LifeWORKS
A nonprofit serving people with disabilities

CORE EMPLOYEE HANDBOOK

Lifeworks Services, Inc.

Updated 1/25/2024

Lifeworks Employee Handbook
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This Lifeworks Services, Inc. Employee Handbook is not a contractual agreement. The policies in this handbook and any other policies, procedures, rules or guidelines that are distributed or communicated to employees of Lifeworks are intended to serve only as guides for employment. This handbook can be amended at any time.

A Message from President and CEO Gertrude Matemba-Mutasa

Welcome to Lifeworks Services!

Thank you for being a part of our team. Whether you are a new employee or have been with us for many years, we appreciate your commitment to our mission and vision.

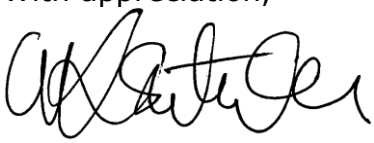
The Lifeworks Employee Handbook is your comprehensive guide to our organization and includes important information about pay and benefits, health and safety, accessibility and diversity, and so much more. Please take the time to read this essential information, which is updated annually.

I can't say enough how important our employees are to our mission. The talent, innovation, and dedication you bring to Lifeworks move us forward in partnership with people with disabilities. In return, we aim to provide competitive pay, a comprehensive benefits package, and an inclusive, accessible, and equitable work environment.

The latest news, information, and updates for staff are posted on Lifeworks Today, our official internal communications resource that can be accessed through your web browser or the SharePoint app on your Lifeworks phone. I encourage you to check Lifeworks Today often to stay up to date with what's new and exciting at Lifeworks.

Welcome again to Lifeworks. Together, we're creating person-centered, responsive services that build a sense of belonging for all. My door is always open if you have any questions, comments, or suggestions.

With appreciation,



Gertrude Matemba-Mutasa, President & CEO
gmatemba-mutasa@lifeworks.org | 651-802-3080

About Lifeworks

Who We Are

Since 1965, Lifeworks Services Inc. has been a champion for inclusion. We partner with people with disabilities to eliminate barriers to accessibility and inclusion in our communities and workplaces. Today, we support over 3,300 people with disabilities and their families across Minnesota.

As an industry leader, Lifeworks continues our commitment to self-directed support, careers with competitive wages, and developing innovative opportunities that enhance everyday lives.

Mission & Vision

Our mission is to partner with people with disabilities to drive change by increasing opportunity and access in the community.

We envision a accessible, equitable, and diverse communities.

Values

At Lifeworks, our values are the foundation of who we are. They tell us what's important and guide our decision making.

- *You Lead the Way – We* Listen: We honor choice and pursue opportunities with community at the heart of our work.
- *Together, We Break Down Barriers:* We seek diverse perspectives, advance accessibility, and encourage a sense of belonging for all.
- *We Focus on Impact:* We hold ourselves to the highest standards. We share expertise and collaborate to find solutions that address the whole picture.
- *We Reinvent What's Possible*: We take chances and welcome the unknown. We learn from the past and lean into the future.

Equity Statement

Lifeworks strives to be radically accessible, diverse, equitable, and inclusive. We appreciate the vibrancy of differences, center the voices of silenced and marginalized people, and champion universal rights.

We welcome change and work to reverse historic oppression. We promise to educate ourselves to end the dominant cultural practices of White supremacy, ableism, racism, sexism, homophobia, transphobia, xenophobia, anti-Indigenous practices, religious oppression, and all other obstacles to personal authenticity and achievement. We support our partners and members of our community who are marginalized to restore justice and dignity.

At Lifeworks, we expect accountability from all employees and our Board of Directors. We know that we cannot be truly person-centered unless we celebrate all identities - emphasizing authenticity over conformity.

At Lifeworks, we partner with complete human beings with intersectional identities, recognizing that disability exists in every race, religion, gender, culture, and class and that most of us will experience disability at some point in our lives. We recognize we have made mistakes and will continue to evolve with humility and openness, placing psychological safety, equity, and belonging over comfort. Lifeworks recognizes that in the best interests of our community, we must approach disability through the lens of diverse perspectives.

We call upon our diverse community to hold us accountable.

What We Do

Lifeworks provides opportunities for people to explore interests, develop skills, and build connections. Individualized support and community inclusion are cornerstones of Lifeworks service delivery – and with the people we serve leading the way, we put into practice.

Lifeworks offers employment, fiscal, and day services to more than 3,300 Minnesotans with disabilities and their families.

Service Overview

FMS – Financial Management Service

Lifeworks as an approved Financial Management Service provider for the state of Minnesota. As an FMS we assist the Participant who is Self- Directing their service through Consumer Directed Community Supports and the Consumer Support Grant to manage the employer-related responsibilities and financial management service tasks.

- Consumer Directed Community Supports (CDCS)
  CDCS is authorized funding through a HCBS waiver that covers staffing, goods, and services for people who want to manage their own support. Participants decide how to utilize their budget and can employ people they know such as family and friends as support staff. The Participant is responsible for hiring and scheduling the support staff as well as securing any additional supports such as specialized therapies, assistive technology, or home modifications.

- Consumer Support Grant (CSG)
  CSG is authorized funding through a state grant that covers staffing, goods, and services for people who want to manage their own support. Participants decide how to spend their budget and can employee people they know such as family and friends as support staff. The Participant is responsible for hiring and scheduling the support staff as well as securing any additional supports such as specialized therapies, assistive technology, or home modifications.

245D Licensed Services

- Individualized Home Supports, without training (IHS)
  This is a one-to-one service that provides opportunities for people living in their own home or family home to increase their independence and connect with their community. Support can include assistance with activities of

ADL's/IADL's and participating in local events and building relationships with friends. Family and Friends can be hired to provide this service.

- Respite Services
  Respite is a service that is intended to provide short-term relief for a Participant's primary caregiver in or outside of the Participant's home.

- Night Supervision
  Night Supervision is a one-to -one support that takes place in the Participant's home. Staff remain awake overnight and assist with following a Participant's plan, encouraging skill development, and helping with activities of daily living (ADL's and IADL's). Family and friends can be hired as support staff, providing relief for primary caregivers.

PCA Choice Services
Personal Care Assistance services provides support to a Participant through ADL's/IADL's in the Participant's own home. PCA Choice is a self-directed service that allows the Participant to hire, schedule and manage their personal care staff and their needs.

Employment Services

- Pre-Employment Transition Services: for students to explore employment, post-secondary education preparation, workplace readiness, and self-advocacy development.
- Employment Exploration/Engage: an introduction to careers, this service offers activities to learn about occupations in the community.
- Employment Plan: setting preliminary employment goals and preparing for working with vocational rehab services find their next job.
- Employment Development/Find: assists with finding a job, including résumé writing, interview preparation, community mapping, and more.
- Employment Support/Keep: assesses individual needs and goals to provide the desired level of support, including tools for accessibility, and self-advocacy strategies.

Individual & Group Day Support Services – honoring choice and putting empowerment into practice

Self-directed activities to build skills through hands-on learning that take place virtually, at facilities, and in the community. Examples of learning activities include creative arts, technology sessions, self-advocacy, wellness opportunities, volunteering, and exploring local resources.

Music Therapy – innovative techniques for achieving person-centered results

Guided by board-certified therapists using a scientifically backed approach, Music Therapy helps people further develop their sensory, social, emotional,

cognitive abilities, and motor skills through singing, playing instruments, listening to music, and more.

Self-Directed Resource Navigation – support through life's transitions

This service offers a series of informational meetings designed to explore options and connect people with resources to take the next step and build a roadmap to achieving their goals.

Diversity and Inclusion

We appreciate that each person, team, business, and community we serve is unique. We will acknowledge, respect, and support differences across lifestyle or values, resources or abilities, ethnicities or culture, perspectives or beliefs and appreciate that together they are the source of our collective strength. Areas of opportunity to amplify diversity in our workplace include:

- **Services** - Understand and effectively respond to the diverse values, backgrounds, experiences, interests, and choices of the people we serve.

- **Community Partnerships** - Seek collaborative activities which give Lifeworks an opportunity to exchange skills and ideas with others, as well as give employees and people we serve experiences with diverse populations.

- **Governance** - Develop a diverse board of directors.

- **Business and Administration** - Ensure that our business practices are respectful and accessible to individuals from diverse backgrounds and that our organization is welcoming to everyone in every environment where we deliver services.

- **Human Resources** – Ensure our appreciation for diversity in recruiting, selection, orientation, and on-going support of employees. Offer regularly occurring activities that promote diversity, equity, and inclusion awareness and training to support informed and respectful interactions.

Board of Directors

Lifeworks is governed by a volunteer Board of Directors. They are listed in our annual report, in our newsletter: *LifePursuits*, on our external website: lifeworks.org, and on our internal SharePoint site on the "About Us" page. The President and CEO of Lifeworks reports to Lifeworks Board of Directors.

Contact Information for Main Office and Program Locations

Lifeworks serves people throughout Minnesota. Our main office and other locations are listed on Lifeworks internal website under "About Us."

Employee Directory

The employee directory can be found by visiting Lifeworks Today under Employee Search.

PAY AND BENEFITS

Types of Positions

Core, Full Time
Those employees scheduled to work at least 30 to 40 hours per week on a continuous basis.

Core, Part Time
Those exempt employees and nonexempt employees scheduled to work less than 20 hours per week on a continuous basis.

Temporary
Employees who are scheduled for a time-limited duration with starting and ending dates defined.

On-call
Employees who substitute for other employees on an on-call as needed basis with no guarantee of hours.

Work Schedules and Pay

Attendance
Employees are expected to have punctual and regular attendance as it is an essential responsibility of the job. Employees are expected to report to work as scheduled, on time and prepared to start working. Employees are also to remain at work for their entire work schedule. Late arrival, early departure or other absences from scheduled hours are disruptive and must be avoided. Employees need to inform their supervisor and have approval for the changes to their work schedules. This does not apply to absences covered by the Family and Medical Leave Act (FMLA).

Business Hours
Lifeworks administration office hours are 8:00 a.m. to 4:30 p.m. Center hours will vary depending on transportation and services provided at each site.

Each employee's hours vary according to their job assignment and are subject to change. Employees may be required to work overtime. Employees should clock in as close to their schedule hour as possible. Employees working remote should perform their work during business hours or make alternative arrangements with their managers approval.

Any employee needing time away during work hours to express breast milk for their infant child should speak to their supervisor or human resources to discuss arrangements.

Definition of the Work Week

The work week, for payroll purposes, begins on Sunday at 12:00 a.m. and ends on Saturday at 11:59:59 p.m.

Timecard Policy

Employees must use a Lifeworks desktop, iPad, or phone application to record their daily work hours or requested leave. Employees are not allowed to clock in for another employee unless required to do so (e.g., the employee's supervisor).

By signing a timecard, employees are certifying the hours submitted:

a) accurately reflect the actual hours (not only the number of hours, but the specific times during the day) services were provided;
b) include all unpaid hours through the last work date shown;
c) were approved in advance by their Supervisor;
d) if time is submitted for working with people served, the hours submitted:
    - are consistent with the care plan(s) for the people served and
    - do not include any time while a person served was in the hospital or a care facility, was incarcerated, or when the employee was not with a person served in person and
    - Include any on-behalf of, or non-face to face time for employment services.

Timecard Procedure in the Timekeeping System

Employees clock in and clock out (or record the actual number of hours worked) in our timekeeping system. Employees must submit their time every Friday (end of week or the last day worked in the week) by the end of the workday.

Overtime

Lifeworks complies with all applicable wage and hour laws. Exempt employees are paid based on their responsibilities rather than on the number of hours worked. Nonexempt employees are paid overtime for all hours worked beyond a 40-hour work week. All nonexempt employees are compensated at time and one-half (1-1/2 times) their normal rate of pay for all worked hours beyond 40 hours in a given week.

It is expected that nonexempt employees will not exceed their regular workweek schedules. All hours worked beyond the scheduled work week must be pre-approved by the employee's direct supervisor. An employee working unauthorized time beyond their normal hours will be warned and, if necessary, disciplined.

Weekend Hours

Employees who work on a weekend are to adjust their schedule (with supervisor approval), so their total work week time does not exceed their normal work week schedule. The adjustment should be made within the same work week.

Paychecks

Payroll Period

Employees are paid every other Friday for 26 pay periods in the year 2022. If Friday is a bank holiday, the pay date will be the last previous business day. Each paycheck covers the hours or days worked in the two work weeks prior to the week in which employees receive their paycheck.

Paycheck Distribution

Lifeworks directly deposits each employee's pay to the employee's elected bank account(s) or through Lifeworks pay card solution to ensure proper payment of wages on pay day. All employees are given secured access to Lifeworks online paystub portal to access and store their individual wage statements. Employees are responsible for monitoring their wage statement to ensure accuracy to their pay and deductions. A Direct Deposit Authorization form is available on the Payroll SharePoint page and should be submitted to payroll once completed. A written request for cancelation of a direct deposit is required along with a new Direct Deposit Authorization form. If an employee does not provide a new bank account, the employee will be provided a Lifeworks pay card.

Payroll Deductions

Payroll deductions for all employees include the following standard deductions: Social Security, Medicare, and state and federal withholding tax. Other deductions, e.g., employee paid benefit elections, retirement contributions, etc., may be made with an employee authorization.

Wage Attachments

A wage attachment, also called wage garnishment, is the process of deducting money from an employee's pay as a result of a court order or action by an authorized agency. When a wage attachment is issued against an employee's salary through proper judicial process, Lifeworks will withhold the amount of an employee's salary as the law requires. Employees will receive a courtesy notification of any issued wage attachment received.

Over Payments

In the event of an over payment, the payroll department will work with the employee to rectify the issue and collect the overage as soon as possible through payroll deduction(s) or specific agreed upon arrangements. All overpayments must be collected prior to calendar year end.

Pay Structure for Core Employees

It is the goal of Lifeworks to set fair, competitive pay levels for all our employees and to be an employer of choice in our sector and region.

Human Resources reviews the pay structure for all employees annually using salary surveys that compare our positions to like positions in other non-profits in Minnesota. To evaluate our competitive positions in the labor market, individual placement in one's wage range will be dependent upon qualifications, and job performance.

Wage increases for core employees are dependent upon performance and the market.

Discussion of Wages

Lifeworks does not prohibit employees from discussing wages, nor does it require employees to sign a waiver or other documents that take away their right to disclose their wages. Lifeworks will not take any adverse employment action against an employee for disclosing their own wages or discussing another employee's wages that have been disclosed voluntarily.

Holiday Pay

Lifeworks observes 10 paid holidays each year and 1 personal holiday

Holiday Pay dates for the calendar year are established by the executive team. The calendar is posted on SharePoint. Lifeworks holidays include:

- New Years Day
- MLK Day
- Memorial Day
- Juneteenth
- Independence Day
- Labor Day
- Thanksgiving Day
- Day after Thanksgiving
- Christmas Eve
- Christmas Day
- Personal Holiday with supervisor's approval

Holiday Pay for Core Employees

Regular full-time and regular part-time employees working an average of 20 hours or more per week receive holiday pay. Part-time employees are paid based on scheduled daily work hours.

Employees may be granted, on request, the privilege of observing religious holidays not included in Lifeworks holiday schedule. Time taken off to observe religious holidays will be taken as a Personal Holiday or PTO days if PTO time is available.

Employees who are required to work on a Lifeworks holiday will receive double time pay in addition to their holiday pay for the hours worked that day. Holidays worked must be pre-approved by the supervisor. To receive double-time pay, the employee must submit worked time through the timekeeping system.

Use of Personal Holiday

- Employees will receive one personal holiday January 1 or 60 days after their first day of employment.

- A Personal Holiday must be taken as a full day and approved ahead of time by an employee's supervisor.

- Approval of a Personal Holiday will be dependent upon coverage and the needs of the business.

- Personal Holiday must be used by the end of the calendar year, December 31, in which they are granted, or they will be lost.

Holiday Pay for Employees on Unpaid Leaves

Employees on unpaid leave are not eligible for holiday pay. Employees must either work or be on paid leave (PTO or banked sick) on the first scheduled workday before and after the holiday to receive holiday pay.

Holiday Pay for Temporary Employees

Employees who are on temporary assignment are not eligible for holiday pay.

Holiday Pay for On-Call Employees

Employees who substitute for other employees on an on-call basis are paid an hourly rate. They are not eligible for holiday pay.

Paid Time off (PTO)

PTO is intended to provide employees with a bank of days employees earn. Employees can draw on their bank to compensate for time off needed for events such as vacation, illnesses, personal emergencies, and holidays that are not recognized as official Lifeworks holidays. Employees must manage their PTO responsibly.

Lifeworks PTO policy meets and exceeds the Minneapolis and St Paul Sick and Safe Time ordinances.

Eligibility

- Regular full-time and regular part-time employees (does not include temporary, or on-call employees regardless of the number of scheduled hours) scheduled to work 20 hours or more per week are eligible to earn PTO.
- Employees earn PTO based on the number of years of service from their date of hire. PTO earned is calculated each pay-period according to the chart below. Number of hours per day an employee is eligible to earn is based on the average regular number of hours scheduled to work in a week. (i.e., 40 hours per week is 8 hours per day. 30 hours per week is 6 hours per day.)

❖ One year of service	18 days
❖ Two years of service	19 days
❖ Three years of service	20 days
❖ Four years of service	21 days
❖ Five years of service	22 days
❖ Six years of service	23 days
❖ Seven years of service	24 days

- ❖ Eight years of services 25 days
- ❖ Nine years of services 26 days
- ❖ Ten year of service 27 days
- ❖ Eleven year of service 28 days
- ❖ Twelve year of service 29 days
- ❖ Thirteen year of service 30 days
- ❖ Fourteen year of service 31 days
- ❖ Fifteen year of service 32 days

- PTO is not earned during unpaid leave of absences over 10 working days.
- Staff returning within 6 months can start with half of what they were accruing.

Use of PTO

- All earned PTO must be used before being unpaid
- Non-exempt employees need to use PTO in 15-minutes increments
- Exempt employees need to use PTO in one-half day increments
- Abuse of PTO, such as excessive unscheduled day(s), can result in disciplinary action, up to and including termination.
- Employees must have the earned PTO time to cover their leave requests. However, if an employee or family member meets the criteria of a serious health condition as defined by FMLA, the employee can be approved by HR to go into a negative PTO balance, not to exceed 40 hours.

Requesting PTO

- Employees must have approval from their supervisor prior to taking PTO time.
- A leave request must be submitted through our timekeeping system and approved by the supervisor.
- In the case of emergencies or illnesses requiring same day time off, employees must have verbal approval from their supervisor, or follow the supervisor's protocol. A leave request through our timekeeping system needs to be completed as soon as possible.
- Lifeworks will make an effort to approve all requests, while considering the business needs first. Lifeworks does have the right to deny PTO requests.

PTO Carry over to next calendar year

- Maximum amount of PTO days that an employee can carry over is 35 days.
- Any amount in the excess of 35 days will be paid out on the last paycheck of each calendar year.

PTO Cash Out

- Employees may cash out from one (1) to 12 days of unused earned PTO days annually on any of the four designated cash out pay dates.
- Employees must complete the annual PTO cash out election form prior to December 31, to be paid out in the following year's designated cash out pay dates. Once the election has been received by payroll, employees may not change or rescind their election.

PTO Reimbursement upon termination

- Upon termination, an employee is paid for unused earned PTO at their regular rate of pay.
- A deduction is made from the final paycheck for the amount by which PTO used has exceeded PTO accrued.

Minnesota Earned Sick & Safe Time

Lifeworks employees, including temporary, part-time, and full-time employees are eligible for ESST if they work at least 80 hours in a year in Minnesota and do not accrue PTO in a company provided plan that is richer than the Earned Sick and Safe Time policy. Employees can accrue up to a maximum of 48 hours of earned sick and safe time per year.

Employees may use ESST when it accrues, for specific purposes related to the worker's or a family member's well-being, including purposes arising from domestic abuse, sexual assault or stalking. ESST may also be taken for certain public emergency and public health reasons. See Lifeworks Minnesota Earned Sick & Safe Time Policy Addendum J for the entire policy.

Bereavement Leave

Full and part time employees (not on call or temporary employees) may be allowed up to three days of leave with pay due to the critical illness immediately preceding death or death of any immediate family member or household member. If additional time is needed PTO time may be used with supervisor's approval. Immediate family is defined to include:

- An employee's; child, spouse, partner, parent, sibling, grandparent, great-grandparent, and grandchild
- An employee's; spouse or partner's child, parent, sibling, grandparent, great-grandparent and grandchild

Employees must request time off through our timekeeping system and be approved by their supervisor.

Volunteer Leave

Volunteer leave is intended to provide employees the opportunity to volunteer with nonprofit organizations and community groups that champion the community initiatives important to them.

Full and part time employees (not on call or temporary employees) may be allowed up to two days (16 hours) per year with pay to volunteer with nonprofit organizations or community groups they choose.

- Volunteer leave is allowed in a minimum of four-hour or half-day increments.

- Volunteer leave requests must be pre-approved by the employee's supervisor to ensure coverage for the employee's work during their absence.
- If work requirements are such that the employee's leave request is not possible, supervisors may deny approval of volunteer time and will coordinate with the employee to schedule an alternative time.
- The employee must submit to their supervisor the name of the organization and/or the community activity they will volunteer with.
- The employee must have worked for one month and be in good standing with Lifeworks Services (i.e., good attendance, good work performance, etc.)
- Volunteer leave is not carried over to the next calendar year and it is not paid out at the end of the year if not used.

Use of Banked Sick Leave or FMLA

For those employees who have a sick leave balance, banked sick time can be used for illness (self or family), or Family Medical Leave (FMLA). Employees must designate the use of either when submitting their request in the timekeeping system.

Banked Sick Leave Upon Termination

Employees 1) who retire at age 55 or more and who give at least 30 days prior notice; 2) who resign at any age due to disability (unable to perform principal duties of current employment position) which is expected to continue for 12 months or more; or 3) who are laid off due to a workforce reduction, shall be entitled to payment of one-half of all unused sick leave (not to exceed 80 days total).

Family and Medical Leave Act (FMLA)

The Family Medical Leave Act of 1993 requires certain employers to allow eligible employees to take unpaid, job-protected leaves for certain family and medical events. It is intended to assist employees in reaching a balance between family and work responsibilities with as little conflict as possible.

Employee Eligibility Criteria

To be eligible for FMLA leave, an employee must be:

- Employed by Lifeworks at least 12 months prior to the commencement of the leave ***and***
- Worked at least 1,250 hours during the 12-month period prior to the commencement of the leave.

Spouses who work for Lifeworks are permitted to take only a combined total of 12 weeks in a 12-month period.

Reasons for the Leave

In order to qualify for leave under this policy, the employee must be taking the leave for one of these reasons:

- Birth of a child, or placement of a child for adoption or foster care. Leave must commence within 12 months of the birth or placement.
- To care for a spouse, child or parent with a serious health condition (described below)
- To care for a spouse, son, daughter, or parent on active duty in the Regular Armed Forces, National Guard and Reserves because of any qualifying exigency (as determined by the Secretary of State)
- To care for a spouse, son, daughter, parent, or next of kin who is a member of the Armed Forces who suffered a serious injury or illness (described below) in the line of duty on covered active duty in Regular Armed Forces.
- The serious health condition (described below) of the employee.

Definition of Serious Injury or Illness

A serious injury or illness as it pertains to covered service members means an injury or illness incurred by the service member in the line of duty on active duty in the Regular Armed Forces, National Guard and Reserves that may render the member medically unfit to perform the duties of the member's office, grade, rank, or rating.

Definition of Serious Health Condition

A serious health condition is an illness, injury, impairment, or physical or mental condition that involves at least one of the following:

- Inpatient care in a hospital, hospice, or residential medical care facility.
- A condition that requires continued care, or the supervision of a healthcare provider, usually more than three consecutive calendar days.
- Any period of incapacity due to pregnancy, or for prenatal care.

In the absence of complications, routine treatments and short-term conditions ordinarily do not constitute a serious health condition.

Certification of Serious Health Condition; Serious Illness or Injury

An employee may be asked to submit a Certification of Health Care Provider form from a health care provider to support a requested medical leave. An employee has 15 calendar days from the date of the leave request to obtain the medical certification. The certification must include the dates and duration of treatment and a statement of medical necessity for taking leave. Failure to provide the certification may result in a denial or delay of leave.

Lifeworks has a right to ask for a second opinion and will pay for the employee to get a certification from a second doctor, selected by Lifeworks. If necessary, to resolve a conflict between the original certification and the second opinion, Lifeworks will require the opinion of a third doctor. Lifeworks and the employee will jointly select the third doctor, and Lifeworks will pay for the opinion. The third opinion will be considered final.

Definitions of a Health Care Provider

- Doctor of medicine or osteopathy
- Podiatrist
- Dentist
- Clinical social worker
- Christian Science practitioner
- Nurse midwife

- Clinical psychologist
- Optometrist
- Chiropractor

Use of Leave

- FMLA provides for 12 work weeks of unpaid leave during a 12-month period (except that an eligible employee of a covered service member may be entitled to a combined total of 26 work weeks of leave during a 12-month period to care for the service member.) Lifeworks will notify the employee of the first day considered to be leave under this policy and will measure the 12-month period from this date.
- An employee must use all paid time off (PTO, banked sick leave, and short-term disability) before continuing FMLA on an unpaid basis.
- Any disability absences will be counted as a FMLA.

Reduced Schedule or Intermittent FMLA Leave

An employee may work a reduced schedule or take intermittent FMLA when medically necessary. Lifeworks may require a health care certification which must include the dates and duration of treatment and a statement of medical necessity for taking intermittent leave or working a reduced schedule.

- Only the amount of leave taken while on intermittent or reduced-schedule leave will be charged to FMLA leave. Exempt Employees are encouraged to take time in four or eight hour blocks to ensure they have ample time to address the needs of their FML leave and to reduce disruption in the workday.
- Leave taken for the birth of a child or for placement for adoption or foster care may be taken on an intermittent basis only if agreed to by the supervisor.

Procedures for Requesting Leave

Except where leave is not foreseeable, employees requesting leave under this policy must submit the request to their supervisor 30 days before the leave is to commence using the time keeping system.

- If it is not possible to give 30 days' notice, the employee must give as much notice as is practical.
- An employee undergoing planned medical treatment is required to make a reasonable effort to schedule the treatment to minimize disruptions to Lifeworks operations.

Status of Position during and After Leave

An employee who takes leave under this policy will be able to return to the same or an equivalent position with no loss in benefits accrued prior to the leave (unless the job would have been eliminated regardless of whether the employee had taken the leave).

- While on leave, employees are requested to report periodically to their supervisor regarding the status of the medical condition, and their intent to return to work.

- Lifeworks may request a written physician's statement indicating the employee's ability to return to their job.
- If the leave is an intermittent leave, Lifeworks may temporarily transfer an employee to an available alternative position with equivalent pay and benefits if the alternate position would better accommodate the intermittent schedule.
- The employee, at the discretion of Lifeworks, may be permitted to return to work prior to the end of the medical leave.

Benefits during Leave

- Lifeworks will continue to pay the company portion of the employee's insurance benefit premium for up to 12 weeks of leave within a 12-month period (26 weeks of leave for eligible employees caring for a covered service member) at the same level and under the same conditions as if the employee continued to work.
- While on paid leave, Lifeworks will continue to make payroll deductions to collect the employee's payment for health and dental insurance and elected continuation of life insurance.
- Employees who exhaust their paid time off will be billed for their portion of the insurance benefit premium. Payment must be sent to Lifeworks by the date indicated on the invoice.
- Employees who are granted an extension for leave beyond 12 weeks may continue their participation in Lifeworks health and other insurance programs at their own expense through COBRA. The employee must make this payment, either in person or by mail to our third-party administrator per their schedule of payments. If the payment is more than 30 days late, the employees' health and other insurance coverage may be discontinued for the duration of the leave.
- If an employee is on unpaid leave, paid leave will cease to accrue while on unpaid leave.
- Employee is not eligible for pay increases until they report back to work.
- If an employee chooses not to return to work for reasons other than a continuation, recurrence or onset of a serious health condition that would entitle the employee to FMLA leave, the employee will be required to reimburse Lifeworks the amount it paid for the employee's health insurance premium during the FMLA leave period.

Pregnancy and Parental Leave

Employees may be eligible for pregnancy and parental leave under Minnesota law in addition to or in lieu of FMLA. Employees who are not eligible for FMLA, or those who have exhausted FMLA for a non-pregnancy related serious health condition, may be eligible for 12 weeks of unpaid pregnancy and parental leave under Minnesota law for the birth or adoption of a child. If an employee is eligible for leave under the FMLA for the birth or adoption of a child, leave under this policy will run concurrently with the FMLA leave and will not exceed 12 weeks.

Eligible employees are those who have worked for Lifeworks for 12 months (which do not have to be consecutive) preceding the leave request and who, during the 12 months immediately preceding the leave, worked an average of half-time or more of the full time equivalent of the employee's position. An eligible employee is a biological or adoptive parent taking leave in conjunction with the birth or adoption of a child, or

taking leave for the employee's prenatal care, or incapacity due to pregnancy, childbirth, or related health concerns.

Leave under this policy must be taken within twelve (12) months of the birth or adoption of a child, except if the child remains in the hospital longer than the mother, the leave must begin within twelve (12) months after the child leaves the hospital. Parenting leave due to the birth or placement of a child may be taken only in a continuous period. If practical, an employee must provide Lifeworks with at least 30 days' notice before leave is to begin.

An employee who is returning from a leave of more than one month must notify Lifeworks at least two weeks before returning from leave. Upon returning from leave, an employee will be returned to the employee's former position or a comparable one. A returning employee will receive any automatic adjustments to their pay scale that occurred during the leave and will retain all accrued benefits and seniority as if there had been no interruption in service. However, if during the leave the employee's position changed in such a way as would have affected that employee if the employee had not been on leave (e.g., there has been a lay-off or reduction of hours), the employee's right to reinstatement will be limited by the changed conditions.

General Leave

A general leave of absence is an authorized absence from work without pay by a Core employee for emergency situations. General leaves of absence for 30 days or less may be granted at the discretion of the employee's supervisor. General leaves for more than 30 days may be granted at the discretion of the human resources with no guarantee of reinstatement in original position.

The first day of a general leave will commence after the use of accrued PTO and banked sick time. Employees returning from a 30-day general leave will be reinstated in their original position or one of similar responsibilities and pay.

