' notice for a request for a pay advance.

Performance Evaluations

Performance evaluations are conducted annually. The performance evaluation interview is an opportunity for an employee and supervisor to establish mutual understanding of job standards and identify employee development objectives. Raises are not guaranteed, but are at management's discretion and based upon a variety of factors such as management's assessment of job performance as well as economic or financial conditions.

Leave of Absence and Time-Off Policies

Transitions is committed to assisting employees, in response to individual family situations, with the opportunity of leaves of absence. All regular full-time employees are eligible for paid or non-paid leaves of absence after completing a minimum of 90 days of continuous employment with Transitions. Where the need for leave is foreseeable, requests for leaves of absence, along with supporting documentation, should be submitted in advance for approval to the employee's immediate supervisor.

Paid Time Off (PTO)

Paid time off is provided to employees who work 40 hours a week or more and who have completed 90 days of employment at Transitions. PTO will begin accruing on the employee's start date. Requests for PTO should be made to the immediate supervisor at least two (2) days in advance when possible. Employees are not compensated for unused PTO upon termination of employment.

Sick Time

Full-time employees are eligible for ten (10) sick days per year. Eighty hours of sick time are provided on the first day of the fiscal year for all full-time employees who have successfully completed the introductory period. For new employees, sick days are pro-rated for the remaining pay periods in the fiscal year at the time they complete their introductory period.

Transitions expects all employees to be at work during their scheduled work hours. The agency recognizes there are days when an employee will need to use sick time. Sick time may not be used during the 90-day introductory period. After three (3) consecutive days of sick time, the supervisor may request a doctor's note upon returning to work. If an employee fails to provide required documentation from a physician, the employee may forfeit vacation time for the time away from work or, if vacation time is unavailable, use unpaid time off. The supervisor will schedule a consultation with any employee who, in the judgment of the supervisor, is abusing sick time.

Part-time employees are eligible for five (5) days of sick time per year.

Personal Time

Personal days are credited on the first day of the fiscal year and cannot be carried over. Personal time may not be used during the 90-day introductory period. Each fiscal year, an employee can take up to three (3) days of personal time at the employee's discretion. When taking personal leave, the employee is asked to provide as much advanced notice to the supervisor as possible.

Part-time employees are not eligible for personal time.

Leave Without Pay

Leaves that may be granted without pay are as follows:

Medical Leave: When employees are medically unable to perform their job duties.

Parental Leave: To prepare and or care for a newborn child or adopted child for up to three (3) months. Unpaid leave will begin after all earned paid time off is expended.

Personal Leave: When an employee has pressing personal reasons that require a prolonged absence. Pressing personal reasons include, but are not limited to, the settlement of an estate, attention to outside business activities or family situations such as serious illness of a family member.

Education Leave: When an employee is away from work for a long period to attend school full-time, attendance at school must be in the best interest of Transitions and must include courses of study relating to the job.

Leaves of absence without pay for employees in good standing may be granted for up to twelve (12) consecutive months. The Chief Executive Officer has final authority for approving all leaves of more than one month. While on leave, an employee's position may be filled by a temporary employee. **Requests for leaves of absence must be submitted to the Chief Executive Officer, stating the type of leave requested, the reason for the request, the proposed date of departure and the period requested.**

Benefit hours (vacation, sick leave, personal leave, holidays etc.) and retirement benefits are not accrued during leaves of absence and the leave period does not count toward years of service. Health insurance benefits are suspended, except in the case of medical or parental leave. Health insurance is provided to employees on medical or parental leave for up to six (6) months; employees have the option to purchase health insurance at their own expense thereafter according to the COBRA laws. The full cost of insurance coverage for dependents' coverage is at the employee's expense.

Employees on other types of leave have the option to continue health insurance coverage at their own expense. Normally, a leave of absence will not be granted until the employee's earned, accrued vacation time has been exhausted or, if granted for health reasons, the employee's earned, accrued vacation and sick time has been exhausted. When an employee returns to work following a leave of absence, the employee will be eligible for any cost of living increases granted during the leave.

Bereavement Leave

Transitions will provide up to three days of paid bereavement leave for an employee upon the death of an immediate family member. For purposes of this policy, "immediate family" is defined as the employee's or the employee's spouse's or domestic partner's parents, siblings, children, grandparents, grandchildren, the employee's spouse or domestic partner or any other relative who resides in the employee's household. If additional time is requested and approved by the supervisor, the employee may take PTO or unpaid leave.

All requests for Bereavement Leave should be directed to employee's immediate supervisor.

Holidays

Transitions offers the following paid holidays each year to full-time employees:

- New Year's Day (January 1)
- Martin Luther King Jr. Day (Third Monday in January – Floating Holiday)
- President's Day (Third Monday in February – Floating Holiday)
- International Women's Day (March 8 – Floating Holiday)
- Memorial Day (Last Monday in May)
- Independence Day (July 4)
- Labor Day (First Monday in September)
- Veterans' Day (November 11 – Floating Holiday)
- Thanksgiving (Fourth Thursday in November)
- Christmas Day or one day of another religious holiday in December
- The employee's birthday (Floating Holiday)
- One floating holiday to be used at the employee's discretion

When a non-floating holiday falls on a weekend, Transitions will designate either the Friday preceding or Monday following as the observed holiday.

Floating holidays do not carry over. They must be taken in the calendar year in which they occur. Employees who are hired on or after July 1st are not eligible for the extra floating holiday until the next calendar year.

Employees may discuss alternate arrangements with their supervisor if a non-floating holiday falls within their on-call week.

Part-Time employees are not eligible for floating holidays. The Company does offer the following paid major holidays to part-time employees only if the holiday falls on the employee's regularly scheduled workday.

- New Year's Day (January 1)
- Memorial Day (Last Monday in May)
- Independence Day (July 4)
- Labor Day (First Monday in September)
- Thanksgiving (Fourth Thursday in November)
- Christmas Day or one day of another religious holiday in December

Jury Duty

Employees who are called for jury duty will be granted time off with pay to perform their civic duty. Notify your supervisor as soon as possible if you receive a jury duty summons. If chosen to sit on a jury, immediately inform your supervisor how long the trial is expected to last. Thereafter, you are required to regularly check in with your supervisor to keep the Company updated as to the expected date of your return to work.

Military Leave

Transitions will grant employees called into military service an unpaid leave of absence and reemployment rights as required by state and federal USERRA. Employees on military leave may, at their discretion, use any or all accrued paid vacation or personal leave during their absence but there is no requirement to do so. Transitions will continue insurance benefits coverage for the first thirty (30) days of active duty. Employees will be given the option of continuing the insurance at their own expense at the end of thirty (30) days.

Vacation

Transitions recognizes that all employees need time away from work and grants eligible employees with paid vacation days. The vacation year is from July 1st – June 30th. Full-time and part-time employees are granted paid vacation days every year. The amount of vacation granted is based on the length of an employee's continuous service with Transitions.

1. Vacation leave is accrued beginning on the first day of employment. Substitute or temporary employees are not entitled to vacation leave. Vacation leave may not be used during the introductory period.
2. **Amount of Service Vacation Granted Rate of Accrual at 40 hour per week**
During first year 15 days/year, 4.615 hrs /pay
After first year 20 days/year, 6.154 hrs / pay
3. **Part-Time Employees accrue the equivalent of five days per fiscal year.**
Vacation time can be scheduled after three months of service.
4. **Vacation Usage and Accruals:**
Transitions encourages all employees to use their allotted annual vacation time in the year in which it was earned. Any unused portion of earned vacation time may be carried over to the following employment year up to a maximum of ten (10) days over the individual employee's annual allotment. Part-time employees are not eligible for vacation time carry over. Employees are responsible for monitoring their own benefit time balances to ensure effective management of vacation allotments and to avoid forfeiture of excess time. It will be the responsibility of the Fiscal/Fundraising Administrator to provide staff with a monthly accounting of vacation and paid time off (PTO) accruals and balances. In order to provide the Company the ability to plan coverage for the time employees will be away, employees must submit a completed vacation request to their supervisor at least two weeks in advance unless otherwise approved by their supervisor. Every effort will be made to honor requests; however, program needs must be considered. Timely requests enable supervisors to schedule vacations in a fair and equitable way.
5. **Vacation Pay Out Upon Termination:** Employees who leave the Company will receive the cash value of their earned, unused vacation balance.
 - a. Proper notice for resignations and retirements will be:
 - Two weeks for non-exempt employees
 - Four weeks for exempt employees
 - Four weeks for retiring employees, whether exempt or non-exempt

NOTE: If full-time employees must reduce their hours to part-time status, vacation and PTO will be pro-rated in a fair and equitable manner.

Insurance and Benefits

As part of our ongoing commitment to our employees and their well-being, we provide employees the opportunity to participate in a variety of benefit plans. The benefits listed in this handbook are meant to be a general description only. Complete details are provided in the official plan documents for each of the benefit plans that we offer. Transitions reserves the right to modify or eliminate benefits, in whole or in part, without notice. Contact the Fiscal/Fundraising Administrator for details about any of these benefits.

Eligibility

All regular full-time employees are eligible for benefits after completing a minimum of 90 days of continuous employment with Transitions.

NOTE: If Transitions must reduce a full-time employee's hours to part-time status, insurance benefits may continue at the discretion of the Chief Executive Officer. If employees choose to reduce their hours, they may continue benefits at their own expense.

Health Insurance

Transitions provides regular full-time employees with group health insurance coverage.

Transitions pays 100% of coverage for the full-time employee and 90% for one dependent, spouse, domestic partner or significant other. Employees may choose health coverage for their entire family but will be responsible for the premiums for the extra coverage. If available, employees wishing to choose the enhanced major medical plan will be assessed a small subscription amount from each paycheck. In months with 3 pay periods, there will not be a contribution deducted from the third payment.

Employees working less than 40 hours a week may purchase health insurance through Transitions using plan rates at their own expense. Children and spouses may also be added to the plan at the employee's expense.

Vision and dental insurance are available and optional at the employee's expense.

COBRA (Consolidated Omnibus Budget Reconciliation Act)

Continued coverage under Transitions' group medical plan following termination of employment may be available to you or your qualified beneficiaries under applicable law. The cost of coverage is paid solely by the former employee and may be subject to an administrative fee.

Retirement Savings Plan

Transitions contributes three percent (3%), as funds allow, of the employee's annual earnings to a tax-sheltered annuity plan after the first year of employment. Employees are eligible to participate in the retirement savings plan when the following criteria are met:

1. Employee is at least 21 years of age;
2. Employee is with the Company for one year;
3. Employee has earned a minimum of \$5,000.00 in that year.

Employees may contribute additional funds, up to twenty percent (20%) of their annual income. Questions regarding the program should be directed to the Fiscal/Fundraising Administrator.

Life Insurance

After a ninety (90) day introductory period, life insurance is available to all employees working at least twenty-five (25) hours per week. Benefit reduction is based on age.

Short-term Disability

After a ninety (90) day introductory period, employees who work at least twenty-five (25) hours per week are eligible for short-term disability. The elimination period is fourteen (14) days. Following that period, this benefit is good for twenty-four (24) weeks. This benefit covers maternity leave up to thirteen (13) weeks. Employees can use PTO to compliment the disability payment.

When an employee takes disability leave, the cost of covering elective benefits (i.e. dependent coverage, dental and vision) must be paid by the employee. This may be paid by check to Transitions or by the withholding of accrued paid vacation time.

Long-Term Disability

After a ninety (90) day introductory period, employees who work at least twenty-five (25) hours per week are eligible for long-term disability. The elimination period is one hundred eighty (180) days. If the disability occurs before age sixty (60), benefits can be paid until age sixty-five (65). If it occurs after age sixty (60), benefits will be paid according to the duration schedule.

Employee Assistance Program

This program is provided to full-time and regular part-time employees and their immediate family members. Mazzitti & Sullivan provide up to three (3) counseling sessions per person, per situation, at no cost to the employee. This EAP also provides articles and information on several life and work related topics via their website, mseap.com, in their Work/Life Services Section.

Conferences

Fees to attend conferences are available based on budget approvals. Annually, during budget preparation, staff development funding is reviewed and allocated for conferences.

Conference expense reimbursement (registration, mileage, food, lodging and conference materials) is available to any employee who works at least twenty (20) hours per week. All conferences must be pre-approved by the Chief Executive Officer.

Benefits Upon Termination of Employment

Employees who resign, retire or are dismissed from employment will be compensated for earned, unused vacation days. Unused PTO time will be forfeited.

On termination, the employee is responsible to contact the Tax Sheltered Annuity Plan representative and negotiate disbursement of funds or continuation in the plan (at the employee's expense).

On termination, individuals may choose to purchase group health insurance at their expense for up to eighteen (18) months following the last day of the last month of employment in accordance with COBRA law. A signed form indicating the employee's choice to continue or not continue health coverage under the COBRA law is filed in the employee's fiscal file. Coverage will continue until the end of the month in which termination occurs.

Workers' Compensation

Transitions provides workers' compensation insurance at no cost to its employees. Subject to applicable legal requirements, worker's compensation will pay for medical care and lost wages resulting from job-related illnesses or injuries. All employees are expected to return to work immediately upon medical release by their treating physician.

If you sustain an accident or injury while on the job, immediately notify your supervisor.

Safety and Health Policies

Safety

Transitions takes employee safety very seriously. We will make every effort to provide a safe environment in which to work in accordance with the Occupational Safety and Health Act of 1970. Employees are expected to take an active part in maintaining the work environment by observing all safety rules and keeping the workplace clean and neat. Please report all injuries (no matter how minor) to your supervisor immediately, as well as anything that needs repair or is a safety hazard.

Crisis Intervention Policy

When a serious crime related to violence against women and the work of Transitions occurs in Transitions' service community, Transitions will ensure that the Keystone Crisis Intervention Team (KCIT) will support the community through the aftermath. Upon request, KCIT provides trained teams of professionals to serve any community within the Commonwealth where a crime has taken place. Examples of such crimes would be: criminal incidents of such a nature that the entire community is thrust into grief; crimes affecting children, such as school shootings; cluster suicides; or multiple deaths from any criminal activity. KCIT is available 24 hours a day through the Network of Victim Assistance. The Chief Executive Officer will make an official request for the KCIT Assistance.

Depending upon the size of the community that requires special attention, private meeting space will be located and reserved by Transitions.

Cell Phone Usage

Texting while operating a vehicle during the course of performing Transitions' work is strictly prohibited.

Workplace Violence

Transitions strictly prohibits use of violence, threats of violence, intimidation, harassment, coercion or other threatening behaviors towards people or property in the workplace and views such actions very seriously. Complaints involving workplace violence will be given the serious

attention they deserve. Any employee who contributes to any form of violence will be subject to disciplinary action, including termination. Violent or threatening behavior must be reported immediately to a supervisor.

