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| Policy & Procedure Name: | Professional Conduct During Sessions |
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| Policy Number: | CL-023 | Effective Date: | 07/29/2022 |
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| Review Dates: | |
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Purpose: Establish a guideline for professional conduct during client sessions. Set clear expectations and establish disciplinary actions if expectations are not met.

Scope: All staff who provide ABA services and who provide supervisory oversight to those staff.

Policies and Procedures:

- I. Use of Personal Devices
 - A. The use of personal devices during a session is prohibited other than for data collection and session note conversion purposes. Personal devices cannot be used during a session to make personal phone calls, email, text, listen to music, or watch videos.
 - 1. In the event of an emergency where a device needs to be used for a personal emergency (ie your child’s school is calling), notify the supervising BCBA. They can supervise your client while you step out to take the call. If you are in a home session, notify the parent or guardian that you need to step out for an emergency phone call.
 - B. Disciplinary Action
 - 1. If someone is using a personal device for non-work related purposes the following disciplinary action will be taken
 - a) First Offense - Verbal Warning
 - (1) The BCBA or supervisor who notices the inappropriate use of a personal device will provide immediate verbal feedback to the offending employee.
 - (2) Following the verbal feedback the supervisor will email the administrative director to log the feedback on the employee’s feedback log.
 - b) Second Offense - Written Feedback

- (1) If a verbal warning has already been given and the behavior occurs a second time verbal feedback will be given immediately followed by written feedback.
 - (2) The written feedback will be sent to the employee by the BCBA or supervisor who observed the behavior. The feedback will be sent to the employee and the administrative director will be copied on the email so the feedback can be logged. The employee and supervisor will both sign off on the feedback.
 - c) Third Offense - Human Resources
 - (1) If the behavior continues after the employee has received both verbal and written feedback the issue will be brought to Human Resource's attention for further support.
- II. Timely Arrival
 - A. All staff are expected to arrive at their sessions or to the center at their scheduled start time.
 - B. In the event of an emergency where you cannot arrive at your session on time, please notify your case manager and BCBA as soon as possible.
 - C. Late Arrivals - Disciplinary Actions
 1. Anyone who arrives more than 7 minutes after the scheduled start time is considered late. For example, if a team member is scheduled to arrive at 9:00 and they arrive at 9:07 they will not be considered late. If they arrive at 9:08 they will be considered late.
 2. If an employee arrives late to a session without giving prior notification the following disciplinary action will be taken
 - a) First Offense - Verbal Warning
 - (1) The BCBA or supervisor will give immediate verbal feedback to the employee upon their late arrival if the session is in the center.
 - (2) If the late arrival is reported by a parent or guardian, the employee who receives the parent report will follow up with the late employee. For example, if a parent calls the BCBA or Case manager to report that the technician was late, the BCBA or Case Manager will call the employee to provide feedback. If the employee who receives the report cannot support they will relay the information to the Administrative Director.
 - (3) The feedback will remind the employee of the expectation to arrive on time. They will be notified that any further instances will result in written feedback.
 - (4) The BCBA or supervisor will ask the employee to email the case manager to notify them of their late arrival. The employee will copy the BCBA or supervisor on the email to the case manager.
 - (5) The BCBA or supervisor will ensure the email has been sent and follow up with the employee if the task has not been completed
 - (6) Following the verbal feedback the supervisor will email the administrative director to log the feedback on the employee's feedback log.
 - b) Second Offense - Written Feedback

- (1) If a verbal warning has already been given and the behavior occurs a second time verbal feedback will be given immediately followed by written feedback.
 - (2) The written feedback will be given to the employee by the BCBA or supervisor who observed the behavior. The feedback will be sent to the employee and the administrative director will be copied on the email so the feedback can be logged. The employee and supervisor will both sign off on the feedback.
- c) Third Offense - Human Resources
- (1) If the behavior continues after the employee has received both verbal and written feedback the issue will be brought to Human Resource's attention for further support.
3. If an employee leaves a session or the center earlier than their scheduled end time, the same protocol will be followed.
- D. Billing of provided services (including correct code, time/date of service, session notes, provider information, etc.) is regulated by Federal and State laws and wrongful entries (unknowingly or consciously) are considered a violation of these laws, specifically The False Claims Act and Health Care Claims Fraud Act.
- E. Failure to report time changes or converting a session with inaccurate time or information is considered a felony and can result in fines (up to \$150,000 or five times the amount of the claim) and prison time (up to 5 years) for the individual employee. Converted sessions are a confirmation of services provided and fall into the scope of the mentioned laws.