Employees do not accrue PTO during a general leave and any wage increases may be adjusted at Lifeworks discretion. Employees on a general leave are eligible to continue their participation in Lifeworks health and other insurance program at their own expense through COBRA. To request a general leave of absence, an employee must submit the request in writing to their supervisor. If the leave is for more than 30 days, it must also be approved by human resources. The request should specify the purpose of the leave, the last day of work, and the expected date of return to work.

Thirty days prior to the expected date of return to work, the employee should submit written notice regarding the employee's intent to return. (Note: If Lifeworks does not hear from the employee within 30 days prior to the end of the general leave, or if the employee does not return on the specified date, it is assumed that the employee does not intend to return to work, and they will be considered a voluntary termination.)

At the discretion of Lifeworks, employees may be permitted to return to work prior to the end of the general leave as requested.

Military Leave

Military leave will be granted pursuant to the Uniformed Services Employment and Reemployment Rights Act (USERRA).

An employee must request leave through our timekeeping system, as far in advance as reasonably possible under the circumstance.
If the employee performs in and returns from military service in the Armed Forces, the Military Reserves, or the National Guard they will retain their rights with respect to reinstatement and length of services. If these activities are compensated by the federal government, then Lifeworks will pay the difference between what the employee's regular straight time pay would have been less what they received by the government for compensation, up to maximum of two weeks (80 hours) per year.

Voting Leave

If this is not possible for an employee to vote outside of working hours, LifeWorks will pay an employee for time spent away from work necessary to appear at the employee's polling place, cast a ballot, and return to work on Election Day. To be eligible for paid time off to vote, employees must submit a written request for time off to vote at least one day prior to Election Day.

School Activities and Conference Leave

An employee is eligible for up to sixteen (16) hours of unpaid leave during any school year to attend school activities related to the employee's child if such activities cannot be scheduled during non-work hours. The employee may use any accrued PTO and unused paid time off for this leave. When the need for school activities is foreseeable, the employee must provide LifeWorks with reasonable prior notice of the leave and make a reasonable effort to schedule the leave so as to not unduly disrupt Lifeworks' business operations.

Other Leaves

Employees may be eligible for other leaves of absence as required by Minnesota law and should contact Human Resources with any questions.

Jury Duty

Employees summoned for jury duty or subpoenaed as a witness, except for self-incurred situations, shall be granted a leave of absence with pay. An employee called for jury duty will be paid their regular rate. Employees are expected to return to work in the event they are not on call or not required to appear in court.

Employees summoned for jury duty must request leave through our timekeeping system and submit it to their supervisor for approval. Upon completion of jury duty, the employee must submit a copy of the jury duty subpoena notice to human resources.

Inclement Weather

Lifeworks leaders will decide if it is safe to provide transportation, have locations open for persons to receive services or for employees to report to work.

- The supervisor or designated staff will be responsible for notifying employees, residences, persons served and the centers.

Insurance

Liability and Bonding

Lifeworks has liability insurance to protect the organization, its employees, and volunteers against lawsuits by persons other than employees on charges of malpractice and negligence. Lifeworks carries appropriate coverage for the bonding of employees in the event one or more of Lifeworks employees causes financial loss to the organization.

Benefits

A description of benefits and an explanation of the employer contribution and the employee costs for each are available from the human resource department or see Core Employee Benefit Guide for details. This information can be found on the Lifeworks Today Human Resources Department page in the Benefit section.

Retirement Plan

Upon hire, all employees are eligible to contribute to the Lifeworks Thrift Retirement Plan ("Plan") if they meet the eligibility requirements as outline in the Summary Plan Description document. Eligible employees may elect to begin or change pre-tax salary deferral percentage under the Plan after creating an account by going to www.retiresmart.com.

Employees who satisfy all eligible requirements are eligible to receive employer matching or discretionary contributions as defined by the Plan. Participants are 50-percent vested after two years of working 1,000 hours each year and fully vested after three years of service of working 1,000 hours each year.

For more information regarding Lifeworks Thrift Retirement Plan, please see the Thrift Retirement Summary Plan Description which can be found on Lifeworks Today, Human Resources page under Benefits.

Tuition Reimbursement Policy

Lifeworks' tuition reimbursement is available to full-time, active Lifeworks employees and its intended to provide opportunities to increase competence in their present job and prepare for advancement within the organization.

With prior course/program approval, Lifeworks will provide reimbursement up to 50% of tuition costs with a $3,000 annual maximum for eligible employees. Award of reimbursement dollars is presented after the employee demonstrates proof of having obtained a grade of B- or higher, or a "pass" (in a pass/fail system) in the course completed. The employee is responsible for paying tuition costs up front, if applicable.

In the event of the recipient's termination of employment during this process, or within 12 months of course/program completion, the employee will be responsible to

repay 50% of reimbursement costs to Lifeworks. The amount due to Lifeworks will be collected from employees last paycheck per signed agreement.

Employee Assistance Program (EAP)

The EAP is a proactive resource providing cost-free, confidential counseling sessions and professional referrals to employees, their family members, and partners, who seek help with concerns affecting their life and work. To access Lifeworks EAP, please contact The Hartford at www.guidanceresources.com or 1-800-964-3577.
In the company field, use this code-HLF902

Health and Safety

The health and safety of employees is a priority for Lifeworks. Our objective is to prevent and reduce the occurrence of disabling injuries. All employees are an integral part of the health and safety program and need to understand and follow safety rules and procedures.

Workplace Accommodations

Any core employee seeking an accommodation, should speak to their supervisor and reach out to human resources for assistance.

Employee Injuries

Employees who have a work-related injury or disease should report it immediately to their supervisor and human resources. A First Report of Injury form must also be filled out and sent to human resources.

Non-Work-Related Injury

The supervisor may require an employee injured on non-work time to undergo a fitness-for-duty exam if the injury limits the employee's ability to perform the essential functions of their job. The exam would be limited to determining the employee's ability to perform the essential functions of their job.

Nursing Mothers, Lactating Employees, and Pregnancy Accommodation Policy

This policy applies to all employees and contractors within Lifeworks Services, Inc. The policy is designed to provide guidance for pregnant, nursing, and lactating mothers in our organization, ensuring their rights and well-being are protected and respected in accordance with applicable federal and state laws.

In congruence with Minnesota Statutes § 181.939, Lifeworks' Nursing Mothers, Lactating Employees, and Pregnancy Accommodations policy provide pregnant employees or related health conditions the right to request and receive reasonable accommodations, as long as it does not create an undue hardship. See Lifeworks Nursing Mothers, Lactating Employees, and Pregnancy Accommodation Policy Addendum L for the entire policy.

Physical Examination Policy

All Individuals who have received a conditional job offer are required to pass a pre-placement drug screen at a Lifeworks designated provider. Employees that have received a job offer for a position that requires a DOT Certification are required to

have a pre-placement physical exam including a drug screening at Lifeworks designated provider. The job offer is conditional on the medical recommendation by the, if required, and a negative drug test. The physical is scheduled and paid for by Lifeworks.

Lifeworks may require a physician's opinion on an employee's fitness for duty if the employee has a subsequent medical or physical inability to complete job duties.

Communicable Disease Policy

Employees who knowingly have a communicable disease that may be harmful to people served may not be permitted to work until they are clear of such disease or have followed the attendance restrictions in Lifeworks Health and Safety module, found on Lifeworks Today.

Tobacco Free

Smoking, use of chewing tobacco or inhaling or exhaling of vapor from e-cigarettes or electronic delivery device are only permitted in designated areas and when it does not interfere with providing quality services and supervision to individuals being served. They are not allowed in company vehicles or in Lifeworks facilities, or whenever an employee is with a non-smoking Lifeworks person served.

Automatic External Defibrillator Use Policy

This policy outlines guidelines for the proper use of Automated External Defibrillators (AEDs) in case of sudden cardiac arrest (SCA). AEDs will be strategically placed in easily accessible locations at the main office and at the Apple Valley location. Any malfunctions or damage should be reported immediately to the Facilities Manager. All employees will be required to view an AED training video annually in the LMS. See Lifeworks Automatic External Defibrillator Use Policy Addendum K for the entire policy.

Code of Conduct

Policy
All Lifeworks employees are responsible to read, understand, and comply with the Code of Conduct along with the supporting policies and standards set forth.

Purpose
Ethics refers to a code of conduct based on moral duties and obligations which indicate how people should behave. It deals with the ability to distinguish right from wrong and the commitment to do what is right. The purpose of the Code of Ethics is to provide standards of ethical behavior for employees when that behavior directly relates to the mission of the organization.

Code of Ethics
Responsibility to the Individuals We Serve

- I shall treat the individuals we serve with the utmost dignity, free from ridicule.
- I shall not use my professional relationship with people served to further my own interests.
- I shall interact with people served in a manner which is respectful of their humanity and rights as persons.
- I shall be aware of my potential influence on people served and will not exploit their trust.
- I shall follow all state and federal laws and rules regulating services to people receiving services.
- I shall afford the same consideration to all individuals I provide service for regardless of whether I normally work with them or not.
- I shall demonstrate a genuine interest in all people served and dedicate myself to their best interests and empowerment.
- I shall provide the opportunity for reasonable risk in growth experiences for the individuals I serve.
- I shall not discriminate against or refuse services to any person on the basis of race, gender, creed, color, religion, national origin, age, public assistance status, marital status, sexual orientation, veteran status, physical or mental disabilities, or any other category protected by law.

Confidentiality (see Privacy Policy)

- I shall respect the privacy of individuals and hold in confidence all information obtained during professional service. Therefore, I will not disclose information regarding people served to anyone except:
    1. As mandated by law;
    2. To prevent a clear and present danger to a person or persons;
    3. If there is an authorization for release of information previously obtained in writing and then only the information as indicated on the authorization.
- I recognize that confidentiality and privacy requirements apply also to colleagues who do not work directly with the person served.

- I shall be responsible to store or dispose of person served records in ways that maintain confidentiality.
- I shall possess a professional attitude which upholds the confidentiality of people served, colleagues, and the organization.
- I shall, upon my termination of employment, maintain the same level of honor regarding confidentiality as during my employment.

Responsibility to Colleagues

- I shall respect the rights and views of fellow colleagues and treat them with fairness, courtesy, and good faith.
- I shall be aware of my potential influence on colleagues and will not exploit their trust.
- I shall not engage in or condone any form of harassment of or discrimination against colleagues.
- I shall extend respect and cooperation to colleagues within and external to the organization.
- If I have the responsibility for employing or evaluating the performance of other staff, I shall do so in a responsible, fair, considerate, and equitable manner which provides the opportunity for growth.
- I shall respect the confidences of my colleagues.
- If I know firsthand that a colleague has violated ethical or legal standards, I shall take whatever action is needed to prevent any further violations from occurring, including speaking with my colleague and/or reporting the violation to my supervisor if necessary.
- If it is reported to me that a colleague has violated ethical or legal standards, I shall ensure that the report is communicated to my colleague's supervisor.

Professional Responsibility

- I have a total commitment to provide the highest quality of service to those individuals I serve.
- I have a continuing commitment to assess my own personal strengths, biases, and effectiveness.
- I shall strive to seek knowledge and seek to understand others' perspectives while acknowledging that my lived experience may be different from that of my colleague.
- I shall strive to become and remain proficient in the performance of the work for which I was hired.
- I shall act in accordance with the highest standards of integrity.
- I shall seek assistance and advice on problems outside the recognized bounds of my competence.
- I shall honor Lifeworks open-door policy to receive and give feedback to my colleagues or resolve conflict.

Responsibility to Lifeworks

- I shall work to improve the effectiveness and efficiency of services provided by Lifeworks.
- I will not witness documents or co-sign any legal documents on behalf of the company or on behalf of any person unless it is within the purview of my job.
- I shall not fundraise for my personal causes unless approved by human resources.

- I shall act to prevent and eliminate discrimination in work assignments and in personnel policies or practices.
- I shall use the resources of Lifeworks only for the purposes for which they were intended and follow guidelines set forth in our facility module.
- I will respect and safeguard the personal property of persons served, visitors and personnel, and the property owned by the organization.
- I shall fulfill all commitments made by me to Lifeworks.
- I shall maintain respect for Lifeworks policies, procedures and management decisions and will take the initiative toward improving them when it will better serve the best interests of people served.
- I shall support the integrity and reputation of Lifeworks.
- I shall keep confidential all information related to the business of Lifeworks that the organization does not make available to the public, including but not limited to people served, personnel, financial, and other business information. I understand that I can discuss wages and conditions of employment.
- I shall resign if I cannot maintain respect for Lifeworks policies, procedures, and management decisions and support the integrity and reputation of Lifeworks.

Violation of Policy
Employees who violate the Code of Ethics may be subject to disciplinary action up to and including termination of employment. See disciplinary action.

Conflict of Interest

Purpose
Lifeworks encourages the active involvement of its Board Member, Board committee member, officer, member of the Executive Leadership Team, or any other person acting on behalf of Lifeworks in any capacity (each a **"Lifeworks Representative"** or **"Representative"**) in the community. In order to deal openly and fairly with actual and potential conflicts of interest that may arise as a consequence of this involvement, Lifeworks adopts the following Conflict of Interest Policy (the **"Policy"**). This Policy is intended to provide practical guidance to all Lifeworks Representatives and a basis for prompt identification and resolution of any potential and actual conflicts of interest they may have with Lifeworks.

Scope
This Policy is intended to comply with the procedure prescribed in Minnesota Statutes, Section 317A.255, governing conflicts of interest for directors of nonprofit corporations. It is intended to supplement but not replace any applicable state laws governing conflicts of interest applicable to Lifeworks. In the event there is an inconsistency between the requirements and procedures prescribed herein and those in section 317A.255, the statute shall control.

Policy

1. **Conflicts Prohibited Unless Approved**. No Lifeworks Representative shall engage in any activity that constitutes a Conflict of Interest (defined below)

except to the extent the Conflict of Interest has been duly disclosed, reviewed, and allowed in accordance with the Procedures specified in this Policy.

2. **Conflict of Interest.** A conflict of interest (a "**Conflict**" or "**Conflict of Interest**") exists whenever (a) the loyalties or actions of a Representative with respect to a matter are (or could appear to be) divided between the interests of Lifeworks and the interests of the Representative or (b) the Representative stands to derive personal benefit from actions or decisions they make on behalf of Lifeworks. An actual or apparent Conflict will exist under any of the following circumstances:

   a. Outside Interests.

      i. A Contract or Transaction between Lifeworks and a Lifeworks Representative or a family member (spouse, domestic partner, parent, child or spouse or domestic partner of a child, brother, or sister) of the Representative (each a "**Family Member**").

      ii. A Contract or Transaction between Lifeworks and an entity in which a Representative or their Family Member has a Material Financial Interest or of which such person is a director, officer, agent, partner, associate, trustee, personal representative, receiver, guardian, custodian, conservator or other legal representative. A "**Material Financial Interest**" means a financial interest of any kind in such entity, which, in view of all the circumstances, is substantial enough that it would, or reasonably could, affect the Representative's or their Family Member's judgment with respect to transactions involving the entity. This includes all forms of compensation. A "**Contract or Transaction**" is any agreement or relationship involving the sale or purchase of goods, services, or rights of any kind, the providing or receipt of a loan or grant, the establishment of any other type of pecuniary relationship, or review of a charitable organization by Lifeworks. The making of a gift to Lifeworks is not a Contract or Transaction.

   b. Outside Activities.

      i. A Representative competing with Lifeworks in the rendering of services or in any other contract or transaction with a third party.

      ii. Representative's having a Material Financial Interest (defined above) in; or serving as a director, officer, employee, agent, partner, associate, trustee, personal representative, receiver, guardian, custodian, conservator, or other legal representative of, or consultant to; an entity or individual that competes with Lifeworks in the provision of services or in any other Contract or Transaction with a third party.

   c. Gifts, Gratuities and Entertainment. A Representative accepting gifts, entertainment, or other favors from any individual or entity that:

      i. does or is seeking to do business with Lifeworks;

      ii. is a competitor of Lifeworks;

      iii. has received, is receiving, or is seeking to receive a loan or grant, or to secure other financial commitments from Lifeworks; or

iv. is a charitable organization operating in Minnesota, under circumstances where it might be inferred that such action was intended to influence or possibly would influence the Representative in the performance of their duties.

This does not preclude the acceptance of items or entertainment of nominal value which are not related to any particular transaction or activity of Lifeworks. The term "nominal value" means a value less than $50 for items or entertainment which could not be refused without discourtesy. No personal gift of money should ever be accepted.

Procedure

1. **Duty of Disclosure.** Each Representative shall promptly and in accordance with this Policy disclose any Conflict they have with respect to a Contract or Transaction to their supervisor or the Corporate Compliance Officer (as designated in the Corporate Compliance and Ethics Policy) or the Vice President of Finance.

   The disclosure shall be made as soon as the Conflict is known to the Representative. Unless permitted by the resolution of the Conflict (per section 3 of this Procedure), the Representative shall refrain from any action that may affect Lifeworks participation in the relevant Contract or Transaction.

   In the event it is not entirely clear that a Conflict of Interest exists, the Representative should err on the side of full disclosure. All disclosures shall be sufficiently complete so that those responsible for resolving a Conflict will have access to all relevant facts.

2. **For Conflicts of Interest involving any Lifeworks Representative:**

   a. If the actual or potential Conflict involves:

      1) any Lifeworks Representative (other than the CEO or a member of the Executive Leadership Team, or the Board):

         a. the disclosure should be made to the Corporate Compliance Officer and/or the Vice President of Finance, who shall review the disclosure with the executive leadership team of Lifeworks, comprising of the CEO and any other person who the CEO designates as a member of such team (the "**Executive Leadership Team**" or "**ELT**") along with a recommendation to the ELT for resolution of the Conflict.

         b. the Executive Leadership Team will be deemed to have resolved the Conflict in accordance with such recommendation unless within ten (10) business day after disclosure of the Conflict and recommendation, at least one member of the ELT makes a request for the Vice President of Finance to refer the Conflict to the Audit & Investment Committee for further consideration and resolution.

      2) a member of the Executive Leadership Team (other than the CEO):

         a. the disclosure should be made to the CEO, who shall promptly report the matter to the Audit and Investment Committee along with a recommendation for resolution of the Conflict.

b. the Audit and Investment Committee will be deemed to have resolved the Conflict in accordance with such recommendation unless within ten (10) business day after disclosure of the Conflict and recommendation, at least one member of such committee notifies the CEO of a desire for the committee to take up further consideration of the matter.

3) the CEO or a Board member:

the disclosure should be promptly made to the Audit and Investment Committee, which shall review the Conflict and make a recommendation for resolution to the Board of Directors. The Board will be responsible for final resolution of the Conflict. The CEO or Board Member (as the case may be) will be recused from any vote by either the Audit and Investment Committee or the Board of Directors respecting the subject Conflict.

3. Resolution of Conflicts:

a. The authority described above as having responsibility for resolution of a Conflict (the Executive Leadership Team, the Audit and Investment Committee, or the full Board, as the case may be – herein called the "**Conflicts Authority**") shall determine whether the subject Contract or Transaction may be authorized as just, fair and reasonable for Lifeworks. Such determination shall be in writing and, if made by the Board or the Audit and Investment Committee, shall be by an adopted resolution of the Conflicts Authority.

b. The decision of the Conflicts Authority on these matters will rest in its sole discretion and shall be based on concern for the welfare of Lifeworks and the advancement of its mission. Decisions will be documented and retained by the Corporate Compliance Officer through meeting minutes taken at any Conflict Authority meetings.

c. The Representative shall, unless otherwise permitted in writing by the Conflicts Authority, refrain from engagement in the Contract or Transaction giving rise to the Conflict of Interest.

d. A Representative may appeal a Conflict Authority's resolution to the next level of Conflict Authority. The Board of Directors have final resolution authority.

4. Disciplinary and Corrective Action.

If the Conflicts Authority has reasonable cause to believe that a Representative has failed to disclose actual or possible Conflicts of Interest or is otherwise in violation of this Policy, it shall inform the Representative of the basis for such belief and afford the Representative an opportunity to explain the alleged failure to disclose the violation. If, after hearing the response of the Representative and making such further investigation as may be warranted in the circumstances, the Conflicts Authority determines that the Representative has in fact failed to disclose an actual or possible Conflict of interest or has otherwise violated this policy, it shall take (or request that Lifeworks management take) appropriate disciplinary and corrective action.

5. **Annual Statements:**

   a. Each Board Director, Board committee member, officer, member of the Executive Leadership Team, or any other person, group or team member designated by the CEO shall annually sign an acknowledgement and disclosure form that:

      1) Affirms that such person has received and reviewed a copy of this Conflict-of-Interest Policy and has agreed to comply with its terms.

      2) Identifies any relationships, positions, or circumstances in which the Representative is involved that they believe could contribute to a Conflict of Interest.

      3) Requires that such person disclose any potential Conflict involving any entity that such person expects may enter into a proposed Contract or Transaction with Lifeworks in the upcoming year.

   b. Lifeworks will maintain documentation that upon employment and annually thereafter, staff will attest to reviewing and understanding the Conflict of Interest policy as provided in the Employee Handbook.

6. **Periodic Reviews:**

   To ensure that Lifeworks complies with this Policy and operates in a manner consistent with its charitable purposes and that it does not engage in activities that could jeopardize its status as an organization exempt from federal income tax, the Corporate Compliance Officer or their delegate shall conduct annual (or more frequent) compliance reviews of Lifeworks operations with respect to this Policy and shall promptly report any actual or suspected non-compliance to the Audit and Investment Committee.

Rights & Responsibilities

Each Representative shall exercise care not to disclose confidential information acquired in connection with their status as a Lifeworks Representative or any other information the disclosure of which might be adverse to the interests of Lifeworks. Furthermore, a Representative shall not disclose or use information relating to the business of Lifeworks for the personal profit or advantage of the Representative or a Family Member.

Any Representative who has reason to believe a Conflict has not been duly reported in accordance with this Policy is encouraged to report the situation in accordance with the Lifeworks Whistleblower Policy.

This Policy shall be reviewed annually by the Board of Directors.

Any changes to the Policy shall be communicated promptly to all Representatives.

<u>Resources</u>

Lifeworks Board of Directors – Board Manual – Audit and Investment Committee – Conflict of Interest Procedure
MN Statute 317A.255
Conflict of Interest Information Form
Minnesota Charities Review Council

Responsible Committee	Audit and Investment
Responsible Vice President	Finance
Committee Approval Date	April 8, 2021
Board Approval Date	April 15, 2021

Whistleblower Policy

Policy

Lifeworks requires that all Personnel will, in connection with all Lifeworks matters, observe high standards of business and personal ethics, practice honesty and integrity, comply with all applicable laws and regulations, comply with all Lifeworks policies, and report violations or suspected violations in accordance with this Whistleblower Policy.

Lifeworks seeks to have an open-door policy and encourages all Personnel to share their questions, concerns, suggestions, or complaints regarding the organization ("**Issues**") with those within the organization who can address them properly, on the basis set out in this Policy. All Personnel are encouraged to ask questions if they are unsure about how to proceed or whether conduct violates the law or Lifeworks policies.

It is the policy of Lifeworks that no Personnel who, in good faith, report a violation of applicable laws, regulations, or Lifeworks Policies in accordance with this Policy shall suffer harassment, retaliation, or adverse employment consequence as a result of making such a report. Any Personnel who so retaliates against anyone who, in good faith, has reported an Issue under this Policy is subject to discipline up to and including termination of employment or relationship with Lifeworks.

It is further the policy of Lifeworks that appropriate Lifeworks authorities will take prompt action to investigate and resolve any Issues reported under this Policy on a timely basis.

Rights & Responsibilities

Compliance Authorities

The Corporate Compliance Officer (as designated in the Corporate Compliance and Ethics Policy) will have overall responsibility for the implementation and administration of this Policy and who will have direct reporting to the CEO and/or Board of Directors (as described below) with respect to matters relating to this Policy.

The Corporate Compliance Officer will annually report compliance activity to the Audit and Investment Committee for presentation to the full Board. The Audit and Investment Committee may in its discretion report any matters subject to this policy to the full Board or Directors.

Reporting of Issues

Internal Channels. Personnel are encouraged to report Issues through internal channels, as follows:

- An employee or volunteer should first present an Issue to their supervisor. However, if the employee or volunteer is not comfortable speaking with the supervisor about the Issue or is not satisfied with the supervisor's response, the employee or volunteer is encouraged to present the Issue to someone in the Human Resources Department, the Compliance Department, or anyone in management.
- An officer (other than the CEO) should first present an Issue to the CEO. However, if the officer is not comfortable speaking with the CEO about the Issue or is not satisfied with the CEO's response, the officer is encouraged to present the Issue to the Chair of the Board.
- The CEO or a member of the Board or Board Committee should present an Issue to the Chair of the Board. However, if the CEO or member is not comfortable speaking with the Board Chair about the Issue or is not comfortable with the Board Chair's response, the member is encouraged to speak with anyone on the Board whom they are comfortable in approaching, or to directly contact the organization's General Counsel or other outside legal counsel (the Legal Counsel), whose contact information can be obtained from the CEO.
- As a last resort, any Personnel may report an Issue directly to the CEO, a member of the Board of Directors, or the organization's outside Legal Counsel.

Whistleblower Hotline. Alternatively, Personnel may report Issues at any time to the Lifeworks Whistleblower Hotline, staffed by an independent whistleblower hotline company retained to anonymously and confidentially accept messages about Issues relating to Lifeworks. Issues can be communicated to the Lifeworks Whistleblower Hotline as follows:

- By leaving a message at the following toll-free telephone number: **1-877-767-7781.** Callers to this number will be assigned a five-digit case number for the reported Issue. Callers should record the case number at the time of the call because the case number cannot be recovered after the call has ended. The hotline company is responsible for transcribing the caller's message, deleting it from its system and sending the message to appropriate authorities at Lifeworks. A caller may check the status of their reported Issue at any time by calling the above number and entering the assigned five-digit case number.
- By sending an email to **Lifeworks@getintouch.com**. The hotline company is responsible for removing the origination address and forwarding just the content of the message to appropriate authorities at Lifeworks.

Personnel are encouraged to direct questions to supervisors, managers, and officers (on the basis described below) if they are unsure about how to proceed or whether specific conduct violates the law or Lifeworks policies.

Handling of Reported Issues

The Compliance Officer is responsible for investigating and resolving all reported Issues, except if the Issue involves:

- the **CEO**, the Board (other than the CEO) will be responsible for investigating and resolving the Issue;
- a **Board member**, the remainder of the Board will be responsible for investigating and resolving the Issue; and
- the **CEO and one or more members of the Board**, the remaining members of the Board will be responsible for investigating and resolving the Issue;
- **matters involving corporate accounting practices, internal controls, or auditing matters** (other than minor matters involving no alleged misconduct or potentially material financial implications), the Audit and Investment Committee of the Board of Directors will be responsible for investigating and resolving the Issue.

The person(s) responsible for investigating and resolving a reported Issue will:

- acknowledge receipt of the reported Issue to the individual reporting it (if their identity is known without making any admission of liability or fault (target - 24 business hours from receipt);
- *For sensitive matters*. If the Issue involves or appears to involve matters that could expose Lifeworks to liability or negative publicity, such as illegal or unethical conduct, abuse, fraud, discrimination, harassment, personal injury, property damage, material breach of applicable Lifeworks policies, breach of contractual obligations, or failure to comply with applicable regulations or law (target – 24 business hours from receipt):
    - promptly report the Issue to and seek the advice of Legal Counsel (target – 24 business hours after receipt); and
    - investigate the Issue at the request and direction of Legal Counsel to help preserve relevant evidence, attorney-client privilege and applicable legal defenses;
    - support and facilitate resolution of the Issue consistent with Lifeworks policies and ethical principles, with the best interests of Lifeworks, and with due respect to the interests of the person(s) reporting the Issue;
    - cooperate with (and at the direction of) Legal Counsel to document the results of the investigation and resolution of the Issue;
- *for any other Issue*:
    - promptly and thoroughly begin to investigate the matter made the subject of the reported Issue (target - 5 business days after receipt of the report);
    - involve other Personnel, as appropriate and with appropriate confidentiality safeguards, to facilitate:
        - resolution of the Issue consistent with Lifeworks policies and ethical principles, with the best interests of Lifeworks, and with

due respect to the interests of the person(s) reporting the Issue; and
    - the implementation of corrective changes to Lifeworks systems to prevent, avoid or minimize chances for recurrence of the Issue;
  - document the results of the investigation and resolution of the Issue (target -30 days of the reported issue).

Requirement of Good Faith

Anyone filing a complaint concerning a violation or suspected violations must be acting in good faith and have reasonable grounds for believing the information disclosed indicates a violation. Personnel are not free to make statements or disclosures knowing they are false or that they are in reckless disregard of the truth. Any allegations that prove not to be substantiated and which were maliciously made or knowingly false will be viewed as a serious disciplinary offense.

Confidentiality and Protection of Personal Data

All Personnel involved in the investigation and resolution of any reported Issues under this Policy will (to the greatest extent consistent with a thorough investigation, the discharge of legal obligations and the proper resolution of the Issue) maintain in confidence the identity of the person reporting the Issue, the subject of the reported Issue, and comply with Lifeworks policies and applicable law relative to the treatment of personal data and information.

Privacy Policy

See Lifeworks Privacy Policies Addendum A for the entire policy.

HIPAA Security Policy

See Lifeworks HIPAA Security Rule Policies Addendum B for the entire policy.

Corporate Compliance and Ethics Policy

See Lifeworks Corporate Compliance and Ethics Policy Addendum C for the entire policy.

Fraud, Waste and Abuse Policy

See Lifeworks Fraud, Waste and Abuse Policy Addendum D for the entire policy.

Drug and Alcohol-Free Workplace Policy

See Lifeworks Drug and Alcohol-Free Workplace Policy Addendum E for the entire policy.

Information Technology Acceptable Use Policy

See Lifeworks Information Technology Acceptable Use Policy Addendum F for the entire policy.

Equal Employment Opportunity and Affirmative Action

Lifeworks is committed to providing equal opportunity in all phases of employment and employee relations.

It is Lifeworks' policy to grant equal employment opportunities to all qualified persons without regard to age, race, color, creed, sex (including pregnancy), sexual orientation, gender identity, marital status, familial status, religion, national origin, physical or mental disability, genetic information, or past, present, or future membership in a Uniformed Services of the United States, status with respect to Public Assistance or activity in a human rights commission, or any other status protected by the law or regulations where we operate.