- Transitions is committed to working with all employees to maintain a safe work environment, free from violence, threats of violence, harassment, intimidation and other disruptive behaviors.
- Employees are encouraged to immediately report any incidents of workplace violence or any circumstances (including non-work related situations that have the potential of becoming a workplace violence incident) that raise concern for safety while at work.
- Reports of incidents of workplace violence should be made to the employee's supervisor, who will contact the Chief Executive Officer. Threats or violence/assaults that pose immediate danger require immediate attention by law enforcement. In such circumstances, immediately contact police at 911 or scream for help.
- All reported incidents will be properly documented and thoroughly investigated. Such investigations will be limited only by legal implications of employee rights or privacy issues that might be raised by the efforts to investigate and respond to such reports of threats and violence.

Transitions will endeavor to respond to threats and violence with appropriate security measures including but not limited to modification of check-in procedures for all visitors and training attendees; immediately contacting appropriate law enforcement; pursuing legal remedies such as trespassing ordinances; and referral of employees to appropriate outside resources.

Violence in the workplace that is initiated by a Transitions employee will result in immediate termination.

Weapons

It is the policy of Transitions that no guns and/or weapons of any kind are allowed on the Company premises or in any location in which the employee represents the Company for business purposes. Weapons include guns, knives, explosives or any other object generally considered to be a weapon and whose purpose is to cause harm to another person. Employees who violate this policy will be subject to disciplinary action up to and including termination.

Domestic Violence

Domestic violence is a serious problem that adversely affects the well-being and productivity of all employees who are victims as well as their co-workers. Transitions will assist employees who are victims of domestic violence and will take measures to create a safe working environment for them. All sensitive information will be kept confidential to maintain respect for the privacy of the reporting employee(s).

Smoking

Transitions' policy is to provide a safe and healthy work environment for our employees and clients. Accordingly, smoking by staff and volunteers is not allowed in company buildings or on company property. Employees may smoke on scheduled breaks or during meal times as long as they do not do so on company property. Additionally, staff members and volunteers are prohibited from smoking while transporting or providing other services to clients.

Use of Company Property Policies

Internet and Computer Usage

The use of Transitions automation systems, including computers, fax machines and all forms of Internet/Intranet access, is for company business and is to be used for authorized purposes only. Brief and occasional personal use of the electronic mail system or the Internet is acceptable as long as it is not excessive or inappropriate, occurs during personal time (lunch or other breaks or before or after regular work hours) and does not result in expense to the Company.

Use is defined as "excessive" if it interferes with normal job duties, responsiveness or the ability to perform daily job activities. All automation systems are company resources and are provided as business communications tools. Electronic communication should not be used to solicit or sell products, distract co-workers or disrupt the workplace.

Use of Transitions computers, networks and Internet access is a privilege granted by management and may be revoked at any time for inappropriate conduct which may include but is not limited to:

- Sending chain letters;
- Engaging in private or personal business activities;
- Misrepresenting oneself or the Company;
- Engaging in unlawful or malicious activities;
- Using abusive, profane, threatening, racist, sexist or otherwise objectionable language in either public or private messages;
- Sending, receiving or accessing pornographic materials;
- Becoming involved in partisan politics;
- Causing congestion, disruption, disablement, alteration or impairment of company networks or systems;
- Downloading software, except as authorized by management;
- Using recreational games and personal social media accounts; and/or
- Defeating or attempting to defeat security restrictions on company systems and applications.

Using company automation systems to create, view, transmit or receive racist, sexist, threatening or otherwise objectionable or illegal material is strictly prohibited. "Material" is defined as any visual, textual or auditory entry.

Unless specifically granted in this policy, any non-business use of the Company's automation systems is expressly forbidden. Violations of these policies could subject an employee to disciplinary action up to and including termination.

Internet/Intranet Security

Transitions owns the rights to all data and files in any information system used in the Company. Internet use is not confidential and no rights to privacy exist. We reserve the right to monitor Internet/Intranet usage, both as it occurs and in the form of account histories and their content. We also have the right to inspect any and all files stored in private areas of the network in order to assure compliance with policy and state and federal laws. The Company has taken necessary actions to assure the safety and security of our network. Any employee who attempts to disable, defeat or circumvent company security measures is subject to disciplinary action up to and including termination.

Computer software

Transitions has licensed the use of certain commercial software application programs for business purposes. Third parties retain the ownership and distribution rights to such software. No employee may create, use or distribute copies of such software not in compliance with the license agreements for the software.

Electronic Mail

The e-mail system is intended for official company business and is to be used for authorized purposes only. Brief and occasional personal use of the electronic mail system or the Internet is acceptable as long as it is not excessive or inappropriate and occurs during break time only. Any employee who abuses this privilege will be subject to disciplinary action.

E-mail is not private

Transitions owns the rights to all data and files in any computer, network or other information system used in the Company. We also reserve the right to monitor electronic mail messages and their content. Employees must be aware that the e-mail messages they send and receive using company equipment are not private and are subject to viewing, downloading, inspection, release and archiving by company officials at all times. No employee may access another employees' computer, computer files or electronic mail messages without prior authorization from either the employee or an appropriate company official.

Guidelines for E-mail Writing

- Employees are expected to communicate with courtesy and restraint with both internal and external recipients.
- Electronic mail should reflect the professionalism of the Company and should not include language that could be construed as profane, discriminatory, obscene, sexually harassing, threatening or retaliatory.
- Always use spell-check or proofread emails. Typographical or grammatical errors and misspelled words are unacceptable.
- Employees should remember that email is a form of business communication and the language they use should reflect that fact at all times.
- It is recommended that using all capital letters, shorthand, idioms, unfamiliar acronyms and slang be avoided when using electronic mail, as these types of messages are difficult to read.

Electronic Mail Tampering

Electronic mail messages received should not be altered without the sender's permission nor should electronic mail be altered and forwarded to another user and/or unauthorized attachments be placed on another's electronic mail message.

Telephone System

Transitions' telephone system is for business purposes only. Although the occasional use of telephones for personal reasons may be necessary, employees are expected to keep calls brief. With the exception of emergency calls, all personal calls should be made during breaks or lunch time. No long distance calls are to be made on company phones which are not strictly business related. Extensive personal use of company phones is grounds for disciplinary action.

Mail

Transitions receives agency mail at three separate post office boxes. These addresses are to be used only for agency business and for safe house guests to receive mail. Employees may not have any personal mail sent to these post office boxes.

Office Supplies

Postage, shipping and office supplies paid for by the Company are for business purposes and are not to be used for an employee's personal purposes. Improper use or theft of company equipment or supplies is grounds for disciplinary action up to and including termination.

Discipline and Termination of Employment

All employees are expected to meet Transitions' standards of work performance and conduct. When an employee deviates from these rules and standards, we reserve the right to take corrective action. Infractions that may result in discipline include, but are not limited to, performance-related problems, violations of Transitions' rules and policies and behaviors that Transitions deems unacceptable.

Depending upon the facts and circumstances, disciplinary action may include counseling sessions, verbal warnings, written warnings, probation, suspension or termination. Management, in light of the facts and circumstances of each case, will determine the disciplinary process. We reserve the right to alter the order of the disciplinary actions described above, eliminate disciplinary steps or to implement new disciplinary measures. We may also immediately terminate employment based on certain policy violations, the seriousness of the employee's misconduct and the employee's past record.

Conduct that may result in immediate termination includes insubordinate behavior, breach of confidentiality, theft, destruction of company property, falsifying client records, untruthfulness about personal background, violations of drug and alcohol policy or threats of violence. These are some examples, but it is not a complete list of offenses for which an employee may be subject to immediate dismissal.

Grievance Policy

It has been Transitions' policy to encourage a harmonious and cooperative relationship among employees and to resolve grievances in accordance with fair and orderly procedures.

This policy is applicable to grievances arising from the conditions that are subject to the control of the Chief Executive Officer and that involve disciplinary actions, supervisory actions, physical facilities (workspace, equipment, materials) and conditions of employment.

Employees who are involuntarily terminated during the ninety (90) day probationary period are not entitled to appeal their termination through this process.

Employees are encouraged to discuss problems and misunderstandings openly with their supervisor who has the first responsibility to resolve the grievance. If the employee wishes to file a complaint, it must be made verbally within five (5) days of the incident leading to the complaint. The employee's immediate supervisor will be responsible for reviewing all of the issues and facts surrounding the complaint and will verbally answer the grievance within five (5) working days of its filing.

If the grievance is not answered to the satisfaction of the employee, the problem should be taken in writing to the Chief Executive Officer within five (5) working days of receiving a response from the supervisor. The Chief Executive Officer will review all issues and facts and the response of the supervisor and will issue a written response, in person, to the employee within five (5) working days of the filing of the written grievance.

Should the employee not be satisfied with the resolution of the problem at this point, a written appeal may be submitted to the Personnel Committee of the Board of Directors. This appeal must be made within five (5) working days of receiving a response from the Chief Executive Officer. The Personnel Committee will review the grievance and the written resolution previously presented and present a written recommendation for resolution of the grievance to the Board of Directors within five (5) working days. The Board of Directors will act upon this recommendation within five (5) working days.

If necessary, a special Board meeting will be called.

The decision of the Board will be considered final and binding.

Voluntary Termination

As an at-will employee, you have the right to resign at any time, for any reason. However, Transitions requests two weeks' notice of resignation for non-exempt and four weeks for exempt or retiring employees to minimize disruption of work. On the last day of employment, you will be required to surrender all company property. Prior to departure, you may be asked to participate in an exit interview.

A letter of resignation should indicate the reason for resignation, the date it will become effective and a forwarding address when possible.

Working notice is defined by coming to work and not taking sick or personal leave except in the event of a documented medical emergency. If an employee takes sick or personal time during the resignation period in the absence of a documented medical emergency, or in the event of an illness or emergency situation during the period of working notice, the resignation period may be

extended to cover any missed time. Vacation time may not be used in lieu of fulfilling the employee's working notice time.

Transitions recognizes that medical emergencies do occur. Therefore, in the event of a documented medical emergency, the Chief Executive Officer may approve the use of sick or vacation time prior to the resignation date.

Staff member who wish to retire should submit a letter stating their intention to the Chief Executive Officer. The agency requests thirty (30) days' notice of the retirement date, except in the case of the Chief Executive Officer who is required to give a notice of ninety (90) days.

Layoffs

When reduction of or change in the workforce is necessary, efforts will be made to assign the affected employee to an existing vacant position if the employee is qualified. If no suitable open position exists and the agency must lay off the employee, as much notice as possible will be given. Laid off employees will receive priority if a position for which they are qualified becomes available in the Company.

Final Pay

Terminated employees will receive all compensation to which they are entitled including accrued but unused vacation pay. Employees who are terminated involuntarily will receive their final paycheck on the next scheduled pay date. If an employee voluntarily quits or resigns, all wages are payable on the next scheduled pay date.

Miscellaneous Information

Bulletin Boards

To keep our employees informed, the Company provides bulletin boards in the main office that provide access to important posted information and announcements. Employees are responsible for reading this information.

Personal Information Changes

Employees are responsible for promptly notifying the Fiscal/Fundraising Administrator of any change in their personal information. This includes address, telephone number, marital status, name change, citizenship, tax withholding allowances, emergency contact information, insurance beneficiary or dependent insurance coverage. Changes in personal data may affect employee benefits, so prompt reporting of these changes is important.

Dress Code

As representatives of Transitions, employees should remember that their appearance is a direct reflection on the level of professionalism in the Company. For this reason, all employees shall dress appropriately for the duties scheduled on any given day. All attire displaying graphics or messages that may be considered offensive are prohibited. Management may impose additional appropriate standards.

Employees who refuse to comply with Transitions' reasonable standards of dress can be sent home to change into more appropriate attire. Repeated violation of this policy can lead to disciplinary action up to and including termination.

Employees who are in doubt about the appropriateness of a particular mode of dress should consult their supervisor in advance. Supervisors are charged with the responsibility of enforcing this policy.

Expense Reimbursement

Transitions will reimburse employees for reasonable pre-approved business expenses. All expenses must be submitted on the required expense form and be approved by a supervisor prior to submission for reimbursement. Receipts for all business expenses must be attached to the expense form. See **Appendix F** for the detailed cell phone reimbursement policy.

Travel Reimbursement

As a non-profit organization dedicated to assisting victims of crime in Union, Snyder and Northumberland Counties, travel is essential to ensure that service provision is inclusive, and staff training needs are met. Our policy is to reimburse individuals for reasonable, proper and necessary travel expenses incurred in conjunction with approved Transitions' initiatives. It is Transitions' policy that all travel be conducted in the least expensive manner. See **Appendix G** for detailed travel policy.

Consulting

Employees who wish to engage in consulting activities, public speaking or other paid or unpaid activity relating to the work done at Transitions must receive advance permission from their supervisor. Any fee or honorarium received for such activities during paid work time becomes the property of Transitions. Any honorarium received for work done on personal time (including vacation time) remains the property of the employee.

Personal Property

Transitions does not assume responsibility for any personal property located on its premises, in vehicles or in parking areas. Employees are to use their own discretion when choosing to bring personal property to the workplace and do so at their own risk.

Additional Work Related Policies

Transitions adheres to the following related policies that can be found in the Appendix: Conflict of Interest Policy (**Appendix H**); Human Immunodeficiency Virus (HIV) and Acquired Immune Deficiency Syndrome (AIDS) Policy (**Appendix I**); Religious Non-Affiliation Policy (**Appendix J**); and Child Abuse Reporting Policy (**Appendix K**).

Receipt of Employee Handbook

Employee Acknowledgement

I acknowledge I have received and read a copy of the Transitions Employee Handbook, which outlines the policies, benefits and expectations of Transitions, including my responsibilities as an employee.

I understand this handbook is a general guide and does not constitute an employment agreement or a guarantee to continued employment. I also understand the employer can make changes to this handbook at any time without notice.

I further acknowledge that my employment is at will. I understand I have the right to terminate the employment relationship at any time and for any reason, with or without cause or notice, and the Company has the same right.

Employee's Signature

Date

Employee's Name (printed)

APPENDIX A

Code of Ethics of the National Association of Social Workers

Approved by the 1996 NASW Delegate Assembly and revised by the 2008 NASW Delegate Assembly

Preamble

The primary mission of the social work profession is to enhance human wellbeing and help meet the basic human needs of all people, with particular attention to the needs and empowerment of people who are vulnerable, oppressed, and living in poverty. A historic and defining feature of social work is the profession's focus on individual wellbeing in a social context and the wellbeing of society. Fundamental to social work is attention to the environmental forces that create, contribute to and address problems in living.

Social workers promote social justice and social change with and on behalf of clients. "Clients" is used inclusively to refer to individuals, families, groups, organizations, and communities. Social workers are sensitive to cultural and ethnic diversity and strive to end discrimination, oppression, poverty, and other forms of social injustice. These activities may be in the form of direct practice, community organizing, supervision, consultation administration, advocacy, social and political action, policy development and implementation, education, and research and evaluation. Social workers seek to enhance the capacity of people to address their own needs. Social workers also seek to promote the responsiveness of organizations, communities, and other social institutions to individuals' needs and social problems.

The mission of the social work profession is rooted in a set of core values. These core values, embraced by social workers throughout the profession's history, are the foundation of social work's unique purpose and perspective:

- service
- social justice
- dignity and worth of the person
- importance of human relationships
- integrity
- competence.

This constellation of core values reflects what is unique to the social work profession. Core values and the principles that flow from them must be balanced within the context and complexity of the human experience.