Lifeworks will not discriminate against any such qualified person and will treat qualified persons equally in all employment practices such as the following: job application procedures, hiring, advancement or discharge of employees, rate of pay or other forms of compensation, benefits, and all other terms, conditions, and privileges of employment.

Lifeworks will take affirmative action to employ and advance in employment qualified individuals with disabilities at all levels of employment, including the executive level.

If any employee or applicant for employment believes they has been treated in a way that violates this policy, they should contact either Marie Rutz at 651-365-3723, 2965 Lone Oak Drive, Suite 160, Eagan, Minnesota, 55121, or any other representative of management, including the President and CEO. Responsible parties will investigate allegations of discrimination or harassment as confidentially and promptly as possible, and we will take appropriate action in response to these investigations.

Reasonable Accommodation

Lifeworks complies with the state and federal laws regarding disabilities. Lifeworks does not discriminate against applicants and employees based on physical or mental disabilities, pregnancy, or religion. Lifeworks will work to accommodate a reasonable request for accommodation, so long as that request does not pose an undue hardship upon the organization. Lifeworks provides accommodations based on disability and pregnancy consistent with state and federal law. If you believe you require an accommodation, please contact Lifeworks' Human Resources Department.

Genetic Information Nondiscrimination Act

Lifework will comply with the Genetic Information Nondiscrimination Act (GINA) which prohibits employers from using genetic information to affect the hiring of an individual or to affect the terms, conditions, privileges, benefits, or termination of employment unless Lifeworks can prove this information is job related and consistent with business necessity.

Concerns and Complaint Reporting

Any applicant or employee who feels he has been treated in any way that violates this policy should contact his immediate supervisor or human resources. Allegations of discrimination will be investigated promptly. No adverse action will be taken against any applicant or employee reporting a possible violation of this policy.

Harassment and Discrimination Policy

Purpose of Policy

It is a policy of Lifeworks that all employees have a right to work in an environment free from unlawful discrimination and harassment. The mission of Lifeworks is best accomplished in an atmosphere of professionalism which in turn is supported by mutual respect and trust. Lifeworks expects all employees to work toward this goal. Harassment based on a person's race, color, national origin, sex, disability, age, marital status, familial status, status with regard to public assistance, or any other legally protected class status is strictly prohibited by Lifeworks.

Definitions of Sexual and Other Forms of Harassment

Harassment prohibited under this policy consists of:

- unwelcome conduct based on a person's race, color, creed, age, religion, national origin, sex, sexual orientation, gender identity, disability, marital status, familial status, status with regard to public assistance, or any other protected class status
    - when submission to such conduct is:
      a condition of one's employment; or
      a basis for an employment decision;
      or
    - when such conduct has the purpose or effect of:
      interfering with one's job performance; or
      creating an intimidating, hostile, or offensive work environment.

Some examples of conduct that could be considered harassment include the following types of action when they are taken based on protected class status:

- unwelcome abusive, intimidating, insulting, or degrading remarks;
- displaying objects, cartoons, pictures, or stories which may be perceived as offensive or demeaning; or
- threats, demands, or suggestions that an employee's work status, advancement, or other terms and conditions of employment are contingent upon the toleration of or acquiescence to unwelcome harassment.

One form of prohibited harassment is sexual harassment. Sexual harassment includes:

- unwelcome sexual advances, requests for sexual favors, sexually motivated physical contact, or other verbal or physical conduct or communication of a sexual nature
    - when submission to such conduct is:
      a condition of one's employment; or
      a basis for an employment decision;
      or
    - when such conduct has the purpose or effect of:
      interfering with job performance; or
      creating an intimidating, hostile, or offensive work environment.

Some examples of conduct that may be sexual harassment under this policy include:

- unwelcome abusive, intimidating, insulting, or degrading remarks or conduct of a sexual nature;
- use of offensive or demeaning words of a sexual nature, telling suggestive jokes or stories, and conversations about sexual exploits, sexual preferences, and desires;
- displaying sexually suggestive objects, cartoons, pictures, or stories which may be perceived as offensive or demeaning;
- threats, demands, or suggestions that an employee's work status, advancement, or other terms and conditions of employment are contingent upon the employee's toleration of or acquiescence to unwelcome sexual advances;
- unwelcome sexual flirtations, propositions, or invitations to social engagements; or
- unwelcome and objectionable physical contact or physical proximity.

Lifeworks prohibits harassment based on a protected class status in any form, including verbal, physical, and visual harassment.

Scope of Policy

This policy prohibits harassment against any employee, person served, or volunteer of Lifeworks by a member of the same sex or a member of the opposite sex.
In addition, this policy prohibits sexual harassment and any other form of harassment by any individual, including supervisors and/or managers, employees, coworkers, and who is found to have violated this policy on harassment and non-discrimination will be third parties such as volunteers, people served, contractors, or vendors who deal with Lifeworks employees or people served.

Reporting Harassment

If at any time you feel that you are being harassed, or you believe that another Lifeworks employee, person served, volunteer is being harassed, you should immediately contact human resources at Lifeworks administration.

Lifeworks wants to resolve any problems, but it can do so only if it is aware of them. Lifeworks encourages any individual who believes they are being harassed, or who has the belief that another Lifeworks employee, person served, or volunteer is being harassed, to report all incidents of perceived harassment. Lifeworks will investigate harassment complaints as appropriate and take other appropriate action. Any person who is found to have violated this policy on harassment and non-discrimination will be subject to appropriate corrective action, which may include discipline up to and including termination of employment.

Confidentiality

Lifeworks will maintain confidentiality to the extent possible reasonably possible under the circumstances, however, the disclosure of some information may be necessary in the course of investigation or responding to an issue.

No Retaliation

Retaliation against any individual for making a complaint under this policy, for opposing harassment, or for participating in an investigation of any claim regarding harassment or inappropriate behavior is strictly prohibited.

If you feel that you have experienced such retaliation, you should immediately report any such retaliation to human resources at Lifeworks administration.

Employee Responsibilities

All employees are responsible for maintaining a working environment free of harassment and discrimination. Any individual who is found to have engaged in behavior prohibited by this policy will be subject to corrective action, which may include discipline up to and including termination.

It is the responsibility of ALL employees to:

- Read and abide by this policy. If you have any questions about the policy, please contact the Human Resources Department at Lifeworks administration. Refrain from engaging in acts of harassment or acts that can be construed as harassment.
- Immediately report any acts of harassment or acts that can be construed as harassment.
- Cooperate with any investigation regarding harassment or inappropriate conduct.

Maintain the confidentiality of any complaint or information received or provided in the course of an investigation, only disclosing information to those Lifeworks Personnel or representatives with a need to know the complaint or information.

- Refrain from speculation and from drawing conclusions or gossiping about the subject matter or individuals involved in claims of harassment or the investigation of such claims.
- Refrain from taking any adverse or retaliatory action against any individual who has made a claim of harassment, opposed harassment, or participated in the investigation of any claim regarding harassment or inappropriate behavior.

Questions about Policy

Any questions about this policy or related matters should be referred to the human resources department at Lifeworks Administration.

Grievance Policy and Procedure

Policy

Lifeworks Services, Inc. recognizes that our employees and the people we serve sometimes have concerns which result in grievances, complaints, or misunderstandings. It is important that these concerns, regardless of severity, be addressed and resolved to keep the channels of communication open. We are committed to providing a simple process for the people served in our program and their authorized or legal representatives to bring grievances forward. We are further committed to having grievances resolved in a timely manner.

Procedure:

- People receiving services and their case manager will be notified of this policy, and provided a copy, within five working days of service initiation.

- People receiving services or their authorized or legal representatives should speak to a staff person they feel comfortable with about their concern or complaint. Staff will respond in a manner intended to resolve the concern. If after this conversation, however, the service recipient (or their authorized representative) believes the concern or complaint has not been resolved, the service recipient (or their authorized representative) may clearly inform the staff person that they are filing a formal grievance and may request staff assistance in filing the grievance.

- Upon request, staff will provide assistance to service recipients and their authorized representatives including the name, address, and telephone number of outside agencies who can assist the service recipient in filing a formal grievance with Lifeworks.

- Formal grievances can be sent to the **Quality and Compliance Manager, who may be reached at: Lifeworks Services, Inc., 6636 Cedar Ave S, Ste 250, Richfield MN 55423**

- Lifeworks will respond promptly (normally within 24 hours) to grievances that affect the health and safety of service recipients. All others will be responded to within 14 calendar days of the receipt of the grievance. Lifeworks will endeavor to resolve the grievance within 30 calendar days of the receipt. If we are unable to resolve the issue within 30 calendar days, Lifeworks will document the reason for the delay and a plan for resolution.

- Employees of Lifeworks are also able to file a formal grievance and may request the assistance of human resources. As applicable, Lifeworks will follow the guidelines outlined in the Collective Bargaining Agreement (SEIU contract) for Lifeworks employees in jobs covered by the SEIU CBA.

- Filed grievances will be reviewed by the Compliance Committee to evaluate if policies and procedures were followed; if policies & procedures are adequate; if

additional staff training is needed; if the grievance is similar to past concerns with the persons, staff or services involved; and if there is a need for a corrective action to protect the health and safety of persons receiving services.

- Based on the Compliance Committee review, Lifeworks will, as appropriate, develop, document, and implement a corrective action plan designed to correct current lapses and prevent future lapses in performances by staff or the company, if any.

- Lifeworks will provide a written summary of the grievance and a notice of the grievance resolution to the person filing the grievance and the affected case manager (if any) regarding the nature of the grievance, the date the grievance was received, the results of the review of the grievance and the resolution including any corrective action taken. Grievance records are maintained for a minimum of 7 years.

- The grievance summary and resolution notice will be maintained in the record for the person filing the grievance.

- If implementation of the corrective action plan is not sufficient to resolve the grievance to the reasonable satisfaction of the person filing the grievance, Lifeworks will arrange for a review by an external neutral party.

- The action of filing a formal grievance, if done in good faith, will not result in retaliation or present a barrier to services.

Response to Subpoenas, Search Warrants, Investigations and Other Legal Actions

If a subpoena, search warrant, investigation, or legal action is initiated against Lifeworks, the staff person in receipt of such documents or action must immediately notify their immediate supervisor. If your supervisor is not available contact, human resources. Lifeworks will provide employees with the assistance needed to fulfill the requirements outlined by the document or issuer of the action.

Policies

Hybrid Work Model Policy

Lifeworks Services strives to maintain a responsive, safe, productive and collaborative working environment for employees by implementing a hybrid work model for all employees.

Team and department managers will determine an appropriate work arrangement for employees based on the essential functions of an employee's position. Some positions may require an employee's consistent onsite presence to perform essential job duties. Other positions may require interim onsite presence. Managers will report changes to the essential functions of positions to Human Resources Department before implementing changes to any position.

All departments and teams are expected to use Lifeworks facilities or other community locations to gather with their teams in-person on a regularly scheduled cadence to build team relationships, cross-functional relationships and leverage opportunities for collaboration. Requests for exceptions to gathering in-person will be addressed as an accommodation to an employee's essential job functions of an employee's job. Managers must inform Human Resources of a requests for an exception before agreeing to it.

Employees working from any offsite location, including a private residence, are expected to conduct themselves professionally while working. Employees are expected to work during Lifeworks business hours, 8:00 – 4:30 p.m. or flex their hours to meet the requirements of their job. For example, direct support professionals and employees supporting program operations may need to start or end their days at different times, with supervisor approval, to meet the needs of the persons served.

Any employee working temporarily out of state or out of country must seek approval of their supervisor and Human Resources.

Employees must follow all company policies and Code of Ethics; demonstrate core skills; collaborate with team members and cross-functional work groups; demonstrate accountability for their individual work performance and ensure expected outcomes and deliverables are completed on time.

Employees are expected to make personal care arrangements for any dependent unable to care for themselves during employees work day, which includes members of their household, children, spouses, parents, etc. When employees must provide personal care for a person during work hours, the employee will use PTO. If the care is expected to continue beyond three days, employees must inform their supervisor. Supervisors must partner with Human Resources to determine if family or medical leave is necessary.

Privacy and security requirements include, but are not limited to:

- Keep a "clean desk" to ensure privacy and security. Hard copy documents must be turned over when you walk away from a free-address desk or your desk at a residence and secured outside of work hours. Hard copies should always be in your possession in any public setting
- Secure your laptop when you are not in front of your laptop by using the desktop locking feature.
- Ensure conversations are confidential by using conference rooms or ear pods and do not use a speaker phone in public or around non-Lifeworks personnel.
- Printed documents must be brought to a Lifeworks facility to be shredded.
- See the Lifeworks Privacy and Security policies for additional guidance.

Main Office Facilities guidelines include, but are not limited to:

- Use the lockers at the Main Office to store personal bags and outerwear and refrain from posting personal items such as photos, tchotchkes, knickknacks, or inspirational posters at any desk areas.
- Keep the sight lines clean by refraining from storing anything on top of file cabinets or over free-address spaces.
- Clean free-address locations you use before you leave for the day or move to another area of the office.
- Shred all paper and do not throw any documents in the trash.
- See the facilities and health and safety modules for additional guidance.

When using Zoom or other virtual meeting platforms for groups, Lifeworks employees' virtual presence should meet the same standards as our in-person meetings, with a few virtual additions:

- Timely arrival to meetings.
- Participation in discussions and creating the space for others in the meeting to participate.
- On-camera presence required for interpersonal discussions and conversations to simulate in-person interactions; audio presence only for information sharing without group discussion is permitted.
- Eating and drinking may be permitted, if not disruptive to the meeting process.
- On-camera background should be tidy and organized or altered using a background filter, such as blurring. Harassing, discriminatory, religious, political, or derogatory on-camera background content is prohibited.

All Lifeworks employees are provided technology equipment and gear from the IT Department to perform work in a hybrid work model. Employees are responsible for the care of this equipment and must contact IT about equipment issues including any losses. All equipment that is the property of Lifeworks Services must be returned upon request and within one business day of termination of employment.

Disciplinary Action

It is the policy of Lifeworks to apply disciplinary action to prevent the recurrence of past problems in the workplace and to deter problems from occurring in the future.

Disciplinary action may include verbal and written warnings, performance improvement plans (PIP), suspension or termination. In those instances when a single offense or incident is deemed to be serious, immediate suspension, or termination may be warranted.

Examples of activities that may result in disciplinary action are:

Misconduct
Misconduct is defined as behavior which is contrary to regulations or norms which the organization could reasonably expect to be followed.

Violation of Lifeworks Code of Ethics, Policies, or Procedures
The code of ethics and Lifeworks policies.

Breach of Privacy Policies
Impermissible use of or disclosure of Protected Health Information.

Illegal Activities
Activities which violate federal, state, or local law, and which occur during, or are associated with, the conduct of Lifeworks business.

Endangering or Abusing Lifeworks Property or Threatening the Physical Well-being of Employees or People Served
Any unsafe, reckless, destructive or violent action which could harm employees or people served or result in the destruction of Lifeworks property.

Falsification of Records
This includes, but is not limited to, falsifying data on employment forms, timecards, medical records or reports, expense reports, and other job-related documents.

Types of Disciplinary Action

Verbal Warning
The immediate supervisor with consultation from human resources is responsible for providing verbal warning (in writing) to employees. Documentation of the verbal warning will summarize the verbal discussion to include date, statements made and observations, reason the warning was given, the period of time within which the behavior will be reviewed and consequences that will occur if the employee fails to meet the outlined standards.

Written Warning
When deemed necessary by the employee’s immediate supervisor and with consultation from human resources, the supervisor will warn the employee with a written corrective action notice and will discuss the issue with the employee.

The written warning will include statements regarding observations of the employee’s behavior, standards of performance expected in the future, the reason for the disciplinary action, consequences that will occur if the employee fails to meet the outlined standards, and period of time within which the behavior will be reviewed.

The verbal and written warning will be placed in the employee's personnel file.

Performance Improvement Plan (PIP)

When deemed necessary by the employee's immediate supervisor and with consultation from human resources, the supervisor will place the employee on a performance improvement plan and will discuss the plan with the employee.

The PIP will outline specific goals and expectations for an employee who is not meeting performance standards. It is designed to employee improve their performance through clear objectives and a defined timeframe. The supervisor will meet with the employee on a regular basis for the duration of the PIP. If the terms of the PIP are not met, employment may be terminated.

Suspension

With the approval of human resources, the supervisor may place an employee on suspension with or without pay for up to five working days. Suspension with pay may occur while an investigation involving the employee is taking place. The notice of suspension will be given verbally and in writing to the employee.

A suspension without pay notice will include statements regarding the employee's inappropriate behavior, standards expected in the future, the reason for the disciplinary action, the consequences that will occur if the employee fails to meet the outlined standards, and the period of time within which the matter will be reviewed.

The written notice will be placed in the employee's personnel file.

Termination

With the approval of human resources, the supervisor may terminate an employee. All notices of involuntary termination for disciplinary action will be given to the employee in writing.

Employee Termination

Lifeworks recognizes that there will be employee terminations, both voluntary and involuntary; it is the organization's intent to uniformly process such terminations. The immediate supervisor is responsible for initiating termination procedures that affect an employee by contacting human resources to ensure proper procedures are followed prior to any action being taken. The next-level supervisor should also be notified.

Voluntary Termination

Voluntary decision by the employee to relinquish his or her employment with the organization; including refusal to accept certain recall offers and failure to return from leave.

Employee's Responsibilities during a Voluntary Termination

The employee must submit a letter of resignation including a mutually agreed upon final day of work to human resources. Employee must work on their last day of employment and it cannot be a PTO, holiday, or sick day. Salaried employees are asked to give 20 working days' notice; hourly employees are asked to give 10 working days' notice. Providing proper notice is important in order to allow sufficient time to find a replacement and to minimize negative impact on people serviced.

Involuntary Terminations

Discharge

When the seriousness of a single offense or prior attempts at corrective discipline indicate that employment should no longer be continued; or

Termination by Work Force Reduction

Elimination of job function, budget constraints, elimination of a program, etc.

Responsibilities during an Involuntary Termination

When the decision is made to terminate an employee or terminate in connection with a work-force reduction, the procedure is the same as outlined in the voluntary termination section of this policy.

An employee terminated receives a written statement of the reason for the termination.

Final Pay for Terminated Employees

An employee, who is terminated, either voluntarily or involuntarily, will receive regular wages paid through their last day worked.

Upon termination, an employee is paid for unused earned PTO at their regular rate of pay up to the maximum number of PTO days they are eligible to earn in that year. A deduction is made from the final paycheck for the amount by which PTO used exceeds PTO accrued.

Lifeworks Equipment

Employees must return all Lifeworks property on their last day of employment.

Image and Recording Management Policy

Purpose
To manage and protect visual images, videos, and audio recordings captured by or submitted to Lifeworks (in any form or format).

What is a Recording?
A Recording is a visual image, video, or audio recording that features the people we serve, our staff, volunteers, the Lifeworks name, or logo.

What do staff have to do?
1. Read and know the full Image and Recording Management Policy, found in addendum H of this handbook.
2. If you make a Recording on behalf of Lifeworks - like taking pictures at an event, submit it to Lifeworks Sales & Marketing for approval and publishing.
3. Be respectful of the dignity and privacy of the people we serve, staff, volunteers, and other subjects, following the Lifeworks HIPAA Privacy Policy and honoring the Publicity Release of Information forms.

Media Relations Policy

Purpose
To appropriately ensure the public image and brand of Lifeworks, assure consistency with policies; help preserve the confidentiality of person served information, and to provide media outlets with accurate and timely access to information.

Approved Spokespersons
When specifically authorized to do so, staff members may speak with the media as a representative of Lifeworks and/or on behalf of Lifeworks.

Even if you are an approved spokesperson, when asked to speak for Lifeworks, please refer all inquiries to the Sales & Marketing Department as explained below in "Media Inquiries."

Media Inquiries
All unsolicited telephone, e-mail, and postal inquiries received from print, broadcast, or electronic journalists should be directed to the VP of Sales & Marketing or Marketing and Communications Manager.

In the event that the Sales & Marketing Team is not available to field a telephone inquiry, record the journalist's name, media organization, phone number, and deadline (if any) relay with the proper sense of urgency to the Marketing and Communications Manager.

Lifeworks will respond to information requests and media inquiries from legitimate news sources, within its capacity to do so. All requests and inquiries will be evaluated on an individual basis; Lifeworks reserves the right to refuse to supply certain confidential and/or other information, issue statements, or make representatives

available for media interviews when such actions do not serve to further the Lifeworks mission.

Crisis Communication Policy

A crisis is any situation that threatens the integrity or reputation of Lifeworks, usually brought on by adverse or negative media attention. Examples of crisis situations for Lifeworks include:

- injury or death of a person served or staff person
- missing person served
- accusation of mistreatment or abuse
- act of violence
- accusation of mismanagement or embezzlement
- natural disaster - tornado, fire
- outbreak of disease
- breach of unsecured PHI

A crisis can also be a situation where in the eyes of our government partners, constituents, the general public, or the media, Lifeworks did not react to one of the above situations in the appropriate manner.

These examples are not all encompassing, but rather are designed to give you an idea for the types of situations where you may need to follow this policy.

Employee Responsibility
After ensuring the safety of the people we serve and staff, all employees should **immediately notify their supervisor. The supervisor or staff should inform the Crisis Communication Team of the crisis situation by calling 651 365-3745.**

Employees should not speak to the media during a crisis at Lifeworks.
If the media calls, simply state: "I do not have that information, but I am happy to put you in contact with the appropriate person that may be able to assist you regarding your inquiry. What is your deadline? Please give me your name and number and a Lifeworks' representative will contact you as soon as possible."
We will respect the media's deadline. Employees should keep a log of reporters who call, identifying the media outlet, the reporter's contact information, and his or her deadline.

The full Crisis Communication Policy can be found on the Lifeworks Today, under Advancement.

Minnesota Citizens Personal Protection Act (Conceal and Carry)

This policy affirms the desire of Lifeworks to protect the health and safety of everyone in the workplace, to meet our customers' needs, to protect property and to maintain a climate of respect and cooperation.

Lifeworks bans firearms and weapons on all company property, including company vehicles. It is against company policy to use or possess firearms or weapons, concealed or otherwise, on company property, including company vehicles. This policy does not apply to a non-company vehicle located in a parking area, unless the vehicle is being used to transport Lifeworks people served, in which case firearms and weapons are prohibited.

It is against company policy for any employee acting in the course and scope of employment to use or possess firearms or weapons, concealed or otherwise. This policy applies whether the employee is at a Lifeworks facility, off-site, or transporting people served in personal or company vehicles. This policy applies at all times, including but not limited to before, during and after normal working hours, weekends, and holidays.

In addition, this policy applies to all individuals who are on Lifeworks premises, including applicants for employment, vendors, suppliers, customers, Board of Directors, visitors, or any other person. This policy applies equally to all individuals, without regard to race, creed, color, religion, national origin, gender, marital status, veteran/military status, disability, age, sexual orientation, or any characteristic protected by law.

Lifeworks reserves the right to respond to any individual who does not follow this policy by informing the person of the policy and demanding compliance.

Consequence of Policy Violation

The individual with the firearm or weapon will be informed of this policy and Lifeworks will demand compliance. Should the individual with the firearm or weapon refuse to comply, Lifeworks will notify the authorities immediately.

No individual shall be retaliated against for making a good faith report of behavior contrary to this policy.

If the individual with the firearm or weapon is an employee, further corrective actions or discipline may take place, depending on the circumstances.

Employee Guidelines

Lifeworks supervisors are responsible for communicating team and organization goals, conveying work expectations to employees, observing and documenting employee performance, providing performance feedback, and coaching. Employees are responsible for setting and working toward individual goals based on team and organization goals, measuring, and reporting performance, performing work assignments specified in their job descriptions, and for informing their supervisor if expectations are unclear or if they need additional resources to complete assignments.

Seven Core Skills

In addition to specific job skills, there are seven core skills that all Lifeworks employees are expected to develop:

1. **Self-Directed** – Self-directed, Growth, Managing Oneself
    - Has ability to objectively assess own performance
    - Takes action to develop own competence
    - Sets own challenging short, mid, and long-term goals
2. **Decision Maker** – Decisive, Evaluation, Assessment, Making Decisions
    - Makes pragmatic decisions based on range of factors
    - Able to make decisions quickly where necessary, based on incomplete information
    - Demonstrates logic to back up decisions
3. **Initiative** – Initiative, Initiate, Taking Intuitive
    - Adopts strategies to make working practices for efficient
    - Takes responsibility for reviewing and redesigning practices
    - Works according to very high standards and employs strategies to consistently meet them
4. **Communicator** - Communicative, Connect, Communication
    - Uses grammar, vocabulary, and style to describe situations, ideas, instructions
    - Structures communication logically
    - Listens, responds to prompts, summarizes
5. **Interpersonal Skills & Service Orientation** - Personable, Relating to People
    - Socially capable, interacts confidently, reads the situation
    - Empathetic and can evaluate
    - Empathetic and can evaluate likely reactions
    - Collaborative
6. **Adaptable** – Flexible
    - Responds effectively to changing constraints
    - Adapts own behavior to suit situation
    - Understands the drivers of change and anticipates the implication of changing political and practical circumstances

7. **Person-Centered in-Service Delivery** – empowers individuals who have disabilities
    - Treats people with dignity and sees them as worthy of having the best.
    - Identifies the client's strengths and preferences with others who know the client well
    - Honors what is important to the client as well as what is important "for the client
    - Supports and creates opportunities for individuals to express strengths and preferences
    - Advocates for the client's desired outcomes.

Personnel Records

Notice of Rights Regarding Personnel Records

Minnesota law gives you certain rights and remedies relating to your personnel record. For example, you have the right to review your personnel record both during your employment and after it ends. A request to review your personnel file must be made in writing to human resources. The file of a current employee will be made available at Lifeworks administration during normal business hours. Lifeworks reserves the right to deny a request to review a personnel file if the request is not made in good faith.

An employee who disputes information in their personnel file may submit a written statement, not to exceed five pages, which will be placed in the personnel file. Lifeworks will not retaliate against anyone who asserts their rights under the law. Penalties may be assessed for a violation of Minnesota statutes relating to personnel records review. A claim asserting a violation of personnel records laws must generally be brought within one year of actual or constructive discovery of the violation.

For a detailed explanation of your rights and remedies, see Minn. Stat. 181.960 – 965. This notice is provided pursuant to Minn. Stat. 181.96

Lifeworks maintains personnel records for employees which are confidential. Only those with direct need to know are permitted to access these records. Access is limited to relevant information only and is monitored by human resources. All requests for information from personnel records should be made in writing and sent to human resources. Employee medical information is maintained in a separate file.

Federal I-9 Forms

Lifeworks complies with all applicable employment laws and does not employ unauthorized workers. Employment eligibility verification is done through the Federal E-Verify system.

Applicant Background Check

Employees

Lifeworks complies with Minnesota Statute 254C to conduct background studies. The purpose is to establish procedures and standards for background studies of individuals affiliated with programs to protect the health, safety, and rights of persons served by those programs.

All Staff

All Lifeworks employees are verified with the Office of Inspector General to ensure they are not individuals excluded from participation in Medicare, Medicaid, and all other Federal health care programs. Employees are also verified with the Minnesota Level 3 Sex Offenders authority who provides information on sex offenders in the community that have been identified as high risk.

Change of Name, Address or Emergency Contact

Employees should promptly report any change in their name, phone numbers, or address to their immediate supervisor and the human resources department using the Employee contact information form. Lifeworks will contact your listed emergency contact at the discretion of the human resources manager when necessary to ensure safety.

New Employee Referral

Current employees are our best source of new employees. You will receive a $300 referral award if Lifeworks hires a new regular employee who has mentioned your name as their referral source during or before their employment interview. The referral award is paid on your paycheck, subject to all applicable taxes and withholdings, after the referred employee successfully completes his or her first 90 days of employment.

You will receive a $100 referral reward if Lifeworks hires a new substitute or temporary employee who has mentioned your name as their referral source during or before their employment interview. The referral award is paid on your paycheck, subject to all applicable taxes and withholdings, after the referred employee completes their first 30 days of employment.

If two or more employees refer the new employee, the amount will be divided evenly among the individuals.

Disqualifying factors would be the following:

- Hiring Manager's referral for their own site
- If the candidate has already volunteered or interned with Lifeworks Services, Inc.

Encourage your friends and contacts who may be a good match for one of our positions to call Lifeworks Human Resources. Remember to tell the candidate to mention you as their referral source.

Family or Romantic Relationships between Co-Workers

Romantic or family relationships between co-workers may interfere with objectivity and create an appearance of partiality. Supervisor/subordinate situations that involve family members may also interfere with objectivity. In such cases, management will review the situation and take appropriate action, if necessary, including but not limited to reassignment.

Family or Romantic Relationships between Supervisor/Subordinate

Romantic relationships are prohibited where a direct supervisor/subordinate relationship exists. If such a relationship develops, management will review the situation and take appropriate action.

If an employee believes a relationship is negatively affecting job performance, they are encouraged to discuss concerns with a supervisor or human resources.

Employee References

Verification of Employment

Verification of employment will be given only by human resources and/or the payroll department. A phone reference will include the employee's title, dates of employment at Lifeworks, and the employee's job responsibilities.

Written Letters of Reference

Written letters of reference may include the following information:

- The employee's job title
- Dates of employment
- Job responsibilities

The letter may reflect aspects of the individual's job performance and provide examples. It is important for the person writing the letter to clarify their position and relationship to the employee, e.g., supervisor.

The reference letter is given to the employee to release at their discretion. Lifeworks will send a copy of the letter to another organization only upon written request from the employee. A copy of the reference letter is placed in the employee's personnel file.

Internal References

When an employee requests a transfer from one work area to another within Lifeworks, a phone or in-person reference request will be made by the supervisor of the requested unit to the supervisor of the current unit. The requested reference information will include job responsibilities and overall job performance information.

Credit References

Requests for credit information are completed by payroll. Payroll verifies the employee's dates of employment, position, title, and full or part-time employment. Salary information is verified only in writing and upon the employee's written request. It is the policy of Lifeworks to not forecast future employment.

Staff Orientation and Training

All employees of Lifeworks complete comprehensive orientation training for their specific job functions and onboarding to the organization in the first six months of employment. Orientation includes required training as outlined by CARF; MN licensing statute 245D; MN Positive Supports Rule; Lifeworks policies and procedures; OSHA; and health and safety.