Purpose of the NASW Code of Ethics

Professional ethics are at the core of social work. The profession has an obligation to articulate its basic values, ethical principles, and ethical standards. The *NASW Code of Ethics* sets forth these values, principles, and standards to guide social workers' conduct. The *Code* is relevant to all social workers and social work students, regardless of their professional functions, the settings in which they work, or the populations they serve.

The *NASW Code of Ethics* serves six purposes:

1. The Code identifies core values on which social work's mission is based.
2. The *Code* summarizes broad ethical principles that reflect the profession's core values and establishes a set of specific ethical standards that should be used to guide social work practice.
3. The *Code* is designed to help social workers identify relevant considerations when professional obligations conflict or ethical uncertainties arise.
4. The *Code* provides ethical standards to which the general public can hold the social work profession accountable.
5. The *Code* socializes practitioners new to the field to social work's mission, values, ethical principles, and ethical standards.
6. The *Code* articulates standards that the social work profession itself can use to assess whether social workers have engaged in unethical conduct. NASW has formal procedures to adjudicate ethics complaints filed against its members.* In subscribing to this *Code*, social workers are required to cooperate in its implementation, participate in NASW adjudication proceedings, and abide by any NASW disciplinary rulings or sanctions based on it.

The *Code* offers a set of values, principles, and standards to guide decision making and conduct when ethical issues arise. It does not provide a set of rules that prescribe how social workers should act in all situations. Specific applications of the *Code* must take into account the context in which it is being considered and the possibility of conflicts among the *Code's* values, principles, and standards. Ethical responsibilities flow from all human relationships, from the personal and familial to the social and professional.

Further, the *NASW Code of Ethics* does not specify which values, principles, and standards are most important and ought to outweigh others in instances when they conflict. Reasonable differences of opinion can and do exist among social workers with respect to the ways in which values, ethical principles, and ethical standards should be rank ordered when they conflict. Ethical decision making in a given situation must apply the informed judgment of the individual social worker and should also consider how the issues would be judged in a peer review process where the ethical standards of the profession would be applied.

Ethical decision making is a process. There are many instances in social work where simple answers are not available to resolve complex ethical issues. Social workers should take into consideration all the values, principles, and standards in this *Code* that are relevant to any situation in which ethical judgment is warranted. Social workers' decisions and actions should be consistent with the spirit as well as the letter of this *Code*.

In addition to this *Code*, there are many other sources of information about ethical thinking that may be useful. Social workers should consider ethical theory and principles generally, social work theory and research, laws, regulations, agency policies, and other relevant codes of ethics recognizing that among codes of ethics social workers should consider the *NASW Code of Ethics* as their primary source. Social workers also should be aware of the impact on ethical decision making of their clients' and their own personal values and cultural and religious beliefs and practices. They should be aware of any conflicts between personal and professional values and

deal with them responsibly. For additional guidance social workers should consult the relevant literature on professional ethics and ethical decision making and seek appropriate consultation when faced with ethical dilemmas. This may involve consultation with an agency based or social work organization's ethics committee, a regulatory body, knowledgeable colleagues, supervisors, or legal counsel.

Instances may arise when social workers' ethical obligations conflict with agency policies or relevant laws or regulations. When such conflicts occur, social workers must make a responsible effort to resolve the conflict in a manner that is consistent with the values, principles, and standards expressed in this Code. If a reasonable resolution of the conflict does not appear possible, social workers should seek proper consultation before making a decision.

The *NASW Code of Ethics* is to be used by NASW and by individuals, agencies, organizations, and bodies (such as licensing and regulatory boards, professional liability insurance providers, courts of law, agency boards of directors, government agencies, and other professional groups) that choose to adopt it or use it as a frame of reference. Violation of standards in this *Code* does not automatically imply legal liability or violation of the law. Such determination can only be made in the context of legal and judicial proceedings. Alleged violations of the *Code* would be subject to a peer review process. Such processes are generally separate from legal or administrative procedures and insulated from legal review or proceedings to allow the profession to counsel and discipline its own members.

A code of ethics cannot guarantee ethical behavior. Moreover, a code of ethics cannot resolve all ethical issues or disputes or capture the richness and complexity involved in striving to make responsible choices within a moral community. Rather, a code of ethics sets forth values, ethical principles, and ethical standards to which professionals aspire and by which their actions can be judged. Social workers' ethical behavior should result from their personal commitment to engage in ethical practice. The *NASW Code of Ethics* reflects the commitment of all social workers to uphold the profession's values and to act ethically. Principles and standards must be applied by individuals of good character who discern moral questions and, in good faith, seek to make reliable, ethical judgments.

Ethical Principles

The following broad ethical principles are based on social work's core values of service, social justice, dignity and worth of the person, importance of human relationships, integrity, and competence. These principles set forth ideals to which all social workers should aspire.

Value: *Service*

Ethical Principle: *Social workers' primary goal is to help people in need and to address social problems.*

Social workers elevate service to others above self-interest. Social workers draw on their knowledge, values, and skills to help people in need and to address social problems. Social workers are encouraged to volunteer some portion of their professional skills with no expectation of significant financial return (pro bono service).

Value: *Social Justice*

Ethical Principle: *Social workers challenge social injustice.*

Social workers pursue social change, particularly with and on behalf of vulnerable and oppressed

individuals and groups of people. Social workers' social change efforts are focused primarily on issues of poverty, unemployment, discrimination, and other forms of social injustice. These activities seek to promote sensitivity to and knowledge about oppression and cultural and ethnic diversity. Social workers strive to ensure access to needed information, services, and resources; equality of opportunity; and meaningful participation in decision-making for all people.

Value: *Dignity and Worth of the Person*

Ethical Principle: *Social workers respect the inherent dignity and worth of the person.*

Social workers treat each person in a caring and respectful fashion, mindful of individual differences and cultural and ethnic diversity. Social workers promote clients' socially responsible self-determination. Social workers seek to enhance clients' capacity and opportunity to change and to address their own needs. Social workers are cognizant of their dual responsibility to clients and to the broader society. They seek to resolve conflicts between clients' interests and the broader society's interests in a socially responsible manner consistent with the values, ethical principles, and ethical standards of the profession.

Value: *Importance of Human Relationships*

Ethical Principle: *Social workers recognize the central importance of human relationships.*

Social workers understand that relationships between and among people are an important vehicle for change. Social workers engage people as partners in the helping process. Social workers seek to strengthen relationships among people in a purposeful effort to promote, restore, maintain, and enhance the wellbeing of individuals, families, social groups, organizations, and communities.

Value: *Integrity*

Ethical Principle: *Social workers behave in a trustworthy manner.*

Social workers are continually aware of the profession's mission, values, ethical principles, and ethical standards and practice in a manner consistent with them. Social workers act honestly and responsibly and promote ethical practices on the part of the organizations with which they are affiliated.

Value: *Competence*

Ethical Principle: *Social workers practice within their areas of competence and develop and enhance their professional expertise.*

Social workers continually strive to increase their professional knowledge and skills and to apply them in practice. Social workers should aspire to contribute to the knowledge base of the profession.

Ethical Standards

The following ethical standards are relevant to the professional activities of all social workers. These standards concern (1) social workers' ethical responsibilities to clients, (2) social workers' ethical responsibilities to colleagues, (3) social workers' ethical responsibilities in practice settings, (4) social workers' ethical responsibilities as professionals, (5) social workers' ethical responsibilities to the social work profession, and (6) social workers' ethical responsibilities to the broader society.

Some of the standards that follow are enforceable guidelines for professional conduct, and some are aspirational. The extent to which each standard is enforceable is a matter of professional

judgment to be exercised by those responsible for reviewing alleged violations of ethical standards.

1. SOCIAL WORKERS' ETHICAL RESPONSIBILITIES TO CLIENTS

1.01 Commitment to Clients

Social workers' primary responsibility is to promote the wellbeing of clients. In general, clients' interests are primary. However, social workers' responsibility to the larger society or specific legal obligations may on limited occasions supersede the loyalty owed clients, and clients should be so advised. (Examples include when a social worker is required by law to report that a client has abused a child or has threatened to harm self or others.)

1.02 Self Determination

Social workers respect and promote the right of clients to self-determination and assist clients in their efforts to identify and clarify their goals. Social workers may limit clients' right to self-determination when, in the social workers' professional judgment, clients' actions or potential actions pose a serious, foreseeable, and imminent risk to themselves or others.

1.03 Informed Consent

(a) Social workers should provide services to clients only in the context of a professional relationship based, when appropriate, on valid informed consent. Social workers should use clear and understandable language to inform clients of the purpose of the services, risks related to the services, limits to services because of the requirements of a third party payer, relevant costs, reasonable alternatives, clients' right to refuse or withdraw consent, and the time frame covered by the consent. Social workers should provide clients with an opportunity to ask questions.

(b) In instances when clients are not literate or have difficulty understanding the primary language used in the practice setting, social workers should take steps to ensure clients' comprehension. This may include providing clients with a detailed verbal explanation or arranging for a qualified interpreter or translator whenever possible.

(c) In instances when clients lack the capacity to provide informed consent, social workers should protect clients' interests by seeking permission from an appropriate third party, informing clients consistent with the clients' level of understanding. In such instances, social workers should seek to ensure that the third party acts in a manner consistent with clients' wishes and interests. Social workers should take reasonable steps to enhance such clients' ability to give informed consent.

(d) In instances when clients are receiving services involuntarily, social workers should provide information about the nature and extent of services and about the extent of clients' right to refuse service.

(e) Social workers who provide services via electronic media (such as computer, telephone, radio, and television) should inform recipients of the limitations and risks associated with such services.

(f) Social workers should obtain clients' informed consent before audiotaping or videotaping clients or permitting observation of services to clients by a third party.

1.04 Competence

- (a) Social workers should provide services and represent themselves as competent only within the boundaries of their education, training, license, certification, consultation, supervised experience, or other relevant professional experience.
- (b) Social workers should provide services in substantive areas or use intervention techniques or approaches that are new to them only after engaging in appropriate study, training, consultation, and supervision from people who are competent in those interventions or techniques.
- (c) When generally recognized standards do not exist with respect to an emerging area of practice, social workers should exercise careful judgment and take responsible steps (including appropriate education, research, training, consultation, and supervision) to ensure the competence of their work and to protect clients from harm.

1.05 Cultural Competence and Social Diversity

- (a) Social workers should understand culture and its function in human behavior and society, recognizing the strengths that exist in all cultures.
- (b) Social workers should have a knowledge base of their clients' cultures and be able to demonstrate competence in the provision of services that are sensitive to clients' cultures and to differences among people and cultural groups.
- (c) Social workers should obtain education about and seek to understand the nature of social diversity and oppression with respect to race, ethnicity, national origin, color, sex, sexual orientation, gender identity or expression, age, marital status, political belief, religion, immigration status, and mental or physical disability.

1.06 Conflicts of Interest

- (a) Social workers should be alert to and avoid conflicts of interest that interfere with the exercise of professional discretion and impartial judgment. Social workers should inform clients when a real or potential conflict of interest arises and take reasonable steps to resolve the issue in a manner that makes the clients' interests primary and protects clients' interests to the greatest extent possible. In some cases, protecting clients' interests may require termination of the professional relationship with proper referral of the client.
- (b) Social workers should not take unfair advantage of any professional relationship or exploit others to further their personal, religious, political, or business interests.
- (c) Social workers should not engage in dual or multiple relationships with clients or former clients in which there is a risk of exploitation or potential harm to the client. In instances when dual or multiple relationships are unavoidable, social workers should take steps to protect clients and are responsible for setting clear, appropriate, and culturally sensitive boundaries. (Dual or multiple relationships occur when social workers relate to clients in more than one relationship, whether professional, social, or business. Dual or multiple relationships can occur simultaneously or consecutively.)
- (d) When social workers provide services to two or more people who have a relationship with each other (for example, couples, family members), social workers should clarify with all parties which individuals will be considered clients and the nature of social workers' professional obligations to the various individuals who are receiving services. Social workers who anticipate a conflict of interest among the individuals receiving services or who anticipate having to perform in potentially conflicting roles (for example, when a social worker is asked to testify in a child

custody dispute or divorce proceedings involving clients) should clarify their role with the parties involved and take appropriate action to minimize any conflict of interest.

1.07 Privacy and Confidentiality

(a) Social workers should respect clients' right to privacy. Social workers should not solicit private information from clients unless it is essential to providing services or conducting social work evaluation or research. Once private information is shared, standards of confidentiality apply.

(b) Social workers may disclose confidential information when appropriate with valid consent from a client or a person legally authorized to consent on behalf of a client.

(c) Social workers should protect the confidentiality of all information obtained in the course of professional service, except for compelling professional reasons. The general expectation that social workers will keep information confidential does not apply when disclosure is necessary to prevent serious, foreseeable, and imminent harm to a client or other identifiable person. In all instances, social workers should disclose the least amount of confidential information necessary to achieve the desired purpose; only information that is directly relevant to the purpose for which the disclosure is made should be revealed.

(d) Social workers should inform clients, to the extent possible, about the disclosure of confidential information and the potential consequences, when feasible before the disclosure is made. This applies whether social workers disclose confidential information on the basis of a legal requirement or client consent.

(e) Social workers should discuss with clients and other interested parties the nature of confidentiality and limitations of clients' right to confidentiality. Social workers should review with clients circumstances where confidential information may be requested and where disclosure of confidential information may be legally required. This discussion should occur as soon as possible in the social worker-client relationship and as needed throughout the course of the relationship.

(f) When social workers provide counseling services to families, couples, or groups, social workers should seek agreement among the parties involved concerning each individual's right to confidentiality and obligation to preserve the confidentiality of information shared by others. Social workers should inform participants in family, couples, or group counseling that social workers cannot guarantee that all participants will honor such agreements.

(g) Social workers should inform clients involved in family, couples, marital, or group counseling of the social worker's, employer's, and agency's policy concerning the social worker's disclosure of confidential information among the parties involved in the counseling.

(h) Social workers should not disclose confidential information to third party payers unless clients have authorized such disclosure.

(i) Social workers should not discuss confidential information in any setting unless privacy can be ensured. Social workers should not discuss confidential information in public or semipublic areas such as hallways, waiting rooms, elevators, and restaurants.

(j) Social workers should protect the confidentiality of clients during legal proceedings to the extent permitted by law. When a court of law or other legally authorized body orders social workers to disclose confidential or privileged information without a client's consent and such

disclosure could cause harm to the client, social workers should request that the court withdraw the order or limit the order as narrowly as possible or maintain the records under seal, unavailable for public inspection.

- (k) Social workers should protect the confidentiality of clients when responding to requests from members of the media.
- (l) Social workers should protect the confidentiality of clients' written and electronic records and other sensitive information. Social workers should take reasonable steps to ensure that clients' records are stored in a secure location and that clients' records are not available to others who are not authorized to have access.
- (m) Social workers should take precautions to ensure and maintain the confidentiality of information transmitted to other parties through the use of computers, electronic mail, facsimile machines, telephones and telephone answering machines, and other electronic or computer technology. Disclosure of identifying information should be avoided whenever possible.
- (n) Social workers should transfer or dispose of clients' records in a manner that protects clients' confidentiality and is consistent with state statutes governing records and social work licensure.
- (o) Social workers should take reasonable precautions to protect client confidentiality in the event of the social worker's termination of practice, incapacitation, or death.
- (p) Social workers should not disclose identifying information when discussing clients for teaching or training purposes unless the client has consented to disclosure of confidential information.
- (q) Social workers should not disclose identifying information when discussing clients with consultants unless the client has consented to disclosure of confidential information or there is a compelling need for such disclosure.
- (r) Social workers should protect the confidentiality of deceased clients consistent with the preceding standards.

1.08 Access to Records

- (a) Social workers should provide clients with reasonable access to records concerning the clients. Social workers who are concerned that clients' access to their records could cause serious misunderstanding or harm to the client should provide assistance in interpreting the records and consultation with the client regarding the records. Social workers should limit clients' access to their records, or portions of their records, only in exceptional circumstances when there is compelling evidence that such access would cause serious harm to the client. Both clients' requests and the rationale for withholding some or all of the record should be documented in clients' files.
- (b) When providing clients with access to their records, social workers should take steps to protect the confidentiality of other individuals identified or discussed in such records.

1.09 Sexual Relationships

- (a) Social workers should under no circumstances engage in sexual activities or sexual contact with current clients, whether such contact is consensual or forced.

(b) Social workers should not engage in sexual activities or sexual contact with clients' relatives or other individuals with whom clients maintain a close personal relationship when there is a risk of exploitation or potential harm to the client. Sexual activity or sexual contact with clients' relatives or other individuals with whom clients maintain a personal relationship has the potential to be harmful to the client and may make it difficult for the social worker and client to maintain appropriate professional boundaries. Social workers—not their clients, their clients' relatives, or other individuals with whom the client maintains a personal relationship—assume the full burden for setting clear, appropriate, and culturally sensitive boundaries.

(c) Social workers should not engage in sexual activities or sexual contact with former clients because of the potential for harm to the client. If social workers engage in conduct contrary to this prohibition or claim that an exception to this prohibition is warranted because of extraordinary circumstances, it is social workers—not their clients—who assume the full burden of demonstrating that the former client has not been exploited, coerced, or manipulated, intentionally or unintentionally.

(d) Social workers should not provide clinical services to individuals with whom they have had a prior sexual relationship. Providing clinical services to a former sexual partner has the potential to be harmful to the individual and is likely to make it difficult for the social worker and individual to maintain appropriate professional boundaries.

1.10 Physical Contact

Social workers should not engage in physical contact with clients when there is a possibility of psychological harm to the client as a result of the contact (such as cradling or caressing clients). Social workers who engage in appropriate physical contact with clients are responsible for setting clear, appropriate, and culturally sensitive boundaries that govern such physical contact.

1.11 Sexual Harassment

Social workers should not sexually harass clients. Sexual harassment includes sexual advances, sexual solicitation, requests for sexual favors, and other verbal or physical conduct of a sexual nature.

1.12 Derogatory Language

Social workers should not use derogatory language in their written or verbal communications to or about clients. Social workers should use accurate and respectful language in all communications to and about clients.

1.13 Payment for Services

(a) When setting fees, social workers should ensure that the fees are fair, reasonable, and commensurate with the services performed. Consideration should be given to clients' ability to pay.

(b) Social workers should avoid accepting goods or services from clients as payment for professional services. Bartering arrangements, particularly involving services, create the potential for conflicts of interest, exploitation, and inappropriate boundaries in social workers' relationships with clients. Social workers should explore and may participate in bartering only in very limited circumstances when it can be demonstrated that such arrangements are an accepted practice among professionals in the local community, considered to be essential for the provision of services, negotiated without coercion, and entered into at the client's initiative and with the

client's informed consent. Social workers who accept goods or services from clients as payment for professional services assume the full burden of demonstrating that this arrangement will not be detrimental to the client or the professional relationship.

(c) Social workers should not solicit a private fee or other remuneration for providing services to clients who are entitled to such available services through the social workers' employer or agency.

1.14 Clients Who Lack Decision-Making Capacity

When social workers act on behalf of clients who lack the capacity to make informed decisions, social workers should take reasonable steps to safeguard the interests and rights of those clients.

1.15 Interruption of Services

Social workers should make reasonable efforts to ensure continuity of services in the event that services are interrupted by factors such as unavailability, relocation, illness, disability, or death.

1.16 Termination of Services

(a) Social workers should terminate services to clients and professional relationships with them when such services and relationships are no longer required or no longer serve the clients' needs or interests.

(b) Social workers should take reasonable steps to avoid abandoning clients who are still in need of services. Social workers should withdraw services precipitously only under unusual circumstances, giving careful consideration to all factors in the situation and taking care to minimize possible adverse effects. Social workers should assist in making appropriate arrangements for continuation of services when necessary.

(c) Social workers in fee for service settings may terminate services to clients who are not paying an overdue balance if the financial, contractual arrangements have been made clear to the client, if the client does not pose an imminent danger to self or others, and if the clinical and other consequences of the current nonpayment have been addressed and discussed with the client.

(d) Social workers should not terminate services to pursue a social, financial, or sexual relationship with a client.

(e) Social workers who anticipate the termination or interruption of services to clients should notify clients promptly and seek the transfer, referral, or continuation of services in relation to the clients' needs and preferences.

(f) Social workers who are leaving an employment setting should inform clients of appropriate options for the continuation of services and of the benefits and risks of the options.

2. SOCIAL WORKERS' ETHICAL RESPONSIBILITIES TO COLLEAGUES

2.01 Respect

(a) Social workers should treat colleagues with respect and should represent accurately and fairly the qualifications, views, and obligations of colleagues.

(b) Social workers should avoid unwarranted negative criticism of colleagues in communications with clients or with other professionals. Unwarranted negative criticism may include demeaning comments that refer to colleagues' level of competence or to individuals' attributes such as race,

ethnicity, national origin, color, sex, sexual orientation, gender identity or expression, age, marital status, political belief, religion, immigration status, and mental or physical disability.

(c) Social workers should cooperate with social work colleagues and with colleagues of other professions when such cooperation serves the wellbeing of clients.

2.02 Confidentiality

Social workers should respect confidential information shared by colleagues in the course of their professional relationships and transactions. Social workers should ensure that such colleagues understand social workers' obligation to respect confidentiality and any exceptions related to it.

2.03 Interdisciplinary Collaboration

(a) Social workers who are members of an interdisciplinary team should participate in and contribute to decisions that affect the wellbeing of clients by drawing on the perspectives, values, and experiences of the social work profession. Professional and ethical obligations of the interdisciplinary team as a whole and of its individual members should be clearly established.

(b) Social workers for whom a team decision raises ethical concerns should attempt to resolve the disagreement through appropriate channels. If the disagreement cannot be resolved, social workers should pursue other avenues to address their concerns consistent with client wellbeing.

2.04 Disputes Involving Colleagues

(a) Social workers should not take advantage of a dispute between a colleague and an employer to obtain a position or otherwise advance the social workers' own interests.

(b) Social workers should not exploit clients in disputes with colleagues or engage clients in any inappropriate discussion of conflicts between social workers and their colleagues.

2.05 Consultation

(a) Social workers should seek the advice and counsel of colleagues whenever such consultation is in the best interests of clients.

(b) Social workers should keep themselves informed about colleagues' areas of expertise and competencies. Social workers should seek consultation only from colleagues who have demonstrated knowledge, expertise, and competence related to the subject of the consultation.

(c) When consulting with colleagues about clients, social workers should disclose the least amount of information necessary to achieve the purposes of the consultation.

2.06 Referral for Services

(a) Social workers should refer clients to other professionals when the other professionals' specialized knowledge or expertise is needed to serve clients fully or when social workers believe that they are not being effective or making reasonable progress with clients and that additional service is required.

(b) Social workers who refer clients to other professionals should take appropriate steps to facilitate an orderly transfer of responsibility. Social workers who refer clients to other professionals should disclose, with clients' consent, all pertinent information to the new service providers.

(c) Social workers are prohibited from giving or receiving payment for a referral when no professional service is provided by the referring social worker.

2.07 Sexual Relationships

(a) Social workers who function as supervisors or educators should not engage in sexual activities or contact with supervisees, students, trainees, or other colleagues over whom they exercise professional authority.

(b) Social workers should avoid engaging in sexual relationships with colleagues when there is potential for a conflict of interest. Social workers who become involved in, or anticipate becoming involved in, a sexual relationship with a colleague have a duty to transfer professional responsibilities, when necessary, to avoid a conflict of interest.

2.08 Sexual Harassment

Social workers should not sexually harass supervisees, students, trainees, or colleagues. Sexual harassment includes sexual advances, sexual solicitation, requests for sexual favors, and other verbal or physical conduct of a sexual nature.

2.09 Impairment of Colleagues

(a) Social workers who have direct knowledge of a social work colleague's impairment that is due to personal problems, psychosocial distress, substance abuse, or mental health difficulties and that interferes with practice effectiveness should consult with that colleague when feasible and assist the colleague in taking remedial action.

(b) Social workers who believe that a social work colleague's impairment interferes with practice effectiveness and that the colleague has not taken adequate steps to address the impairment should take action through appropriate channels established by employers, agencies, NASW, licensing and regulatory bodies, and other professional organizations.

2.10 Incompetence of Colleagues

(a) Social workers who have direct knowledge of a social work colleague's incompetence should consult with that colleague when feasible and assist the colleague in taking remedial action.

(b) Social workers who believe that a social work colleague is incompetent and has not taken adequate steps to address the incompetence should take action through appropriate channels established by employers, agencies, NASW, licensing and regulatory bodies, and other professional organizations.

2.11 Unethical Conduct of Colleagues

(a) Social workers should take adequate measures to discourage, prevent, expose, and correct the unethical conduct of colleagues.

(b) Social workers should be knowledgeable about established policies and procedures for handling concerns about colleagues' unethical behavior. Social workers should be familiar with national, state, and local procedures for handling ethics complaints. These include policies and procedures created by NASW, licensing and regulatory bodies, employers, agencies, and other professional organizations.

(c) Social workers who believe that a colleague has acted unethically should seek resolution by discussing their concerns with the colleague when feasible and when such discussion is likely to be productive.

(d) When necessary, social workers who believe that a colleague has acted unethically should take action through appropriate formal channels (such as contacting a state licensing board or regulatory body, an NASW committee on inquiry, or other professional ethics committees).

(e) Social workers should defend and assist colleagues who are unjustly charged with unethical conduct.

3. SOCIAL WORKERS' ETHICAL RESPONSIBILITIES IN PRACTICE SETTINGS

3.01 Supervision and Consultation

(a) Social workers who provide supervision or consultation should have the necessary knowledge and skill to supervise or consult appropriately and should do so only within their areas of knowledge and competence.

(b) Social workers who provide supervision or consultation are responsible for setting clear, appropriate, and culturally sensitive boundaries.

(c) Social workers should not engage in any dual or multiple relationships with supervisees in which there is a risk of exploitation of or potential harm to the supervisee.

(d) Social workers who provide supervision should evaluate supervisees' performance in a manner that is fair and respectful.

3.02 Education and Training

(a) Social workers who function as educators, field instructors for students or trainers should provide instruction only within their areas of knowledge and competence and should provide instruction based on the most current information and knowledge available in the profession.

(b) Social workers who function as educators or field instructors for students should evaluate students' performance in a manner that is fair and respectful.

(c) Social workers who function as educators or field instructors for students should take reasonable steps to ensure that clients are routinely informed when services are being provided by students.

(d) Social workers who function as educators or field instructors for students should not engage in any dual or multiple relationships with students in which there is a risk of exploitation or potential harm to the student. Social work educators and field instructors are responsible for setting clear, appropriate, and culturally sensitive boundaries.

3.03 Performance Evaluation

Social workers who have responsibility for evaluating the performance of others should fulfill such responsibility in a fair and considerate manner and on the basis of clearly stated criteria.

3.04 Client Records

(a) Social workers should take reasonable steps to ensure that documentation in records is accurate and reflects the services provided.

(b) Social workers should include sufficient and timely documentation in records to facilitate the delivery of services and to ensure continuity of services provided to clients in the future.

(c) Social workers' documentation should protect clients' privacy to the extent that is possible and appropriate and should include only information that is directly relevant to the delivery of services.

(d) Social workers should store records following the termination of services to ensure reasonable future access. Records should be maintained for the number of years required by state statutes or relevant contracts.

3.05 Billing

Social workers should establish and maintain billing practices that accurately reflect the nature and extent of services provided and that identify who provided the service in the practice setting.

3.06 Client Transfer

(a) When an individual who is receiving services from another agency or colleague contacts a social worker for services, the social worker should carefully consider the client's needs before agreeing to provide services. To minimize possible confusion and conflict, social workers should discuss with potential clients the nature of the clients' current relationship with other service providers and the implications, including possible benefits or risks, of entering into a relationship with a new service provider.

(b) If a new client has been served by another agency or colleague, social workers should discuss with the client whether consultation with the previous service provider is in the client's best interest.

3.07 Administration

(a) Social work administrators should advocate within and outside their agencies for adequate resources to meet clients' needs.

(b) Social workers should advocate for resource allocation procedures that are open and fair. When not all clients' needs can be met, an allocation procedure should be developed that is nondiscriminatory and based on appropriate and consistently applied principles.

(c) Social workers who are administrators should take reasonable steps to ensure that adequate agency or organizational resources are available to provide appropriate staff supervision.

(d) Social work administrators should take reasonable steps to ensure that the working environment for which they are responsible is consistent with and encourages compliance with the *NASW Code of Ethics*. Social work administrators should take reasonable steps to eliminate any conditions in their organizations that violate, interfere with, or discourage compliance with the *Code*.

3.08 Continuing Education and Staff Development

Social work administrators and supervisors should take reasonable steps to provide or arrange for continuing education and staff development for all staff for whom they are responsible.

Continuing education and staff development should address current knowledge and emerging developments related to social work practice and ethics.

3.09 Commitments to Employers

- (a) Social workers generally should adhere to commitments made to employers and employing organizations.
- (b) Social workers should work to improve employing agencies' policies and procedures and the efficiency and effectiveness of their services.
- (c) Social workers should take reasonable steps to ensure that employers are aware of social workers' ethical obligations as set forth in the *NASW Code of Ethics* and of the implications of those obligations for social work practice.
- (d) Social workers should not allow an employing organization's policies, procedures, regulations, or administrative orders to interfere with their ethical practice of social work. Social workers should take reasonable steps to ensure that their employing organizations' practices are consistent with the *NASW Code of Ethics*.
- (e) Social workers should act to prevent and eliminate discrimination in the employing organization's work assignments and in its employment policies and practices.
- (f) Social workers should accept employment or arrange student field placements only in organizations that exercise fair personnel practices.
- (g) Social workers should be diligent stewards of the resources of their employing organizations, wisely conserving funds where appropriate and never misappropriating funds or using them for unintended purposes.