Within 60 days of hire, direct service employees must complete orientation which is a combination of supervised on-the-job training and review and instruction in the following areas: job functions; responding and reporting incidents; following safety practices; Lifeworks' policies and procedures; data privacy; service recipient rights; maltreatment of vulnerable adults and minors; principles of person centered service planning and delivery; positive support strategies; safe and correct use of a manual restraint on an emergency basis; staff responsibilities related to unsafe and ineffective prohibited procedures; basic first aid and CPR skills; minimizing the risk of sexual violence; and other topics specified in persons' served CSSP addendums and service plans. Administrative employees receive mandatory workplace health and safety training and mandated reporting and are encouraged to complete a minimum of 10 hours of training each year.

Direct service employees are not allowed to work alone with service recipients until training specific to their personal needs is complete and the employees' competency has been evaluated through observed skills. Training includes but is not limited to reviewing person's CSSP addendum; on-the-job training; and observations with a designated coordinator (DC) or staff designated by DC who is knowledgeable in the person's service requirements; and all required trainings within 60 days of date of hire.

Professional Development

As a learning organization, Lifeworks values opportunities for all employees to acquire knowledge, hone their talents, and develop new skills.

Job openings are posted on Lifeworks SharePoint site. Career development discussions with supervisors and other leaders may occur at any time and are not limited to an employee's annual performance review and regularly scheduled check-ins with their supervisor.

Training is defined as education provided for the purpose of understanding the people we serve, our teams, and our roles and responsibilities at Lifeworks. Daily communication and client annual meetings should not be included as part of annual training. Training includes all mandatory requirements as outlined by CARF, MN Statute 245D or Lifeworks policies. Training may be formal, scheduled and include presentations or it may be informal and self-paced. Trainings include in-services, conferences, and workshops, and on-line or streamed content. Training can be delivered by peers, supervisors, team members, mentors, internal trainers, consultants, or external organizations.

Employees must complete an External Training Event form and request pre-approval from their supervisors when attending and external training.

Trainings received during the calendar year in addition to the mandatory trainings must be documented on team sign-in sheets or on an Individual Training Record and submitted to the employee's supervisor at the end of the year. Direct service staff must document all training completed to support people using services on both their employee training record and the individual's person- specific training records throughout the year.

Performance Reviews

The performance review is an opportunity for the employee and their supervisor to meet to review accomplishments, job descriptions and job expectations, goals and objectives that support Lifeworks' mission and the employee's accomplishments.

How Often Are Reviews Done?

The standard performance cycle consists of setting goals before the start of the new year, completing regularly scheduled check-in discussions with supervisors throughout the year and culminates in a year-end performance review in the December.

New employees and employees promoted to a new position will establish goals or their role within the first 60 days of hire or promotion.

Intellectual Property

Lifeworks Ownership of Creative Works

Lifeworks hires and invests in employees in part to generate new ideas, improve processes, create innovative methods and materials, produce works of authorship, and develop new business services. Since it is funding these activities, Lifeworks will own any and all intellectual property rights (such as patents and copyrights) in innovations that are made by employees in the course of their employment and that relate to their work for Lifeworks. Wages and salaries paid to employees include compensation for these creative efforts and their obligation to assign and transfer such intellectual property rights to Lifeworks.

Exceptions to Ownership of Creative Works

Lifeworks will not, however, have any claim to intellectual property employees can show they had created before their employment by Lifeworks. Furthermore, and in accordance with Minnesota Statutes 181.78, Lifeworks will not have any claim to intellectual property developed by employees entirely on their own time and without the use of Lifeworks equipment, supplies, facilities, or trade secret information if the intellectual property does not relate to the business or development plans of Lifeworks and does not result from any work performed by the employee for Lifeworks.

Transportation

Lifeworks vans and buses have various training and licensing requirements and are to be used for the transport of persons served only. Please refer to the Transportation Module for more details.

Valid Driver's License

Employees must maintain a valid driver's licenses if driving is required during company work hours.

Lifeworks insurance carrier conducts a periodic review of all employee driving records. If an employee's record is unacceptable or if Lifeworks determines that an individual is an unsafe driver, the individual will be placed on non-driving status. The supervisor will then determine if the team can respond to the team's transportation needs. If not, the individual may be terminated.

Insurance

Employees are responsible for minimum insurance coverage on their vehicle as required by the State of Minnesota. Employees should check with their individual insurance carrier for proper type of coverage. Mileage reimbursement is designed to cover any additional premium costs. Lifeworks carries additional auto liability coverage for employees using their personal vehicles during company work hours. This coverage applies to only "liability" coverage for the employee's personal vehicle. Staff must send an up-to-date copy of their personal insurance coverage to human resources.

Vehicle Accident Coverage

If a vehicle accident occurs while an employee is conducting Lifeworks business, other than during travel to and from work, Lifeworks will reimburse up to $500 toward the collision deductible of the employee's insurance policy unless the vehicle accident is determined to be caused by another party whose insurance should cover the damages. Employees are required to report as soon as possible, any vehicle accidents while conducting Lifeworks business to their supervisor. A valid receipt or invoice showing repairs have been made is required for reimbursement.

Tickets - Traffic and Moving Violations

Lifeworks will not pay for traffic tickets and moving violations. Lifeworks requires all staff driving a Lifeworks vehicle or while driving their own car and are being reimbursed for mileage to report any traffic tickets or moving violations to their supervisor.

Damage to Vehicles Done by Person Served

Lifeworks may pay for repair bills or replacement parts due to damage caused by a person served to a staff vehicle.

If a person served damages an employee's vehicle, the employee must complete an Incident Report form and send it to their supervisor for approval. Attach the form with supervisor approval to a Service Request and send it to the transportation department.

Reporting Vehicle Accidents

All Lifeworks employees who are involved in a vehicle accident whether driving a Lifeworks vehicle or their own vehicle while on Lifeworks time must call their supervisor or the transportation department from the scene of the accident. If people served are in the vehicle at the time of the accident a report must be made to caregivers and guardians even if there are no apparent injuries.

Document the accident using the Illness/Injury Report form. Complete the Driver's Report of Motor Vehicle Accident Report. Employees obtain this form from the transportation department.

If the employee is injured, the supervisor must complete a First Report of Injury form, give a copy to the employee and forward the original to human resources within 24 hours of notification of injury. Employees may also be subject to reasonable suspicion testing under Lifeworks Drug and Alcohol-Free Workplace policy.

Professional Conduct

All Lifeworks employees are representatives of the organization and should always present a professional image to the public. All employees should know how to describe Lifeworks, our mission, and our services. Please refer to the Lifeworks Brand Guide for the updated and approved key messaging guidelines and information on how to correctly and appropriately represent Lifeworks located on the Lifeworks Advancement Toolkit, found on our internal website.

Lifeworks image and professional reputation depend on the professional conduct of its staff. It is important to use professional etiquette with all our stakeholders (person served, families, employers, donors, vendors, etc.) to enhance the Lifeworks brand image and provide the highest quality customer service.

Communicating in person, writing, and on the phone

Refer to the customer service and professionalism module found on the Lifeworks internal website under resources for the guidelines.

E-mail signatures

Upon hire, Lifeworks IT will set up your official Lifeworks email signature, sample pictured below. Should your name, title, or other information change during your employment at Lifeworks, collaborate with IT to ensure your signature reflects the change.

First Last *(they/them)*
Job Title
Lifeworks Services, Inc.
p: 555-555-5555 | f: 555-555-5555
lifeworks.org | *Facebook* | *Instagram* | *LinkedIn* | *Twitter*

LifeWORKS | A nonprofit serving people with disabilities

Lifeworks Services, Inc. | 6636 Cedar Ave S, Suite 250 | Richfield | MN | 55423
phone: 651-454-2732 | toll free: 1-866-454-2732

Dress

All employees are expected to present a neat and professional appearance while at work or when officially representing the organization.

Whether you spend your working hours in a Lifeworks facility, at a job site, or out in the community, you represent Lifeworks by your actions and your dress. Those who work in businesses or visit businesses should follow the employer's guidelines or dress code to fit the culture. However, if co-workers dress very casually, staff should follow Lifeworks guidelines.

On Zoom calls, staff should dress appropriately for their audience and business purpose within Lifeworks dress code guidelines.

Shirts or other apparel with beer, cigarette, drug-related or offensive wording or political campaign are not acceptable. Tops must completely cover the person's front and back torso and top of the shoulder. (No athletic tank tops, halter tops or spaghetti straps.) Hats or caps are not to be worn in any Lifeworks facility unless they are worn for religious or medical reasons.

Pants or shirts with holes, tears, or excessive wear are not appropriate: no cut-offs or frayed ends are allowed. Spandex, yoga pants, and sweatpants are not to be worn at Admin; business casual attire is appropriate at Admin and includes denim jeans. Shorts, skirts, and dresses should be of a professional length.

For safety, open-toed shoes may not be worn when the employee is working with people who use a wheelchair for mobility.

Due to allergies and sensitivity of employees and people receiving services, employees should be free of body odor, smoke, perfume and cologne should be worn sparingly or not at all.

Communicating on Social Media

Lifeworks engages with many social media channels and all Lifeworks channels can be accessed through the organization homepage, www.lifeworks.org

If you participate in social media, the following standards must be adhered to:

1. If engaging during work hours, be sure to have your supervisor's permission.
2. Never engage on or through your personal channels while working with people served.
3. If engaging with Lifeworks social media channels via your personal social media accounts and especially if you list Lifeworks as your employer on those channels, your personal profile photo must follow the professionalism standards in this employee handbook.
4. When engaging or posting on behalf of our in reference to Lifeworks:
    - Stick to your area of expertise and provide unique, individual perspectives on what's going on at Lifeworks and in the world.
    - Post meaningful, respectful comments – in other words, no spam and no remarks that are off-topic, offensive, unprofessional, or inappropriate.
    - Always pause and think before posting. That said, reply to comments in a timely manner, when a response is appropriate.
    - Respect proprietary information and content, and confidentiality.
    - When disagreeing with others' opinions, keep it appropriate and polite.
    - Be respectful of Lifeworks customers and don't mention them by name.

5. Always refer to and follow the Lifeworks Social Media Guidelines found in the Customer Service and Professionalism module when engaging on behalf of Lifeworks.

Connecting as Friends on Social Media

When connecting with Lifeworks staff on social media channels, be mindful that your profile and postings will be available to those colleagues. For example, you may not want to "friend" your supervisor or vice versa.

Be respectful of other employees' decisions, boundaries, and interests in when connecting and requesting to be connected to one another. Refer to Lifeworks Code of Ethics Policy.

If you choose to connect with a person who uses services, remember that they will have access to your personal profile and will associate you with Lifeworks when viewing your personal online profiles.

Lifeworks Offices and Workspaces

All Lifeworks employees are responsible for maintaining the physical environment of Lifeworks facilities by picking up items from the floor, keeping program, break rooms, and shared spaces neat and clean; maintaining clutter-free offices and shared desks; and ensuring entrances and exits are always accessible.

Office, cubicle workstations, and computer workstations are the property of Lifeworks Services and are provided to employees to use for work purposes. The space employees are assigned to do their work is at the discretion of Lifeworks management and may be changed at any time.

Staff will refrain from having personal items in shared spaces or assigned workspaces at the Main Office. Personal items could include food items, pictures, inspirational sayings, lotions, blankets, and personal cleaning supplies. Lifeworks reserves the right to request an employee move or remove personal items in offices, cubes, workspaces, and all other areas managed by the company.

Staff will use lockers for personal items such as coats, shoes, and bags while at the Main Office. Staff will use only covered cups and glasses throughout the Main Office and eat only in the café area or first floor breakroom, refraining from eating in the open areas or free-address desks at the Main Office.

All staff, including residents scheduled to be at the Main Office on a regular basis, will optimize desk drawer storage rather than storing office supplies on desktops, and will keep the tops of file cabinets and other furniture clear to ensure clean line-of-sight across the Main Office.

Lifeworks provides a module for employees with an overview of facilities guidelines and best practices; CARF, OSHA, 245D, and Health and Safety policy and procedures that include specifics for facilities; and policies and procedures that are maintained by the facilities department.

ADMINISTRATIVE

Billing Account Numbers
Lifeworks maintains a list of account numbers to summarize business expenses. When submitting an approved invoice, statement or expense report to Accounts Payable, the person submitting it should be sure that the appropriate written approval, account number and center designation are noted on the document. For example, an invoice for equipment for the administrative office would be assigned the following account information: 8410 - 0990.

5120 – Contracted Personnel
This account is for expenses related to temporary or leased employees under a staffing agreement or contract.

6110 – 6190 Professional Fees
These accounts are for fees for professional practitioners and consultants who are not employees of Lifeworks but are engaged as independent contractors for specified services on a fee or contract basis. Professional fees also include services purchased from an organization or business on a contract or fee basis. W-9s must be completed before payment. Payments to Lifeworks employees are not recognized as professional fees.

6110 – Professional Fee Audit and Legal
Fees paid to outside firms regarding accounting, audit and legal matters.

6130 – Professional Fee Contract Personnel
Fees paid for professional level services not included in any of the other specific categories. This does not include temporary or leased employees.

6140 – Professional Fee Computer and Systems
Fees incurred for external professional services to support the organization's operating and information systems.

6150 – Professional Fee Workers Comp, Wellness, and Drug Testing
Fees for pre-employment physicals, monitoring client health services and health wellness initiatives.

6170 - Professional Fee Human Resources
Fees paid for professional level services specifically regarding human resource matters.

6190 - Professional Fee Marketing
Professional services including the design of marketing materials by external sources, marketing research, and related surveys.

6510 – Program Supplies and Client Training

All materials, supplies, food and snacks used by staff and people served in the program. Included would be books, paint, paper and related supplies.

6511 – Supplies – Art Program
All materials and supplies used by staff and people served in the art program – specifically pertaining to the Apple Valley and Brooklyn Park sites.

6515 – Office Supplies
Miscellaneous paper or stationery, copier and printer supplies, pens, pencils, staples, tape are examples of this category. Items are usually less than $200.

6520 – Building Supplies
Includes products supporting daily facility operations such as towels, cleaning products, light bulbs, soap, sand, salt water for coolers, water filters, coffee, tea, sanitary items (gloves, toilet paper, etc.), and trash liners are examples of this category.

6550 – Program Activities
Program-related activity costs incurred for the benefit of people served such as outings or internal events. (Does not include program related supplies for parties or celebrations.)

6570 – Outside Printing
Lifeworks stationery, newsletters, business cards, postcards, brochures, surveys, forms, envelopes, blank draft stocks, special event flyers, and invitations printed by outside vendors. Postage or shipping expenses associated with outsourced mailings should be separated from the printing expense and charged to the Postage and Shipping account.

6750 – Telecomm
Recurring expenses for office internet circuits, dedicated phone circuits (fax, 911, security), long-distance calls, and any office phone-related services.

6755 – Wireless Communication
Recurring expenses related to mobile devices (flip phones, smartphones, and tablets) with wireless talk, test, and/or data usage plans.

6760 – Postage and Shipping
Postage, parcel post, bulk mailings, trucking and other delivery expenses as well as shipping supplies.

6770 – Web Hosting Services
Expenses related to services provided by a web hosting service provider that includes the technologies or services needed for a website / webpage to be viewed on the internet.

7110 – Rent
Lease costs of Lifeworks facilities.

7120 – Utilities
Expenses includes electric, gas, water and sewer.

7130 – Care of Building and Grounds and Related Building Supplies
Expenses include janitorial cleaning, floor maintenance, trash removal services, building maintenance and repairs, furniture moving expenses, and painting expenses.

7135 – Common Area Maintenance (CAM)
Expenses that are part of monthly CAM costs typically charged by a landlord as a separate cost from rent.

7180 – Site Licenses/Provider Fees
Licensing and provider fees associated or required for delivery of program services.

7190 – Other Occupancy
Archiving expenses, branding related supplies (i.e. wall tattoos, picture frames, etc.) and relocation expenses.

7510 – Vehicle Gas and Oil
Gasoline and oil related expenses

7511 – Vehicle Repair and Maintenance
Expenses necessary to keep vehicles in good running order and appearing well-maintained. Includes power train, body, tires, brake repairs, inspection fees, oil changes, and washes.

7512 – Vehicle Insurance and Licenses
Auto property and liability insurance, inspection fees and annual license tabs.

7515 – Employee Mileage Reimbursement
Business-related mileage is reimbursed at the current rate established by the Internal Revenue Service. Also included in this account would be employee parking reimbursement and parking contracts.

7550 – Employee (route only) mileage reimbursement
Any route related mileage reimbursements by staff using their personal vehicles should be charged to this account. The business-related route mileage is reimbursed at the current rate established by the Internal Revenue Service.

7555 – Contract Route Transportation
Daily rates paid to commercial carriers, bus fares, and bus cards to transport people served.

8100 – Employee Recruitment
Expenses incurred for the recruitment of employees

8105 – Background Studies
Expense for the cost of criminal background studies (includes finger printing costs).

8110 - Training, Meetings, and Continuing Education
This covers expenses for staff training events, meetings and continuing education. This includes training supplies, printed materials, refreshments, audio-visual equipment and related media, and pre-approved tuition reimbursement.

8210 – Subscriptions, Publications, Dues and Fees
Newspapers, magazines, books, organizational dues, fees, etc.

8410 – Expensed Equipment
This involves the purchase of low-cost items such as office chairs, filing cabinets, small appliances, cleaning equipment and small office equipment. Restricted to expenditures below $5,000 and is usually greater than $200. (Under $200, see supplies.)

8415 – Program Technology
Expenses related to equipment that is used to enhance a client's use of technology and multi-sensory. Equipment could include augmentative communication, communication devices, adaptive equipment, switches, sensory tools, client software and hardware. Restricted to expenditures below $5,000 and is usually greater than $200.

8420 Computer Equipment
Generally includes items related to computer hardware such as laptops, terminals, servers, printers, etc. Restricted to expenditures below $5,000 and is usually greater than $200.

8450 – Leased Equipment
Lease expense for any type of office or premises-related equipment, e.g., postage meters, water softeners, water coolers, and security systems.

8470 - Repair & Maintenance of Equipment/Software
This covers all repair (parts & labor) bills, annual service agreements and maintenance plans for equipment and software. Not to be used for vehicle or building-related expenses.

8710 –Recognition
Cost of merchandise, gift certificates and other miscellaneous expenses used for employee or customer recognition. Employee gift cards or anything convertible to cash must be reported to payroll as it is taxable to the employee receiving the gift. Noncash gifts over $50 should be reported to the Vice President of Finance of Accounting Manager to determine if the gift must be treated as taxable.

8720 – Banking/Other Fees
Expenses associated with maintaining Lifeworks bank accounts, credit cards and other financial services.

8750 – Advertising
Media expense promoting the organization.

8770 – Events
All expenses related to events hosted by Lifeworks. The annual celebration and leadership circle luncheon are examples.

Location sub-account numbers:

0120 Apple Valley
0129 East Metro
0131 Brooklyn Park
0138 South Metro
0139 West Metro
0797 Mankato
0140 Resource Navigation
0146 Other Services
0147 Career Navigation
0150 Day Services, Community and Employment Programs – Gen'l
0155 Transportation
0816 FMS South
0817 FMS North
0837 PCA North
0836 PCA South
0846 In-Home South
0847 In-Home North
0850 Program Ops
0855 Program Management
0989 New Business Development
0990 Administration – Gen'l
0992 Development/Fundraising
0993 Marketing
0994 Finance
0996 Information Technology
0997 Human Resources
0999 Quality and Compliance

Purchasing Procedures

Supplies and Small Equipment

Supplies (items $0 - $200) and small equipment (items $0 - $5,000) purchased should be approved by the respective supervisor.

Capital Equipment

Office furniture and equipment, computers, vehicles, and leasehold improvements costing more than $5,000 must be pre-approved by executive team. Please refer to the Capital Purchase procedure and policy on the Lifeworks SharePoint site.

Lifeworks Credit Card

A business credit card is used to make smaller purchases easier and, reduce the need for employees to cover Lifeworks expenses and then be reimbursed.
When the supervisor approves the need, a "Request for Credit Card" form and the employee signed "Cardholder Agreement" form are sent to the Accounting Manager. A card will be issued in the employee's name and is to be used only for Lifeworks business transactions by the employee listed on the card.

1. Supervisor shall submit the request for the card to the accounting department.
2. When the card is used, the following steps must be followed:
    - Obtain a paper receipt from the retailer. If it is an Internet purchase, save the confirmation that indicates date of purchase, what is being purchased and the amount of the purchase.
    - Attach the receipt to the corresponding purchase using the Lifeworks credit card receipt and approval platform, Visa Spend Clarity. Code and submit to supervisor for approval.
    - Supervisor shall approve and submit to accounts payable for processing.

3. Any transactions that do not have the appropriate receipt must be approved by the supervisor and the accounting manager. Employees may be responsible for the payment of any missing receipts.
4. Unauthorized use of the card can result in immediate cancellation.
5. An employee's credit card shall be suspended if a receipt and approval have not been submitted within 60 days of the purchase.
6. Report immediately to a supervisor and the Accounting Manager if the card is lost or stolen.

Expense Reimbursement

It is the policy of Lifeworks to reimburse only reasonable and necessary expenses actually incurred by an employee in furtherance of Lifeworks business.

When incurring business expenses, employees will:

- Exercise discretion and good business judgement with respect to those expenses.
- Be cost conscious and spend Lifeworks' money as carefully and judiciously as the employee would spend their own funds.
- Not incur or seek reimbursement for expenses made in violation of the applicable law or for illegal purposes; and
- Report expenses support by required documentation, as they were spent.

Sales Tax Exemptions

Lifeworks is a 501(c) 3 charitable organization, who is exempt from most sales tax. Lifeworks Sales Tax Exemption number is 9486594 and can be found on your Lifeworks Staff Identification Card. This card shall be presented when making business-related purchases for the organization. On occasion, a business may ask for Minnesota Department of Revenue Form ST-3: *Certificate of Exemption* to be completed before exempting a purchase from sales tax. In these situations, please contact the Accounting Manager for assistance.

The following list of items or services are excluded from the sales tax exemption (requiring Lifeworks to pay the required sales tax):

- Prepared food, soft drinks, candy, alcoholic beverages, and catered food
- Lodging

- Waste collection and disposal services
- Gambling equipment and supplies
- A contractor may not use our exempt status authorization to purchase materials exempt for use in a lump-sum contract.

Reimbursement

It is best practice for employees to use their Lifeworks provided credit card whenever possible. All requests for reimbursement shall be made using Lifeworks online expense report through DataBasics. The expense report shall be submitted within 30 days of the date the expenses was incurred - but at a minimum quarterly and must include:

- The individual's name.
- If reimbursement for travel is requested, the date, origin, destination and purpose of the trip.
- The amount of each expense categorized under the appropriate Expense Report line item with supplemental description, if needed.

All expense reports must be approved by the Lifeworks supervisor.

Receipts are required for all expenditures. No expense will be reimbursed unless the individual requesting reimbursement submits with the Expense Report written receipts from each vendor (not a credit card receipt or statement) showing the vendor's name, a description of the services provided/purchased (if not otherwise obvious), the date, and the total expenses, including reasonable tips (if applicable).

Unless instructed otherwise, Lifeworks will pay expense reimbursement through a direct deposit transaction for all employees that submit a Direct Deposit Authorization form. An email notification is sent to the employee after every reimbursement transaction is completed.

Travel

Employees designated by Lifeworks to attend meetings, trainings and conventions, as a Lifeworks representative will have expenses covered that are reasonable and appropriate that are incurred while conducting business.

All out-of-town travel on behalf of Lifeworks must be approved in advance by a supervisor.

Employees are to complete an External Training Request and submit it to their supervisor for approval.

In determining the reasonableness and necessity of travel expenses, employees and their supervisor shall consider the ways in which Lifeworks will benefit from the travel and weigh those benefits against the anticipated costs of the travel. The same considerations shall be taken into account when deciding whether an employee's presence on a trip is necessary. In determining whether the benefits to Lifeworks outweigh the costs, less expensive alternatives, such as participation by telephone or video conferencing, or the availability of local programs or training opportunities,

shall be considered. If an employee asks to attend an out-of-town conference and is not required by Lifeworks to attend, Lifeworks may (but is not obligated to) reimburse a portion of the expense, such as only the cost of conference registration, if approved by the supervisor. Travel and accommodation are not generally reimbursed in this situation.

Employees designated by Lifeworks to attend meetings, training or conventions, as a Lifeworks representative will be eligible for reimbursement of expenses incurred while conducting business, which are reasonable and appropriate. Lifeworks covers expenses for transportation, lodging and meals on the basis described below for such expenses.

Personal and Spousal Travel Expenses

Employees traveling on behalf of Lifeworks may incorporate personal travel or business with their trip; provided that (1) employee shall not arrange travel at a time that is less advantageous or involving greater expense to Lifeworks in order to accommodate personal travel plans and (2) employee will use PTO for non-working time during business hours. Any additional expenses incurred as a result of personal travel, including but not limited to extra airfare, extra hotel nights, additional stopovers, meals or transportation, are the sole responsibility of the employee and will not be reimbursed by Lifeworks. Expenses associated with travel of an employee's spouse, family or friends will not be reimbursed by Lifeworks.

Air Travel

Air travel reservations should be made as far in advance as possible in order to take advantage of reduced fares. Lifeworks will reimburse or pay only the cost of the lowest coach class fare available for direct, non-stop flights from the airport nearest the employee's home or office to the airport nearest the destination.

Employees traveling on behalf of Lifeworks may accept and retain frequent flyer miles and compensation for denied boarding for their personal use. Individual may not deliberately patronize a single airline to accumulate frequent flyer miles if less expensive comparable tickets are available on another airline.

Ground Transportation

Employees are expected to use the most economical ground transportation appropriate under the circumstances and should generally use the following in this order of desirability:

- Courtesy Cars: Many hotels have courtesy cars, which will take you to and from the airport at no charge. Personnel should take advantage of this free service whenever possible.
- Airport Shuttle or Bus: Airport shuttles or buses generally travel to and from all major hotels from a small fee. At major airports such services are quick as a taxi and considerably less expensive.
- Taxis and other ride-shares (i.e. Uber and Lyft): When courtesy cars and airport shuttles are not available, a taxi is often the next most economical and convenient form of transportation when the trip is for a limited time and minimal mileage is involved.

Lodging

Employees traveling on behalf of Lifeworks may be reimbursed at the single room rate for the reasonable cost of hotel accommodations. Convenience, the cost of staying in the city in which the hotel is located, and proximity to other venues on the employee's itinerary shall be considered in determining reasonableness.

Meals

When an employee is required to work beyond regular hours, attend meetings of interest for Lifeworks which involve a meal, or are traveling on behalf of Lifeworks, a reasonable and actual cost of meals (including tips) will be reimbursed with proper documentation of the cost. In addition, reasonable and necessary gratuities that are not covered under meals may also be reimbursed. Employee will not be reimbursed for entertainment (except as detailed below in the section entitled "Entertainment and Business Meetings") and alcohol expenses.

Mileage Reimbursement

Lifeworks may reimburse employees for business-related mileage, a non-taxable business-related expense. Employees can be compensated in the form of mileage reimbursement from Lifeworks for use of their personal cars when used for Lifeworks business. The mileage reimbursement covers all costs related to owning and driving an employee's car for the business portion of its use and is reimbursed at a rate established periodically by the Internal Revenue Service.

Commutes are trips between an employee's home and a regular or main job site location. The cost of driving between an employee's home and regular or main job site location are considered personal commute expenses and are not eligible for non-taxable mileage reimbursement by the Internal Revenue Service. When an employee drives to a location farther than their main assignment for business-related purposes, Lifeworks will reimburse the difference between the additional mileage and personal commute mileage.

For employees working remotely, their commute will be the first and last trip of each day. Trips between the first and last trip of each day, where employees are traveling for business-related mileage, are considered non-taxable business-related expenses and are eligible for mileage reimbursement at the current established rate for that day.

Examples of allowable business-related mileage between the first and last trip of each day:

- Travel between job or work sites
- Work related errands
- Portion of a trip between home and a temporary work site, that is not an employee's main job site, that is over and above the employee's normal commute

Examples of mileage that is not considered business-related and therefore not eligible for mileage reimbursement:

- The Internal Revenue Service does not consider working during a commute as a qualifying business-related expense eligible for business-related mileage reimbursement. However, working during a commute may be considered hours worked..
- Trips between home and a regular or main job site. (personal commute expense)

Employees should submit all business-related mileage within 60 days through the expense report form in DataBasics for approval. Approved business-related mileage is reimbursed at a rate established periodically by the Internal Revenue Service.

Parking/Tolls

Parking and toll expenses, including charges for hotel parking, incurred by the employee for business will be reimbursed. The costs of parking tickets, fines, car washes, valet services, etc. are the responsibility of the employee will not be reimbursed.

Entertainment and Business Meetings

Reasonable expenses incurred for business meetings or other types of business-related entertainment will be reimbursed only if the expenditures are approved in advance by the applicable Supervisor and qualify as tax deductible expenses. Detailed documentation for any such expense must be provided, including:

- date and place of entertainment
- nature of expense
- names, titles and corporate affiliation of those entertained
- a complete description of the business purpose for the activity including the specific business matter discussed; and
- vendor receipts (not credit card receipts or statements) showing the vendor's name, a description of the services provided, the date, and the total expenses, including reasonable tips (if applicable).

Non-Reimbursable Expenditures

Lifeworks maintains a strict policy that expenses in any category that could be perceived as lavish or excessive will not be reimbursed, as such expenses are inappropriate for reimbursement by a nonprofit, charitable organization. Expenses that are not reimbursable include, but are not limited to:

- Travel insurance
- First class tickets or upgrades
- Limousine travel
- Movies, liquor or bar costs
- Spa or exercise charges
- Clothing purchases
- Valet service
- Car washes
- Toiletry articles; or
- Expenses for spouses, friends, or relatives.

Use of Equipment

Computers

The information technology staff will provide employees with support for questions regarding the software and hardware on Lifeworks computers as it pertains to the business of Lifeworks. If you have a Telecommuting Agreement in place and work at home on a personally owned computer, you may create service requests for information technology staff about technical issues just as if you were working on a Lifeworks owned computer. If the personally owned computer you are working on prevents you from doing your work, Lifeworks IT staff will either assist you over the phone or ask you to bring the computer into the administrative office. Lifeworks may also reimburse employees for a portion of the total cost of their Internet connection expense. This decision will be made by the employee's functional manager based on the budget, availability of access elsewhere for the employee, and other factors deemed appropriate by the manager. If Lifeworks provides Internet access, Lifeworks will decide the type of service and provider. The service will be periodically reviewed and may be terminated at any time. If an employee who has been assigned a Lifeworks owned computer leaves Lifeworks, the computer and all associated equipment and electronic devices must be turned in at the exit interview.