3.10 Labor Management Disputes

- (a) Social workers may engage in organized action, including the formation of and participation in labor unions, to improve services to clients and working conditions.
- (b) The actions of social workers who are involved in labor management disputes, job actions, or labor strikes should be guided by the profession's values, ethical principles, and ethical standards. Reasonable differences of opinion exist among social workers concerning their primary obligation as professionals during an actual or threatened labor strike or job action. Social workers should carefully examine relevant issues and their possible impact on clients before deciding on a course of action.

4. SOCIAL WORKERS' ETHICAL RESPONSIBILITIES AS PROFESSIONALS

4.01 Competence

- (a) Social workers should accept responsibility or employment only on the basis of existing competence or the intention to acquire the necessary competence.
- (b) Social workers should strive to become and remain proficient in professional practice and the performance of professional functions. Social workers should critically examine and keep current with emerging knowledge relevant to social work. Social workers should routinely review the professional literature and participate in continuing education relevant to social work practice and social work ethics.
- (c) Social workers should base practice on recognized knowledge, including empirically based knowledge, relevant to social work and social work ethics.

4.02 Discrimination

Social workers should not practice, condone, facilitate, or collaborate with any form of discrimination on the basis of race, ethnicity, national origin, color, sex, sexual orientation, gender identity or expression, age, marital status, political belief, religion, immigration status, or mental or physical disability.

4.03 Private Conduct

Social workers should not permit their private conduct to interfere with their ability to fulfill their professional responsibilities.

4.04 Dishonesty, Fraud, and Deception

Social workers should not participate in, condone, or be associated with dishonesty, fraud, or deception.

4.05 Impairment

(a) Social workers should not allow their own personal problems, psychosocial distress, legal problems, substance abuse, or mental health difficulties to interfere with their professional judgment and performance or to jeopardize the best interests of people for whom they have a professional responsibility.

(b) Social workers whose personal problems, psychosocial distress, legal problems, substance abuse, or mental health difficulties interfere with their professional judgment and performance should immediately seek consultation and take appropriate remedial action by seeking professional help, making adjustments in workload, terminating practice, or taking any other steps necessary to protect clients and others.

4.06 Misrepresentation

(a) Social workers should make clear distinctions between statements made and actions engaged in as a private individual and as a representative of the social work profession, a professional social work organization, or the social worker's employing agency.

(b) Social workers who speak on behalf of professional social work organizations should accurately represent the official and authorized positions of the organizations.

(c) Social workers should ensure that their representations to clients, agencies, and the public of professional qualifications, credentials, education, competence, affiliations, services provided, or results to be achieved are accurate. Social workers should claim only those relevant professional credentials they actually possess and take steps to correct any inaccuracies or misrepresentations of their credentials by others.

4.07 Solicitations

(a) Social workers should not engage in uninvited solicitation of potential clients who, because of their circumstances, are vulnerable to undue influence, manipulation, or coercion.

(b) Social workers should not engage in solicitation of testimonial endorsements (including solicitation of consent to use a client's prior statement as a testimonial endorsement) from current clients or from other people who, because of their particular circumstances, are vulnerable to undue influence.

4.08 Acknowledging Credit

- (a) Social workers should take responsibility and credit, including authorship credit, only for work they have actually performed and to which they have contributed.
- (b) Social workers should honestly acknowledge the work of and the contributions made by others.

5. SOCIAL WORKERS' ETHICAL RESPONSIBILITIES TO THE SOCIAL WORK PROFESSION

5.01 Integrity of the Profession

- (a) Social workers should work toward the maintenance and promotion of high standards of practice.
- (b) Social workers should uphold and advance the values, ethics, knowledge, and mission of the profession. Social workers should protect, enhance, and improve the integrity of the profession through appropriate study and research, active discussion, and responsible criticism of the profession.
- (c) Social workers should contribute time and professional expertise to activities that promote respect for the value, integrity, and competence of the social work profession. These activities may include teaching, research, consultation, service, legislative testimony, presentations in the community, and participation in their professional organizations.
- (d) Social workers should contribute to the knowledge base of social work and share with colleagues their knowledge related to practice, research, and ethics. Social workers should seek to contribute to the profession's literature and to share their knowledge at professional meetings and conferences.
- (e) Social workers should act to prevent the unauthorized and unqualified practice of social work.

5.02 Evaluation and Research

- (a) Social workers should monitor and evaluate policies, the implementation of programs, and practice interventions.
- (b) Social workers should promote and facilitate evaluation and research to contribute to the development of knowledge.
- (c) Social workers should critically examine and keep current with emerging knowledge relevant to social work and fully use evaluation and research evidence in their professional practice.
- (d) Social workers engaged in evaluation or research should carefully consider possible consequences and should follow guidelines developed for the protection of evaluation and research participants. Appropriate institutional review boards should be consulted.
- (e) Social workers engaged in evaluation or research should obtain voluntary and written informed consent from participants, when appropriate, without any implied or actual deprivation or penalty for refusal to participate; without undue inducement to participate; and with due regard for participants' wellbeing, privacy, and dignity. Informed consent should include information about the nature, extent, and duration of the participation requested and disclosure of the risks and benefits of participation in the research.

- (f) When evaluation or research participants are incapable of giving informed consent, social workers should provide an appropriate explanation to the participants, obtain the participants' assent to the extent they are able, and obtain written consent from an appropriate proxy.
- (g) Social workers should never design or conduct evaluation or research that does not use consent procedures, such as certain forms of naturalistic observation and archival research, unless rigorous and responsible review of the research has found it to be justified because of its prospective scientific, educational, or applied value and unless equally effective alternative procedures that do not involve waiver of consent are not feasible.
- (h) Social workers should inform participants of their right to withdraw from evaluation and research at any time without penalty.
- (i) Social workers should take appropriate steps to ensure that participants in evaluation and research have access to appropriate supportive services.
- (j) Social workers engaged in evaluation or research should protect participants from unwarranted physical or mental distress, harm, danger, or deprivation.
- (k) Social workers engaged in the evaluation of services should discuss collected information only for professional purposes and only with people professionally concerned with this information.
- (l) Social workers engaged in evaluation or research should ensure the anonymity or confidentiality of participants and of the data obtained from them. Social workers should inform participants of any limits of confidentiality, the measures that will be taken to ensure confidentiality, and when any records containing research data will be destroyed.
- (m) Social workers who report evaluation and research results should protect participants' confidentiality by omitting identifying information unless proper consent has been obtained authorizing disclosure.
- (n) Social workers should report evaluation and research findings accurately. They should not fabricate or falsify results and should take steps to correct any errors later found in published data using standard publication methods.
- (o) Social workers engaged in evaluation or research should be alert to and avoid conflicts of interest and dual relationships with participants, should inform participants when a real or potential conflict of interest arises, and should take steps to resolve the issue in a manner that makes participants' interests primary.
- (p) Social workers should educate themselves, their students, and their colleagues about responsible research practices.

6. SOCIAL WORKERS' ETHICAL RESPONSIBILITIES TO THE BROADER SOCIETY

6.01 Social Welfare

Social workers should promote the general welfare of society, from local to global levels, and the development of people, their communities, and their environments. Social workers should advocate for living conditions conducive to the fulfillment of basic human needs and should promote social, economic, political, and cultural values and institutions that are compatible with the realization of social justice.

6.02 Public Participation

Social workers should facilitate informed participation by the public in shaping social policies and institutions.

6.03 Public Emergencies

Social workers should provide appropriate professional services in public emergencies to the greatest extent possible.

6.04 Social and Political Action

(a) Social workers should engage in social and political action that seeks to ensure that all people have equal access to the resources, employment, services, and opportunities they require to meet their basic human needs and to develop fully. Social workers should be aware of the impact of the political arena on practice and should advocate for changes in policy and legislation to improve social conditions in order to meet basic human needs and promote social justice.

(b) Social workers should act to expand choice and opportunity for all people, with special regard for vulnerable, disadvantaged, oppressed, and exploited people and groups.

(c) Social workers should promote conditions that encourage respect for cultural and social diversity within the United States and globally. Social workers should promote policies and practices that demonstrate respect for difference, support the expansion of cultural knowledge and resources, advocate for programs and institutions that demonstrate cultural competence, and promote policies that safeguard the rights of and confirm equity and social justice for all people.

(d) Social workers should act to prevent and eliminate domination of, exploitation of, and discrimination against any person, group, or class on the basis of race, ethnicity, national origin, color, sex, sexual orientation, gender identity or expression, age, marital status, political belief, religion, immigration status, or mental or physical disability.

APPENDIX B

Confidentiality Policy

A. Confidentiality Statement

1. Transitions is a human services agency that deals with issues of sexual assault, domestic violence and other serious crimes. The agency becomes involved in the most private and personal areas of client's lives. Transitions' commitment is to respect the privacy and integrity of those we serve and to keep all aspects of the client's relationship with us confidential to the fullest extent possible. This ethic applies to anyone who seeks Transitions' help in any form whether or not they are registered formally as a client. The only way information can be released is with the written consent of the client or according to the exceptions described below. All individuals affiliated with Transitions (i.e., staff, volunteers and board members) are a) required to sign a Confidentiality Agreement; b) responsible for maintaining the confidentiality of agency records; and c) accountable for adherence to the agency's Confidentiality Policy. In addition, the address of the safe house must not be disclosed except when necessary to provide direct service to a client or in the event that emergency services (police, fire, ambulance) is required. Any violation of this policy will be considered grounds for termination.
2. Staff members and volunteers, including board members also have the right to have personal information held in confidence. Therefore, last names, phone numbers and addresses are not disclosed to clients or others seeking information unless a staff member, volunteer or board member wishes to disclose that information personally.

B. Definitions

1. Confidential Program Communications

- a. Confidential Program Communication is any written or spoken information related to the operation of the program including, but not limited to, communications or writings made by staff, interns, volunteers and board members related to the internal operations of the program including, but not limited to, administrative, personnel and board functions, except as approved for disclosure by supervisor, the Chief Executive Officer or the Chairperson of the Board. Confidential Program Communications are privileged and are not to be disclosed either during the association of the staff, volunteer or board Member with the program or after termination of the association. Confidential Program Communications are not covered under the confidentiality statute.
- b. However, a Confidential Program Communication related to a legal claim an employee, intern, volunteer or Board member has filed against Transitions may be used in legal proceedings but should be stated in a way that protects clients and others currently or formerly associated with Transitions as stated in this confidentiality policy.

2. Confidential Client/Advocate Communication

- a. A Confidential Client/Advocate Communication is any written or spoken information exchanged
 1. between client and Counselor/Advocate in the course of a counseling/advocacy relationship;
 2. between Counselor/Advocates in the course of service delivery associated with the agency; and

3. between clients and the administrative personnel of a domestic violence or rape crisis program.
 - b. Any and all knowledge, advice, records, logs, client and organizational records or working documents related to a service recipient are confidential and not to be shared with any third party. Even the fact that a person is a client or has contact with the agency is privileged information. Communication is confidential even when shared by the client in the presence of the Counselor/Advocate with a third party who is working to further the interest of the client. Furthermore, confidential documents received from other agencies for which a client has executed a written release are likewise confidential and fall within the scope of Confidential Client/Advocate Communication.
 - c. All Confidential Client/Advocate Communications are privileged and may not be disclosed either during the client's association with Transitions or after termination of service or association.
 - d. All Confidential Client/Advocate Communications are protected by law unless a client waives the privilege of confidentiality with a signed waiver; a Transitions Counselor/Advocate is not permitted to disclose confidential communications that have taken place between the Counselor/Advocate and the client.
 - e. Any discrepancy regarding this definition or its validity is evaluated referencing the statutory victim's privilege set forth in Title 43 and Title 23 of the Pennsylvania Code, the Pennsylvania Constitution, the contract with PCADV and PCAR and other contractual non-disclosure provisions.
- C. Record Keeping**
1. It is necessary for Transitions to maintain written records of client contact both for statistical and information purposes. While it is necessary to have certain information on file, every attempt is made to maintain confidentiality. All information received by Transitions staff or volunteers is confidential. Information should be entered in the client's file as quickly as possible.
 2. All client paper files are kept in locked file cabinets and only trained/certified counselors have access to them. The County Coordinators as case managers will oversee the management of client records. Transitions' utilizes Efforts to Outcomes Software to track client services. The software is only accessed on secured servers.
- D. Request by Service Recipient to Review and/or Copy Files:**
1. Clients have the right to review and/or copy information in their file. These requests should be honored, including parents or guardians who request to review and/or copy information from their child's file. Clients must request to copy information from a file in writing, and clients must be notified they are responsible for what happens with the information. Safety precautions regarding the client's information should be reviewed with the client before copying any information from the file.
- E. Release of Information with Consent of the Client:**
1. Clients make all decisions regarding disclosures of confidential information from their file. When a client requests a Transitions representative to act as an advocate for them in dealing with another agency or when a client wishes confidential information be released by Transitions to another party, the client has the right to determine what information, if any, may be communicated. In order to ensure a client is making an

informed consent for release of information, the following conditions must be met. The client must:

- a. Be informed when an individual or agency requests personal data.
 - b. Understand what information will be disclosed.
 - c. Be informed who will receive the information.
 - d. Be informed of the purpose for disclosing the information.
 - e. Be informed of possible unintended consequences of releasing information.
 - f. Be given the opportunity to review the information before giving written consent to release specified information.
 - g. Set a time limit for the disclosure, not to exceed 30 days.
2. **Cases involving minors:** In cases involving minors, the minor's parent(s) or legal guardian(s) will make a decision whether or not information shall be released.
- a. If a parent or legal guardian is the alleged perpetrator of abuse of the client or knowingly contributes to the abuse situation, consent will come from the non-offending parent, legal guardian or persons appointed by the court to act on behalf of the child.
 - b. In cases of clients who are less than eighteen (18) years of age, a parent, natural or legal guardian or guardian ad litem will sign the consent form. If it is determined that the minor is old enough to participate in the decision to release information, Transitions will encourage and facilitate that participation.
 - c. When information is released based on the consent of non-offending parents or legal guardians, they must be provided with information regarding informed consent and potential unintended consequences of release of information. The minor shall be informed of the release of information.
- F. **Release of Information without Client's Consent:** There are situations when a client's written consent is not required for the release of certain information. These are:
1. If a situation of incompetence exists and a legal guardian has been appointed for the client, only the legal guardian has the right to consent to disclosure.
 2. In situations involving a life saving or life threatening emergency, pertinent information may be released without signed consent. The client must be notified of this action verbally and in writing.
 3. In situations involving mandated reporting of child abuse that fall under the definition of the Child Protective Services Law, only the minimum information required will be reported to ChildLine and may be reported to the local Children and Youth Services agency, following the procedure explained in Transitions' Child Abuse Reporting Policy.
 4. If a counselor becomes aware of a client's intent to harm self or others.
- G. **Response to Subpoenas:** If a subpoena is issued for Confidential Client/Advocate Communication, the following steps must be followed:
1. Staff who receive the request will inform the Programs Director and/or Chief Executive Officer within the same day.
 2. The Programs Director or Chief Executive Officer will contact Transitions' attorney and inform the client of the subpoena and discuss all relevant information, including but not limited to, the origin of the subpoena, information requested, possible consequences for releasing information and contacting and/or obtaining an attorney.