Liability for Computers

Although Lifeworks is insured for damage and theft of equipment, regardless of its location, employees are expected to take reasonable precautions to ensure security of computers and all Lifeworks equipment. Employees may be required to pay for computer equipment or software that is lost or damaged due to negligence or abuse.

Computer Virus and Malware Protection

Lifeworks owned computers use antivirus and antimalware software which detects and removes viruses and malware. It is the responsibility of employees to inform the information technology staff as soon as possible if the software detects a virus or malware while it is in use. Please call the Service Desk or open a Freshservice request to report virus and malware messages. For more information, see the Information Technology Acceptable Use Policy**.**

Mobile Phone, Smartphone, and Text Messaging Guidelines

If Lifeworks purchases a mobile phone for use by an employee, Lifeworks will decide the type of mobile phone device and the provider. The functional manager and the information technology team will assign a mobile device based on the needs of the role. The equipment will remain the property of Lifeworks and its need will be periodically reviewed. Mobile phones may be reassigned, and plans may be terminated at any time if mobile device needs change. All Lifeworks issued mobile devices and associated equipment will remain the property of Lifeworks.

Lifeworks owned and issued Apple iPhone smartphones are required to use a passcode and/or biometrics (Face ID/Touch ID) for unlocking the screen and protected applications. Additionally, the iCloud service is disabled on all Lifeworks owned iPhones and the Apple iCloud service should not be activated by staff. Please

be aware that it is also against Lifeworks policy for staff to configure a Lifeworks email connection on any smartphone or mobile device that is not owned by Lifeworks and assigned by Lifeworks IT staff.

Minnesota law and/or Lifeworks policy state that there is to be no mobile phone usage while driving Lifeworks owned vehicles including making or taking calls, checking voicemail, email, or text messaging. If you absolutely need to take or make a call, pull over and stop in a safe place.

Lifeworks expects all employees to observe good safety habits when using mobile phones in their personal vehicles. All use of mobile phones while operating personal vehicles for Lifeworks business is prohibited unless use is through hands-free voice-activated technology, Bluetooth wireless car systems, or mobile phone headsets. It is not acceptable use to touch your mobile phone to initiate or answer a call while operating a personal vehicle for Lifeworks business. It is preferable for employees to pull off the road into a safe place to make calls while operating personally owned vehicles.

Employees must also use discretion in where and when they have conversations, answer emails, or text message, particularly if the information is sensitive or should remain confidential. See HIPAA Privacy Policy regulations and guidelines and the Information Technology Acceptable Use Policy. Violation of these policies is also a violation of Minnesota law and subject to the disciplinary action policy.

Mobile phone users are expected to keep the frequency and duration of their calls, Internet data use, and text messaging (if applicable) within the billing plan they are assigned. Employees should keep directories of numbers handy and/or program frequently dialed numbers into their phones. Do not incur charges for Directory Assistance use except in an emergency or serious situation.

If an employee who has been assigned a Lifeworks owned mobile phone leaves Lifeworks, the mobile phone and all associated equipment must be returned to the supervisor or Human Resources on or before the final day of employment.

Lost, Stolen, or Missing Devices

It is Lifeworks policy for personnel to contact IT **immediately** whenever a technology device (laptop, desktop, smartphone, tablet, etc.) is lost, stolen, or missing. Call Lifeworks Services IT at (**651) 365-3786** or open a Freshservice Incident Ticket to report the missing device.

After a device is reported missing, Lifeworks IT will attempt to remotely contact and lock the device. If the device is not located, the Lifeworks IT department may, among other things, attempt to remotely wipe the device, reset any potentially compromised passwords, and block all access to network resources, including email, until passwords are successfully changed.

IT will analyze the incident to determine the nature and scope of any compromised Lifeworks data. If there is a potential compromise of sensitive information or exposure of network resources, the Director of Information Technology and Infrastructure Security Specialist will form a security incident team with the appropriate Compliance personnel, Lifeworks leaders, legal counsel, and external consultants. This incident team will coordinate notification to affected individuals and report the incident to state or federal agencies and the media as required.

Please follow these guidelines to minimize the risk of device and/or data loss:

- Login passwords or PINs are required for all devices. Follow the **Lifeworks Password Construction Guidelines**.
- Store sensitive Lifeworks data on approved Lifeworks network storage drives (I: drive folders, OneDrive).
- If Lifeworks data must be stored on a device, such as a laptop, iPhone, iPad, or external drive for legitimate business reasons, the device's local storage must be encrypted. Full device encryption is the only acceptable safeguard for local device storage of data. Data should be moved or deleted from the device as soon as possible after the business use is complete.
- Lifeworks IT will configure and manage the encryption of local storage.
- Do not allow others, including family members, to use your Lifeworks owned devices or learn your Lifeworks network or device passwords.
- Do not store your username or passwords with your devices.
- Never leave Lifeworks devices unattended.
- Never leave Lifeworks devices visible or easily reached in a parked car.
- Do not walk away from your Lifeworks devices in a public place, even for a few seconds. Theft of briefly unattended devices in public spaces is quite common.

Recycling

Each Lifeworks site is responsible for their own recycling based on the guidelines set by their buildings' management. **Do not put confidential information (e.g. anything with a client's name on it) in recycling; it must be shredded. At Lifeworks Main Office, put any paper to be recycled OR shredded in the Iron Mountain containers scattered throughout the office.**

Materials listed below are general guidelines for acceptable materials to be recycled:

- White or pastel office paper
- Legal pad paper
- Computer paper
- Envelopes
- Clear glass
- Aluminum cans
- Newspapers
- Junk Mail
- Cardboard

Hazardous Materials are recycled:

- Maintenance or janitorial services dispose of hazardous materials (ex: light bulbs).
- Toner is discarded in a recycling box provided by equipment vendor and returned to that vendor.

For more information see the Privacy and Security Policies.

Donations to Lifeworks

All donations received at Lifeworks are treated with importance and acknowledged. To correctly record contributions in our accounting systems and thank donors for tax purposes, the Development and Accounting Departments must be notified of all gifts. See Addendum I for the full Fundraising Policy.

Cash

A donation can be made to Lifeworks in the form of cash, check, stock, or by credit card. Credit card donations may be made on-line through our website or by calling the Development Department. If you receive a donation, send cash and/or check in a secured envelope to the administration office. The envelope should be addressed to the front desk along with the word "Donation" so they can be properly processed.

In-Kind

An in-kind donation is a donation to Lifeworks in the form of goods, equipment, or a contributed service (e.g., photography, meeting space, etc.). If your department or team receives an in-kind gift, contact the Development Department to ensure Lifeworks properly thanks the donor and sends them the appropriate documentation for taxable deductions.

Receiving a Gift for Lifeworks

When an employee receives a donation of any kind, they should complete a *Donation Report* which can be found on the Development page of the internal website and send it, together with the check or cash, to the administration office, addressed to the front desk as soon as possible.

Requesting Gifts for Lifeworks

All fundraising activities must be approved through the Development Department. Any fundraising must follow Lifeworks' brand guidelines, fundraising policies, and any additional legal requirements.

Lifeworks solicits contributions that benefit our mission, services, and innovative initiatives. Requesting discounts or pro-bono services is appropriate and should be considered as in-kind when appropriate.

Solicitations

Lifeworks will not solicit a person for donations if that person requests that Lifeworks stop sending solicitations.

Notify the Development Department immediately if you receive a written or verbal request that Lifeworks stop sending solicitations.

Payroll Deduction

Lifeworks staff may donate to Lifeworks using the *Donation by Payroll Deduction* form. Your tax-deductible contribution will help ensure that people served have the opportunity to use their skills, talents, and voice to make a positive impact in their community.

It also demonstrates to corporate and foundation donors the commitment to our mission and valued services when we are able to show support from both staff and families.

Thank you for supporting our mission with your talents and your financial support.

Addendum A - Lifeworks Privacy Policies

Lifeworks Privacy Policy

Purpose

Lifeworks Services is committed to conducting business in compliance with all applicable laws, regulations and Lifeworks policies. These approved "**Lifeworks Privacy Policies**" have been developed to comply with the Health Insurance Portability and Accountability Act (as amended by the Health Information Technology for Economic and Clinical Health [HITECH] Act) (collectively called "**HIPAA**"), the

Minnesota Government Data Practices Act ("**MGDPA**"), and the Minnesota Health Records Act ("**MHRA**"). These Lifeworks Privacy Policies cover the approach of Lifeworks to comply with state and federal privacy laws, including the HIPAA Privacy Regulations. Lifeworks may be subject to additional privacy laws and regulations on a contractual basis; such contractual requirements supplement these Lifeworks Privacy Policies.

Scope

These Lifeworks Privacy Policies apply to protected health information created, received, or maintained by Lifeworks on behalf of its clients. All Lifeworks Personnel are responsible for being aware of, and complying with these laws, related regulations, these Lifeworks Privacy Policies and the Lifeworks Privacy Procedures, and additional contractual requirements, as appropriate. "**Lifeworks Personnel**" means paid and unpaid staff (including employees and contractors), volunteers, student interns and other persons who work for or on behalf of Lifeworks. "**Lifeworks Privacy Procedures**" means the various procedure documents referenced in these Lifeworks Privacy Policies.

Effective Date

These Lifeworks Privacy Policies have been in effect as of April 14, 2003, The latest update is August 8th, 2022.

Expiration Date

These Lifeworks Privacy Policies have no expiration date. They will remain in effect until amended or replaced.

Policies Owner

The Quality and Compliance Manager is assigned the responsibility of managing these Privacy Policies. Please direct questions regarding these Policies to:

Quality and Compliance Manager
Lifeworks Services
6636 Cedar Ave S, Suite 250
Richfield, MN 55423

Introduction

Lifeworks is obligated to comply with data privacy laws and regulations issued under the federal Health Insurance Portability and Accountability Act (as amended by the Health Information Technology for Economic and Clinical Health [HITECH] Act) (collectively called "**HIPAA**"), the Minnesota Health Records Act ("**MHRA**"), and the Minnesota Government Data Practices Act ("**MGDPA**"). HIPAA laws and regulations and the MHRA apply to only health related information, whereas MGDPA applies to all individually identifiable information about an individual that is collected by a Minnesota state agency (or, in the case of Lifeworks, a non-profit organization that contracts with state agencies).

In situations when both the federal and the state laws apply, but appear to be conflicting, Lifeworks complies with the law that provides the greatest protection with regards to the particular use, disclosure, and/or type of protected health information.

MGDPA, MHRA and HIPAA give individuals certain rights, such as to be informed about the information we maintain about them at Lifeworks, how we use that information, and to whom we disclose it.

All Lifeworks Personnel must comply with these Privacy Policies to maintain the privacy of the information Lifeworks processes and handles, and also to ensure that Lifeworks complies fully with all applicable federal and state privacy protection laws and regulations.
Protecting customer and client information is of utmost importance to Lifeworks. Personnel violating privacy policies are subject to disciplinary action including termination of employment.
HIPAA regulations cover both security and privacy. Security and privacy are distinct, but related.

The **HIPAA Privacy Rule** focuses on the use and disclosure of individuals' health information, called "protected health information" or "PHI", by organizations subject to the Privacy Rule, such as Lifeworks. It also establishes rights of an individual to control the use of his or her personal information. The Privacy Rule covers the confidentiality of PHI in all formats including electronic, paper and oral.

Confidentiality is an assurance that the information will be safeguarded from unauthorized disclosure. Lifeworks' policies and procedures governing the use and disclosure of PHI are set forth in ***Lifeworks Privacy Policies***.

The **HIPAA Security Rule** focuses on administrative, technical and physical safeguards specifically as they relate to electronic PHI (ePHI). Protection of ePHI data from unauthorized access, whether external or internal, stored or in transit, is essential to the Security Rule.

References:

Minn. Stat. §13.02, subd. 7; §13.05, subd. 6

Minn. Stat. §144.292; §144.293

Preamble to HIPAA Regulations

45 CFR §164.501

Protected Health Information

MGDPA classifies certain individually identifiable information about an individual that is collected by a government entity as private. HIPAA further categorizes certain individually identifiable health information held or transmitted by a covered entity or its business associate as protected. Similarly, MHRA provides protections for patient health records. Lifeworks combines these classifications and defines "**Protected Health Information**" (or "**PHI**") as: health information about an individual (including clinical, financial, demographic, and lifestyle related information) which is accessed, created, modified, received or maintained by Lifeworks or Lifeworks Personnel (in any form or media, whether electronic, oral or paper) and which independently or collectively could be used to individually identify a person.

This includes a person's name and/or information such as:

Dates: birth, admissions, discharge, death

- Gender
  Medical records number
  Health plan beneficiary numbers
  Geographical subdivision smaller than a state (address, zip code, etc.)
  Phone number, email address, fax number
- License numbers
  Vehicle identification numbers (such as license plate numbers)
  Full face photographic images (and any comparable images)
  Social Security Number
  Device identifiers (such as serial numbers)
  URLs (Internet Resource Locators)
  Internet Protocol (IP) address
  Biometric identifiers (such as finger prints and voice prints)
  Other unique identifiers that can be attributed to a specific individual

The following are a few examples of information that may be considered or may contain PHI:

- Diagnosis of a certain condition
  Procedure codes on claim forms
  Explanation of Benefits (FOB)
  Enrollment/change of status data
  Past, present or future payment for health care

References:

Minn. Stat. §13.02, subd 7, subd.12

Minn. Stat. §144.293

45 CFR § 160.103

Other Definitions
Unless otherwise defined in these Policies, capitalized terms will be as defined in HIPAA, MHRA, and MGDPA.
References:

Minn. Stat. §13.02

Minn. Stat. §144.291

45 CFR § 160.103

Policies
Many of the following Lifeworks Privacy Policies have related Lifeworks Privacy Procedures and /or forms that give further detail to the implementation of the policy. Lifeworks Personnel shall comply with the then-current procedures and use the then-current versions of the referenced forms, all of which are incorporated into these policies by reference.

Disclosure of and Access to PHI
Lifeworks will disclose or provide access to PHI only to:
those Lifeworks Personnel who are either bound by law or written agreement to

maintain the PHI in accordance with state and federal law and regulations and this

Lifeworks Privacy Policy;

those Business Associates which are party to a signed Business Associate Agreement

approved as to form by Lifeworks' General Counsel; and/or others to whom it is

authorized, required or permitted to disclose PHI under the terms of these Lifeworks

Privacy Policies.

Access to and disclosures of PHI allowed or required by these Lifeworks Privacy Policies will be made only by the Lifeworks Personnel designated in the applicable procedures, or in the absence of such designation, only with the prior approval of the Quality and Compliance Manager.

Notice of Privacy Practices
Lifeworks is legally obligated to inform the individual (or their legal representative) of the individual's privacy rights by supplying a copy of the **Notice of Privacy Practices** (sometimes called "**NPP**") at the earliest possible time. Lifeworks staff shall inform the legal representative (or the individual, if acting as their own guardian) of these rights at the time of a new referral by providing the Notice of Privacy Practices. In all cases, the NPP will be provided no later than the date of the first service delivery, or in the case of any emergency, as soon as reasonably practicable. Lifeworks will attempt to

obtain the signature of the individual (or his/her legal representative) to acknowledge the NPP. If unable to obtain a signature, Lifeworks will document attempts to gain the signature. A legal representative who has signed on behalf of an individual has the responsibility to inform the individual of their privacy rights under the NPP. Lifeworks will also have copies of the NPP available at its facilities, and will post the NPP in a clear and prominent location. Lifeworks will make the NPP available to an individual upon Lifeworks will comply with all documentation requirements, including the requirement to retain copies of the NPP and any written acknowledgments of receipt of the NPP.
Lifeworks Personnel shall only use and disclose PHI in accordance with the terms of these Lifeworks Privacy Policies and the Notice of Privacy Practices, or as otherwise required and permitted by law. Lifeworks may make future changes to the NPP in order to comply with any changes to privacy laws or to make improvements to internal privacy practices. If Lifeworks' Privacy Policies change, including the need for access to, use of, or sharing of PHI, Lifeworks will provide individuals or their guardians with a revised NPP and information regarding i privacy rights under the new policy.
Lifeworks is required under MGDPA to provide a Tennessen warning, which is very similar to the NPP. The contents of Lifeworks' NPP satisfy the Tennessen warning requirements.
Please see the **Notice of Privacy Practices** form for further details.
References:

Minn. Stat. §13.04, su bd. 2

45 CFR § 164.520

Uses and Disclosures of PHI for Treatment, Payment, and Operations

For treatment, payment, and operations, Lifeworks may use and disclose PHI of an individual (as detailed in the Notice of Privacy Practices) after the individual (or the individual's legal representative) has received and acknowledged the Notice of Privacy Practices, provided that Lifeworks obtains a signed and dated consent from the individual prior to any disclosure of PHI. This consent requirement may be satisfied by a signed and dated acknowledgement to the Notice of Privacy Practices. Please see the **Notice of Privacy Practices** form for further details. However, if the individual does not sign the Notice of Privacy Practices, Lifeworks must obtain a specific signed and dated consent prior to disclosing the individual's health records.
Although individual consent can remain valid for a period longer than one year, Lifeworks staff will attempt to obtain renewed client consent on an annual basis to the extent possible.
There are certain situations in which consent is not required prior to disclosure. Lifeworks Personnel should consult the Quality and Compliance Manager to determine whether an exception may apply in a particular situation.
References:

Minn. Stat. §13.02, subd 12; §13.461, subd. 2; §245.467, subd. 4,5,6

Minn. Stat. §144.293

45 CFR § 164.506

Required Uses and Disclosures of PHI

The following are situations when Lifeworks is required to disclose PHI according to federal or state law:

Individual's Request

Lifeworks must disclose an Individual's PHI to that Individual if he or she requests his or her own PHI.

Department of Health and Human Services

Lifeworks must disclose PHI to the Department of Health and Human Services if that agency requests it for compliance or enforcement purposes.

Please see the **Notice of Privacy Practices** form for further details.

References:

Minn. Stat. §13.04, subd. 3

Minn. Stat. §13.05, subd. 3, subd. 4

45 CFR §164.512

Permitted Uses and Disclosures of PHI

There are some situations when Lifeworks may, under certain circumstances, be permitted by federal and state law to disclose and/or use PHI without prior authorization from the individual. Prior to using or disclosing information, Lifeworks Personnel must discuss each situation at hand with the Quality and Compliance Manager to ensure that such disclosure is permitted under applicable law and Lifeworks policies.

Disclosures Required by Law

Certain disclosures are required by law (meaning a mandate contained in law that compels an entity to make a use or disclosure of PHI and that is enforceable in a court of law.) Lifeworks may disclose PHI where required by law, including but not limited to the following:

Court orders and court-ordered warrants;

Subpoenas or summons issued by a court, grand jury, a governmental or tribal

inspector general, or an administrative body authorized to require the production of

information;

A civil or an authorized investigative demand;

Mandatory reporter requirements;

Medicare conditions of participation with respect to health care providers participating in the program; and

Statutes or regulations that require the production of information, including those which require such information if payment is sought under a government program providing public benefits.

Public Health

Lifeworks may disclose PHI to a public health authority that is permitted by law to collect or receive the information. The disclosure may be necessary to do the following:

- Prevent or control disease, injury, or disability;
- Report births and deaths;
- Report reactions to medications or problems with products;
- Notify a person who may have been exposed to a communicable disease or may be at risk for contracting or spreading a disease or condition;
- Notify the appropriate government authority if Lifeworks believes:
  - An individual has been the victim of abuse, neglect, or domestic violence; or
  - The use or disclosure of PHI is necessary to prevent or lessen a serious and imminent threat to the health or safety of a person or the public.

Oversight

Lifeworks may disclose PHI to an oversight agency for activities authorized by law, such as audits, investigations, and inspections. These oversight agencies include government agencies that oversee the health care system, government benefit programs, other government regulatory programs, and civil rights laws.

Legal Proceedings

Lifeworks may disclose PHI during any judicial or administrative proceeding in response to a court order or administrative tribunal (provided such a disclosure is consistent with the disclosure expressly authorized in the order), and in certain conditions in response to a subpoena, discovery request, or other lawful processes.

Law Enforcement

Lifeworks may disclose PHI to a law enforcement official if required by law, including laws that require the reporting of certain types of wounds or other physical injuries, or in compliance with a court order, subpoena, or administrative request in certain situations. Lifeworks may also disclose PHI for law enforcement purposes, including the following, provided certain requirements are satisfied:

To identify or locate a suspect, fugitive, material witness, or missing person, provided

the information disclosed is limited to that permitted by HIPAA;

Information pertaining to victims of a crime;

Deaths suspected to be related to criminal conduct;

Crimes occurring at a Lifeworks site; and
Reporting crime in emergencies.

Research

Lifeworks may, when authorized by law, use and/or disclose PHI for research purposes in accordance with HIPAA and MHRA.

Coroners, Medical Examiners and Funeral Directors

Lifeworks may disclose PHI to coroners or medical examiners for the purpose of identifying the deceased or determining a cause of death, and to funeral directors to the extent necessary to carry out their duties with respect to the decedent. In these instances Lifeworks will disclose to the extent allowed or required under state law.

Workers' Compensation

Lifeworks may disclose PHI to comply with workers' compensation laws and other similar legally established programs.

Disclosures by Whistleblowers

If a Lifeworks Personnel member or a Business Associate believes in good faith that the conduct of Lifeworks is unlawful or otherwise violates professional or clinical standards, or that the care, services, or conditions provided by Lifeworks potentially endangers one or more people or the public, then the Lifeworks Personnel or Business Associate may disclose relevant PHI to:

- a Health Oversight Agency or Public Health Authority that is authorized by law to investigate or oversee the conduct of Lifeworks

  an appropriate health care accreditation organization responsible for standards of professional conduct; or

  an attorney retained by or on behalf of the whistleblower for the purposes of determining the disclosing whistleblower's legal options.

This rule only applies to whistleblower actions against Lifeworks, not actions to expose alleged illegal or wrongful conduct of another person.

Disclosures by Crime Victims

A Lifeworks Personnel member who is the victim of a criminal act may disclose limited PHI to a law enforcement official when such PHI relates to the suspected perpetrator of the criminal act. Please see the **Notice of Privacy Practices** form for further details.

References:

Minn. Stat. §13.04, su bd. 3

Minn. Stat. §13.05, su bd. 3, su bd. 4

45 CFR §164.512

45 CFR § 164.502

Vendor for the State of Minnesota

Lifeworks is a vendor of services for the State of Minnesota. In this role Lifeworks is responsible for providing services and administering and disbursing waiver payments for individuals enrolled in the State fiscal programs. As part of these services Lifeworks creates, receives, maintains, and transmits PHI on behalf of the State. Lifeworks is therefore the State's HIPAA business associate.

When disclosing PHI, Lifeworks Personnel must comply with the following:

Disclosures to the State

Lifeworks is required to disclose certain information to the State as part of its business associate responsibilities. For example, Lifeworks must review a sample of timesheets and invoices for accuracy and timeliness and report its findings to the State. Lifeworks Personnel are permitted to disclose such information to the State provided there is a signed business associate agreement in place and such disclosure complies with the terms of the business associate agreement. For more information on business associate requirements applicable to State disclosures, Lifeworks Personnel should refer to the Business Associate section of this Policy.

Disclosures Authorized by the State

Lifeworks is required by contract to disclose certain information about individuals in the programs. Pursuant to its contract with the State, Lifeworks is required to provide an individual's case manager or care coordinator, if applicable, with a quarterly written summary of an individual's service usage and must submit service utilization reports to a contracting entity. Prior to any such disclosure Lifeworks Personnel must verify that the individual has signed a consent form permitting such disclosure. A signed and dated acknowledgment to the Lifeworks Notice of Privacy Practices is also sufficient.

If Lifeworks Personnel have questions about whether disclosure is permitted, they should discuss the situation with the Quality and Compliance Manager prior to releasing any PHI.

Disclosures to Other Third Parties

If Lifeworks Personnel or Business Associates receive a request to disclose PHI of individuals in the State CSG or CDCS programs, Lifeworks must inform the State of the request and coordinate the appropriate response with the State. If Lifeworks and the State agree to such disclosure, Lifeworks Personnel must document the following in the individual's record:

The authority used to authorize the disclosure;

The information disclosed;

The name of the receiving party; and

The date of disclosure.

State access to Lifeworks records

Lifeworks must grant the State access to Lifeworks records during regular business hours so that the State can assess the services provided and the appropriateness of claims submitted for payment. Lifeworks is also required to make certain information available to the State so that the State can comply with applicable law. Should Lifeworks Personnel receive a request for access from the State, Lifeworks Personnel must report this request to the Quality and Compliance Manager. The Quality and Compliance Manager will grant and facilitate access to the State.

Authorization for Marketing, Fundraising, or Other Specific Uses or Disclosures of PHI

Lifeworks will require a specific authorization from an individual or their legal guardian prior use of PHI for any purposes not listed above, including:

Marketing;

Fundraising (more than demographic information, date of service, treating physician,

outcome information, and health insurance status);

Research (more than limited data sets);

Psychotherapy Notes, unless ordered by a court;

Sale of PHI;

Disclosure to persons not involved in the individual's care;

Purposes not noted or covered by the NPP;

Any media access to Lifeworks facilities or clients; or

Purposes not listed above as either required or permitted.

Lifeworks staff will use reasonable means to verify the authenticity of any authorization prior to using or disclosing PHI per such authorization. Lifeworks staff will also verify the identity and authority of a person requesting PHI as required by HIPAA and Lifeworks Privacy Policies.

References:

45 CFR § 164.508

42 USC 17936

Minimum Necessary Use and Disclosure of PHI

Lifeworks will make reasonable efforts to limit the use and disclosure of PHI to the minimum extent necessary to accomplish the applicable purpose. Lifeworks grants access to PHI to Lifeworks Personnel based on the assigned job responsibilities and recommendations from the Human Resources Department and Information Technology Department. Lifeworks grants access to PHI to Business Associates only to the extent required for the performance of their contracted duties. Access privileges will not exceed those necessary to accomplish the assigned tasks. Except for disclosures made for treatment purposes, all access to and uses and disclosures of PHI will be limited to the minimum extent necessary to accomplish the applicable purpose. If Lifeworks Personnel receive a unique or otherwise non-routine request for disclosure, they must review the request with the Quality and Compliance Manager to ensure Lifeworks discloses information in accordance with the minimum necessary standard.

References:

45 CFR § 164.502(b),

45 CFR § 164.514(d)

Restriction of Uses or Disclosures of PHI

Lifeworks will give serious consideration to all requests by the legal representative of an individual (or the individual, if acting as their own guardian) for restrictions on uses and disclosures of PHI and will respond to such requests in accordance with Lifeworks Privacy Procedures and applicable law. Lifeworks is not required to comply with such requests or agree to such restrictions, except that Lifeworks must abide by the requested restriction if:
the disclosure is for the purpose of carrying out payment or health care operations

and is not otherwise required by law, and

the PHI pertains solely to a health care item or service for which Lifeworks has been

paid in full, either by the individual or by a person (other than a health plan) on

behalf of the individual.

All Lifeworks Personnel will observe and comply with any such restriction that has been reviewed and approved by the Lifeworks Quality and Compliance Manager, who will communicate approved restrictions in accordance with the applicable Lifeworks Privacy Procedure. Individuals can request to end restrictions at any time by writing to the Lifeworks Quality and Compliance Manager. Please see **Notice of Privacy Practices** form for further details. All requests regarding restrictions must be in writing and sent to:

References:

45 CFR § 164.522

42 USC 17935(a)

Access by Individual to PHI

Lifeworks will provide access for an individual to their PHI when requested, unless it has been determined by a competent medical authority that it would be harmful. Lifeworks will use all reasonable efforts to provide access promptly and in any event within the time frames established by applicable law. Lifeworks will inform the individual of the location of their PHI if Lifeworks does not physically possess the PHI but knows where it is located. Certain PHI (psychotherapy notes; information compiled in reasonable anticipation of, or use in, a civil, criminal, or administrative action or proceeding; and protected information that is subject to law that prohibits access to PHI) is restricted by law and, under certain circumstances, may not be accessed by the individual and/or Lifeworks. Lifeworks will promptly notify the individual of the decision to agree or deny the request. Lifeworks may charge the individual a reasonable per-page cost for copies of PHI it makes at the individual's request. Please see the **Notice of Privacy Practices** form.

References:

Minn. Stat. § 13.04, su bd. 3

45 CFR § 164.524

Access by Legal Representatives

Lifeworks will allow the parent of a minor child, guardian, or other legal representative of an individual the same right to access PHI as the individual, except as provided by law (such as in cases of abuse, where granting access could endanger the individual or someone else). Lifeworks will observe the relevant state, local, and other applicable laws when disclosing information about minors to parents.

References:

Minn. Stat. § 13.04, subd. 3

Minn. Stat. § 13.02, subd. 8

45 CFR § 164.502(g)

Amendment of PHI

An individual (and their legal representative) has the right to request amendments to the individual's PHI or a record about the individual in a designated record set that is maintained by Lifeworks. Lifeworks requires requests for amendments be in writing and provide a reason to support the requested amendment. The Lifeworks Quality and Compliance Manager responds to all written requests for amendment of PHI in a timely manner in accordance with the requirements of state and federal law. Lifeworks complies with all record keeping requirements of HIPAA, and appends or otherwise links an individual's request for an amendment with other information, such as Lifeworks' denial of the request and/or the individual's statement of disagreement, if any. Lifeworks complies with HIPAA rules pertaining to future disclosures.

If the request for amendment pertains to an individual in the State CSG or CDCS programs Lifeworks will forward such request to the State within ten (10) business days. The Lifeworks Quality and Compliance Manager shall make amendments as directed or agreed to by the State.

When State approval is not required and Lifeworks independently determines that a requested amendment is appropriate, it will make the correction and document a corresponding amendment of the PHI within the timeframe required by the MGDPA.

For any amendments made, Lifeworks Personnel must:

Document the titles of the people or offices responsible for receiving and processing

request for amendments by individuals;

Document the amendment made;

Provide a notice of corrections to the individual and any persons or organization that

was previously provided with the incomplete or incorrect PHI; and

Retain documentation of the above in accordance with HIPAA.

If Lifeworks is informed by another organization of an amendment to an individual's PHI, Lifeworks must amend the PHI by, at a minimum, identifying the records in the designated record set that are affected by the amendment and appending or otherwise providing a link to the location of the amendment.

References:

Minn. Stat. § 13.04, subd. 4

45 CFR § 164.526

Confidential/Alternative Communications of PHI

An individual (and/or their legal representative) has the right to request alternative and confidential forms of communications relative to their PHI. Lifeworks will accommodate reasonable written requests for such confidential communication. Please see **Notice of Privacy Practices** form for further details.

References:

45 CFR § 164.522(b)

Accounting for Disclosure of PHI

An individual (and their legal representative) has the right to request an accounting of Lifeworks disclosures of the individual's PHI. Upon written request the Lifeworks Quality and Compliance Manager will provide a timely accounting of all disclosures of PHI to the extent required by the HIPAA Privacy Rule and HITECH Act requirements. Lifeworks is not required by law to provide an accounting of disclosures: (1) that were authorized in writing by the individual; (2) to the individual; (3) made for the purpose of treatment, payment, or health care operations; (4) incidental to a use or disclosure that is otherwise permitted or required; (5) for Lifeworks' facility directory; (6) to law enforcement officials or correctional institutions having lawful custody of an inmate; (7) as part of a limited set of data; or (8) made for national security purposes. Likewise, Lifeworks is not required by law to provide an accounting of disclosures made more than six (6) years prior to the date of request. Please see the **Notice of Privacy Practices** form for further detail.

Upon request, Lifeworks must also provide the State with an accounting of disclosures for individuals in the State CSG and CDCS programs.

References:

45 CFR § 164.528

Marketing and Fundraising Activities

Lifeworks will not use or disclose PHI for marketing activities without obtaining a valid authorization. "Marketing" is defined in the HITECH Act and generally means a communication about a product or service that encourages recipients of the communication to purchase or use the product or service, but excludes (among other things) communications for certain treatment and health care operations purposes, including case management or care coordination for an individual, or to direct or recommend alternative treatments, therapies, health care providers, or settings of care to the individual. Marketing in the form of a face-to-face communication or a promotional gift of nominal value does not require an authorization.

Lifeworks also considers as marketing the use of name and likeness (video, audio, image, and photograph) for publicity, education, and communications via the following delivery methods: video tape, DVD, and CD-ROM, broadcast and print media, advertising, the internet and business applicable social media channels.

Lifeworks may use limited PHI about individuals for the purpose of raising funds for its own benefit without prior authorization. This PHI is limited to the following: (1) demographic information; (2) dates of service; (3) department of service information; (4) treating physician; (5) outcome information; and (6) health insurance status. Lifeworks must include in all fundraising materials a description of how the individual may opt out of receiving any further fundraising communications and may not make fundraising communications to individuals who decide to opt out.

References:

45 CFR § 164.508(a)(3)

45 CFR §164.514

42 USC 17936

De-Identified Data and Limited Data Sets

Lifeworks may use and disclose PHI without authorization for research, public health, or healthcare operations purposes if it has been properly de-identified (summary data). De-identified PHI means information that does not directly identify an individual, or that indirectly could be used to identify an individual. The Lifeworks Quality and Compliance Manager will comply with HIPAA requirements when making a determination that health information is not individually identifiable health information.
References:

Minn. Stat. § 13.02, subd. 19

Minn. Stat. § 13.05, subd. 7

45 CFR §164.514

Privacy Complaints

Lifeworks Quality and Compliance Manager will promptly (and in any event, within timeframes required by law) respond to all written complaints relating to compliance by Lifeworks with federal and state privacy laws and with Lifeworks Privacy Policies. The Quality and Compliance Manager will notify the individual in writing of the results of the complaint. Please see the **Notice of Privacy Practices** form for further details.
References:

Minn. Stat. § 13.04, subd. 4

45 CFR § 164.530(d)

Prohibited Activities

No Lifeworks Personnel or Business Associate may engage in any intimidating or retaliatory acts against persons who file complaints or otherwise exercise their privacy rights under state and federal regulations. No Lifeworks Personnel or Business Associate may require individuals to waive their privacy rights or condition treatment, payment, enrollment, or eligibility for benefits on the provision of an authorization to disclose PHI. Lifeworks employees and Business Associates may not receive direct or indirect compensation for disclosure of or access to PHI about an individual without his/her prior specific written authorization.
References:

45 CFR. § 164.530(g, h)

Verification of Identity and Authority
Lifeworks will verify the identity of any person or organization requesting PHI and the authority of such person or organization to receive a disclosure of or access to the PHI before such disclosure or access is granted.
References:

45 CFR § 164.514(d)

Mitigation
To the extent practicable, Lifeworks will mitigate any harmful effect known to Lifeworks of a use or disclosure (by Lifeworks Personnel or a Business Associate) of PHI in violation of applicable privacy laws or the Lifeworks Privacy Policies and related procedures.
References:

45 CFR § 164.530(f)

Safeguards
Lifeworks will implement appropriate administrative, technical, and physical safeguards to protect the privacy of PHI in any form, and to protect against intentional or unintentional use or disclosure in violation of applicable privacy laws or the Lifeworks Privacy Policies and related procedures. Please see **Lifeworks HIPAA Security Rule Policies** for further details.
References:

Minn. Stat. § 13.05, su bd. 5

45 CFR § 164.530(c)

Business Associates
Lifeworks may hire third parties to perform certain functions or activities on behalf of Lifeworks that involves access to client PHI. These individuals and entities are considered Lifeworks' "Business Associates" as the term is defined by HIPAA. Prior to disclosing or providing access to client PHI, Lifeworks and the Business Associate must enter into a signed Business Associate Agreement ("**BAA**") in a form approved by Lifeworks' General Counsel. Most importantly, Lifeworks must ensure that the potential Business Associate will appropriately safeguard client PHI. Any disclosures of PHI must comply with such BAA.
In other instances Lifeworks may have access to third-party PHI as a Business Associate for a Covered Entity (defined by HIPAA). For example, Lifeworks acts as a Business Associate of the State when it provides vendor services for the State CSG and CDCS programs. Prior to providing business associate services, Lifeworks must enter into a BAA with the Covered Entity. Lifeworks will always offer its pre-approved form of BAA to the third party, and if such BAA is not agreed upon, Lifeworks will enter into a BAA approved by both Lifeworks General Counsel and the third party. Lifeworks will comply with the terms of any signed BAA, and will ensure that Lifeworks' own

contractors and agents agree to the same restrictions and conditions in the BAA, to the extent applicable.
Lifeworks will comply with all HIPAA and MGDPA requirements even in the absence of a signed Business Associate Agreement. Any BAA with a third party Covered Entity must be in a form approved by Lifeworks' General Counsel.
References:

Minn. Stat. § 13.05, subd. 6

45 CFR. § 164.502(e)

42 USC 17934

42 USC 17938

Training and Awareness
Lifeworks will train all Lifeworks Personnel who may have access to PHI on the Lifeworks Privacy Policies and related procedures. New Lifeworks Personnel who may have access to PHI will be trained within one week of their start date or prior to being given access to PHI. Existing Lifeworks Personnel who may have access to PHI will receive ongoing awareness training and will attend formal training at least annually. Lifeworks will document the training for which Lifeworks Personnel participate, including the date and topics of the training.
References:

45 CFR § 164.530(b)

Sanctions
Lifeworks will take disciplinary action against any Lifeworks Personnel who violates Lifeworks Privacy Policies or any related procedures. Disciplinary actions may include termination of employment and reporting to law enforcement authorities. Disciplinary actions are determined by the severity of each individual violation, potential violation and breach regarding PHI.
References:

Minn. Stat. § 13.09

45 CFR § 164.530(e)

42 USC 17939

Retention of Privacy Records
Lifeworks retains all privacy records in accordance with the requirements of HIPAA, MGDPA and other applicable law, or such longer period specified by Lifeworks records retention policy.

References:

CFR § 164.530(j) & Minn. Statute § 13

Cooperate with Privacy Oversight Authorities

Lifeworks will fully support and cooperate with oversight agencies such as the Office for Civil Rights of the Department of Health and Human Services during investigations and other efforts to ensure the protection of PHI. All Lifeworks Personnel are expected to cooperate fully with all such privacy compliance reviews and investigations.

References:

45 CFR § 164.512 (d)

Breach Notification

Lifeworks will promptly address any actual or suspected privacy incident, security incident, or breach of unsecured PHI (collectively referred to as a "Potential Breach") in compliance with the HIPAA Breach Notification Rules and other applicable laws. All Lifeworks Personnel that become aware of a Potential Breach must report it to their direct supervisor and/or the Quality and Compliance Manager. Direct supervisors who become aware of a Potential Breach will promptly notify the Quality and Compliance Manager. If the Potential Breach pertains to the State CSG or CDCS programs, the Quality and Compliance Manager will notify the State and will cooperate with requests and instructions received from the State regarding investigation, containment, mitigation, and eradication of conditions that led to, or resulted from, the Potential Breach. The Quality and Compliance Manager will also notify the State of other suspected privacy violations, such as violations of a right to access.

The Quality and Compliance Manager will then facilitate an investigation of the Potential Breach to:

Determine the root cause of the incident and mitigate any harmful effects;

Identify individuals affected;

Determine the specific information impacted; and

Comply with notification and reporting requirements.

The Quality and Compliance Manager will document the steps taken to investigate, mitigate, report and otherwise resolve the Potential Breach situation, and any conclusions that were reached during the investigation. When the Potential Breach involves the State CSG or CDCS programs, the Quality and Compliance Manager will report to the State such information required by the Grant Agreement.

In the event of a breach respecting PHI, Lifeworks will provide notification of the breach to the affected individuals, and, in certain circumstances, the Secretary of the Department of Health and Human Services and/or to the media in accordance with the requirements of HIPAA and MGDPA. All media communications relating to breaches of

unsecured PHI must be in compliance with the Lifeworks Crisis Communication Plan as specified in the Employee Handbook.
References:

Minn. Stat. §13.055

45 CFR § 164.400-414

42 USC 17932

Resources Used to Compile this Document

The following sources are referenced within or were used as a resource to create this document.

Beaver, Kevin & Herold, Rebecca, (2004). The Practical Guide to HIPAA Privacy and Security Compliance. CRC Press LLC.

Minnesota Government Data Practices Act, Overview, Updated July 2010. Website: hhs.gov; HITECH updates, Summary of Privacy and Security Rules, etc. Website:http://www.hhs.gov/ocr/privacv/hinaa/understandincilcoveredentities/hitech act.pdf; HITECH Act

Website: http://ecfrcipoaccess.clov/ccii/t/text/text-idx?c=ecfr&sid=13b1d095dc07d04cee8de60554d44a26&rqn=div5&view=text&node=451.0.1.3.73&idno=45#45:1.0.1.3.73.5.27.6; Electronic Code of Federal Regulations, Title 45, Part 164 (HIPAA).

Sibley County: HIPAA Policies and Procedures, Administrative Forms, 2004.

Washington University in St. Louis, HIPAA Privacy Policies, Procedures, and forms; updated 2003-2010; website and links: https://secpriv.wusm.wustl.edu/privacv/HIPAA%20Privacv%20Policies/Forms/Alllt ems.aspx

HIPAA Privacy Rule (45 CFR Part 160 and Subparts A and E of Part 164)

The Minnesota Government Data Practices Act

The Minnesota Health Records Act

Addendum B - Lifeworks HIPAA Security Rule Policies

Purpose

This Lifeworks HIPAA Security Rule Policy specifically focuses on protecting the confidentiality, integrity, and availability of electronic protected health information (ePHI).

Confidentiality is the assurance that ePHI data is shared only among authorized persons or organizations.

Integrity is the assurance that ePHI data is not changed in an unauthorized way. Most important to HIPAA, data integrity ensures that Lifeworks can rely on the accuracy of the data.

Availability is the assurance that systems responsible for delivering, storing, and processing ePHI data are accessible by authorized persons when needed under both routine and emergency circumstances.

Scope

All Lifeworks Personnel are responsible for being aware of and complying with these policies. **"Lifeworks Personnel"** means paid and unpaid staff (including employees and contractors), volunteers, student interns, and other persons who work for or on behalf of Lifeworks. **"Lifeworks Security Procedures"** means the various procedure documents referenced in these Lifeworks HIPAA Security Rule Policies.

Effective Date

Lifeworks Security responsibilities have been in effect since April 2003, the latest update is August 8th, 2022.

Expiration Date

Lifeworks HIPAA Security Rule Policies has no expiration date. They will remain in effect until amended or replaced.

Policy Owner

The Director of Operations is assigned the responsibility of overseeing the Lifeworks HIPAA Security Rule Policies. Enforcement of these policies and subsequent procedures is managed by the Lifeworks Information Security Office (LISO). Please direct questions regarding these Policies to:

Director of Operations
Lifeworks Services
6636 Cedar Ave S, Suite 250
Richfield, MN 55423

Introduction

HIPAA regulations cover both security and privacy. Security and privacy are distinct, but related.

- The **HIPAA Privacy Rule** focuses on the use and disclosure of individuals' health information, called "protected health information" or "PHI", by organizations subject to the Privacy Rule, such as Lifeworks. It also establishes rights of an individual to control the use of his or her personal information. The Privacy Rule covers the confidentiality of PHI in all formats including electronic, paper and oral. Confidentiality is an assurance that the information will be safeguarded from unauthorized disclosure. Lifeworks

policies and procedures governing the use and disclosure of PHI are set forth in ***Lifeworks Privacy Policies.***

- The HIPAA Security Rule focuses on administrative, technical, and physical safeguards specifically as they relate to electronic PHI (ePHI). Protection of ePHI data from unauthorized access, whether external or internal, stored or in transit, is all essential to the Security Rule.

Policy
Administrative Safeguards
Security Management Process
Risk Assessment
The Lifeworks Quality and Compliance Manager, in collaboration with the Director of Operations, shall establish procedures for and perform a Security Risk Assessment. The Security Risk Assessment shall include an accurate and thorough assessment of the potential risks and vulnerabilities to ePHI held by Lifeworks. The Risk Assessment shall be documented and identified risks mitigated by Lifeworks to the best of its abilities within the reasonable constraints of cost, staff, technical infrastructure, hardware, and software capabilities.
As part of the Security Risk Assessment, the Lifeworks Quality and Compliance Manager, in collaboration with Lifeworks department managers, shall perform system specific risk assessments of selected individual critical systems containing ePHI. These risk assessments shall be documented and shall provide a baseline for subsequent reviews.
Data owners shall assist with the Security Risk Assessment. On a continuing basis, the Lifeworks Quality and Compliance Manager shall implement a procedure to identify ePHI systems or categories of systems that warrant assessment by data owners who store, access, transmit, or receive electronic Protected Health Information (ePHI). Data owners shall review all systems and applications with ePHI for which they are responsible and evaluate their vulnerabilities to threats as outlined by Information Technology (IT). Analysis must be done to determine what technical, physical, and administrative safeguards are required and how best to implement those safeguards. In performing this analysis, data owners shall utilize procedures developed by the Lifeworks Quality and Compliance Manager.
Risk Management
Risks identified in the risk assessment process shall be added to the Lifeworks Enterprise Risk Management Plan. Threshold values shall be determined that indicate the severity of the indicator based on the recorded value. These indicators shall be updated periodically and audited by the Lifeworks Quality and Compliance Manager.
Risks identified and added to the Lifeworks Enterprise Risk Management Plan shall be reviewed by the Lifeworks Executive Team.

Sanctions
Lifeworks will take disciplinary action against any Lifeworks Personnel who violates the Lifeworks Security Policy or any related procedures. Disciplinary action may include termination of employment and reports to the proper authorities. The sanctions are determined by the severity of each individual violation, potential violation, and breach regarding PHI.

Information System Activity Review

The Lifeworks Information Security Office (LISO) has developed systems and procedures to identify, track, and periodically audit ePHI Systems for compliance with all applicable laws, regulations, and Lifeworks policies and procedures including all HIPAA regulations. In addition, LISO maintains criteria for use in reporting aimed at identifying activity that deviates from HIPAA requirements.

Activity Review Scope

LISO will implement these procedures to review records of information system activity. LISO will work with system owners and administrators to ensure that compliance is achieved, and will examine the procedures used to review system logs.

In particular, LISO's activity review process includes audits of system activity logs and reports. This process may include a review of the following types of system activity information either as a full review, as a spot check, or sampling:

- Review of Security Incidents Response reports
- System user privileges grants and changes logs
- User-level system access logs
- User level system activity logs
- User level transaction log reports
- Exception reports

Workforce Security

Lifeworks has adopted access establishment and modification procedures to ensure that all members of the workforce, including Lifeworks Personnel, have appropriate access to ePHI and do not have unnecessary or inappropriate access. This includes procedures to ensure workforce members that work with, or have access to, ePHI are appropriately authorized and supervised. Lifeworks will use its **Minimum Necessary Use and Disclosure of PHI** policy, one of its HIPAA Privacy Policies, and other policies as appropriate, as the basis for the type and extent of authorized access to ePHI.

Lifeworks Personnel shall not be allowed access to ePHI or to areas where ePHI might be accessed until proper authorization is granted. Only authorized Lifeworks Personnel, who have a need for specific information in order to fulfill their respective job responsibilities, shall be authorized to access ePHI or areas where ePHI might be accessed.

To ensure that workforce access to ePHI is appropriate, each supervisor shall review the access levels of his or her staff on a periodic basis and make revisions as necessary. Lifeworks maintains procedures to terminate access to ePHI when access to ePHI is no longer appropriate, including when the employment or engagement of Lifeworks Personnel ends.

Information Access Management

The Lifeworks IT department is responsible for systems that collect, maintain, use or transmit ePHI and will grant access to system users following a formal request made by the supervisor of the specific user and/or data owner. Access to the system(s) will

be limited to specific, defined, documented and approved applications and levels of access rights.

Access Authorization

Requests for granting workforce access to ePHI or systems that contain ePHI must be authorized by the supervisor of the specific user and/or data owner.

Access Establishment and Modification

Once a supervisor has authorized and approved access of Lifeworks Personnel to ePHI or systems that contain ePHI, the supervisor shall make a formal request to the Lifeworks IT department. The Lifeworks IT department will then grant access as authorized. Access to the system(s) will be limited to specific, defined, documented and approved applications and levels of access rights.

When a Lifeworks Personnel member's access to ePHI or systems that contain ePHI must be modified (including increases, reductions, and terminations to access), the supervisor of the specific Lifeworks Personnel member and/or data owner shall notify the Lifeworks IT department of such modification. The Lifeworks IT department shall then modify the Lifeworks Personnel member's access rights as appropriate.

Security Awareness and Training

Lifeworks will train all Lifeworks Personnel who may have access to PHI/ePHI on the Lifeworks Privacy and HIPAA Security Rule Policies and related procedures. New Lifeworks Personnel who may have access to PHI/ePHI will be trained within one week of their start date and will not be given access to PHI/ePHI until they have received such training. Existing Lifeworks Personnel who may have access to PHI/ePHI will receive ongoing awareness training and will attend formal training at least annually. Lifeworks will document the training for which Lifeworks Personnel participate, including the date and topics of the training. Training may be general or targeted where necessary in response to known or discovered risks or vulnerabilities.

Anti-Phishing Technologies

Lifeworks will implement anti-phishing technologies, including examining and verifying that emails do not originate from known malicious sites, and blocking emails as appropriate. As part of Lifeworks ongoing assessment of risks and vulnerabilities it will also scan systems for potential threats and remove them if necessary.

Security Reminders

Lifeworks will provide HIPAA training to all Lifeworks Personnel who have access to PHI and ePHI. Training will be conducted regularly and will include regular security reminders. Staff will be updated regarding changes to Lifeworks Privacy and HIPAA Security Rule Policies, and new or updated state and federal regulations.

Security Incident

A "Security Incident" is defined as an attempted or successful unauthorized access, use, disclosure, modification, or destruction of information or interference with a Lifeworks system (including but not limited to hardware, software, and data applications). (45 CFR 164.304) All incidents, threats, or violations that affect or may affect the confidentiality, integrity, or availability of ePHI are considered Security Incidents.

Security Incidents must be reported to the Lifeworks Information Security Office (LISO) as soon as discovered. Lifeworks maintains procedures for the reporting, processing, and responding to suspected or known Security Incidents so that Lifeworks may investigate, mitigate, and report such Security Incidents as appropriate. All Lifeworks Personnel shall be trained on these Security Incident policies.

Contingency Plan

LISO will establish (and implement as needed) procedures for responding to an emergency or other occurrence (for example, fire, vandalism, system failure, and natural disaster) that damages systems that contain ePHI. The Contingency Plan policies and procedures will include a Data Backup Plan, a Disaster Recovery Plan, an Emergency Mode Operation Plan, a Testing and Revision Procedure, and an Applications and Data Criticality Analysis. specifications for ensuring access for authoirzed users including Unique User Identification

Evaluation

Lifeworks will evaluate the technical and non-technical implementations of its HIPAA Security Rule Policies and procedures. This evaluation will be completed annually and on an "as needed" basis. The purpose of this evaluation will be to determine the effectiveness of the policies as well as to ensure compliance with state and federal regulations such as HIPAA.

In addition, an evaluation will be commenced when any of the following events occur:

- There is a change to any state or federal regulation that may affect the HIPAA Security Rule Policies
- There is a new state or federal regulation that may affect the HIPAA Security Rule Policies
- Lifeworks experiences an environmental or operational change that may affect the security of ePHI
- There has been a significant breach of security or other security incidents within Lifeworks
- Any other time the Quality and Compliance Manger determines there is a need to evaluate the HIPAA Security Rule Policies

Business Associates Agreements

Lifeworks shall enter into a written agreement with any person or entity ("Business Associate") that performs functions or activities on behalf of, or provides certain services to, Lifeworks that involves access to PHI. These written agreements ("Business Associate Agreements") shall ensure that the Business Associate will appropriately safeguard PHI and shall clarify and limit, as appropriate, the permissible uses and disclosures of PHI by the Business Associate. Lifeworks requires all Business Associate Agreements to be modified with Addendums or revised for compliance with the HIPAA Security Rule.

Physical Safeguards

Facility Access Controls

Lifeworks maintains policies and procedures to limit the physical access to its electronic information systems and the facilities in which they are housed, while ensuring that properly authorized access is allowed.

Lifeworks will allow authorized facility access in support of restoration of lost data under the Disaster Recovery Plan, Emergency Plan, and Contingency Operations Plan in the event of an emergency.

Facility Security Plan

Lifeworks safeguards the facilities (including the equipment present in all such facilities) and premises that house systems that maintain ePHI from unauthorized physical access, tampering and theft.

Lifeworks controls and validates a person's access to facilities based on their role or function, including visitor control and control of access to software programs for testing and revision.

Maintenance Record

The Director of Operations identifies the physical components that are essential to security. The Director of Operations must oversee any security-relevant physical repair or modifications. A maintenance record must be created for each repair or modification made to the physical site, facility, or building. Such information must be securely stored.

Workstation Use

Lifeworks is committed to maintaining high workstation security standards for all of its workstation locations. All users of Lifeworks information resources are expected to utilize such resources in a responsible, ethical, and legal manner consistent with Lifeworks policies. Lifeworks electronic resources may not be used to damage, impair, disrupt, or in any way purposefully, recklessly, or negligently damage Lifeworks networks or computers or external networks or computers.

Emails and databases that include ePHI may be accessed only by authorized Lifeworks Personnel. Lifeworks Personnel are permitted to access Lifeworks systems using remote access. Lifeworks Personnel are permitted to use personally owned technology personal computers to access Lifeworks systems that contain ePHI, including email, through a secure remote access gateway. Lifeworks Personnel are not permitted to use personally owned smartphones or tablets to access Lifeworks systems that contain ePHI, including email.

Lifeworks requires reasonable physical safeguards be implemented for all workstations and other electronic devices that access, collect, maintain, use or transmit ePHI, including personal computers. Physical safeguards should reasonably prevent the theft of or unauthorized access to electronic devices that access, store, or transmit ePHI. Physical safeguards required for all electronic devices include:

- Unique user identification that requires users log-in with unique passwords;
- Automatically logging users off when they leave a computer for an extended period of time;
- Using and continuously updating antivirus software;
- Utilizing encryption and decryption; and
- Identifying all of the workstations that may be used to access ePHI (laptops, desktop computers, personal devices) and tracking usage.

Device and Media Controls

Lifeworks will monitor and track the receipt and removal of hardware and electronic media that contain ePHI into and out of a facility, and the movement of these items within a facility.

Media Reuse and Disposal

Prior to disposal of hardware or media that contains or previously contained ePHI, the IT department will securely overwrite all of the data or the device and/or media will be physically destroyed.

Prior to reuse of hardware or media that contains or previously contained ePHI, the IT department will take appropriate steps to erase all data. For example, when a Lifeworks Personnel member leaves Lifeworks, their computer must be re-imaged before being assigned to a new employee.

The IT department will document the steps taken in compliance with this media reuse and disposal policy.

Technical Safeguards

Access Controls

The IT department will grant access to system users following a formal request made by the supervisor of the specific user and/or data owner. Access to the system(s) will be limited to specific, defined, documented, and approved applications and levels of access rights.

Every user of systems holding or using ePHI shall have a unique user name and password to allow Lifeworks to identify and track user access. When an electronic session has become inactive for a designated period of time, the session is automatically terminated. To restart a session, users are required to sign in using their username and password.

Lifeworks maintains policies and procedures to ensure that ePHI is accessible by approved Lifeworks Personnel in an emergency situation in which normal access to systems and ePHI is not available. Emergency situations include, but are not limited to, fire, vandalism, terrorism, system failure, natural disaster, or other situations in which there is a loss of or damage to data and systems containing ePHI.

Audit Controls

Lifeworks will identify critical systems that require event auditing capabilities and will implement auditing mechanisms on such systems. At a minimum, event auditing capabilities will be enabled on all systems that process, transmit, and/or store ePHI. Events to be audited may include, and are not limited to, logins, logouts, and file accesses, deletions, and modifications.

Integrity Controls

Lifeworks requires that critical ePHI be protected against unauthorized alteration or destruction. Lifeworks will maintain integrity controls to ensure the validity of information used, stored, and disclosed by Lifeworks.

Authentication

To ensure that all individuals or entities that access ePHI have been appropriately authenticated, procedures must be implemented that address the following:

- Lifeworks Personnel seeking access to any network, system, or application that contains ePHI must satisfy a user authentication mechanism such as unique user identification and password, biometric input, or a user identification smart card to verify their authenticity;

- Lifeworks Personnel seeking access to any network, system, or application must not misrepresent themselves by using another person's User ID and Password, smart card, or other authentication information;

- Lifeworks Personnel are not permitted to allow other persons or entities to use their unique User ID and password, smart card, or other authentication Information; and

- A reasonable effort must be made to verify the authenticity of the receiving person or entity prior to transmitting ePHI.

Transmission Controls

Transmission Integrity

Lifeworks will maintain integrity controls to ensure the validity of information transmitted over the network infrastructure.

Lifeworks determines the types of information that require technical security measures to guard against unauthorized access when such information is being transmitted over open and other networks. This information includes, but is not limited to ePHI. Lifeworks will determine the types of integrity controls to implement to secure ePHI transmitted over open and other networks. The IT department shall be responsible for implementing such controls.

Transmission Encryption

Lifeworks will:

- Use encryption and decryption as much as possible to protect data;

- Encrypt all outbound emails containing a Social Security Number;

- Use next-generation firewall(s) to secure the corporate network; and

- Deploy Intrusion Prevention Systems (IPS).

Rights and Responsibilities

All Lifeworks Personnel, as defined in Scope, are responsible for being aware of and complying with these policies. Specific duties for implementing these policies can be found in the corresponding Security Processes and Procedures. Non-compliance with these policies will result in disciplinary actions as detailed in the Disciplinary Actions Policy. There are both civil and criminal penalties for failure to comply with HIPAA regulations.

Lifeworks retains any policies, procedures, and other security program documentation for six (6) years from the date when it was last in effect. Lifeworks will make this policy available to anyone who is responsible for implementation and will review and update it periodically and in response to environmental or operational changes affecting the security of ePHI.

Resources

Beaver, Kevin and Herold, Rebecca, (2004). The Practical Guide to HIPAA Privacy and Security Compliance. CRC Press LLC.

http://www.h hs.gov/ocr/privacy/h paa/u nde rsta nd i ng/srsu m m a ry.htm I

http://www.creig hton.edu/doit/policies/hipaa/index.php

http://po I icies.georgetown.ed u/h paa/sections/secu rity/62953.htm I

http://hipaa.yale.edu/security/index.html#policyandguidelines

Addendum C - Corporate Compliance and Ethics Policy

Purpose
The successful business operation and reputation of Lifeworks is built upon principles of lawful behavior, fair dealing and ethical conduct. This policy is intended to reflect the commitment of Lifeworks to comply with all applicable laws, rules, regulations and standards; to conduct business in an ethical manner, in accordance with the letter, spirit, and intent of the law; and to refrain from any illegal, dishonest, or unethical conduct.

Scope
This policy applies to all employees, officers, Board members, contractors, volunteers, business associates, and other stakeholders ("Personnel").

Policy
Lifeworks is dedicated to the delivery of services to individuals with disabilities using the highest standards of accountability for service delivery, administration, business marketing, and financial management. In order to achieve these goals and to be a good corporate citizen, maintain and enhance its reputation, satisfy the requirements of certifying agencies, be a good business partner and avoid exposure to liabilities, Lifeworks and its Personnel will, in good faith and to the greatest extent possible, conduct Lifeworks business so as to:

- meet or exceed high standards of business ethics;
- comply with all applicable federal, state, and local laws, rules, and regulations;
- comply with all contractual requirements to which it has agreed;
- meet or exceed all standards and best practice guidelines applicable to its business; and
- prevent and detect fraud, fiscal mismanagement, and misappropriation of funds.