3. If the client would like to comply with the subpoena, a valid consent to release (see above) must be signed before disclosing information, making note the information is being released in response to a subpoena.
4. If the client does not want to comply with the subpoena or cannot be contacted safely, Transitions' Programs Director or Chief Executive Officer will respond to the subpoena by asserting privilege of Confidential Client/Advocate Communications.
5. Detailed records will be kept in a designated Subpoena Records file regarding the subpoena and actions taken to respond.

H. Breach of Confidentiality

1. This applies to all persons affiliated with Transitions who have access to confidential information. Any breach of confidentiality will be handled with appropriate disciplinary action and may result in termination.
2. Access to files by unauthorized persons (board members, funding sources, etc.) is controlled and monitored by the Chief Executive Officer. In all cases where unauthorized persons request access, the following conditions must be met:
 - a. Client identity must be obscured, and
 - b. Those requesting access to the files must sign a Confidentiality Statement.
3. Names and other case information that, when standing alone or collectively, could identify a client, should never be used in community training or public speaking.

I. Service Recipient Files

1. **Content:** The contents of the client files are limited to information required for statistical purposes, establishing goals for the counseling relationship and documenting the need for service. The counselor signs and dates each case log. Files should not contain the evaluations or opinions of the counselor. Statements made by the client are never written verbatim. Information received from sources other than the client can be included as part of the client's file, provided no verbatim statements are contained in the information.
2. **Maintenance:** The County Coordinators have primary responsibility for maintaining client files and for reviewing the notes made by all other agency personnel. In conjunction with the Chief Executive Officer, the County Coordinators have the responsibility of closing and overseeing the destruction of files. Files are updated as needed. All closed files are kept in a secure area for a time period defined by funding sources and governing bodies before they are destroyed. After the designated time period, files are destroyed in a confidential manner under the supervision of the Chief Executive Officer, Programs Director or County Coordinators. No file or any part thereof can be destroyed to avoid a subpoena.
3. All records are the property of Transitions. Transitions assures the security of all records, service recipient files and other written information against loss, tampering or unauthorized use.

Confidentiality of Business Records and Safe House Location Policy

Transitions offers an emergency safe house for all victims of domestic violence when their own homes are not safe. In order to ensure the safety and privacy of safe house guests and staff, the confidentiality of the location must be preserved. In addition, all business dealings including all phone calls, mail and financial information must be kept confidential.

The safe house location or any business matters may not be revealed to anyone, except in the case of an emergency when police or emergency services will be contacted. The names of staff,

volunteers or safe house guests may not be revealed unless authorized by a Transitions supervisor.

APPENDIX C

Sexual Harassment Policy

The Equal Employment Opportunity Commission (EEOC) defines sexual harassment as unwelcome sexual advances, requests for sexual favors and other verbal and physical conduct of a sexual nature that explicitly or implicitly involves a condition of employment or creates an intimidating, hostile or offensive work environment. The sexual harassment of any Transitions employee by a supervisor, agent or other employee will not be tolerated. Any violation of this standard may serve as grounds for dismissal. Any Transitions employee who is the target of sexual harassment should follow the steps listed below:

1. The employee should report any incident(s) of sexual harassment to the immediate supervisor. If the complaint involves the supervisor, the harassment should be reported to the Chief Executive Officer. If the complaint involves the Chief Executive Officer, the harassment should be reported to the Board Chairperson.
2. The employee should prepare a written statement of the incident(s) of sexual harassment, including times and dates if possible, and submit the statement to the immediate supervisor (or the Chief Executive Officer or Board Chairperson).
3. The employee's supervisor (or the Chief Executive Officer or Board Chairperson) is responsible to conduct a complete investigation of the incident(s). To the extent possible, the investigation will be confidential.
4. The employee's supervisor (or the Chief Executive Officer or Board Chairperson) is responsible to provide a written report of the findings of the investigation to the employee. A copy of the report will be placed in the employee's personnel file. In addition, if the investigation of the incident reveals that the employee was in fact harassed, a copy of the report will be placed in the personnel file of the person who is harassing. Employees found responsible for committing sexual harassment are subject to disciplinary action up to and including termination. The Board of Directors or its designee may request the assistance of Transitions' legal counsel to advise management on the appropriate legal action and documentation of sexual harassment. If employees who report harassment believe the investigation, findings and action taken are not acceptable, they should contact the Chairperson of Transitions' Board of Directors. Retaliation against an employee who brings a complaint of sexual harassment will not be tolerated.

Appendix D

Drug Free Workplace Policy

A. Purpose and Goal

1. Transitions is committed to protecting the safety, health and well-being of all employees and other individuals in our workplace. We recognize alcohol abuse and drug use pose a significant threat to our goals. We have established a drug-free workplace program that balances our respect for individuals with the need to maintain an alcohol and drug-free environment.
2. This organization encourages employees to voluntarily seek help with drug and alcohol problems.
 - a. **Covered Workers:** Any individual who conducts business for the organization, is applying for a position or is conducting business on the organization's property is covered by our drug-free workplace policy. Our policy includes but is not limited to the Chief Executive Officer, executive management, managers, supervisors, full-time employees, part-time employees, off-site employees and volunteers.
 - b. **Applicability:** Our drug-free workplace policy is intended to apply whenever anyone is representing or conducting business for the organization. Therefore, this policy applies during all working hours, whenever conducting business or representing the organization, while on-call, back-up on-call and while on organization property.
 - c. **Prohibited Behavior:** It is a violation of our drug-free workplace policy to use, possess, sell, trade and/or offer for sale illegal drugs or intoxicants during work hours, while conducting agency business or while on company property. Consumption of alcohol is prohibited on company property.
 - d. **Notification of Convictions:** Any employee who is convicted of a criminal drug violation in the workplace must notify the organization in writing within five calendar days of the conviction. The organization will take appropriate action within 30 days of notification. Federal contracting agencies will be notified when appropriate.

B. Drug Testing

1. To ensure the accuracy and fairness of our testing program, all testing will be conducted according to Substance Abuse and Mental Health Services Administration (SAMHSA) guidelines where applicable and will include a screening test; a confirmation test; the opportunity for a split sample; review by a Medical Review Officer, including the opportunity for employees who test positive to provide a legitimate medical explanation, such as a physician's prescription, for the positive result; and a documented chain of custody.
2. All drug-testing information will be maintained in separate confidential records.
3. Each employee, as a condition of employment, may be required to participate in pre-employment, post-accident, reasonable suspicion and follow-up testing upon selection or request of management.

4. The substances that will be tested for are Amphetamines, Cannabinoids (THC), Cocaine, Opiates, Phencyclidine (PCP), Barbiturates, Benzodiazepines, Methaqualone, Methadone and Propoxyphene.
5. Testing for the presence of the metabolites of drugs will be conducted by the analysis of urine.
6. Any employee who tests positive will be suspended without pay for a period of 30 days, referred to a substance abuse professional for assessment and recommendations, required to successfully complete recommended rehabilitation including continuing care and required to pass a Return-to-Duty test and sign a Return-to-Work Agreement. Employees who test positive a second time or violate the Return-to-Work Agreement will be terminated immediately.
7. Employees will be subject to the same consequences of a positive test if they refuse the screening or the test, adulterate or dilute the specimen, substitute the specimen with that from another person or send an imposter, will not sign the required forms or refuse to cooperate in the testing process in such a way that prevents completion of the test.

C. Consequences

1. One of the goals of our drug-free workplace program is to encourage employees to voluntarily seek help with alcohol and/or drug problems. If, however, an individual violates the policy, the consequences are serious. The agency provides an Employee Assistance Program that will assist with seeking help.
2. In the case of applicants, if they violate the drug-free workplace policy, the offer of employment can be withdrawn. The applicant may reapply after one year and must successfully pass a pre-employment drug test.
3. Employees who violate the policy will be subject to progressive disciplinary action and may be required to enter rehabilitation. An employee required to enter rehabilitation who fails to successfully complete it and/or repeatedly violates the policy will be terminated from employment. Nothing in this policy prohibits the employee from being disciplined or discharged for other violations and/or performance problems.

D. Return-To-Work Agreements: Following a violation of the drug-free workplace policy, an employee may be offered an opportunity to participate in rehabilitation. In such cases, the employee must sign and abide by the terms set forth in a Return-to-Work Agreement as a condition of continued employment.

E. Assistance

1. Transitions recognizes that alcohol and drug abuse and addiction are treatable illnesses. We also realize that early intervention and support improve the success of rehabilitation. To support our employees, our drug-free workplace policy:
 - a. Encourages employees to seek help if they are concerned that they or their family members may have a drug and/or alcohol problem.
 - b. Encourages employees to utilize the services of qualified professionals in the

community to assess the seriousness of suspected drug or alcohol problems and identify appropriate sources of help.

- c. Encourage the use of the agency-provided Employee Assistance Program that will assist with seeking help.
 - d. Ensures the availability of a current list of qualified community professionals.
 - e. Allows the use of accrued paid leave while seeking treatment for alcohol and other drug problems.
2. Treatment for alcoholism and/or other drug use disorders may be covered by the employee benefit plan. However, the ultimate financial responsibility for recommended treatment belongs to the employee.
- F. **Confidentiality:** All information received by the organization through the drug-free workplace program is confidential communication. Access to this information is limited to those who have a legitimate need to know in compliance with relevant laws and management policies.
- G. **Shared Responsibility**
1. A safe and productive drug-free workplace is achieved through cooperation and shared responsibility. Both employees and management have important roles to play.
 2. All employees are required to not report to work or be subject to duty while their ability to perform job duties is impaired due to on- or off-duty use of alcohol or other drugs.
 3. In addition, employees are encouraged to:
 - a. Be concerned about working in a safe environment.
 - b. Support fellow workers in seeking help.
 - c. Report dangerous behavior to their supervisor.
 4. It is the supervisor's responsibility to:
 - a. Inform employees of the drug-free workplace policy.
 - b. Observe employee performance.
 - c. Investigate reports of dangerous practices.
 - d. Document negative changes and problems in performance.
 - e. Counsel employees as to expected performance improvement.
 - f. Clearly state consequences of policy violations.
- H. **Communication:** Communicating our drug-free workplace policy to both supervisors and employees is critical to our success. To ensure all employees are aware of their role in supporting our drug-free workplace program:
1. All employees will receive a written copy of the policy.
 2. The policy will be reviewed in orientation sessions with new employees.
 3. The policy and assistance programs will be reviewed at safety meetings.
 4. All employees will receive an update of the policy annually with their paychecks.
 5. Posters and brochures will be available at all locations.
 6. Employee education about the dangers of alcohol and drug use and the availability of help will be provided to all employees.
 7. Every supervisor will receive training to help them recognize and manage employees with alcohol and other drug problems.

APPENDIX E

On-Call Policy

This policy is directed to the staff, trained volunteers and management of Transitions.

The purpose of this policy is to implement and maintain an on-call schedule for the counties covered in the Transitions service area. Each staff member, excluding administrative and fiscal staff, shall participate in the on-call and back-up on-call rotations as directed by this policy unless the Chief Executive Officer and/or the Programs Director of this agency approve other arrangements.

This policy ensures that the staff and/or trained volunteers of this agency will provide 24-hour service to victims and survivors of domestic violence, sexual assault and other serious crimes.

The staff and management of Transitions will participate in the on-call rotation as follows:

1. There will be a sign-up sheet distributed to staff every few weeks. Every staff member is required to sign up for a set amount of weeks of on-call per rotation, dependent on the number of employees.
2. Every supervisor is required to sign up for a set number of weeks of back-up on-call per rotation, dependent on the number of supervisors.
3. Staff has the option to ask another staff person to cover their on-call or back-up on-call week with the approval of the staff member's immediate supervisor. The staff member requesting the change should also ensure that it is updated on the On-Call Schedule. If staff cannot find a substitute, then it is their responsibility to provide the coverage for that assigned week.
4. On-call and back-up on-call weeks will normally begin on a Friday at the end of the regular business day and will end the following Friday morning at 8:00 a.m.
 - a. Note that when an on-call week begins on a holiday, the coverage week will begin at 8:00 a.m. that Friday morning and will finish at 8:00 a.m. the following Friday morning. Those coming off of on-call and back-up on-call must make arrangements with the staff providing coverage for the next week, to exchange cell phones.
5. Staff is responsible for picking up the on-call cell phone on the first day of their on-call or back-up on-call week, as well as bringing them back to the appropriate office on the last day of their coverage.
6. Staff is responsible for their week of on-call coverage even when scheduled for vacation, sick and/or holiday time.
7. The Programs Director reserves the right to assign staff to the on-call and back-up on-call schedules should a staff person not voluntarily sign up.
8. Consumption of alcoholic beverages during an assigned on-call week is prohibited, as on-call staff need to be available to respond quickly to emergencies at all times.
9. Staff will be compensated for their on-call and back-up on-call participation.
 - a. Each on-call staff person will receive a \$100 stipend for each week on-call.
 - b. Each on-call staff person will also receive payment at a rate of time and a half for each hour spent on on-call duties. Compensation for back-up on-call is included in supervisors' salary.
 - c. Each staff member must submit an on-call or back-up on-call time sheet after every on-call participation. Time will be logged by tracking phone calls, travel time, case

management, accompaniment, safe house intakes, etc. Phone calls are counted by actual time, indicated on the on-call phone, rounding to the nearest whole minute.

The responsibilities of the on-call staff include the following:

1. Provide case management and support to staff/volunteers as needed.
2. When there is no staff coverage in the office(s), respond within 15 minutes to calls from victims of domestic violence, sexual assault and other serious crimes.
3. Provide transportation and safe house intakes for victims of domestic violence and/or sexual assault during evenings, weekends, holidays and at other times when there is no staff coverage in the office(s).
4. Provide accompaniment at area hospitals for victims of domestic violence, sexual assault and other serious crimes as needed during on-call hours.
5. Provide accompaniment for victims of domestic violence, sexual assault and other serious crimes to the District Magistrates offices and the police departments as needed during on-call hours.
6. The on-call staff person is responsible to know who is in the safe houses and how many additional people our safe houses can accommodate.
7. The on-call staff person is responsible to notify the back-up on-call person once they have reached six (6) hours of on-call time.
8. The on-call staff person must complete all paperwork (i.e. new files, case notes, etc.) in a timely manner to be reviewed by the County Coordinator.
9. At the end of the on-call week, the on-call staff will restock the on-call bag with files, other necessary forms and gift cards to ensure it is ready for the next person.

The responsibilities of the back-up on-call staff include the following:

1. Provide case management and support to on-call staff as needed.
2. Respond within 15 minutes to calls from on-call staff and from victims of domestic violence, sexual assault and other serious crimes.
3. Provide transportation and safe house intakes for victims of domestic violence and/or sexual assault during evenings, weekends, holidays and at other times when there is no staff coverage in the office(s) and when the on-call person is unavailable due to response to another call.
4. Provide accompaniment at area hospitals for victims of domestic violence, sexual assault and other serious crimes as needed during on-call hours when the on-call staff is unavailable due to response to another call.
5. Provide accompaniment for victims of domestic violence, sexual assault and other serious crimes to the District Magistrates offices and the police departments as needed during on-call hours when the on-call staff is unavailable due to response to another call.
6. The back-up on-call staff person is responsible to know who is in the safe houses and how many additional people our safe houses can accommodate.
7. The back-up on-call staff must complete all paperwork (i.e. new files, case notes, etc.) in a timely manner to be reviewed by the County Coordinator.
8. When the on-call staff person reaches six (6) hours of on-call time, the back-up on-call person takes over the responsibilities of the on-call staff person.
9. At the end of the on-call week, the back-up on-call staff will restock the back-up on-call bag with files, other necessary forms and gift cards, to ensure it is ready for the next person.