Compliance and Ethics Program
In furtherance of the above objectives, Lifeworks will maintain (and devote sufficient resources to implement, promote, and enforce) a Corporate Compliance and Ethics Program reasonably intended to:

- identify and understand the requirements of laws, rules, regulations, contracts, and standards applicable to the business of Lifeworks (the "Requirements");
- document standards of conduct, internal controls, plans, and mechanisms reasonably calculated to comply with (and prevent and detect violations of) the Requirements;
- assign responsibility for overseeing compliance and ethics matters consistent with this Policy;

- prevent delegation of substantial discretionary authority to individuals with a history of engaging in illegal activities or other conduct inconsistent with an effective compliance and ethics program;
- effectively and regularly communicate (through practical and clear communications) Lifeworks ethics and compliance policies, disciplinary standards, and procedures to all affected Personnel;
- ensure that all affected Personnel are trained on corporate compliance, including the role of the Compliance Officer and the organization's procedures for addressing allegations of fraud, waste, abuse, and other wrongdoing;
- utilize ongoing monitoring, internal auditing, and reporting procedures to detect misconduct and periodically evaluate effectiveness of the Compliance and Ethics Program;
- consistently enforce disciplinary measures and provide incentives to perform in accordance with the Compliance and Ethics Program;
- prevent fraud, waste, and abuse;
- provide all notifications of policies required by law;
- reduce the likelihood of violations and civil and criminal liability;
- provide means for immediate reporting and investigation of questionable activities and practices without consequence to the reporting party;
- provide prompt, effective, and appropriate responses to inappropriate business practices, misconduct, and non-compliance (both specific instances and systemic shortcomings), take steps to prevent recurrence and correct any situations which put individuals served, the organization, its staff, or funding sources at risk;
- providing a structure to maximize the right of confidentiality under the attorney-client privilege; and
- reinforce the commitment of Lifeworks to comply with the Requirements and the expectation that all Personnel will operate in an environment of honesty, integrity, and high ethical standards.

Rights & Responsibilities

The penalties for violating the Requirements and this Policy, even unintentionally, can be extremely high for Lifeworks and potentially for those involved in the violation. Accordingly, compliance with this Policy and the Compliance and Ethics Program will be the responsibility of all employees, as well as all directors, Board members, officers, volunteers, and contractors.

The Board will be responsible to understand the content and operation of the Compliance and Ethics Program and to exercise reasonable oversight as to both its implementation and its effectiveness.

The Chief Executive Officer (CEO) will have overall responsibility for enterprise-wide compliance, ethics, and business practices. The CEO has designated the Quality and Compliance Manager to serve as the Corporate Compliance Officer and to coordinate management of the Compliance and Ethics Program, monitor matters pertaining to corporate compliance, conduct corporate compliance risk assessments, and report on matters pertaining to corporate compliance.

The members of the Executive Leadership Team will be responsible for assuring the implementation of the Compliance and Ethics Program in their respective management areas.

The Corporate Compliance Officer will provide and coordinate training of personnel relative to corporate compliance, and the organization's procedures for:

- addressing allegations of wrongdoing;
- cooperating with internal and external audit functions to facilitate corporate compliance; and
- reporting misconduct of the CEO or other high-level managers directly to the Board of Directors.

Disregarding or failing to comply with this Policy and the Compliance and Ethics Program could lead to disciplinary action, up to and including, possible termination.

Reporting

At least once per year, the Corporate Compliance Officer will report on the implementation and effectiveness of the Compliance and Ethics Program to the Board.

To promote open lines of communication between the Corporate Compliance Officer and others responsible for governance and management of the organization, the Corporate Compliance Officer will:

1. Schedule regular meetings (at least semi-annually) with the Chair of the Audit and Investment Committee;
2. Schedule regular meetings (at least quarterly) with the President and CEO;
3. Prepare and provide to the executive leadership team a quarterly report detailing the implementation and effectiveness of the Compliance and Ethics Program and recommendations for improvements to that program; and
4. Raise issues involving non-compliance for discussion and resolution by management, with authority to escalate such issues to the Chair of the Audit and Investment Committee and ultimately to the Chair of the Board, as reasonably necessary to achieve compliance with this Policy.

Resources

CARF Accreditation Handbook
Fraud, Waste and Abuse Policy from the State of Minnesota
Deficit Reduction Act of 2005
Lifeworks Whistleblower Policy
Lifeworks Employee Handbook
Lifeworks Emergency Preparedness Plan Process
Lifeworks Internal Review Procedure

Responsible Committee	Audit and Investment
Responsible Staff	Chief Operating Officer

Committee Approval Date	April 8, 2021
Board Approval Date	April 15, 2021

Addendum D - Fraud, Waste and Abuse Policy

Purpose
In addition to general legal compliance, Lifeworks must always ensure that conduct does not violate applicable fraud and abuse laws, including the federal and state False Claims Act, as well as section 1902(a)(68)(A) of the Social Security Act. These laws help prevent and detect fraud, waste, and abuse in the public health care programs that support services and benefit the public and the people Lifeworks serves by ensuring public programs pay for legitimate and quality health and social services.

Scope
This policy applies to all employees, officers, Board members, contractors, volunteers, business associates, and other stakeholders ("Personnel").

Policy
It is the Policy of Lifeworks that all Personnel will comply with applicable laws and best practice respecting the prevention, detection and reporting of fraud, waste and abuse in connection with Lifeworks programs and the provision of services to people served by Lifeworks.

In particular, no Lifeworks Personnel shall engage in (or assist others to engage in) any of the following prohibited practices:

- Submitting false or misleading claims to the government or to a third party or other payer. This would include submitting claims for services that were not actually provided, claims which characterize the service differently than the service actually provided, or claims which do not otherwise comply with applicable billing rules.
- Making false representations to any person or entity to obtain payment for any service or to gain or retain participation in a program. All communication with government and third party or their payers must be truthful and accurate. Lifeworks receives government money – all time cards, time studies, attendance records, and other applicable documentation must be filled out accurately.
- Failing to properly document service provided.
- Offering anything, in cash or in kind, to obtain or encourage referrals. Any arrangement, contract, gift, or social engagement with anyone who may be a referral source (such as a case manager) must be approved by the President of Lifeworks or Chief Operating Officer.

- Offering anything, in cash or in kind, to any potential or current individual we serve to influence the individual to attend a program or otherwise receive services from Lifeworks.

In addition, all Personnel shall promptly report any suspected violations of these prohibitions to the Corporate Compliance Officer and shall cooperate with any investigations of such matters by the Corporate Compliance Officer and legal counsel.

Rights & Responsibilities

The penalties for violating this Policy, even unintentionally, can be extremely high for Lifeworks and potentially for those involved in the violation. Accordingly, compliance with this Policy will be the responsibility of all employees, as well as all directors, Board members, officers, volunteers, and contractors.

The Board will be responsible to understand the content of this Policy and exercise reasonable oversight.

The Corporate Compliance Officer (as designated in the Corporate Compliance and Ethics Policy) will have overall responsibility for the implementation and administration of this Policy and who will have direct reporting to the CEO and/or Board of Directors (as described below) with respect to matters relating to this Policy.

The members of the Executive Leadership Team will be responsible for assuring the implementation of this policy in their respective management areas.

The Corporate Compliance Officer will: (1) provide and coordinate training of personnel relative to the organization's procedures for addressing allegations of fraud, waste, abuse and other wrongdoing; (2) investigate all reports of violations of this Policy; (3) as required by law (and with advice of counsel, as appropriate) report any violations of this Policy to appropriate authorities; and (4) have authority and ability to report violations of this Policy by the CEO or other high-level managers directly to the Board of Directors.

At least once per year, the Corporate Compliance Officer will report to the Board any substantiated fraud, waste, or abuse situations and prepare and submit reports to the DHS Office of the Inspector General (OIG) as required by law.

In accordance with Minnesota Statutes 256B.4912, subd. 11, Lifeworks will maintain documentation that upon employment and annually thereafter, staff providing a service have attested to reviewing and understanding the following statement: "It is a federal crime to provide materially false information on service billings for medical assistance or services provided under a federally approved waiver plan as authorized under Minnesota Statutes, sections 256B.0913, Section 256B.092 and 256B.49. Disregarding or failing to comply with this Policy could lead to disciplinary action, up to and including, possible termination.

Resources
CARF Accreditation Handbook
Fraud, Waste and Abuse Policy from the State of Minnesota
Deficit Reduction Act of 2005
Employee Handbook
Internal Review Procedure

Responsible Committee	Audit and Investment
Responsible Vice President	Finance
Committee Approval Date	April 8, 2021
Board Approval Date	April 15, 2021

Addendum E - Drug and Alcohol-Free Workplace Policy

Purpose and Scope of Coverage

Lifeworks values its employees and people served and recognizes the need for a safe, productive and healthful work environment. Employees who abuse drugs and/or alcohol are less productive, less dependable and pose a potential threat to the safety, security and welfare of the Company and its employees, people served and vendors as well as the general public. The establishment of a Drug and Alcohol-Free Workplace Policy is consistent with the organization's desire to provide a safe and productive work environment for our employees.

Accordingly, it is the policy of Lifeworks to maintain a workplace free from the use and abuse of drugs and alcohol. Lifeworks will require that all employees and applicants participate in, consent to and comply with the terms of this Policy as a condition of employment and continued employment. If questions arise regarding this policy, please direct them to the human resources department. This policy is effective as of June 1, 2006.

This policy covers all regular employees of Lifeworks. This policy, by its terms, also covers applicants insofar as such applicants, after a conditional offer of employment has been made, are required to consent and submit to a pre-employment drug test. Applicants, however, are not entitled to participate in any benefit program that may be offered by Lifeworks to its employees.

Definitions

"Drug" or "Chemical" means a controlled substance as defined in applicable state and federal law. The term "drug" includes but is not limited to cocaine, opiates, amphetamines and phencyclidine (PCP). The term "drug" does not include the use of a drug obtained and taken under supervision by and in accordance with prescriptions or other instructions issued by a licensed health care professional and other drugs otherwise authorized to be used under applicable state and federal law.

"Under the influence of alcohol" means (1) the presence of alcohol in the individual's system which equals or exceeds a blood alcohol content (BAC) of .04; or (2) behavior, appearance, speech, or bodily odors that lead a supervisor or manager to reasonably suspect that the employee is impaired by alcohol during working time or on Lifeworks premises.

"Under the influence of drugs or chemical's" means (1) the presence of any detectable amount of an illegal drug or its metabolites demonstrated by a confirmed positive drug test result, or (2) behavior, appearance, speech, or bodily odors that

lead a supervisor or manager to reasonably suspect that the employee is impaired by illegal drugs or is using illegal drugs during working time or on Lifeworks property.

"During working time" means time during which the employee is being paid to work for or represent Lifeworks or the employee is in fact representing the Lifeworks interests. The term also includes all paid break and meal periods.

Testing

Lifeworks reserves the right, within the limits of federal and state laws, to examine and test for the presence of drugs and/or alcohol. Under the conditions of this policy, applicants or employees may be asked to submit to a medical examination and/or submit to urine, saliva, breath and/or blood testing for drugs and/or alcohol. Testing of employees will normally occur immediately before, during, or immediately after the person's regular work period. Lifeworks may test for drugs and/or alcohol in the following circumstances:

Job Applicant Testing

Lifeworks makes all offers of employment subject to and conditioned on the applicant's: (1) consent to taking a drug test; and (2) a negative test result. Applicants will be required to voluntarily submit to drug testing and sign an Acknowledgement and Consent to Test form. Applicants are not tested for marijuana unless required for federal Department of Transportation certifications. If the tests are positive or if the applicant refuses to undergo testing (including an adulterated or substituted test result), the conditional offer of employment will be withdrawn.

Lifeworks will not withdraw a conditional offer of employment based on a positive test result from an initial screening test that has not been verified by a confirmatory test. If the job offer is withdrawn Lifeworks will inform the job applicant of the reason for its action.

Reasonable Suspicion Testing

Lifeworks will test an employee for drugs and/or alcohol when a supervisor and/or manager has reasonable suspicion that the employee: (1) is under the influence of drugs or alcohol; (2) has violated Lifeworks written work rules prohibiting the use, possession, sale or transfer of drugs or alcohol while employees are working or while employees are on Lifeworks premises or operating Lifeworks vehicles, machinery or equipment; (3) has sustained a personal injury, or has caused another employee to sustain a personal injury that requires medical treatment by a healthcare professional or results in lost work time, and such injuries are arising out of and in the course of employment; or (4) has caused a work-related accident or was operating or helping to operate machinery, equipment or vehicles involved in a work-related accident (covered vehicles include both Lifeworks owned/leased vehicles as well as personal vehicles used for work purposes, such as transporting people served and/or trips eligible for mileage reimbursement from the Lifeworks). Reasonable suspicion means a basis for forming a belief based on specific facts and rational inferences drawn from those facts. Reasonable suspicion will be documented and will not be based on rumor or speculation.

Treatment Program Testing

All employees referred by Lifeworks for substance abuse treatment or evaluation will be required to sign a Return-to-Work Agreement and be subject to unannounced follow-up testing. Specifically, all referred employees will be subject to unannounced testing for the use of drugs and/or to testing for alcohol use provided such alcohol testing is job-related and consistent with business necessity. Follow-up testing applies during the evaluation or treatment period and for up to two (2) years following the completion of any prescribed treatment program. Follow-up testing may include a return-to-duty test on which the employee must provide a negative test result before returning to their job duties.

Procedural Requirements

Notice of Testing Policy

Before requesting a drug and/or alcohol test, Lifeworks will provide the employee or applicant with an "Acknowledgment of Receipt of Policy and Consent to Testing" form on which the employee or applicant can acknowledge that he or she has received and seen the Lifeworks Drug and Alcohol Free Workplace Policy.

Test Refusal

An employee or applicant has the right to refuse testing. However, a refusal to test will be treated as a failure to comply with Lifeworks Policy and may result in withdrawal of a conditional job offer or disciplinary action up to and including termination of employment.

Notice of Negative Test Results

Within three (3) working days after receipt of a negative test result from the testing laboratory, Lifeworks will inform an applicant or employee, in writing, of: (1) the negative test result on the initial screening test or the confirmatory test; and (2) the right to request and receive a copy of the test result report. The Notification of Negative Drug and/or Alcohol Test Result form should be used for this purpose.

Notice of Positive Test Results

Within three (3) working days after receipt of a confirmed positive test result from the testing laboratory, Lifeworks will inform an applicant or employee, in writing, of: (1) the positive test result on the confirmatory test; (2) the right to request and receive a copy of the test result report; (3) the right to explain the positive result (described below in "Explaining Positive Test Results"); (4) the right to request a confirmatory retest of the original sample, at their own expense; and (5) the applicable adverse employment action. The Notification of Confirmed Positive Drug and/or Alcohol Test Result form should be used for this purpose.

Explaining Positive Test Results

Within **three (3) working days** after notice of a positive drug or alcohol test result on a confirmatory test, the employee or applicant may submit information to Medical, request the lab conduct a confirmatory retest or arrange for transfer of the sample to the laboratory selected by the individual to perform the confirmatory retest, provided that the laboratory selected must be licensed in accordance with applicable state law. Lifeworks may request the employee or applicant indicate any over the counter or prescription medication he or she is currently taking, or has recently taken, as well as

any other information relevant to the reliability of, or explanation for, the positive test result.

Confirmatory Retest

In the event of a confirmed positive test for drugs or alcohol, an employee or job applicant may request a confirmatory retest of the original sample, at their own expense. Within **five (5) working days** of receiving notice of a confirmed positive test result, the employee or applicant must make this request and notify Lifeworks, in writing, of the intention to obtain a confirmatory retest.

Upon receipt of the individual's written request for a confirmatory retest, Lifeworks will notify the original testing laboratory that the employee or applicant has requested that the lab conduct a confirmatory retest or arrange for transfer of the sample to the laboratory selected by the individual to perform the confirmatory retest, provided that the laboratory selected must be licensed in accordance with applicable state law. If the confirmatory retest does not confirm the original positive test, Lifeworks will not take adverse personnel action based on the original test.

Policy Prohibitions

All employees of Lifeworks are strictly prohibited from engaging in the following conduct during work time or on Lifeworks premises or property:

- bringing and/or storing (including in a desk, locker, automobile, or other repository) illegal drugs, drug paraphernalia or alcohol on Lifeworks premises or property, including Lifeworks owned or leased vehicles, in vehicles used for business purposes or a customer's premises;
- having possession of, being under the influence of, reporting to work under the influence of, or testing positive for illegal drugs or alcohol;
- using, consuming, transporting, distributing or attempting to distribute, manufacturing, selling or dispensing illegal drugs or alcohol;
- abusing prescription drugs, which includes exceeding the recommended prescribed dosage or using medications prescribed to someone else;
- substituting, adulterating or otherwise tampering with any specimen or sample collected under this Policy, or attempting to do so;
- refusing to submit to a drug or alcohol test or related medical/physical examination as requested by Lifeworks or its designee, or otherwise refusing to cooperate with the terms of this Policy. A refusal to test includes conduct that obstructs the testing process such as adulterating, substituting or otherwise tampering with a specimen (or attempting to do so) as well as failing to sign necessary paperwork, failing to report to the collection site at the appointed time and failing to be available for a Reasonable Suspicion or other required test;
- failing to consent to, participate in and abide by the terms and recommendations of any evaluation, treatment or rehabilitation program to which Lifeworks makes a referral, including but not limited to, failure to follow recommendations, if any, regarding behavior modification and abstinence as well as any failure to be available for any prescribed continuing or follow-up sessions;
- failing to advise a supervisor or manager of the use of any prescription or over-the-counter medication that may impair or adversely affect the employee's ability to perform the essential functions of his or her job; or

- failing to notify their supervisor before going to work if they believe that they are under the influence of drugs or alcohol.

Consequences for Policy Violations

Employees who engage in any of the prohibited conduct listed above are in violation of this Policy and are subject to discipline, up to and including termination, at the Company's sole discretion. The Company will not discharge an employee if the employee tests positive on a confirmatory test and the confirmed positive is the first such result under this Policy (i.e., a first-time positive). Instead, the Company will give the employee with a first-time positive an opportunity to participate in, at the employee's expense or pursuant to any coverage under an employee benefit plan, counseling or rehabilitation.

The Company may discharge an employee who refuses to participate in counseling or rehabilitation or has failed to successfully complete the program as evidenced by withdrawal from the program before its completion, or has a positive test result on a confirmatory test after completing the rehabilitation program.

The Company may temporarily suspend the tested employee or transfer that employee to another position at the same rate of pay pending the outcome of the confirmatory test and, if requested, the confirmatory retest; where the Company believes it is necessary to protect the health or safety of the employee, co-employees or the public. All positive initial tests *must* be verified by a confirmatory test before discipline is imposed or a conditional job offer is withdrawn.

Employee Assistance Program

The Company offers an Employee Assistance Program (EAP) for employees and their dependents. The EAP provides confidential assessment, referral, and short-term counseling for employees who need or request it. Any employee, through self-referral or through a referral source, can access the EAP. These EAP services are available to employees provided the Company's disciplinary rules have not been violated. Employees may not escape discipline, however, by first requesting EAP services after being selected for testing or violating the Company's policies and rules of conduct.

Nor will such requests or utilization of EAP services excuse employees from compliance with normal standards of performance or conduct. Information provided when accessing and utilizing EAP services will be kept confidential in accordance with any applicable federal and/or state law requirements.

Costs associated with this benefit may be covered by the employee's medical insurance plan; however, any costs not covered by the employee's medical insurance plan and which are not otherwise required to be paid by any applicable plan are entirely the employee's sole responsibility.

Confidentiality and Privacy

All drug test results are reported to the Company and will remain and be considered confidential. Results will only be disclosed within the Company on a need-to-know

basis and as allowed by law and retained in a secure location with controlled access. Information about an individual's medical condition or history obtained in connection with a drug or alcohol test will be kept in a file separate and apart from any personnel file. The release of an individual's drug test results and other information gained in the testing process will only be otherwise disclosed in accordance with an individual's written authorization or as otherwise required by applicable law.

A laboratory will only disclose to the Company the test result data regarding the presence or absence of drugs.

The Company will not disclose test result reports and other information acquired in the testing process to another employer, to a third-party individual, governmental agency or private organization without written consent of the individual tested, except that evidence of a positive test result on a confirmatory test may be used in relevant judicial, administrative, or arbitration proceedings; as required by federal law, regulation, or order; for the purpose of evaluation or treatment of the individual to a substance abuse treatment facility; or as otherwise authorized by law. Positive test results cannot be used as evidence in a criminal action against the individual tested.

The Company will attempt to ensure that all aspects of the testing process, including specimen or sample collection, are as private and confidential as reasonably practical. Employees or applicants will not be observed while providing a urine specimen unless there is reason to believe the individual has tampered with, adulterated, switched or attempted to tamper with, adulterate or switch a urine specimen.

Inspections

The Company reserves the right to inspect Company premises and property (including offices, desks, lockers and other repositories) where there is reasonable cause to believe that an employee has violated this Policy. This Policy will extinguish and eliminate any continuing expectation of privacy where reasonable cause exists to believe that there has been a Policy violation. Where reasonably practical, inspections will be conducted in the presence of the employee implicated in the potential Policy violation.

Acknowledgement

As a condition of employment, applicants and employees must sign an Acknowledgement form.

Reservation of Rights

This Policy supersedes and revokes any other the Company practice or policy relating to the use of drugs and alcohol in the workplace and drug and/or alcohol testing. The Company reserves the right to interpret and administer this Policy, and at any time and at its sole discretion, amend, supplement, modify, revoke, rescind or change this Policy, in whole or in part, with or without notice and with or without consideration. This Policy is not an express or implied contract of employment nor is it to be interpreted as such. Additionally, this Policy does not in any way affect or change the status of any at-will employee. At-will employees continue to be free to terminate their employment or resign from employment at any time and the Company continues to be free to terminate employee, with or without cause, with or without

notice, for any lawful reason or for no reason at all. Nothing in this Policy is a promise or guarantee or should be construed as a promise or guarantee that the Company will follow in any circumstances any particular course of action, disciplinary, rehabilitative or otherwise.

Addendum F - Information Technology Acceptable Use Policy

Purpose

The purpose of this policy is to define the general acceptable use of all Lifeworks information technology resources. Unacceptable use of information technology resources may expose Lifeworks, Lifeworks employees, and Lifeworks resources to risks such as legal issues, virus and malware attacks, compromised data and systems, and service unavailability. This document outlines the overall policy required to protect Lifeworks from risks and maintain the confidentiality, integrity, and availability of all information technology resources.

Scope

The covered Lifeworks information technology resources include, but are not limited to: servers, desktop computers, laptops, tablets, networks, data storage, telephones, cell phones, smartphones, voicemail, PDAs, hotspots, air cards, wireless access, printers, scanners, fax machines, copiers, and all other Lifeworks provided information systems and devices. This document supports and supplements other existing Lifeworks policies, standards, and guidelines.

Policy

It is Lifeworks policy to grant Lifeworks employees the use of Lifeworks information technology resources for the express purpose of supporting the organization's mission and the administrative functions of the organization. Lifeworks employees are advised that all communications, documents, software, and data created using Lifeworks resources are the property of Lifeworks.

Lifeworks Information Technology Resources

Lifeworks reserves the right to regulate the usage of Lifeworks information technology resources to promote efficient system performance and to ensure continuity and security of critical business functions.
Lifeworks reserves the right to log system activities, scan for anomalies and threats, and monitor equipment, systems, electronic communications, and network traffic for security and network maintenance purposes.
Lifeworks reserves the right to monitor and audit Lifeworks information technology resources at any time to ensure compliance with all Lifeworks policies and applicable laws. By using such resources, Lifeworks employee consent to such monitoring and auditing and acknowledge that they have no expectation of privacy in connection with their use of such resources.

Acceptable Use

- Acceptable use of Lifeworks information technology resources complies with all applicable laws, regulations, and Lifeworks policies.

Acceptable use shows respect for the privacy, rights, and property of others.
Acceptable personal use shows respect for the value of information technology resources and does not interfere with performance of duties or significantly consume resources. Lifeworks executives, managers, and supervisors determine permissible

personal use of Lifeworks systems for accessing the Internet and using email. If there is any uncertainty, employees should consult their supervisors or managers.

Unacceptable Use

- Use of Lifeworks information technology resources that is illegal under local, state, or federal statutes is unacceptable.

Use of Lifeworks information technology resources that violates any Lifeworks policies is unacceptable.
Use that is disrespectful, harassing, threatening, obscene, or invasive of privacy is unacceptable.
Personal use that unreasonably interferes with the performance of duties or the business activities of other users is unacceptable.

Email Standards

- Email communications on all Lifeworks Information Technology resources is owned by Lifeworks, therefore:
    a. Email is archived and purged according to Lifeworks Information Technology standards and procedures.
    b. Email messages that are records or contain records must follow the Record Retention Policy.

Use of Lifeworks email systems to create or transmit email messages that include harassing, obscene, or derogatory statements about Lifeworks employees, people served, or others is unacceptable.
Use of Lifeworks email systems to create or transmit email messages that contain any improper or offensive materials on such topics as race, gender, creed, color, religion, national origin, age, public assistance status, sexual orientation, veteran status, physical or mental disabilities, or any other category protected by law is unacceptable.

Internet Access Standards

- Lifeworks provides wired and wireless Internet access as a means to obtain information that will assist employees in the performance of job duties. Personal use of Lifeworks Internet access that is disruptive to the performance of Internet connections, interferes with performance of job duties, or impedes the business use of other employees is unacceptable.

Use of Internet access to download or install anything onto a Lifeworks information technology resource is unacceptable. If you believe you need to use software or applications available on the Internet, you will need to formally request the software from Information Technology.
All employees should be responsible when using Internet resources and should avoid using sites with high media content whenever possible.
Use of Internet access to download or attach any documents or files with a personal email account onto or from a Lifeworks information technology resource is unacceptable.
Use of Internet instant messaging sites or programs is unacceptable.
Lifeworks reserves the right to use content blocking software to restrict access to potentially harmful or disruptive websites, including video and music streaming sites and instant messaging sites.

Please see Network Standards section for further details about Wireless Internet access.

Social Media Standards

The Lifeworks Social Media standards found in this handbook must be followed at all times when engaging with social media websites on behalf of Lifeworks Services.

Network Standards

- Lifeworks information technology wireless access devices (hotspots, air cards, etc.) are intended for business use. Personal use of these devices is governed by Lifeworks policies.
- Connection of personal laptops, USB flash drives, portable drives, floppy disks, data CDs or DVDs, or any other personal device to the Lifeworks physical network is unacceptable use.

Use of personal devices (computers and laptops) to connect to the Lifeworks Citrix XenApp network using the Internet is not acceptable. Please see the Lifeworks Telework Policy for more details.

Lifeworks employees may use the Lifeworks guest wireless Internet access (where available) for personal use, if the personal use has been approved by a supervisor and Lifeworks IT and the personal use does not interfere with performance of job duties.

Citrix XenApp Standards

Citrix XenApp is a centralized and secure access gateway to Lifeworks systems shared by many users.

1. Use of Citrix XenApp for non-work-related purposes unnecessarily consumes Lifeworks resources and is unacceptable.
2. Use of the Lifeworks Internet connections outside of Citrix XenApp for viewing business related video, sound, or other website media content is acceptable.

Enforcement

Employees found to have violated this policy may be subject to disciplinary action in accordance with the Lifeworks Disciplinary Action policy, up to and possibly including termination of employment. All employees are advised that they should review Lifeworks Privacy Policies and HIPAA Security Rule Policies. These policies may provide further restrictions regarding acceptable use as it pertains to Lifeworks information technology resources.

Rights & Responsibilities

This policy applies to all Lifeworks employees, including employees, contractors, vendors, interns, volunteers, and all other persons who work for or on behalf of Lifeworks, who use Lifeworks information technology resources.

It is the responsibility of employees to know and understand Lifeworks policies and to adhere to the Lifeworks Code of Ethics when using Lifeworks information technology resources.

Addendum G - RESPONSE TO GOVERNMENT REQUESTS, INVESTIGATIONS, SEARCH WARRANTS, AND SUBPOENAS

Purpose

To assist Lifeworks staff in appropriately responding to requests from law enforcement agencies and government investigators and agents, including but not limited to information requests, search warrants and subpoenas.

Scope

This policy applies to Lifeworks and its affiliated entities and all Lifeworks staff.

This policy does not apply to subpoenas or court orders in civil court matters, nor does it apply to surveys conducted by state or federal employees related to licensing, accreditation or certification matters, or in response to client complaints. Additionally, this policy does not apply to situations where law enforcement officials seek to serve an arrest warrant; in those circumstances the Vice President of Human Resources should be notified immediately.

Definitions

Agent means a law enforcement or governmental agent or representative acting pursuant to a Search Warrant or Subpoena.

Search Warrant means a written court order that entitles law enforcement to search a defined area and seize property that is described in the search warrant or located in an area specifically identified as covered by the search warrant.

Subpoena means a court or administrative order issued by a government agency requiring a person to appear and testify in court or to an agency. Depending upon the issuing agency, it may be delivered personally, by mail, or by leaving it at the person's home or place of business.

Subpoena *Duces Tecum* means a Subpoena that directs a person to bring certain documents, such as medical records or business records, to court or to a government agency. In some cases, the person may be required to accompany the records and testify as a witness.

Policy

A. Lifeworks will cooperate with all law enforcement or government requests and investigations, while protecting the legal and privacy rights of the organization, its staff and people served. In order to ensure those protections and the proper conduct of any investigation, the Quality & Compliance Manager (with the advice and counsel of the General Counsel) shall oversee and direct, to the extent possible, the response to all government investigations, including but not

limited to Search Warrants, Subpoenas, and Subpoenas *Duces Tecum* involving an investigation related to business conducted at Lifeworks.

B. Lifeworks will not consent to a search unless a Search Warrant is presented and appears, on its face, to be valid. Lifeworks staff should not verbally or otherwise agree to a search in the absence of a Search Warrant.

C. Documents, computer files/media, etc. related to the investigation shall not be destroyed, hidden, or altered. The CEO, Quality & Compliance Manager or General Counsel should promptly issue a "records hold order" on such materials and keep such hold order in effect as long as the investigation is pending.

D. Any staff member who has knowledge that a Search Warrant or Subpoena relating to Lifeworks business has been served should keep the subject matter confidential and refrain from discussing the order or any related events with the press, other staff members, or any other individuals except those authorized by the Quality & Compliance Manager, the CEO or the General Counsel.

Procedure

A. Response to a Search Warrant

To the greatest extent practical under the circumstances, the following steps shall be taken by Lifeworks staff when presented with a Search Warrant at a Lifeworks facility:

1. Escort the Agent(s) presenting the Search Warrant to a conference room or private office in order to minimize disruption to people served and/or staff members.