****By agreement between on-call and back-up on-call staff, the back-up on-call person may respond to calls if the on-call person is unavailable due to extenuating circumstances (such as illness, vehicle failure, etc.) unrelated to provision of services.****

Although the likelihood of the back-up on-call person being utilized for the provision of services is less expected than when on-call, the back-up on-call person must be available in the same manner as when performing on-call responsibilities. In order to ensure the safety needs of the victims and survivors that our agency serves, it is critical that the on-call and back-up on-call staff respond in a timely manner. On-call and back-up on-call staff must respond to calls within fifteen (15) minutes.

If on-call staff calls the back-up on-call staff and there is no response, the on-call staff should leave a message on the first attempt. If there is no response after 15 minutes, the on-call person should make a second attempt to reach the back-up on-call person. If there is no answer, the on-call person shall **not** leave a message. Instead, the on-call person shall contact another supervisor, starting with the Programs Director.

Failure to respond to calls that are the responsibility of the on-call or back-up on-call person may lead to disciplinary action.

Staff shall not be held accountable for technological failures beyond the on-call or back-up on-call person's control. However, it is the responsibility of the on-call and back-up on-call staff to ensure that they have the necessary equipment with them and fully charged at all times. It is the responsibility of staff to be aware of their cell phone signal and make accommodations if necessary.

****If the individuals who are on-call are requested to respond to a call they feel would put them in physical danger, they must call their back-up on-call person immediately.****

Appendix F

Cell Phone Reimbursement Policy

Transitions staff may have to use a personal cell phone for work purposes. This policy will define who is eligible for reimbursement for business use of personal cell phones. This policy does not address business cell phones purchased by Transitions. Employees who have a business cell phone, purchased by Transitions, are not eligible for reimbursement. No retroactive payments will be made, unless approved by the Chief Executive Officer.

A. **Policy Statement:** An employee's supervisor may authorize a cell phone reimbursement for employees who must use a personal cell phone for Transitions business. Simple convenience is not a criterion for cell phone reimbursement. A reimbursement may be authorized if **at least one** of the following criteria is met:

1. The job function of the employee requires significant time outside of the assigned office or work area **and** it is important to Transitions that the employee is accessible during those times. Simply working out of different Transitions offices does not meet the requirement for this condition as all offices have agency phones available. "Significant time" is defined as 30% or more of the employee's scheduled work time; and/or
2. The job function of the employee requires them to be regularly accessible outside of scheduled normal working hours. Simply participating in the on-call rotation does not meet the requirement of this condition as Transitions provides agency cell phones for use during this time.

B. **Procedures:**

1. Request for Reimbursement: The employee must start the request process by completing a Request for Cell Phone Reimbursement Form. Once employees complete the request, they should submit it to their supervisor.
2. Business Justification: The supervisor must review the request and determine if the request meets the criteria. If the policy criteria are met, the supervisor will sign the request and submit it to the Programs Director or the Chief Executive Officer who will determine if funds are available to cover the cell phone reimbursement. If the request is denied, a written explanation must be provided to the employee. A copy of the request is kept on file in the employee's personnel file. Note: If funds are not available, cell phone reimbursement will not be possible.
3. Determination of Reimbursement Amount:
 - a. The monthly reimbursement amount for smartphone use is the lesser of:
 - i. \$30/month; or
 - ii. 75% of the cost of a line or the average per line cost of a family plan.
 - b. The monthly reimbursement amount for a standard cell phone is the lesser of:
 - i. \$20/month; or
 - ii. 75% of the cost of a line or the average per line cost of a family plan.
4. Establishing the Reimbursement: Once approval is made, the employee will need to provide a copy of the cell phone bill attached to a check request on a monthly basis. Note: It will be the supervisor's responsibility to verify the use of the employee's

personal cell phone for business purposes, including phone calls, text messages, e-mail and other data plan usage.

5. Payment: Once approved, reimbursement for cell phone will be made by the Fiscal Manager on the most current check processing date (similar to payment for travel reimbursements).
6. Termination of Reimbursement: Every 6 months, the supervisor must review the cell phone policy agreement to determine if reimbursement is still indicated. At any time, a supervisor may decide to discontinue the reimbursement and must notify the employee of the change in writing.
7. Transitions reserves the right to discontinue cell phone reimbursement at any time if the Fiscal Manager indicates that funding is no longer available or if the supervisor or CEO deems the employee is no longer eligible for this benefit.

APPENDIX G

Travel Policy:

- A. Reimbursement for travel on Transitions' business excluding travel to and from work will be reimbursed at the current Commonwealth travel reimbursement rates.
1. In the event the agency owns/leases a vehicle, it is Transitions' policy that all client transportation and other safe house-related trips will be completed in the agency vehicle whenever possible. If staff members want to use their personal vehicles for these specified trips while the agency vehicle is available, prior approval for travel reimbursements will be required, with the exception of the Legal Advocacy Staff. If staff members want to use the agency vehicle for travel to trainings, court or other agency-related business not pertaining to the safe house or client transportation, the safe house manager must give prior approval.
 2. Prior approval is not necessary for travel reimbursements for the following reimbursable travel expenses:
 - a. Transporting clients to a safe house, support group, the Transitions office, other agencies or completing other safe house errands in an emergency situation, including on-call situations.
 - b. Transporting clients to a safe house, court, the Transitions office, other agencies or completing other safe house errands when the agency vehicle is unavailable.
 3. Reasonable and necessary expenses for lodging and food may be submitted for reimbursement with prior approval of the Chief Executive Officer or Programs Director and accompanying receipts.
- B. **Related Policies and Procedures**
1. **Reimbursement**
 - a. **Mileage Reimbursement:** Transitions will reimburse approved mileage expenses. Mileage costs will be reimbursed at the current Commonwealth approved rate.
 - b. If employees have a meeting somewhere other than a Transitions' office first thing in the morning or the end of the work day that is **NOT** on their normal route to or from work, employees can collect mileage from their home to the meeting and from the meeting to the office (or vice versa) minus one way travel from their house to the office.
 - c. If employees have a meeting somewhere other than a Transitions' office and they do not travel to the office that day, they can claim mileage from their house to the meeting minus their normal day's mileage to and from the office.
 - d. **Inter-Office Travel:** Mileage will be reimbursed for travel between Transitions' offices during a staff member's normal work hours when that staff member must leave their assigned office for the day to travel to another Transitions' site. When a staff person is on-call, that staff can collect mileage reimbursement both to and from offices *and* between offices, on condition that the on-call staff is responding to client needs.
 - e. **Parking and tolls:** Transitions will reimburse for parking and tolls associated with travel for a client or agency-related local or long distance trip.
 - f. **Lodging Costs:** At times, it may be necessary for staff to obtain overnight accommodations during periods of long distance travel for training purposes. Accommodations that meet business and personal needs and offer good value should

be selected. ***All overnight accommodation expenses must have prior approval from a Transitions supervisor.*** Staff should use their agency credit card to pay for overnight accommodations whenever possible.

- g. **Hotel Phone Surcharges:** Personal phone calls using the hotel's phone service are *not* reimbursable.
- h. **Meals:** Meal reimbursement during seminars, conferences, trainings, etc., includes breakfast, lunch and dinner. Staff should use their agency credit card to purchase meals whenever possible. Excluded are alcoholic beverages, entertainment expenses and other types of personal expenses not relating to these specific meals. When meals are provided at no additional cost, staff is not eligible for meal reimbursement for that particular meal. Meals will be reimbursed at the current federal reimbursement rate. Please see the Fiscal Manager prior to purchase to determine rate ahead of time. When use of credit card is not possible, employees should see their supervisor prior to attending the event.
- i. **Air travel:** *Any expenses for air travel must have prior approval from the Chief Executive Officer or Programs Director.*

2. **Receipt and Form Requirements**

- a. Original receipts with the preprinted/stamped name and address of the establishment must substantiate all expenses incurred. *For meals, an itemized meal receipt (listing all items purchased) must be provided, in addition to a credit card receipt, if Transitions credit card was used.*
- b. All receipts should be stapled to a Check Request and/or a Purchase Request Form as appropriate and submitted to staff's direct supervisor for approval.
- c. If staff is unable to produce a receipt, reimbursement may not be possible.
- d. For mileage reimbursement, a Travel Form and Check Request Form must be completed and signed by the staff's supervisor and/or the Chief Executive Officer or Programs Director.

3. **Timely Submission of Report**

- a. The suggested timeframe for reimbursement request submission is within one week of travel.
- b. ***Purchase and Check Requests filed more than 60 days after expenses are incurred will not be reimbursed without the approval of the Chief Executive Officer.***

4. **Tips to Expedite Payment of Travel Reimbursement**

- a. Written explanations are needed for missing receipts or exceptions to the policy.
- b. Ensure the Staff Name, Date, Starting Location, Ending Location, Number of Miles, Purpose of the Trip and County are clearly identified when using the Travel Form.
- c. Requests for reimbursement must include all appropriate receipts.
- d. All receipts should be stapled to the appropriate forms and submitted to the staff's direct supervisor for approval.
- e. Make copies of all documentation with receipts for your records.

C. **Non-Reimbursable Expenses**

- 1. Non-reimbursable expenses are identified throughout this policy. The following items are typically non-reimbursable expenses:
 - a. Mileage between Transitions office locations during staff's normal work week;
 - b. Mileage to and from work (except during on-call activities, as outlined above);

- c. Mileage to work related activities that either start or end an employee's workday and are on the employee's normal route to or from home;
- d. Fines, penalties or legal fees; and
- e. Personal entertainment, recreational expenses or alcoholic beverages.

APPENDIX H

Conflict of Interest Policy:

- A. **Purpose:** To eliminate potential conflicts of interest of the appearance of conflicts or self-dealing transactions by Transitions' Board members, staff, volunteers and contractors/vendors who do business with Transitions.
- B. **Definitions:**
 - 1. A conflict of interest is defined as a situation, behavior or arrangement which allows an inappropriate benefit to accrue to a person or firm and/or when there is a corresponding adverse impact on the agency. This also includes the appearance of a conflict of interest. Examples: hiring a relative of staff or Board members; influencing a contract award which benefits a relative; having a business as well as an official relationship (e.g., Board or staff) with the agency.
 - 2. The definition of conflict of interest extends to non-monetary transactions as well as direct financial gain. A person or firm should not use or consume for private gain or advantage Transitions' facilities, equipment, mailing lists, computer data, employee time, library or any other resource or asset.
 - 3. Transitions will not condone or accept arrangements or behavior which violates these conflict of interest standards. If such an instance comes to the attention of the agency and is found to be a valid conflict of interest, action to terminate the situation or behavior will be taken as soon as possible. A separate committee of Board members will be appointed (to exclude the party with a potential conflict of interest). This committee will review all evidence and documents carefully and make a determination regarding the conflict of interest. This committee's decision will be final.
- C. **Contractors:** Any contractor's policy and procedure must provide for full disclosure of all potential or actual conflicts of interests. The Board must be able to validate or invalidate transactions between the agency and the associated person and/or firm.
- D. **Board Members:** Any Board members applying for a paid staff position must resign from the Board of Directors before they will be considered for the position, with the exception of the Chief Executive Officer, who is a paid staff member and non-voting member of the Board of Directors. Board members who resign from the Board and do not receive the staff position may be re-elected to the Board of Directors no sooner than three (3) months after the position is filled.
- E. **Staff:** If staff members end their paid employment with Transitions and wishes to serve on the Board of Directors, they must wait at least six (6) months after the date of separation to be considered for Board membership.
- F. With the exception of the Chief Executive Officer, who is a non-voting member of the Board of Directors, membership on the Board of Directors shall not include paid staff or other compensated individuals or clients who have received services within the last six (6) months.

APPENDIX I

Human Immunodeficiency Virus (HIV) and Acquired Immune Deficiency Syndrome

(AIDS) Policy: A staff person with HIV/AIDS has a right to employment. A person's HIV status will not be utilized in any way to deny, reduce or terminate employment; however, policies regarding contagious diseases and availability of safe house, if appropriate, may be applied in individual situations. As with all information shared between a staff persons and their supervisor and/or Chief Executive Officer this information is confidential and should not be passed to any other person; confidentiality policy and procedures are applicable. Persons with HIV/AIDS disease are protected by the Americans with Disabilities Act.

Service Recipients and HIV Disease/AIDS

A. Policy:

1. Clients with HIV disease/AIDS, who are victims of domestic violence, sexual violence or human trafficking, have a right to all services offered at Transitions. HIV status will not be used to deny, reduce or terminate services; however, policies regarding contagious disease will be followed on an individual basis.
2. Information shared with direct service staff member and the victim/survivor about HIV status is not to be shared, and the confidentiality policy and procedures are applicable. Clients with HIV are protected by the Americans with Disabilities Act. Staff will be trained regarding HIV post exposure prophylaxis best practices and options for access. Transitions will inform the victim and support the right of the victim/survivor to give informed consent for testing, treatment and/or procedure. Transitions staff will also support victims/survivors in exercising their right to make an informed request for relevant testing of the offender.

B. Procedures:

1. If clients share with staff that they are HIV infected, staff will thank them for trusting them enough to share the information. Clients will be informed that it is not required to share this information unless there are medical complications with their health. Staff should also recommend that this information is personal and clients need not share it with other staff or clients.
2. When there is a medical complication from HIV, other staff members who have direct contact should be notified. FYI: HIV is transmitted in limited ways that require blood to blood or body fluid to blood contact.
3. HIV status/AIDS is not documented in the client file; in the case of a medical emergency ask if the person is willing for staff to pass along this information to the medical treatment team. All medical information is completed by the client and placed in a lock box. Clients determine what information is on the paperwork that is used in case of an emergency. Medication is also the responsibility of the client; Clients complete a medication summary that is placed in their lock box.
4. The CEO, Programs Director or the County Coordinator shall be informed when there is a client who is HIV infected, if that client's status becomes known to other clients in the facility.
5. If a problem arises, the staff will make every effort to defuse the situation by providing education regarding HIV/AIDS. Staff will inform the CEO about the incident and need for further resolution.

6. Universal precautions will be followed in the handling of body fluids or materials which have body fluids present. These precautions will be used for all clients, staff and volunteers.
7. Transitions staff will receive training and information on HIV/AIDS, universal precautions, the ADA Act, community resources, HIV post exposure prophylaxis best practices and options for access and the programs HIV policy and procedures.
8. Any client who has complaints has the right to utilize the Grievance Procedure.
9. Transitions does not support mandatory testing of victim/survivors as part of the rape exam conducted at the hospital. If the client desires HIV testing, Transitions will assist with pre- and post-testing counseling and testing with informed consent at a free and anonymous test site.
10. Transitions does not support mandatory testing of offenders. When a victim/survivor desires HIV testing of the offender, Transitions staff will assist the victim/survivor to make an informed request for relevant testing.

APPENDIX J

Religious Non-Affiliation Policy: In recognition of the fact that clients can represent the full range of religious beliefs and affiliations, the volunteers and staff members shall not advance any religious doctrine, practice or affiliation in any training, public speaking, community education, client or other contact. Every effort shall be made to find an appropriate referral for those who express a need for some type of religious or spiritual support or counseling. When a client mentions or discusses some religious beliefs in the course of the counseling relationship, the counselor should listen and withhold judgment. The religious beliefs or practices of any contributor or other individual must not influence counseling relationships. Where, for example, a client has become pregnant as a result of a crime, the full range of options, including termination of the pregnancy, must be discussed.

APPENDIX K

Nondiscrimination Policy

Transitions follows the NASW Code of Ethics with regard to discrimination. Discrimination against staff, volunteers, clients or others will not be tolerated by Transitions. Staff shall not practice, condone, facilitate or collaborate with any form of discrimination based on race, creed, national origin, ethnicity, color, culture, language, gender, gender identity, sexual orientation, age, marital status, political belief, religion, economic status, education, HIV status or mental or physical ability.

Transitions has an ongoing commitment to the creation of a workplace free of discrimination and harassment. Every employee and supervisor has the responsibility to uphold this policy. Any questions or concerns regarding any aspect of this policy should be directed to the County Coordinator.

APPENDIX L

I. POLICY ON DISCLOSURE OF CHILD ABUSE

It is the policy of Transitions to report any disclosure of child abuse in accordance with the Child Protective Services Law (CPSL) of the Commonwealth of Pennsylvania and Transitions Confidentiality Policy. Copies of the CPSL and the legislative references for the agency's Confidentiality Policy are stored in agency policy manual and a signed copy of receipt in each personnel and volunteer file.

Child abuse reports will be made following the guidelines outlined in Transitions' Procedure for Child Abuse Reporting. Transitions staff/volunteers will report suspected child abuse whether they have been told, have reason to believe or have written proof that a report has already been made.

If possible, Transitions staff/volunteers will notify a child or anyone who discloses child abuse, that they are mandated reporters of child abuse before the disclosure is made. Also, Transitions will require that individuals disclosing information about child abuse will have to do so to only one mandated reporter for a report to be made.

Transitions staff/volunteers, in the course of their community contacts, will encourage the reporting of child abuse by other persons who are designated by CPSL to be mandated reporters.

SPECIAL NOTES:

In imminent life-threatening circumstances (when any delay could potentially make the difference between life and death) the staff member/volunteer will contact the police (911) immediately. This is the only time staff members or volunteers would contact the police in a child abuse situation.

Under normal circumstances, staff members/volunteers will immediately call ChildLine (1-800-932-0313) or make an electronic report via the Child Welfare Portal (www.compass.state.pa.us/cwis) and then immediately contact the person in charge or the designated person.

II. PROCEDURE FOR REPORTING CHILD ABUSE

The law requires that a report of child abuse be made immediately. Therefore, it is crucial to move through the following steps as quickly as possible. However, if the staff member/volunteer who hears the disclosure is with the child in a counseling, advocacy or educational setting, that staff member/volunteer does not need to interrupt the current activity to make the report since the child is not in imminent danger. The report should be made immediately after the session or educational program.

III. CRITERIA FOR REPORTING

- A. Staff members/volunteers must make a report of child abuse if they have reasonable cause to suspect that a child is a victim of child abuse under ANY of the following conditions:

Staff members/volunteers come into contact with the child in the course of their Transitions' role.

The child is under the care, supervision, guidance or training of staff members/volunteers in their Transitions' role.

A person makes a specific disclosure to the staff member/volunteer that an identifiable child is the victim of child abuse (this can occur outside of the Transitions role).

An individual 14 years of age or older makes a specific disclosure to the staff member/volunteer that the individual has committed child abuse (this can occur outside of the Transitions role).

Note: There is no requirement for a child to come before the mandated reporter for the mandated reporter to make a report of suspected child abuse. There is no requirement for the mandated reporter to identify the person responsible for the child abuse to make a report of suspected child abuse.

Additional detail:

1. The staff member/volunteer has reasonable cause to suspect that a child is a victim of child abuse as defined by the CPSL.
 - a. Having reasonable cause means the staff member/volunteer has information resulting in the staff member/volunteer suspecting child abuse has occurred (see the "Definition of Child Abuse" and the "Reasonable Person Standard" in the Definitions section of this procedure).
 - b. To determine if an individual who is disclosing abuse is under the age of 18, the staff member/volunteer will ask for general information about the individual's age early in the counseling interaction.
 - i. If the disclosing person is a child, the staff members/volunteers will tell the child that they are a required reporter of child abuse and anything more the child tells the staff member/volunteer may mean that a report must be made.
 - ii. If the disclosing person is not a child, the staff member/volunteer can continue with the conversation. However, if the conversation shifts to a discussion of a minor child, the staff member/volunteer will tell the individual that if the person describes child abuse, the staff member/volunteer may have to report it as such.
- B. The staff member/volunteer has the name or other identifying information about the victim and a description of the abusive act.

IMPORTANT:

As mandated reporters, staff members/volunteers must make the child abuse report even if they believe that a report has already been made by another individual outside of Transitions about the case in question. Staff members/volunteers should never assume that someone outside of Transitions has made the child abuse report, even if Child Protective Services is already involved in some way with the child or family.

NOTE: If a counselor receives a specific disclosure of child abuse from a third party before contact with the child in question, the counselor IS mandated to report the abuse (see "Criteria for Reporting," Section III, 3 and 4).

IV. RESPONSE TO THE PERSON DISCLOSING ABUSE

When a staff member/volunteer hears about child abuse, that person will, if possible:

- A. In the case of a child who is disclosing abuse, explain to the child victim that the report is going to be made. If the child is a current client of Transitions, the staff member/volunteer will let that child's counselor or advocate know the report has been made.
- B. In the case of a third party who is disclosing child abuse, explain to the person making the disclosure that a report will be made. If the child is a current client of Transitions, the staff member/volunteer will let that child's counselor or advocate know the report has been made.

V. MAKING THE REPORT

A staff member/volunteer who has a reasonable cause to suspect child abuse will follow these steps:

The staff member/volunteer will immediately make an oral report to ChildLine (1-800-932-0313) OR make an electronic report via the Child Welfare Portal (www.compass.state.pa.us/cwis).

If staff members/volunteers made an oral report to ChildLine, they will then complete the CY47 form with any information that is available. (*PCAR recommends sharing known information regarding weapons in the home for the safety of other professionals involved*). No additional information about the child or the situation surrounding the abuse will be shared unless there is a written consent to release information (per Transitions' Confidentiality Policy). It is not necessary to know all the information requested on the form.

The description of the abuse must only include information identified during the disclosure. The staff member will fax a copy of the CY47 form to the appropriate county Child Protective Services within 48 hours of making the oral report to Childline.

The staff member/volunteer making the report will give a copy of the completed CY47 form or the receipt of successful submission from the Child Welfare Portal to the Child Advocacy Coordinator for Transitions' files.

NOTE: Staff members/volunteers may choose to have a conversation with their supervisor prior to making a report. If a staff member/volunteer is unable to reach the supervisor immediately, the staff member/volunteer may immediately contact another direct services supervisor (Chief Executive Officer, Programs Director, Legal Advocacy Coordinator, County Coordinator, Child Advocacy Coordinator). If it is impossible to reach any direct services supervisor, the staff member MUST proceed with making the report.

The staff member/volunteer will then immediately notify the person in charge (Chief Executive Officer) or the designated person (Programs Director) that a child abuse report has been made. When the Transitions offices are closed, this notification shall be made via email.

NOTE: If the child abuse has occurred in a different county or different state, send the CY47 to the Child Protective Services agency in the county/state in which the abuse occurred. ChildLine can supply the contact information for that agency.

VI. SPECIAL CIRCUMSTANCES

Handling reporting of child abuse when an alleged perpetrator is known to the agency: When an alleged perpetrator of child abuse is known to the agency (e.g., a staff member, volunteer, board member, client, supporter), Transitions will handle the required reporting of child abuse in a manner consistent with the existing policy and procedures regarding child abuse reporting. Early in the counseling relationship, a staff member/volunteer will review the Clients' Rights form with the client and explain the conditions in which the client may not have confidentiality privilege. This includes the circumstances under which Transitions staff members or volunteers are mandated reporters of suspected child abuse.

VII. DEFINITIONS:

A. CHILD ABUSE: The term "Child Abuse" shall mean intentionally, knowingly or recklessly doing any of the following:

1. Causing bodily injury to a child through any recent act or failure to act.
2. Fabricating, feigning or intentionally exaggerating or inducing a medical symptom or disease which results in a potentially harmful medical evaluation or treatment to the child through any recent act.
3. Causing or substantially contributing to serious mental injury to a child through any act or failure to act or a series of such acts or failures to act.
4. Causing sexual abuse or exploitation of a child through any act or failure to act.
5. Creating a reasonable likelihood of bodily injury to a child through any recent act or failure to act.
6. Creating a likelihood of sexual abuse or exploitation of a child through any recent act or failure to act.
7. Causing serious physical neglect of a child.
8. Engaging in any of the following recent acts:
 - a. Kicking, biting, throwing, burning, stabbing or cutting a child in a manner that endangers the child.
9. Unreasonably restraining or confining a child, based on consideration of the method, location or the duration of the restraint or confinement.
10. Forcefully shaking a child under one year of age.
11. Forcefully slapping or otherwise striking a child under one year of age.
12. Interfering with the breathing of a child.
13. Causing a child to be present at a location while operation of methamphetamine laboratory is occurring, provided that the violation is being investigated by law enforcement.

14. Leaving a child unsupervised with an individual, other than the child's parent, who the actor knows or reasonably should have known:
 - a. Is required to register as a Tier II or Tier III sexual offender, where the victim of the sexual offense was under 18 years of age when the crime was committed.
 - b. Has been determined to be a sexually violent predator.
 - c. Has been determined to be a sexually violent delinquent child.
15. Causing the death of the child through any act or failure to act.

B. PERPETRATOR: A person who has committed child abuse.

C. REASONABLE PERSON STANDARD: The reasonable person standard originated in the development of the common law. The "reasonable person" is a hypothetical, rational, intelligent individual who is intended to represent a sort of "average" citizen. The ability of this hypothetical individual to understand matters is consulted in the process of making decisions of law. The question, "How would a reasonable person act under the same or similar circumstances" performs a critical role in legal reasoning in areas such as negligence and contract law.

D. RECENT ACT OR FAILURE TO ACT: An act or failure to act that has occurred within the two years preceding the disclosure.

E. MANDATED REPORTERS: The following adults shall make a report of suspected child abuse if the person has reasonable cause to suspect that a child is a victim of child abuse: A person licensed or certified to practice in any health-related field under the jurisdiction of the Department of State.

1. A medical examiner, coroner or funeral director.
2. An employee of a health care facility or provider licensed by the Department of Health, who is engaged in the admission, examination, care or treatment of individuals.
3. A school employee.
4. An employee of a child-care service who has direct contact with children in the course of employment.
5. A clergyman, priest, rabbi, minister, Christian Science practitioner, religious healer or spiritual leader of any regularly established church or other religious organization.
6. An individual paid or unpaid, who, on the basis of the individual's role as an integral part of a regularly scheduled program, activity or service, accepts responsibility for a child.
7. An employee of a social services agency who has direct contact with children in the course of employment.
8. A peace officer or law enforcement official.
9. An emergency medical services provider certified by the Department of Health.
10. An employee of a public library who has direct contact with children in the course of employment.
11. An individual supervised or managed by a person listed under paragraphs (1), (2), (3), (4), (5), (6), (7), (8), (9), (10) and (11), who has direct contact with children in the course of employment.
12. An independent contractor.

13. An attorney affiliated with an agency, institution, organization or other entity, including a school or regularly established religious organization that is responsible for the care, supervision, guidance or control of children.
14. A foster parent.

F. SERIOUS BODILY INJURY: An injury which causes the child substantial pain or impairs physical condition.

G. SERIOUS MENTAL INJURY: A psychological condition, as diagnosed by a physician or licensed psychologist, including the refusal of appropriate treatment, that:

- (1) Renders a child chronically and severely anxious, agitated, depressed, socially withdrawn, psychotic or in reasonable fear that the child's life or safety is threatened; or
- (2) Seriously interferes with a child's ability to accomplish age-appropriate developmental and social tasks.

E. SERIOUS PHYSICAL NEGLECT: Any of the following when committed by a perpetrator that endangers a child's life or health, threatens a child's well-being, causes bodily injury or impairs a child's health, development or functioning:

- (1) A repeated, prolonged or egregious failure to supervise a child in a manner that is appropriate considering the child's developmental age and abilities.
- (2) The failure to provide a child with adequate essentials of life, including food, shelter or medical care.

F. SEXUAL ABUSE OR EXPLOITATION: Any of the following:

- (1) The employment, use, persuasion, inducement, enticement or coercion of a child to engage in or assist another individual to engage in sexually explicit conduct, which includes, but is not limited to, the following:
 - a. Looking at the sexual or other intimate parts of a child or another individual for the purpose of arousing or gratifying sexual desire in any individual.
 - b. Participating in sexually explicit conversation either in person, by telephone, by computer or by a computer-aided device for the purpose of sexual stimulation or gratification of any individual.
 - c. Actual or simulated sexual activity or nudity for the purpose of sexual stimulation or gratification of any individual.
 - d. Actual or simulated sexual activity for the purpose of producing visual depiction, including photographing, videotaping, computer depicting or filming. This paragraph does not include consensual activities between a child who is 14 years of age or older and another person who is 14 years of age or older and whose age is within four years of the child's age.
 - e. Any of the following offenses committed against a child: Rape, Statutory sexual assault, Involuntary deviate sexual intercourse, Sexual assault, Institutional sexual assault, Aggravated indecent assault, Indecent assault, Indecent exposure, Incest, Prostitution, Sexual abuse, Unlawful contact with a minor, Sexual exploitation.

Board approved November 2015

ACKNOWLEDGEMENT OF ADDITIONAL POLICIES RECEIPT

Employee Acknowledgement

I acknowledge that I have received copies of the following policies:

- NASW Code of Ethics,
- Confidentiality Policy,
- Sexual Harassment Policy,
- Drug-Free Workplace Policy,
- On-Call Policy,
- Cell Phone Reimbursement Policy,
- Travel Policy,
- Conflict of Interest Policy,
- Human Immunodeficiency (HIV) and Acquired Immune Deficiency Syndrome (AIDS) Policy,
- Religious Non-Affiliation Policy,
- Nondiscrimination Policy,
- Child Abuse Reporting Policy.

I further acknowledge that I have read each policy in its entirety, have had an opportunity to ask any questions to clarify my understanding of these policies and understand my responsibilities as an employee to adhere to these policies as a condition of employment.

Employee's Signature

Date

Employee's Name (printed)