2. Identify the Agent in charge. Ask for the following:

   a. A badge or other reliable identification. If there is reason to doubt the individual or the authenticity of the identification, call the relevant agency to confirm.
   b. A business card. (If a business card is not available, ask for the name, title, agency, and telephone number of the Agent.)
   c. A copy of the Search Warrant.
   d. A copy of the affidavit submitted to the court to obtain the Search Warrant. The Agent may refuse to provide the affidavit.
   e. The name and phone number of the prosecutor, if not indicated on the documents provided.

3. Immediately try to contact one of following Lifeworks officials (in order): Quality & Compliance Manager, CEO, General Counsel, any Vice President. Do not leave a voice mail or message. Rather make every possible effort to reach these officials. Provide the official you reach with all the information you collected in step # 2.

4. Notify the responsible manager or administrator for the entity or department to which the search warrant has been presented that Agents

are on the premises and that you have contacted the above official(s). The above official(s) and the responsible manager or administrator should make every effort to be present at the site when the search warrant is executed.

5. Inform the Agents that appropriate Lifeworks officials have been contacted and one or more is on the way. Politely ask the Agent in charge not to proceed until one of the above Lifeworks officials arrives. Do not consent to the search unless instructed to do so by the Quality & Compliance Manager, CEO or General Counsel.

6. If the Agent in charge is not willing to wait for one of the Lifeworks officials to arrive, document the refusal and the Agent's name. Reiterate to the Agent that Lifeworks is willing to cooperate with the search, but that you are prevented by policy from consenting to the search unless instructed to do so by the Quality & Compliance Manager, CEO or General Counsel. Then take the following steps to monitor the search:

   a. Carefully read the Search Warrant.
   b. Confirm that the Search Warrant is signed by a judge. If there is a discrepancy, notify the Agent in charge.
   c. Determine the area to be searched as noted in the Search Warrant, the type of evidence to be seized, and the time period/expiration. If there is any discrepancy between the scope of the Search Warrant and the search conducted by the Agents, notify the Agent in charge. Assist the Agents in retrieving only those documents that are the subject of the search.
   d. Identify the essential Lifeworks staff members that are knowledgeable and can assist in retrieving the documents, computer information, etc. Notify the Agent in charge that key employees will assist in order to minimize disruption of business.
   e. Advise essential staff members that the Agents may question them. Advise the staff that it is their choice whether they want to speak with an Agent and that they are not required to do so.
   f. Monitor the search, but do not impede or obstruct it.
   g. Assist the Agents in locating documents or other property as identified in the Search Warrant, but do not volunteer any documentation or information that is not specified in the Search Warrant.
   h. Attempt to record in detail all items that are seized, including the location where the items were found.
   i. If the Agents assign numbers to the rooms they search, record the numbering scheme.
   j. Request back-up copies of all documents, computer media, computer hard drives, etc. before the Agents seize them.
   k. If the Agents attempt to seize documents marked as "Attorney-Client Privileged" or "Attorney-Client Work Product" or other documents that appear to be outside the scope of the Search Warrant, notify the Agent in charge. Ask that the privileged materials be segregated and marked as "privileged."
   l. The Agent in charge will prepare an inventory of the items seized.

Ask for a copy of the inventory before the Agent leaves. DO NOT sign anything verifying the content or accuracy of the inventory.

m. Ask staff members not to discuss the Search Warrant or any related events with the press or with other staff members.

B. Response to a Subpoena or Contact by An Agent

It is possible that an Agent may arrive unannounced at a Lifeworks facility or at the homes of Lifeworks staff members to seek interviews or documents. If served with a Subpoena or otherwise requested to participate in an interview with an Agent that relates to business conducted at Lifeworks:

1. Immediately contact the Quality & Compliance Manager, the CEO and the General Counsel. Do not leave a voice mail or message.
2. Review your rights as provided in Addendum A.
3. The General Counsel or designated counsel will, with the support of the Quality & Compliance Manager, direct the response to the Subpoena *Duces Tecum* or other information request.

C. Response to a Subpoena *Duces Tecum*/Other Information Requests

a. If a Subpoena *Duces Tecum* or a request for information is received and it relates to business conducted at a Lifeworks facility, immediately contact the Quality & Compliance Manager, the CEO and the General Counsel.

b. The General Counsel or designated counsel will, with the support of the Quality & Compliance Manager, direct the response to the Subpoena *Duces Tecum* or other information request.

Cross References	None
Owner	Compliance Manager (subject to advice and consent of General Counsel)
References	TBD

Your Rights If Contacted by A Government Investigator

A government investigator has the right to contact any employee of a health care organization to request an interview. The investigator has the right to contact you either at home or work.

1. If contacted, you may choose to speak to the investigator, or you may refuse. You are not under any obligation to speak to the investigator.

2. If you agree to speak to the investigator, you have the right to end the interview at any time.

3. If you are subpoenaed to speak with a government investigator, this does not give the investigator the legal authority to require you to speak *at the time you are given the subpoena.* An appointment for an interview can be scheduled for a different date.

4. If you agree to speak to an investigator, no matter who else is present, you must tell the truth. You should state only facts that you know, not rumors, guesses, or speculation.

5. Any statements you make to an investigator may be considered legal admissions, which can later be used against you and/or Lifeworks in an administrative, civil, or criminal legal proceeding.

6. If you agree to speak to an investigator, you have the right to confer with an attorney first, and to have an attorney present during the interview. Depending upon the circumstances, you may choose to retain private counsel, or the matter may be handled by Lifeworks legal counsel.

7. You have the legal right to tell your supervisor or Lifeworks legal counsel about the government contact. The investigator may suggest that you keep the contact confidential, but there is no law that would prevent you from disclosing any detail of your discussion with the investigator to Lifeworks or its representatives.

Addendum H - LIFEWORKS IMAGE AND RECORDING MANAGEMENT POLICY

Purpose

To manage and protect visual images, videos and audio recordings captured by or submitted to Lifeworks (in any form or format) of affected Individuals ("**Recordings**"); provide guidelines and rules for obtaining required consents from or on behalf of affected Individuals; provide guidelines and rules for the use of Recordings by Lifeworks; preserve the confidentiality of personal information associated with Recordings; and comply with copyright, privacy and other applicable laws relating to Recordings; all while enhancing and shaping the Lifeworks brand through the use of Recordings.

The term "**Individuals**" refers to Lifeworks staff members, volunteers, persons served, and others whose name, image or likeness will be used by Lifeworks for promotional, educational, communications, marketing or other business purposes, but does not include members of the public who incidentally happen to be captured in Recordings.

Scope

The policy applies to all staff, contractors and volunteers ("**Lifeworks Personnel**") and to the capture, receipt, retention and use of all Recordings, including but not limited to those on social media, the Lifeworks web site, Lifeworks email campaigns, fundraising campaigns, printed brochures and advertisements.

This Policy will apply to Recordings made by or on behalf of Lifeworks by Lifeworks Sales & Marketing Personnel ("**Lifeworks Recordings**") as well as to Recordings submitted by Lifeworks staff and others ("**Submitted Recordings**").

Policy

It is the policy of Lifeworks to capture, receive, retain and use Recordings only in ways consistent with applicable laws, including copyright and data privacy laws, and consistent with required authorizations duly obtained from (or on behalf of) Individuals relative to the Recordings.

Authorizations

Lifeworks will request that each Individual who may be in a Lifeworks Recording (or their duly authorized representative) sign the then-current Lifeworks Publicity Release Form authorizing Lifeworks to use images, audio and video including the Individual for stated purposes (an "**Authorization**").

Lifeworks will keep signed Authorizations on file and maintain a system for readily determining the Authorization status of Individuals and the rights granted for use of Submitted Recordings. To the greatest extent practical, the Advancement Team will use metadata to identify Individuals in Recordings for later retrieval and for compliance with this Policy.

An Individual may revoke or reduce the scope of an Authorization at any time by written notice to the Lifeworks Advancement Team. Authorizations will specify that Lifeworks may continue to use the subject Recordings after revocation to the extent the Recordings were published prior to revocation.

Lifeworks Recordings

For Lifeworks Recordings planned in advance of the event, the Lifeworks representative making the Recording (the "**Recorder**") will consult with the Sales & Marketing Team before making the Recording to determine the current Authorization status for the Individuals expected to be in it. To the greatest extent practical, the Recorder will endeavor to exclude from the Recording any Individual who does not have a current Authorization.

Recorders who are not members of the Sales & Marketing Team (i.e. staff, contractors and volunteers) will promptly forward to the Advancement Team any Recordings they have made on behalf of Lifeworks. The Recorder will provide the Sales & Marketing Team with information about such Recordings (e.g. place, time, event, Individuals shown, etc.) as may be requested by the Sales & Marketing Team.

All Lifeworks Recordings will be the property of Lifeworks and Lifeworks will own all copyrights in the Recordings. At the request of the Advancement Team, the Recorder will delete submitted Recording(s) from their device and any personal storage medium.

Submitted Recordings

All Submitted Recordings, regardless of subject, should be directed to the Sales & Marketing Team for acceptance. The Sales & Marketing Team will only accept Submitted Recordings which include:

(1) the following information about the Recording:
- Name of Individual who created the Recording;
- Date, location, subject matter; and
- Name of subjects (people); and

(2) a grant of rights to use the Submitted Recording for purposes consistent with this Policy.

Retention of Recordings

All Recordings (both Lifeworks Recordings and Submitted Recordings) will be saved only on Lifeworks secure media and published only on Lifeworks' approved media formats.

The Sales & Marketing Team will maintain a system designed to save such Recordings in a secure fashion that allows for deletion of Recordings in accordance with the then-current Retention Policy and Schedule.

Use of Recordings

The Advancement Team will have responsibility for the use, reproduction, sharing and publication of Recordings, which will be subject to this Policy and other Lifeworks policies respecting data privacy. No other person, may use, reproduce, publish or share any Recordings except at the direction of the Sales & Marketing Team.

Lifeworks will use a Recording of an Individual only for educational, communications, informational, marketing or promotional purposes consistent with then-current Authorization for such Individual, with the Lifeworks Notice of Privacy Practices, and with applicable data privacy laws. Lifeworks may use that portion of a Recording containing visual images, video or audio of an Individual only to the extent such use has been authorized by or on behalf of the Individual in an Authorization. Marketing and promotional usages may be any medium, including video tape, DVD, and CD-ROM, broadcast and print media, advertising, the Internet and business applicable social media channels.

Following the revocation of an Authorization, Lifeworks will not use any portion of a Recording no longer covered by a signed Authorization. If the subject Recording has previously been published, Lifeworks may continue to use such Recording as permitted by the Authorization in effect at the time the Recording was published.

Lifeworks will treat a Recording as protected health information (PHI) or electronic protected health information (E-PHI), as applicable, if the Recording reveals that an Individual is a person served or a person with a disability. Lifeworks will manage all such Recordings in accordance with HIPAA, HITECH and other applicable data privacy laws and in accordance with Lifeworks data security policies and its Notice of Privacy Practices.

The Sales & Marketing will only use a Submitted Recording in accordance with the rights duly granted for its use and with this Policy.

The Sales & Marketing has the right to remove published Recordings and ask Individuals to delete Recordings from devices.

Individuals will not publish Recordings with the Lifeworks name and/or logo or identify subjects of Recordings as people served by Lifeworks without the prior review and permission from Lifeworks Sales & Marketing.

Personal Recordings

All Lifeworks Personnel who make personal recordings (not the Lifeworks Recordings or Submitted Recordings described above) of visual images, videos and/or audio of Lifeworks staff members, volunteers and persons served at Lifeworks events or in Lifeworks facilities ("**Personal Recordings**") will respect the privacy of those whose images and identities are so recorded ("**Subjects**") and will comply with all laws respecting such recordings, including copyright and data privacy laws. Lifeworks Personnel will be duly respectful of the dignity and privacy of Subjects in any publication (on social media or otherwise) of Personal Recordings.

Rights & Responsibilities

All Lifeworks Personnel are responsible to follow this Policy to comply with applicable laws and to enhance the public image and brand of Lifeworks. Violations of this Policy will be subject to review by Sales & Marketing leadership, Director of Compliance, and the applicable supervisor (for staff) or contract manager (for contractor), subject to the advice and counsel of the General Counsel. Violations may be subject to discipline, including possible termination.

Resources:

Publicity Release Authorization
Lifeworks HIPAA Privacy Policy
Lifeworks Security Rule Policies
Notice of Privacy Practices
Lifeworks Record Retention Policy
Lifeworks Record Retention Schedule

Version No	1.0	**Status**	Draft
Author	Emma Rohrer	**Revision Date**	12/12/19
Approver/Owner	Emma Rohrer	**Approval Date**	11/29/18

Addendum I - LIFEWORKS FUNDRAISING POLICY

Purpose
This Fundraising Policy in intended to ensure that all fundraising activities support the mission, goals, and programs of Lifeworks Services, Inc. ("Lifeworks"). This policy recognizes that philanthropy merits the respect and trust of the general public and that donors and prospective donors can have full confidence in their support of our mission.

Scope
This policy applies to all Lifeworks Directors, Board committee members, employees, and volunteers (collectively "Lifeworks Personnel").

Policy

Gift Acceptance
Unless a specific contract is established and approved by the Board, Lifeworks will not pay a commission for funds raised.
Lifeworks will not accept a contribution if one or more of the following circumstances exists:

1. The gift would have a negative impact on Lifeworks' reputation.
2. Acceptance of the gift would result in additional and unacceptable expense.
3. Lifeworks could not honor the donor's expectations.

Lifeworks will seek advice from legal counsel in relation to gift acceptance when appropriate, including:

- Administration of any estate in which Lifeworks Services is named as beneficiary
- Any transactions with potential conflict of interest, including the use of Board Members as sales agents in transactions, leases of gift property to staff or Board, etc.
- Any gifts of patents or intellectual property
- Certain gifts that are subject to restrictions or buy-sell agreements
- Other circumstances in which use of counsel is deemed appropriate by the President & CEO and/or the Lifeworks Board of Directors

Lifeworks encourages donors to seek their own tax or legal counsel before making a gift.

Lifeworks does not provide personal legal, financial, or other professional advice to donors or prospective donors. Donors and prospective donors are strongly urged to seek the assistance of their own professional advisors in matters relating to their gifts and the resulting tax and estate planning consequences.

Donor Privacy and Acknowledgement
Lifeworks holds all communications with donors and information concerning donors and prospective donors in strict confidence, subject to legally authorized and enforceable requests for information by government agencies and courts. All other requests for, or

releases of, information concerning a donor, or a prospective donor will be granted only if permission is first obtained from the donor.

See Lifeworks Donor Privacy Policy.

All gifts made to Lifeworks will receive an acknowledgement from the Lifeworks Development Department within a reasonable time after receipt of the gift. An acknowledgement letter including a formal tax receipt for monetary donations will be sent to each donor when their gift is accepted.

Lifeworks uses their annual report as their primary donor recognition tool. All donors will be recognized in the Lifeworks annual report. Donor requests for anonymity will be honored.

Restrictions on Gifts

Lifeworks reserves the right to refuse any gift that it deems too restrictive in purpose, or not in the organization's best interest. The acceptance of a questionable gift or any decision to fulfill a questionable request from a donor will be brought in front of the Development Committee of the Lifeworks Board of Directors and/or the appropriate legal counsel. Decisions to accept such gifts will be guided by consistency with the Lifeworks mission.

In addition, the following gifts will not be accepted by Lifeworks:

- Any gifts that violate federal, state, or local law, statute, or ordinance
- Any gifts that contain unreasonable conditions or partial interest in property
- Any gifts that are made with conditions that state the proceeds will be spent by Lifeworks for the personal benefit of the named individual
- Any gifts that could expose Lifeworks to liability

Acceptable Gifts

The following gifts may be considered for acceptance by Lifeworks:

- Cash (check, credit/debit card, ACH, online payment processing, cash, other)
- Professional services used in the normal course of business
- Planned Gifts and Endowment Funds, see details below
- Tangible personal property, including in-kind gifts
- Publicly traded and closely held securities

Planned Gifts

The policy for planned gifts (as well as other gifts) is designed to protect the donor, the representatives of Lifeworks, including its Board, staff, and volunteers, and the welfare of the organization itself.

Prospective donors shall be advised to consult their attorney or other advisors in all matters related to planned-gift instruments such as drafting of wills, trusts, contracts, or other agreements. Lifeworks shall consult with legal counsel in matters pertaining to its planned-gift program and shall execute no agreement, contract, trust, or other legal document with any donor without the advice of legal counsel representing Lifeworks interests.

Only the personnel approved by the President and CEO shall be authorized to negotiate on behalf of Lifeworks with any donor with respect to gift annuities, trusts, life-income agreements, and other formal planned-gift instruments. Any real estate, real property, or hard-to-value assets exchanged for an agreement of any kind must have appropriate appraisals as required by Internal Revenue Service regulations and be approved by the Board.

Lifeworks will accept the following planned gifts:

1. Bequests
2. Charitable Gift Annuity
3. Deferred Charitable Gift Annuity (DCGA)
4. Charitable Remainder Unitrusts (CRUT)
5. Charitable Remainder Annuity Trusts (CRAT)
6. Pooled-income fund (subject to Lifeworks participation in a common fund)
7. Trusts
8. Life insurance arrangements

No gift annuity shall be issued in exchange for an amount of less than ten thousand dollars ($10,000) or for the life of any person less than sixty (60) years of age on the date of the agreement. Gift-annuity agreements shall not be issued for more than two (2) lives and, in a case involving more than one life, a twenty- thousand-dollar ($20,000) minimum shall apply. No agreement shall be negotiated covering more than three (3) lives.

No unitrust or annuity trust shall be written for less than one-hundred-thousand dollars ($100,000). Agreements for a term of years shall not be for more than twenty (20) years.

Any exception to these limitations shall require Board approval.
Funds received in exchange for a gift annuity, or a life-income contract shall be placed with the Lifeworks designated fund at the selected management organization.

Payments on life-income obligations shall be made as agreed to by Lifeworks and the donor. Payments shall be made and reported to the donor in the manner prescribed by Internal Revenue Service regulations.

Endowment Funds

Endowment funds support the general purposes of the organization. The principal is to be invested in a prudent manner in accordance with the Lifeworks Investment Policy as prescribed from time to time by the Board, and the income (defined as total return income) is to be used to support the organization’s general purposes.

Donor Restricted Endowment

Donors may choose to restrict gifts for endowment. A Named Endowment Fund may be established at Lifeworks through an outright gift, a bequest, or other form of planned gift. The minimum amount necessary to establish a Named Endowment Fund is $25,000. Endowed funds shall be invested in the same manner as Board-designated reserves and paid out according to the terms of the endowment. The principal of endowed funds shall remain intact with the distribution of income for designated uses. The Board reserves the right to use the principal for general purposes or for the restricted purposes contained in

each endowment when, in the Board's discretion, the purposes of the endowment can no longer be met, or the organization's needs may so require.

Board Designated Endowment
From time to time, the Board may designate funds to be set aside for endowment. The Board, or its designated committee, shall retain the right to dissolve Board designated endowment funds.

Rights & Responsibilities

All Lifeworks Personnel are responsible for adhering to this Policy when conducting fundraising activities on behalf of Lifeworks. Disregarding or failing to comply with this Policy could lead to disciplinary action, up to and in including, possible termination.

Resources

Association of Fundraising Professionals
Bloomerang
Minnesota Council of Nonprofits
The Fundraising School, University of Indiana Lilly School of Philanthropy
Lifeworks Donor Privacy Policy
Lifeworks Investment Policy

Responsible Board Committee	Development
Responsible Vice President	Advancement
Committee Approval	November 18, 2021
Board Approval	December 15, 2021

Addendum J - MINNESOTA EARNED SICK AND SAFE TIME

Purpose
In congruence with county, state, and federal law, Lifeworks' Minnesota Earned Sick and Safe Time policy will expand to all employees and go into effect on January 1, 2024.

Scope
Effective January 1, 2024, nearly all Minnesota employers are required to provide their workers with paid earned sick and safe time (ESST).

Policy
Lifeworks employees, including temporary, part-time, and full-time employees are eligible for ESST if they work at least 80 hours in a year in Minnesota. Employees can accrue up to a maximum of 48 hours of earned sick and safe time per year.

Use of ESST
Employees may use ESST when it accrues, for specific purposes related to the worker's or a family member's well-being, including purposes arising from domestic abuse, sexual assault or stalking. ESST may also be taken for certain public emergency and public health reasons.

Specifically, employees may use ESST for the reasons outlined below:

- Their own or their family member's mental or physical illness, injury, or other health condition; need for medical diagnosis, care, or treatment of a mental or physical illness, injury or health condition; or need for preventive medical or health care.
- Absence due to domestic abuse, sexual assault or stalking of the employee or employee's family member, provided the absence is to:
    - Seek medical attention related to physical or psychological injury or disability
    - Obtain services from a victim services organization
    - Obtain psychological or other counseling
    - Seek relocation or take steps to secure an existing home
    - Seek legal advice or take legal action, including preparing for or participating in any civil or criminal legal proceeding
- Closure of the employee's place of business due to weather or another public emergency, or an employee's need to care for a family member whose school or place of care has been closed due to weather or another public emergency.
- The employee's inability to work or telework because the employee is:
    - Prohibited from working by the employer due to health concerns related to the transmission of a communicable illness related to a public emergency
    - Seeking or awaiting the results of a diagnostic test for or a medical diagnosis of a communicable disease related to a public emergency when the employee has been exposed to a communicable disease or the employer has requested a test or diagnosis
- The determination by a health authority or health care professional that the presence of the employee or their family member in the community would jeopardize the health of others because of exposure to a communicable disease.

Definition of "family member" is defined broadly to include an employee's:

1. Child, foster child, adult child, legal ward, child for whom the employee is legal guardian, or child to whom the employee stands or stood in loco parentis
2. Spouse or registered domestic partner
3. Sibling, stepsibling, or foster sibling
4. Biological parent, adoptive or foster parent, stepparent or person who stood in loco parentis when the employee was a minor child
5. Grandchild, foster grandchild or step-grandchild
6. Grandparent or step-grandparent
7. A child of a sibling of the employee
8. A sibling of the parents of the employee
9. A child-in-law or sibling-in-law

In addition, "family member" includes any of the family members listed in items 1-9 above of a spouse or registered domestic partner, as well as any other individual related by blood or whose close association with the employee is the equivalent of a family relationship.

Finally, up to one individual annually designated by the employee may be considered a family member for ESST purposes.

Notice Obligations of Employees

Lifeworks requires advance notice of no more than seven days for foreseeable use of ESST.

If the need for ESST use is unforeseeable, employees may be required to give notice only as soon as practicable.

Documentation

Lifeworks requires documentation from employees that ESST of more than three consecutive days was used for a qualified reason. The type of documentation that an employee is required to provide Lifeworks varies depending on the reason for leave.

Employees are not required to provide documentation or any details for the reason they are requesting leave or are taking leave to any other staff or supervisor. Employers may not require details relating to domestic abuse, sexual assault, stalking, or an employee's or employee's family member's medical condition. Written statements by an employee may be written in the employee's first language and need not be notarized or in any particular format.

Employees are required to provide documentation to the Human Resources Department for the reasons outlined below:

Qualifying Reason for Leave	Reasonable Documentation
Health needs of the employee or the employee's family member	Signed statement by a health care professional indicating the need for ESST
Health needs of the employee or the employee's family member, but: • No services were received from a health care professional; or • Documentation cannot be obtained from a health care professional in a reasonable time or without added expense	Written statement from the employee indicating their ESST use was for a qualifying purpose
Safe leave related to domestic abuse, sexual assault or stalking of the employee or their family member	Court record or document signed by a volunteer or employee of a victims' services organization, an attorney, a police officer or an anti-violence counselor
Care for a family member whose school or place of care has been closed due to a public emergency	Employee's own written statement indicating the ESST was for a qualifying purpose

Accrual and Carryover

Beginning at the start of employment, employees accrue one hour of ESST for every 30 hours worked, up to a maximum of 48 hours per year. "Year" means a regular and consecutive 12-month period, defined as January 1 through December 31 of each fiscal year for.

Unused, accrued ESST carries over into the following year up to a maximum of 80 hours at any time.

Lifeworks will not pay out any unused accrued ESST upon separation of employment in congruence with county, state, and federal law.

Rights & Responsibilities

Employers must give notice to all employees that they are entitled to earned sick and safe time. This includes notice of:

- The amount of ESST
- The accrual year for the employee
- The terms of ESST use

- A copy of any written policy the employer maintains for providing notice of the need to use ESST
- Prohibition of retaliation against employees who request or use ESST and
- Each employee's right to file a complaint or bring a civil action if ESST is denied by the employer or if the employee is retaliated against for requesting or using earned sick and safe time.

Employees can request this notice in their primary language from the Human Resources Department. For primary language notice requests, please contact the Human Resources Department.

Lifeworks Prohibition of Retaliation and EEOC Statement

Retaliation against any individual for making a complaint of harassment or discrimination, for the use of earned sick and safe time, or for participating in an investigation of any claim regarding harassment or inappropriate behavior is strictly prohibited.
If you feel that you have experienced such retaliation, you should immediately report any such retaliation to human resources at Lifeworks administration.

Resources

Resources include external supports that were used to gather, write, define, or explain the policy.

Example:
Minnesota Office of Revisor of Statutes website:
https://www.revisor.mn.gov/statutes/?id=245B
Minnesota Department of Human Services: Developmental Disabilities Services handbook, 2010.
Minnesota Department of Labor website: https://www.dli.mn.gov/sick-leave

CARF Accreditation Handbook 2010.

Addendum K - AUTOMATIC EXTERNAL DEFIBRILLATOR USE POLICY

Purpose

The purpose of this policy is to establish a safe and prepared work environment by providing guidelines for the proper use of Automated External Defibrillators (AEDs) in case of sudden cardiac arrest (SCA).

Scope

This policy applies to all employees and contractors within Lifeworks Services, Inc.

Definitions

Automated External Defibrillator (AED): An Automated External Defibrillator (AED) is used to treat person who experience sudden cardiac arrest (SCA). It is only to be applied to people who are unconscious and not breathing normally. The AED will analyze the heart rhythm and advise the operator if a shockable heart rhythm is detected. If a shockable rhythm is detected, the AED will charge to the appropriate energy level and advise the operator to deliver a shock.

Sudden Cardiac Arrest (SCA): Sudden cardiac arrest (SCA) is a condition that occurs when the electrical impulses of the human heart malfunction causing a disturbance in the heart's electrical heart rhythms called ventricular fibrillation (VF). This erratic and ineffective electrical heart rhythm causes complete cessation of the heart's normal function of pumping blood, effective treatment for this condition is the administration of an electrical current to the heart by a defibrillator, delivered within a short time of the onset of VF resulting in sudden death.

Policy

In congruence with best practices set forth by the American Red Cross and Zoll, the manufacturer of the AED device, Lifeworks will take the following steps to ensure proper use of the AED device:

1. **AED Placement**
    - AEDs will be strategically placed in easily accessible locations at the main office and at the Apple Valley location.
    - Placement will be communicated to all employees through initial announcement and regular updates.
2. **Maintenance and Inspection**
    - AEDs will be inspected annually and maintained by the Facilities Manager to ensure functionality including unexpired electrodes and a working battery.
    - Any malfunctions or damage should be reported immediately to the Facilities Manager.
    - All maintenance will be documented and kept on record by the Facilities Manager.
3. **Training**
    - All employees will be required to view an AED training video annually in the LMS.
4. **Response Action Plan**

- Call 9-1-1
- If AED is not immediate available, send someone to get it and bring it to authorized user
- Apply the AED electrode pads to the persons bare chest as shown on the diagrams on pads
- Follow the voice and visual prompts

Resources

The American Red Cross offers certification training for AED use
https://www.redcross.org/take-a-class/organizations/purchase-aeds

AED Manufactured provided video
https://www.youtube.com/watch?v=9l94i1cRRFE

Rights & Responsibilities

Employees using the AED in good faith during an emergency are protected by applicable Good Samaritan Laws.
https://www.revisor.mn.gov/statutes/cite/604a.01

Addendum L - NURSING MOTHERS, LACTATING EMPLOYESS, AND PREGNANCY ACCOMMODATION POLICY

Purpose

The purpose of this policy is to affirm our commitment to supporting the health and wellbeing of pregnant employees, nursing mothers and lactating employees within our organization. We recognize the importance of creating an inclusive and accommodating workplace the respects the rights and needs of individuals during pregnancy and while nursing or lactating. This policy outlines our dedication to providing reasonable accommodations, promoting a discrimination free environment, and ensuring compliance with MN Statues § 181.939.

Scope

This policy applies to all employees and contractors within Lifeworks Services, Inc. The policy is designed to provide guidance for pregnant, nursing, and lactating mothers in our organization, ensuring their rights and well-being are protected and respected in accordance with applicable federal and state laws.

Policy

In congruence with Minnesota Statutes § 181.939, Lifeworks' Nursing Mothers, Lactating Employees, and Pregnancy Accommodations policy provide pregnant employees or related health conditions the right to request and receive reasonable accommodations, as long as it does not create an undue hardship, which may include, but is not limited to the following examples:

- More frequent or longer breaks
- Seating
- Limits to heavy lifting
- Temporary transfer to another position
- Temporary leave; and / or;
- Modification in work schedule or tasks

Rights & Responsibilities

Lifeworks does not require employees to take leave or to accept an accommodation. Accommodations requests will be reviewed and may require further supporting documentation from a medical provider.

Lactating employees have the right to reasonable paid break times to express milk at work unless they are expressing milk during a break that is not usually paid, such as a meal break.
Lifeworks will provide a clean, private, and secure room that is not a bathroom near the work area that includes access to an electrical outlet for employees to express milk.

Employees are encouraged to contact the Human Resources Department regarding any questions and to learn more about their rights to take leave or to request an accommodation.

Non-Retaliation

We prohibit retaliation against any individual who has made a good faith report under this policy, assisted with such a report, or who has cooperated in an investigation, proceeding or hearing conducted by the Company or by an enforcement agency, or requested an accommodation. Involvement in an investigation will not, however, insulate an employee from appropriate disciplinary or other employment actions. In addition, any employee who knowingly files a false complaint or who files a complaint for an inappropriate purpose will be subject to appropriate discipline, up to and including termination.

Filing a Complaint

It is against the law for an employer to retaliate, or to take negative action, against a pregnant or lactating employee for exercising their rights under this law.

Resources

Employees who believe their rights have been violated under this law can contact the Minnesota Department of Labor and Industry's Labor Standards Division at dli.laborstandards@state.mn.us or 651-284-5075 for help. Employees also have the right to file a civil lawsuit for relief. For more information about this law, visit dli.mn.gov/newparents.